



Innovative Governance Practices
in the Higher Education Institutions

D1.4 Update needs analysis report State of the Art of the Higher Education system and its governance in Iraq



Authors

Martina Zipoli, Silvia Marchionne, Marco Di Donato, Federica De Giorgi

UNIMED, Mediterranean Universities Union

Contributors

Sudad Ahmed, Osamah Abdullatif, Sudad Amer Dayl (University of Baghdad)

About INSPIRE

The overarching goal of INSPIRE is to support, through the cooperation of European institutions, the rebuilding, modernization, and internationalization of the governance system of higher education institutions (HEIs) in Iraq with a specific focus on planning and programming systems. Due to the recent crisis and political economic situation, the current higher education system requires a strong intervention to face the weakness of the existing governance system. To institutionalize good governance practices in Iraqi HEIs, which also means enforcing institutional values such as autonomy, accountability, participation, and internationalization, as well as implementing well-structured management systems, will contribute to the development of Iraqi HIEs helping them to meet the international standards.

The aim of the project is to support HEIs in Iraq in order to make them capable of establishing a modern governance framework through the adoption of innovative practices. The **specific objectives** of INSPIRE are the following:

- Enhancing good governance, management and accountability practices in the HEIs
- Establishing a clear governance framework, including well-defined and clear mission and goals through the definition and implementation of action plans
- Strengthening the international relations management within the HEIs
- Improving participation in strategic planning and development activities for non-university actors and non-state actors

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Project Partners

- [University of Siena](#), Italy (coordinator)
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- [Evora University](#), Portugal
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- [Al Karkh University for Science](#)
- [Southern Technical University](#)
- [Wasit University](#)
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Responsible Author(s)	Martina Zipoli Silvia Marchionne Marco Di Donato Federica De Giorgi
Contributor(s)	Sudad Ahmed, Osamah Abdullatif. Sudad Amer Dayl (University of Baghdad)
Abstract (for dissemination)	The D1.4 Update needs analysis Report aims to provide an up-to-date state of the art of the Higher Education System in Iraq in relation to the governance of HEIs, and identifies gaps and priorities in governance practices that have to be addressed.



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Any error in data and statistics reported in this Report is the sole responsibility of the UNIMED research team and represent only UNIMED views.

Introduction

The first step of the project is to conduct an up-to-date needs analysis of the Iraqi Higher Education governance system, which requires, besides the realisation of a comprehensive literature review aimed at identifying the existing governance frameworks, the development of a tailored analysis of key dimensions with the support and collaboration of one Iraqi university. The study aims at identifying the current situation of the universities involved in the project and enables the identification of specific needs to address. Covering a number of dimensions related to the improvement of a governance framework, the study aims also to delineate both gaps and priorities in governance practices to address, setting a number of objectives for Universities to achieve. The analysis is based on a combination of a desk research, a self-evaluation and a diagnostic tool elaborated by European experts.

The study has been carried out starting from a desk research, consisting in reviewing relevant literature and collecting previous expertise in order to develop a baseline knowledge, and standardize the understanding of concepts and terminologies related to HE governance among the consortium institutions. Upon the desk research findings, the report has been informed by the data from a survey and the results of a self-assessment conducted through a governance diagnostic tool. Results have been elaborated through a close collaboration between the WP1 Leader, UNIMED, and the WP1 co-leader, the University of Baghdad. All the other partners have contributed to the analysis providing key information to the researchers, and supporting UNIMED in fully understanding the key features of the Iraqi HE governance system.

The current Report sums up all the activities performed, representing on the one side the first achievement of the project, on the other side the knowledge base upon which the subsequent activities are designed (from the capacity building action, to the outlining of the actions plans and the governance reform process itself).

1. Methodological Note

The overall objective of the study is to provide Partners with a picture of Higher Education governance in Iraq, which serves as a reference for the future developments of Higher Education Institutions in the country with the aim of meeting international quality standards. Researchers relied on a qualitative methodology to conduct data collection and the Report has been written by directly involving Iraqi partners, both the Universities of the Consortium and the Ministry of Higher Education and Scientific Research.

This study, as part of the work under the Work Package 1 of the INsPIRE project, is the result of more than 6 months of research, reflections, conversations, exchanges and writing conducted by the UNIMED team (in alphabetical order: Federica De Giorgi, Marco Di Donato, Silvia Marchionne, Martina Zipoli) in strong collaboration with the WP co-leader the University of Baghdad, in the person of Sudad Amer Dayl, the Iraqi Minister of Higher Education and Scientific Research represented by Hussain Al-Rubaiey and Huda Abdullah, and the contribution by all the Iraqi Universities of the Consortium: Wasit University, Southern Technical

University, Al Karkh University for Science, University of Basrah Oil and Gas, Al-Qasim Green University, University of Sumer, Al-Furat Al-Awsat Technical University, University of Basrah, University of Baghdad, University of Mosul.

The research has been structured in several steps, conducted contemporary and subsequently, all framed into a comprehensive methodology. As a **preliminary activity**, Focus Groups during the kick-off meeting were held in Siena, in February 2019, to collect expectations, experiences and perceptions by the participants and to discuss inputs related to “Improving Governance in the Higher Education System in Iraq”. In terms of methodology, first a **desk research** has been performed resulting in two complementary but different results: on the one side, the definition of the basic concepts related to the university governance, shared and agreed by the Iraqi universities as a common reference; on the other side, an overview of the Iraqi Higher Education system functioning, based on the sources shared by the Ministry and the University of Baghdad on general regulations, students admission, scientific research, finance and funding, etc. Second, a **survey** has been delivered by UNIMED to the 10 Universities in the project in June 2019. The survey combines both quantitative and qualitative research approaches. The survey has been structured in sections, directed - depending on the specific topic - to universities’ presidents, to the Department of Studies and Planning, to the Department of Quality Assurance, to the Students Affairs Department, to the Finance Department, to the Department of Cultural relations, to the Division on rehabilitation and employment, to the Department of Scientific Affairs. Third, **virtual Focus Groups** have been arranged in January 2020 with the partner Universities, split in three groups, to validate the analysis conducted on the survey responses and to jointly discuss the dimensions of the university governance which need to be addressed, improved and revised, and subsequently focused on during the capacity building action. Lastly, the Iraqi Higher Education Institutions conducted a **self-evaluation using an online Diagnostic Tool**. Through the use of the tool, researchers were able to identify needs, weakness and limits of Iraqi HEIs, but also priorities and strengths of each university involved in the project. Moreover, the tool allowed University Leaders (at different levels) to identify the dimensions and subdimensions of governance in need for improvement, starting from a self-evaluation of current governance arrangements at each HEIs.

Each step of the process has undergone a **validation process by the Iraqi partners**, to make sure the research moved in the right direction and upon the right understandings.

Results were carefully analyzed and the analysis allowed to integrate further data where more information was needed or in the case interesting results have been further explored.

1.1 Focus Groups at the KOM in Siena

During the three days of the Kick-off meeting of the project in February 2019, the WP Coordinating Institutions, in the persons of Ms. Silvia Marchionne and Mr. Marco Di Donato for UNIMED, and Mr. Osamah Abdulateef, Ms. Al-Shaikhli Sudad, and Mr. Omar Al-Bairaqqdar for the University of Baghdad, have carried out three Focus Groups to discuss the main issues related to “Improving Governance in the Higher Education System in Iraq”. The focus groups results reflect the perception of the Iraqi Universities with regard to the governance of the Higher Education System of the country. In this sense, the information collected represents the perceptions and opinions of participating Universities.

The main topics addressed during the focus groups were:

- **decision-making process**
- **ability to obtain resources**
- **quality improvement**
- **evaluation**

The objectives of the focus groups work were:

- to collect the expectations of the participants on the topic;
- to collect the opinions of the participants on the topic;
- to evaluate the experiences, needs and priorities of the participants on the topic;
- to understand how participants, perceive reality with regards the topic;
- to understand how participants, behave and react with regards the topic.

Focus groups were composed by a minimum of 6 up to 12 participants, with the presence of a moderator represented by a European partner who addressed the questions to the participants. A representative of Ministry of Higher Education and Scientific Research joined each group. Details on topics and questions are reported in Annex I. The focus groups lasted one hour, while a further half an hour was devoted to the presentation of results from a rapporteur chosen for each group.

Composition of the groups		
<p>UNISI (moderator) UNIBO (rapporteur) MHESR</p> <ul style="list-style-type: none"> ● <i>Mosul University</i> (rapporteur) ● <i>Basrah Oil & Gas University</i> ● <i>Al Karkh University of Sciences</i> 	<p>UNIMED (moderator) Istanbul Aydin University (rapporteur) MHESR</p> <ul style="list-style-type: none"> ● <i>Baghdad University</i> (rapporteur) ● <i>Sumer University</i> ● <i>Furat Al Awsat Technical University</i> 	<p>UNIMED (moderator) EVORA (rapporteur) MHESR</p> <ul style="list-style-type: none"> ● <i>Basrah University</i> (rapporteur) ● <i>Green Al-Qasim University</i> ● <i>Southern Technical University</i> ● <i>Wasit University</i>

Elaboration from UNIMED

1.2 Online Survey

The survey, addressed to University Leaders (Presidents or Vice-presidents) and to different Directors and Units depending on the topic, aims at drawing up an objective and up-to-date state of play of the governance dimensions at the Iraqi universities of the Consortium.

The survey has been built to combine quantitative and qualitative research questions, are complementary methods that you can combine in your surveys to get results that are both wide-reaching and deep. Quantitative data got us some numbers to complement general points, while qualitative data gave us the details and the depth to fully understand the context.

The analysis of the survey results presented in this Report contributes to the identification of universities' needs and to the definition of the institutional action plans to strengthen staff capacities, particularly as they influence the following activities of the INSPIRE project and the capacity building.

Instructions on how to fill in the survey were provided to the partners, specifically to whom each section is directed:

- I - GENERAL INFORMATIONS About your University (Questions from 1 to 5 Session I)
addressed to University Presidents
- I - GENERAL INFORMATIONS About your University (Questions from 6 to 14 Session I)
addressed to Department of Studies and Planning
- II - FUNDING AND AUTONOMY (Questions from 1 to 2 Session II)
addressed to University Presidents
- III - QUALITY ASSURANCE (Questions from 1 to 7 Session III)
addressed to Department of Quality Assurance
- III - QUALITY ASSURANCE (Questions 8, 10 and 11 Session III)
addressed to Students Affairs Department
- III - QUALITY ASSURANCE (Question 9 Session III)
addressed to Finance Department
- IV - NATIONAL AND INTERNATIONAL COOPERATION (Questions from 1 to 8 Session IV)
addressed to Department of Cultural relations
- V - UNIVERSITY-INDUSTRY COOPERATION (Questions from 1 to 4 Session V)
addressed to the Division on rehabilitation and employment
- VI - FUTURE STRATEGIES (Questions from 1 to 6 Session VI)
addressed to Department of Scientific Affairs

Quantitative questions have been designed to collect numbers, are structured and statistical and were meant to investigate the numbers of national and international students, academic and administrative staff, national and foreign staff. Qualitative questions collected information to describe the topics more than to measure them, they served to collect impressions, opinions, and views, to gain information about people's motivations, thinking, and attitudes. While this brings depth of understanding to your research questions, it also makes the results harder to analyze and interpret. That is why the analysis and interpretation of the survey results have been further corroborated and validated during the virtual Focus Groups.

1.3 Desk Research

Additionally to the survey submitted to all Iraqi universities and to the focus groups performed at the KoM, the UNIMED research team conducted a thorough desk research. The aim of the desk research is twofold: on the one side it aimed to fix governance concepts and definitions, so that the whole Consortium agrees on a shared knowledge base in relation to the governance dimensions; on the other side, it served to frame the data into a well-known context and to better understand the functioning of the Higher Education System in Iraq and the regulations from the Ministry of Higher Education and Scientific Research.

Secondary sources for the desk research have been identified through:

- web search
- internal consultation with the University of Baghdad and the Ministry
- known resources of international references on governance.

Sources were selected in both English and Arabic, including also some secondary sources produced by International organizations in English, French and Italian. Details on the consulted books, articles, rules and references are available in the bibliography of the Report.

For all the terms and definitions translated from Arabic language, the UNIMED team decided not to use a scientific transliteration in order to facilitate the readability of the text also to a non-specialist public. Therefore, the UNIMED team decided to use the most common version of terms available on the web.

1.4 Virtual Focus Groups

On 18-19-20 of January 2021, the Iraqi Partners met for 3 Virtual Focus Groups on governance and autonomy of Higher Education Institutions in Iraq. The virtual focus groups were organized and coordinated by UNIMED, with the support of the University of Siena and the University of Evora, and with the active participation of the Iraqi Ministry of Higher Education and Scientific Research. The scope of the meetings was to deepen the understanding of the functioning of the Iraqi Higher Education system, validating the information gathered through the survey and the desk research and collecting new data on key aspects of the universities' governance systems. Main topics for the discussion were: the degree of autonomy perceived by the university staff in performing their core activities (definition of mission and strategic goals, teaching, research, third mission), the relation between HEIs and the Ministry of Higher Education and Scientific Research, influences and participation in the decision-making process, the quality assurance system, international cooperation and more.

All the 10 Iraqi Universities of the INSPIRE project took part in the virtual focus groups, sharing their experiences and reflections on the future developments of Higher Education Institutions. The Virtual Focus Groups were moderated by UNIMED, lasted about 2 hours and allowed participants to answer to a number of set questions and elaborate freely on the topics of discussion.

1.5 Diagnostic Tool

The tool used in INSPIRE is an adaptation of the Diagnostic Tool developed by the coordinating institution, the University of Siena, for the project UNIGOV, Improving Governance Practices and Palestinian Higher Education Institutions. The UNIGOV project has developed in the framework of the WP1 Preparation and desk research, a governance diagnostic tool to provide a clear understanding about the current practices of university governance in the Palestine universities members of the consortium. The tool has been developed by the DISAG Department of the University of Siena who was the leader of the WP1, Preparation and desk research (<https://www.unisi.it/dipartimenti/dipartimento-studi-aziendali-e-giuridici>).

The Diagnostic Tool has been developed based on the findings of the literature review and the HEI governance models analyzed, it is designed as a matrix where the horizontal axis shows the strategic activities of each HEI (TEACHING, RESEARCH and the so- called THIRD MISSION) while the vertical axis shows the different dimensions (AUTONOMY, ACCOUNTABILITY, MANAGEMENT TECHNIQUES and PARTICIPATION) and subdimensions characterizing the issue of governance.

The Diagnostic Tool has been adapted into an online questionnaire using a digital tool for data collection, to facilitate the filling of information on behalf of the Iraqi partners and ease the analysis of statistical data on behalf of the UNIMED team, responsible for the Work Package 1 Update of Needs Analysis. The rationale behind the tool has been maintained, structuring the questionnaire to allow an assessment of each governance dimension in relation to each strategic activity.

Due to the difficulties related to the COVID-19 pandemic which has prevented the researchers to travel to Iraq, the self-assessment exercise must be conducted online. UNIMED has arranged bilateral meetings with each institution to conduct the self-assessment with ongoing real-time support to immediately clarify doubts and ensure a correct interpretation of concepts and information. A dedicated document complemented the preparation to the self-evaluation exercise, providing Partners with a guidance in the process.

The self-assessment was conducted in different steps:

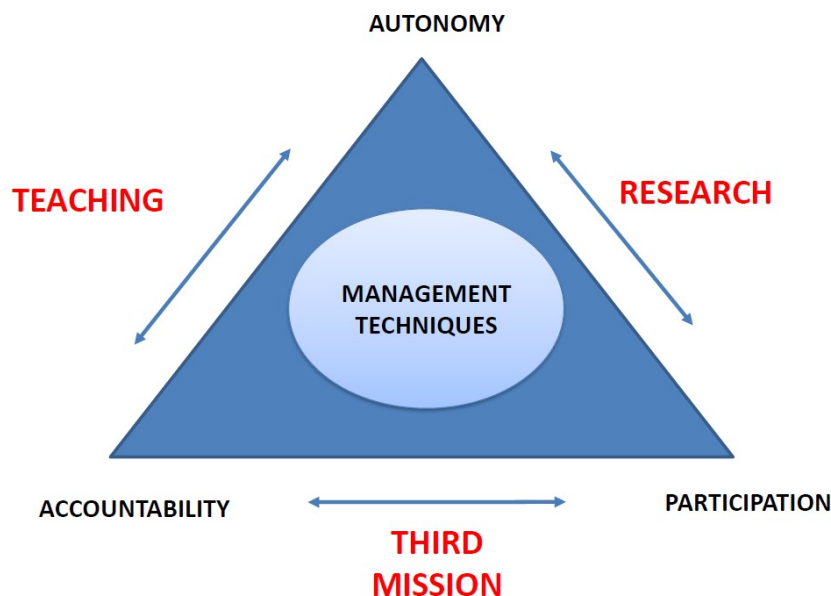
1. First Partners were asked to prioritize governance dimensions, to allow for the creation of a weighted system and the identification of the aspects deemed more relevant (priority factors)
2. Second, the self-evaluation was conducted online by each Partner University in Iraq, involving 8 to 10 staff members covering strategic roles at the university, such as: the Rector, two Vice-Rectors, the General Director in charge for administrative and financial management, the Director of the International Relations office, the Director of the Quality Assurance office, Director of the department of Studies and Planning, Director of the Finance department. The self-assessment was conducted on 3 governance dimensions (AUTONOMY, MANAGEMENT TECHNIQUES, ACCOUNTABILITY), with subdimensions and specific indicators.
3. An assessment of the PARTICIPATION dimension has been also carried out, which allowed for the identification of relevant stakeholders in relation to each specific dimension and activity, resulting in a stakeholder's map describing to what extent these stakeholders take part in the institutional life. The Stakeholders map is presented later in the Report.

Governance dimensions under examination

The following figure illustrates a general overview of the strategic activities and dimensions of each HEI. HEI activities have traditionally been understood as having two missions: **teaching and research**. In recent decades, HEIs have moved from focusing exclusively on these two missions, to be considered as key actors of economic and cultural growth, transforming themselves into institutions engaged with industry and society at large. For this reason, the concept of **'third mission'** emerged.

The concept of 'third mission' has a broad meaning, covering all those requirements that call for HEIs to play a much more visible and stronger role in the design of modern knowledge societies by providing socially, culturally and economically usable knowledge. Many different activities are included in the definition of 'third mission', with the focus on three main areas:

- HEI-economy interaction in a broad sense, with relations with different stakeholders from the economic environment (technology transfer and innovation);
- Social engagement and knowledge transfer: interactions between HEIs and society (such as museum management, dissemination activities, cultural events) with the aim of bringing about benefits for society;
- Placement mechanisms for graduated students (e.g. student follow up, placement offices).



Activities and dimensions. Elaboration of the University of Siena

The three strategic activities should be examined across the governance dimensions identified: Autonomy, Management Techniques, Accountability. Each dimension covers separate aspects that are interrelated with each other but should be examined in a separate way .

DIMENSION	DIMENSION	DIMENSION	DIMENSION
AUTONOMY	ACCOUNTABILITY	MANAGEMENT TECHNIQUES	PARTICIPATION
To what extent the HEI is able to decide freely in relation to the central authority	To what extent the HEI is accountable to Or is held to be accountable by stakeholders	To what extent the HEI is able to effectively use managerial tools	To what extent stakeholders are engaged in strategic decision making

Each dimension is broken down into a number of subdimensions, each one highlighting a specific aspect related to the university governance. For the specific purpose of the self-assessment for the INSPIRE project, the following subdimensions are taken in consideration:

GOVERNANCE DIMENSIONS	SUBDIMENSIONS
AUTONOMY	Organizational autonomy Academic autonomy Autonomy in decision-making about Human Resources Financial autonomy
MANAGEMENT TECHNIQUES	Definition of Quality Assurance mechanisms Effective use of Performance planning tools Effective use of Evaluation results
ACCOUNTABILITY	Organizational accountability Academic accountability Human Resources accountability Financial accountability

Each subdimension provides specific indicators that should be investigated during the self-evaluation step. Indicators serve to point-out different tasks, activities or bodies to which dimensions relate to. The following sections provide a detailed description of dimensions, subdimensions and specific indicators.

The self-evaluation of current governance arrangements will be realized at the level of the basic indicators, according to the a scale 1 to 5, where 1 is low and 5 is high. There is no right or wrong answer in the self-assessment, but it is a collection of perceptions on behalf of the university staff members.

Autonomy dimension

Autonomy concerns the relationship between each HEI and the central authority. It measures how freely HEIs can take decisions in the context of the rules and regulations that shape each higher education system. Autonomy can be examined according to four subdimensions:

Dimensions	Meaning	Subdimensions	Meaning
AUTONOMY	To what extent the HEIs is able to decide freely in relation to the central authority	Organisational	It refers to the degree of freedom in decision making on institution internal organisation.
		Academic	It refers to the degree of freedom in decision making on academic issues.
		Human resources	It refers to the degree of freedom in decision making on human resources management (HRM).
		Financial	It refers to the degree of freedom in decision making on financial issues.

Organisational autonomy

This encompasses two main aspects: governance and leadership model, and organisation of the internal structures at the university. It refers to the degree of autonomy of the institution in deciding upon its internal organizations, the function and composition of governing bodies, the selection and dismissal criteria for the members involved in the governing bodies.

The subdimensions and related indicators investigate to what extent national regulation have a say in the definition of the organizational aspects at the HEI and / or whether each HEI can define its own internal regulation about the organizational structure.

Academic autonomy

It refers to the degree of freedom in taking decisions on academic issues, in relation to the three strategic activities of the institution. Academic indicators with reference to teaching activity refer to the decisions on the overall number of students, student's selection, introduction of new programs, design of course content and the choice of the language of instruction.

Academic indicators with reference to research activity are those related to the autonomy in deciding upon the definition of research programs and the acquisition of research tool and technical instruments (such as instruments for laboratories or software) that can be regulated by the central authority or freely managed by institutions.

Indicators in relation to the university Third Mission refer to the decisions related to the socio-economic activities managed by HEIs (such as museum management or medical laboratories, dissemination activities, etc), student follow-up mechanisms (mechanisms to monitor the employment of students after graduation), set-up of student placement office (office that offers students career advices and help in finding employment) that can be regulated by the central authority or freely managed by institutions. Central authorities may impose which kind of activities can be pursued or may impose time limits to these activities.

Human resources autonomy

Autonomy in decision-making about human resources management relates to the freedom in taking decisions about HR management. Indicators relate to human resources management for both academic and administrative staff. HR can be managed according to a strong dedicated regulation decided by national law and central administrative levels or can be freely managed according to internal rules (subject only to national labour regulation). Indicators relate to salaries and dismissal for academic and administrative staff involved in both teaching and research activities. For 'third mission' activities, the central authority may impose time limits for staff involvement or the decision may be at the institutional level, depending on the degree of autonomy granted to the university in decision.

Financial autonomy

Financial autonomy relates to the capacity of university to take autonomous decision in financial matters. Financial indicators refer to financial resources that can be provided by a central authority or can be freely obtained on the market through competitions mechanisms. The degree of autonomy related to financial resources (both for the typology of eligible funds and for resource allocation) may vary for the different activities of HEIs and include the capacity of the institution to attract funds.

Management techniques dimension

The management techniques dimension is related to the use of managerial tools for the governance and management of the overall organisation, tools which are supposed to replace, whenever possible, a bureaucratic approach linked to formal procedure fulfilment rather than result achievement. A well- developed management system should be aligned to strategic goals, that should in turn reflect social needs. The translation of mission and strategic goals into evaluable objectives and actions leads to possibility to assess the impacts of activities. From a practical point of view, the dimension is broken down into three subdimensions, each step being closely integrated with the others and the overall managerial approach.

The subdimensions related to Management techniques are the following:

Dimension	Meaning	Subdimensions	Meaning
MANAGEMENT TECHNIQUES	To what extent the HEIs is able to effectively use managerial tools	Definition of Quality Assurance mechanisms	It refers to the degree of effectiveness in setting and quality procedures
		Effective use of performance planning tools	It refers to the degree of effectiveness in the use of planning tools
		Effective use of evaluation results	It refers to the degree of effectiveness in the use of evaluation results for decision-making

Quality assurance system

Quality assurance system refers to the use of standard procedures for managing the overall institutional system, both according to international standards and to the regulations of the national agency for accreditation and quality. In this section, the analysis focuses on the definition of criteria and procedures for quality assurance, to create standards to be used for all the activities carried out by HEIs (ex-ante).

Quality assurance system indicators with reference to teaching activities refer to the use of standard procedures for evaluation of academic courses and teaching methodologies, and for the evaluation of other academic issues such as student services and student performance. Quality assurance system indicators with reference to research activities refer to the use of standard procedures for the design of research programs, and the acquisition of technical instruments and tools. Quality assurance system indicators with reference to the university's Third Mission refer to the use of standard procedures for the realization of socioeconomic activities, for the students' follow-up, and the students' placement office management.

Performance planning tools

The evaluation on the planning system refers to the degree of effectiveness in the use of planning tools for the activities of the institution. Indicators refer to the effective use of planning tools in relation to the three core activities of the university, teaching research and third mission, such as the capacity to effectively design strategic documents with short-term and long-term goals, and the capacity to design effective budget documents with short-term operational goals.

Evaluation results

It refers to the degree of effectiveness in the use of evaluation results for decision-making (ex-post). Indicators refer to the effective use of the results of performance evaluations to realise a fair and coherent decision-making process, both on institutional overall performance and on individual employees. The evaluation should be based on the quality procedures and quality criteria set up by the quality assurance system.

Accountability dimension

The basic meaning of accountability can be outlined as an account-giving relation between individuals or organisations. In a public sector context, it plays a decisive role because it counterbalances the delegation of power from the central authority to institutions.

The more a system is centralized, the more institutions are less accountable – they simply comply with the decisions of the central authority. The more a system is decentralized, the more institutions must be accountable or held accountable for their own decisions. As long as universities gain autonomy from a central authority, they need to be accountable, i.e. responsible for their own decisions. Accountability also plays a fundamental role for private HEIs because of the competition mechanisms in relation to both resources acquisition and student (customer) satisfaction.

The dimension measures the degree to which the HEI is accountable to or is held to be accountable by stakeholders. It measures to what extent the institution is able to take responsibility and ensure transparency for the decisions taken.

The subdimensions related to Accountability are the following:

Dimensions	Meaning	Subdimensions	Meaning
ACCOUNTABILITY	To what extent the HEI is accountable to or is held to be accountable by stakeholders	Organisational	It refers to the degree of effectiveness in being accountable to or in being held to be accountable by stakeholders in organisational topics.
		Academic	It refers to the degree of effectiveness in in being accountable to or in being held to be accountable by stakeholders in academic topic.
		Human resources	It refers to the degree of effectiveness in being accountable to or in being held to be accountable by stakeholders in HR topic.
		Financial	It refers to the degree of effectiveness in being accountable to or in being held to be accountable by stakeholders in financial topic

Organisational accountability

It refers to the degree of effectiveness in being accountable on organisational issues, especially on those decisions about the organizational structure of the institution, the functioning of governing bodies and the compliance with the Mission and Vision of the instituion and the planning documents (i.e. strategic plans and goals). It applies in the same way to teaching, research and TM activities.

Academic accountability

This refers to the degree of effectiveness in being accountable for the decisions taken on academic issues. Academic indicators with reference to teaching refer to student performance, the provision and effectiveness of student services, the academic workload.

Academic indicators with reference to research activities refer to the accountability for research results (e.g. number publications/year, ranking publication/year) and the acquisition of research tools and technical instruments. Academic indicators with reference to Third Mission of the university refer to the decisions taken on setting-up socioeconomic activities (e.g. museum management or dissemination activities), student follow-up, and the outcome of the students' placement office work.

Human resources accountability

Accountability in relation to human resources refers to the capacity of institutions to be accountable for the decisions taken in managing their staff, with a specific attention towards the dismissal and promotion of both academic and administrative staff, as well as the implementation of punitive sanctions against unethical behaviour.

Financial accountability

Accountability in financial matters refers to the capacity of institutions to be accountable for the decisions about funds allocation, budget sources and the debt level of the university. It strongly relates to the financial autonomy: the more the university is independent in taking decisions about financial allocation and funds sources, the more it is accountable for these decisions. The more a system is centralized, the more universities have a low degree of accountability on specific financial decisions because these are taken directly by the central authority.

Participation dimension

Participation means the engagement of stakeholders in the overall HEI governance system. Different stakeholders can influence the decision-making process: internal stakeholders, meaning those internal at the institution; and external stakeholders, meaning those acting in the environment in which the university operates. The participation dimension examines the role and the degree of impact for each internal and external stakeholder in relation to teaching, research and Third Mission activities. It measures the degree of engagement and participation of stakeholders in the institutional governance, in the decision-making process and in the evaluation of the outcomes of university activities.

The Diagnostic tool enables the realisation of a stakeholder map assessing the level of participation of each actor on the university functioning. This is complemented by a preliminary assessment of the importance and influence of each stakeholder on the institution (prioritization).

1.6 Structure of the Report

The report is composed of seven main sections:

1. Methodological note
2. Short introductive note on governance terminology and higher education systems models
3. Overview on the Iraqi Higher Education System
4. Key findings with data and figures as the result of the analysis of the survey responses, the Focus Groups outcomes and the perceptions of the university staff involved in the project
5. Self-evaluation results through the diagnostic tool
6. Key stakeholders' mapping
7. The needs of the Iraqi Higher Education System

Therefore, the first section offers a summary of the research methodology used during the research. Then, the concept of governance is described and investigated according to different perspectives: the issue of governance in HEIs is examined through description of the most important governance models proposed by scholars, followed by a brief description of HEI reforms around the world. The third section provides an overview on the history, legislation and national policies of the higher education system in Iraq, complemented by key information on tertiary education, admission requirements, mobility, etc. The fourth section will present the main findings as results of the quantitative and qualitative research, allowing to highlight the main features of the higher education system in Iraq and an analysis of the governance dimensions: autonomy, strategic planning, decision-making, management, quality assurance mechanisms, cooperation with industry and civil society, internationalization. The fifth section provides a general description of the diagnostic tool, the dimensions and sub-dimensions of governance under evaluation, the indicators investigated and the main results of the self-assessment. The sixth section provides a mapping of stakeholders as they participate in the life of the HEIs in Iraq. The last section, provides the reader with an overview of the needs emerged for the HE sector in Iraq, which will be the focus of the capacity building.

2. Governance terminology and models

2.1 University governance key concepts

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

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

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

With respect to the word governance (and the words accountability and networks), Pollitt states that “because of their broad scope, great flexibility and positive ‘spin’ we dub them ‘magic’ concepts”. In the paper “Talking about governance” he identifies 4 features of these words:

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

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

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

After this general overview, the most relevant definitions of governance are reported in the following lines.

Corporate Governance

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

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

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

Public Governance

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

Six dimensions of governance can be identified:

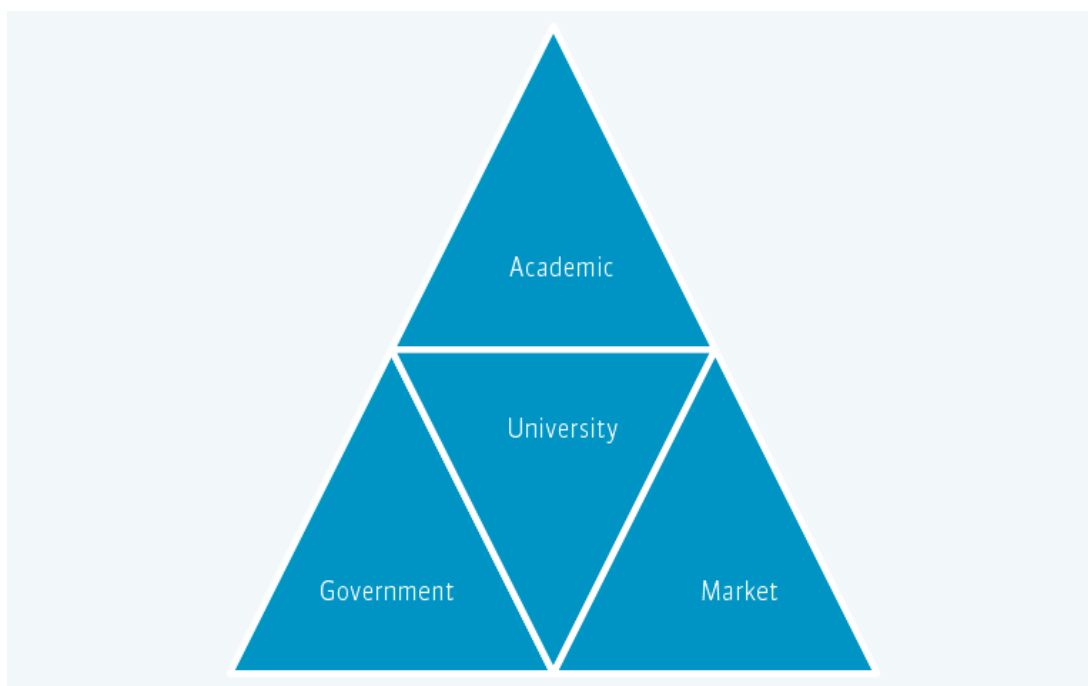
- Voice and Accountability
- Political Stability and Absence of Violence
- Government Effectiveness
- Regulatory Quality
- Rule of Law
- Control of Corruption

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

Global Governance

World Health Organisation (2015) refers to the way in which global affairs are managed. As there is no global government, global governance typically involves a range of actors including states, as well as regional and international organisations. However, a single organisation may nominally be given the lead role on an issue, for example the World Trade Organisation in world trade affairs. Thus, global governance is thought to be an international process of consensus-forming which generates guidelines and agreements that affect national governments and international corporations. Commission on Global Governance (1995): It is the sum of the many ways that individuals and institutions, public and private, manage their common affairs. It is a continuing process through which conflicting or diverse interests may be accommodated and co-operative action taken. It includes formal institutions and regimes empowered to enforce compliance, as well as informal arrangements that people and institutions either have agreed to or perceive to be in their interest.

In order to introduce the issue of governance in HEIs it is necessary to focus on the specific features of the higher education system. This kind of organisation might be included in the “professionalised organisation” category as defined by Mintzberg and analysed in public organisation sector studies (Ferlie et al. 2008). One of the first and well-known models set up to describe governance in modern higher education systems was developed by Burton Clark in his work “The Higher Education System”. Clark’s Triangle of Coordination is a model that attempts to illustrate how different interest groups both inside and outside HEIs shape the governance system; Clark identifies three primary forces which dominate coordination of higher education systems: the state, the market and the academic oligarchy, which can explain the evolution of the relationship between the actors in a higher education system. This framework can be applied systematically and comparatively to different systems, offering a degree of utility that has contributed to its strong degree of influence and lasting relevance within higher education literature (Maggio 2011, Dobbins 2011).



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

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

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

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

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

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

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

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

The World Bank University Governance Screening card tool

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

Overall context, Mission & Goals

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

Management Orientation

Management refers to the day-to-day (but no less critical) decisions of operating the institution: admission, registration and certification of degrees for students; appointment, remuneration and promotion of the academic and other staff; and construction and maintenance of facilities. This means the head of the

university and the available governing bodies, their composition, the process for the selection or appointment of its members, their roles and responsibilities, their reporting lines, the accountability measures in place, and the time of their assignment.

Autonomy

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

Accountability

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

Participation

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

2.2 Higher Education systems governance models

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

University governance is a key element in the recent focus on reform trends in tertiary education worldwide. A relatively new concept (one of the first typologies was established by Clark in 1983), it addresses how

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

There is a wide variety of governance models; however, most of them can be defined based on the tension or balance between three main forces: the state, market forces, and academic excellence and the capacity to exert academic freedom. Taking into account how these three main forces interact, at one end of the spectrum are centrally-driven, state-controlled universities and university systems; private, profit-oriented corporate institutions are the other end of the spectrum, and varying degrees of power for academic staff and academic interests exist in between. Based on which force is predominant, University Governance Models can be identified. The tension between government-led and market-driven higher education governance practices is seen worldwide. In the past two decades, many countries have opted to grant more autonomy to universities and to move from state controlled to state-steered systems (Fielden, 2008). One impetus is governments’ “failure” to respond to rapid technology-driven changes and their capacity to adapt to globalization demands. Market failures, on the other hand, relate to equity issues, information asymmetry, and the potential for monopolies due to institutions’ market power (Raza, 2010).

Trakman (2008) studied governance models in U.K., Australian, and U.S. universities, which are less government-led than in European countries. He proposed four distinct models: Academic, Corporate, Trustee, and Representational. The academic-driven governance models are the most traditional and are based on the assumption that universities should be governed by academic staff. There are several ways of adopting such an approach; e.g., by granting decision powers to the academic council or senate, by having important representation of academic staff on governing boards, or by appointing a prominent academic president or head of the institution.

In Academic Governance, academic staff have the most representation and the greatest voice in defining the mission and management of the university. The most classic example of this model is Oxford University, where academic staff have openly rejected any kind of corporate governance. Corporate Governance, on the other hand, has emerged as a response to financial crises and the need for defined as the transition into more entrepreneurial organizations that enables them to widen their capacity and to use different governing instruments, such as resource allocation, to promote their policies. This model is prevalent in Australia, the U.S., and the U.K., and it emerged as a response to the need to improve public university management.

Corporate Governance operates under the assumption that applying corporate approaches, such as financial accountability, helps to improve outcomes. This model usually implies that the head of the university is a professional corporate manager as opposed to an academic. Trustee Governance, in contrast with Representational Governance, gives management powers to a “trustee,” usually in the form of a board of trustees. Its members are not elected from within the institution, nor do they represent the different stakeholders. The board of trustees usually has fiduciary responsibilities and due diligence in protecting the trust, including disclosing any factors that might constitute a conflict of interest with that trust. Representational Governance occurs when governance is vested in a wide array of stakeholders, including students, academic staff, alumni, corporate partners, government, and civil society.

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

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

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A wide variety of literature is available on higher education system governance, and, indeed, one of the critical elements of any strategy for university governance is its interaction with the state and the national higher education system in which it operates. There have been some important benchmarking exercises, such as the recent Autonomy Score Card published by the European University Association (EUA, 2009, 2011), which offers a tool to benchmark higher education frameworks in relation to autonomy and aims to establish correlations between autonomy and performance. University Autonomy in Europe (2009) provided data on institutional autonomy, aiming to compare systems across Europe. The Autonomy Scorecard (EUA, 2011) provided rankings and ratings of higher education systems according to their degree of autonomy for all European member states.

As shown in the previous section, HEI governance can be analyzed using different models and through various variables. In recent decades, socioeconomic changes were drivers of HEI reforms worldwide. Although with different modes, governmental authorities but also other forces have played a central role in guiding HE system reforms. Like other public organizations, HEIs have been involved in the reforms of New Public Management and Post-New Public Management movements. To give a brief description of this wave of reforms faced by HEIs, use is made of a suggestion proposed by Ferlie who identifies three different

perspectives that may describe how HEI systems have been involved in reforms. It has to be said clearly that empirical outcomes are very often hybrid solutions and overtime shifts from one perspective to another may occur. However, highlighting these topics may be helpful for obtaining a different perspective of HEI governance system changes.

1. **New Public Management:** the movement was born in Anglo-Saxon countries but the ideas have spread all over the world even if with different intensity; the main issue is related to the introduction of market-based reforms in public organisations: for HEIs, this means a shift in the relationships between state and institutions, where the role of the state has moved to the development of market mechanisms among HEIs, such as competition for students and funding; yet, market suggestions have led to the development of a strong managerial role for governing bodies; in the management of HEIs, tools from private sectors are introduced, such as measurement and monitoring of performance, auditing, market price for teaching fees and introduction of higher student fees, performance-related pay for human resources (Ferlie et al., 2008).
2. **Network governance:** it is based on the idea that many different actors may be involved in the public process and the network's role and multilevel governance emerge in the debate. The network governance model builds on some criticisms of NPM. The main features concern the development of higher education networks between higher education institutions and between higher education institutions and other social actors, where self-steering and self-organisation are implemented in these relationships. Models of complex multilevel governance are encouraged, including different levels of government (regional, local and supranational) but also a range of non-governmental stakeholders such as firms and civil society increase collaboration with HEIs; HEI governance systems are requested to become more pluralist, participative and less directive; there is a shift in the notions of accountability, referring mainly to the idea of giving account to other stakeholders through face-to-face dialogue. The state has a role of general interest supervisor and, in terms of senior management style, there is an emphasis on softer leadership skills, visioning and networking-based approaches (Ferlie et al., 2008).
3. **Neo-Weberian narrative:** it refers mainly to European continental countries and may be seen as operationalising the principles of democratic revitalisation within public management reform. The following points summarise the consequences with reference to higher education system reforms: there is a reaffirmation of the role of the state, which is supposed to strongly steer the higher education sector given that it is of strategic significance to society as a whole; on the other hand, there is a rejection of only a top-down leadership and the development of collaborative and participative mechanisms such as focus groups and consultation processes; public sector and its staff keep a distinctive status, culture and terms and conditions; in the higher education system, this implies restrictions on the move of senior personnel from the private into the higher education sector, both for administrative staff and academic staff, for which there is an increase of effective self-regulation; there are limits on the use of a contract-based and flexible academic workforce; however, these elements coming traditionally from a bureaucratic perspective are reformulated and transformed into a new concept of public service where the bureaucrat is not just a legal expert but a professional manager, oriented towards meeting the needs of citizens (Ferlie et al. 2008).

2.3 Conclusions on the literature review

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

Nevertheless, the higher education system is also considered, but from the institutional perspective of each institution. This means that the external relationships between each HEI and other authorities are investigated from the point of view of each institution; this choice is the direct consequence of the project where the ultimate goal is the development of action plan in each Iraqi HEIs but obviously within the features established by the higher educational system and by assessing and refining the governance framework.

It is possible to underline some initial conclusions: There is no ideal model of HEI governance. The issue of governance is a multilevel, culturally defined concept and different dimensions have to be included in the analysis. Changes and improvement in the existing governance model should be addressed after carrying out analysis of the current arrangement and after definition of the key priorities to be faced. Moreover, the contextual situation has to be taken into account.

As many scholars and some practitioners have been observing for decades, there is no 'one size fits all'. The art of reform lies in adaptation (often very extensive) to fit local contexts (Pollitt 2011). This is why diagnosis of current governance arrangements needs to be based first of all on self-evaluation. This evaluation is provided by the diagnostic tool elaborated during the WP according to the findings of the literature review, the results of the focus groups performed by the Iraqi university partners and the utilization made by the Iraq HEIs. Based on this consideration, the main outcome of the WP1 is the elaboration of a comprehensive governance updated state of the art of HEIs in Iraq.

3. The Iraqi Higher Education System

3.1 Historical Background

The development of a modern educational system in Iraq is relatively new, mostly evolving since the 1920's and conforming to the British system, even if with a strong American influence in curricula and organization. Until 1921, education was exclusively provided in traditional mosque schools, while during the British mandate (1918-1932), the Iraqi public-school system began to expand at a rapid rate¹. As for higher education, it was introduced in the 1950's, with the primary aims to: modernize and expand science, technology, and research programs to meet the political, economic, and social needs of the state; train citizens knowledgeable about Iraq's history, traditions, modern science and technology. Nevertheless, after two and a half decades of wars, unstable political conditions and an ever-deteriorating security situation, the Iraqi education system has been witnessing serious and critical shortcomings.

Higher Education is one of the sectors that experienced serious destruction of infrastructure since 2003. The rehabilitation of the Iraqi higher education system, already damaged by almost two decades of under-investment and isolation, is hampered by insufficient infrastructure and limited capacity in terms of planning, policy and management of higher education programs. Iraq's education system, like the country as a whole, remains crippled by the dislocation of people and the destruction of critical infrastructure due to years of crippling economic sanctions and a series of devastating wars, from the Iran-Iraq war in the 1980s to the first Gulf War in 1991, and the 2003 U.S.-led invasion of Iraq that was followed by civil war, which continues to affect the country until today. The greatest destruction of infrastructure and academic institutions happened in 2003 and after. UN scholars have estimated that “some 84 percent of Iraq's institutions of higher education ... [had] been burnt, looted, or destroyed” by 2005. Many universities today continue to be impacted by electricity outages and a lack of equipment and resources. According to UNICEF, infrastructural damage has also resulted in 50 percent of public schools in central Iraq failing national construction standards or being inadequately maintained, with 1.2 million children (13.5 percent of school-aged children in Iraq) excluded from participation in basic education as of 2013. Drop-out and repetition rates in schooling remain high, particularly among poorer segments of society.

In addition to infrastructure destruction, education in Iraq has been deeply affected by large numbers of refugees and internally displaced persons (IDPs), especially in areas with ongoing fighting. Since the U.S.-led attack in 2003, a minimum of 400,000 to 650,000 civilians and combatants have been killed as a result of the war, and more than 3 million people have been displaced. Almost half of the children among the current IDP population remain out of school. Warfare has caused the interruption of studies at higher education institutions, and affected teachers and faculty, many of whom are deliberately targeted in the country's sectarian conflict between Shiites and Sunnis. The flight of professors and other members of the country's intellectual elite has resulted a massive brain drain and the deterioration of educational quality. Universities are chronically understaffed and senior lecturers are being replaced with poorly trained junior faculty. While

¹ Sulaf Al-Shaikhly (2017). Education in Iraq: A WES Education System Profile <https://wenr.wes.org/2017/10/education-in-iraq>

there are no reliable statistics on how many teachers have fled the country, the Iraqi Ministry of Higher Education estimated that more than 3,250 professors left between February and August of 2006 alone. Thousands more have since fled, along with large numbers of medical doctors and other professionals.

The decay of education in Iraq is particularly tragic, since Iraq used to have one of the most developed education systems in the Middle East. War, international sanctions and economic crises have since then reversed many of these advances. Illiteracy among 15 to 24-year-old Iraqis stood at more than 18 percent in 2015, and Iraq's government expenditures on education are presently among the lowest in Middle East, accounting for only 5.7 percent of total government expenditures in 2016, compared to 18.6 percent in neighboring Iran (2015) and 14.1 percent worldwide (2013).

The gap between the educational opportunities offered by Iraqi universities and the requirements for sustainable economic development is widening. Moreover, the instability and lack of security have undermined the normal academic activity in Iraqi universities and triggered an unexpected brain drain that has further undermined the educational opportunities of Iraqi students. At the institutional level, HEIs need technical support and capacity building to effectively ensure access to quality higher education system. The reconstruction and development of Iraq is a considerable challenge. An incremental breakdown of public service infrastructure and systems, limited resources and institutional capacity, and a backlog of development issues inherited from the previous regime continue to overburden all governmental sectors. A slight increase in political stability as shown in various elections and a decrease in sectarian violence have given renewed hope, yet the situation for the average Iraqi is still dire.

The political changes that took place in Iraq after 2003 and the transition to democracy required a reform of the educational system in Iraq based on a new educational philosophy. This philosophy was finalized in 2008. The new education system in Iraq will be guided by the following major policy directions:

- **Access:** Reaching universal access to quality education; eliminating drop-outs and ensuring free access to basic education irrespective of ethnic origin or socioeconomic status; promoting access to lifelong learning.
- **Equity:** Eliminating disparities between girls and boys, regional and rural/urban disparities, ethnic and socio-economic differences.
- **Excellence and relevance:** Upgrading quality to compete at the international level and increasing relevance to local needs, labor market, and sustainable development.
- **Citizenship and governance:** Depoliticizing education and ensuring the independence of education; promoting human rights, freedom of thought and expression, tolerance, and national unity.
- **Participation:** Strengthening community involvement in planning, executing, and evaluating the education system; achieving closer coordination with higher education and other relevant sectors; encouraging the contribution of the private sector to quality education.
- **Institutional management:** Changing to evidence-based planning, performance-driven evaluation, and decentralized management; overcoming corruption.²

² World Data on Education. 7th edition, 2010/11, UNESCO-IBE (<http://www.ibe.unesco.org/>)

As is the case for all social sectors, the government plays a major role in education. The language of instruction in higher education is Arabic, except for the faculty of medicine and the engineering faculties where the language of instruction is often English. Final theses and doctoral theses are written in Arabic, with an abstract in English. Although the academic year runs from September until June, some specialist higher education institutions run from October until September. University examinations are conducted in June, with supplementary exams in September.³

Iraq has two kinds of higher education institutions: technical institutes and universities. The technical institutes provide higher professional education in two variants; 2- year programs that lead to a Technical Diploma and 4-year programs leading to a bachelor's degree. Universities provide bachelor's, master's and Ph.D. programs, leading respectively to bachelor's, master's and Ph.D. degrees. Iraq has state universities and private universities. Private universities exist since the 1980s; most of these have been accredited by the Ministry of Higher Education and Scientific Research. The curricula of these programs are highly centralized. Most programs have a nominal duration of 4 years, while programs in dentistry, pharmacology and veterinary medicine have a nominal duration of 5 years; medicine takes 6 years. A bachelor's degree is representative of a completed qualification, allowing graduates to enter the labour market or to continue to study⁴.

The major fields of study offered by the universities are: education, arts, law, social sciences, administration, economics, natural sciences, engineering and technology, medical sciences, veterinary medicine and agriculture. Indeed, Iraqi higher education has a strong orientation towards technical education through the technical institutes which had significant growth after their inception in 1969. This expansion was triggered by the oil boom, which created the need for large numbers of technical workers. Technical Institutes award a Degree while Technical Colleges award a Diploma. These qualifications cover over 60 fields of specialization in engineering, administration, medical subjects, agriculture and applied arts. The Technical Institutes resort with the Commission for Technical Education under the direction of the MOHESR.

Undergraduate Education (Bachelor)

The standard first cycle tertiary degree in Iraq is the bachelor's degree⁵. Programs in humanities and the sciences are typically four years in length and commonly lead to the award of a Bachelor of Arts or Bachelor of Science degree. Programs in professional disciplines studied at universities are either six years (medicine) or five years in length (for example: pharmacy, dentistry, veterinary medicine, and architectural engineering). Study is usually on a full-time basis in a traditional classroom setting, even though some programs may be offered in a full-time evening study mode to accommodate students holding employment. Unlike in regular programs, students enrolled in evening programs may be charged tuition fees. The curricula are specialized and include only few general education courses; they are standardized and allow little room for elective subjects and customization. Courses are quantified in credit units and most four-year programs usually require between 120 and 140 credits for completion. Students have to pass a set number of courses each

³ Education system Iraq | Nuffic | 2nd edition, December 2010 | version 3, January 2015

⁴ Education system Iraq | Nuffic | 2nd edition, December 2010 | version 3, January 2015

⁵ Sulaf Al-Shaikhly (2017). Education in Iraq: A WES Education System Profile <https://wenr.wes.org/2017/10/education-in-iraq>

year in order to be promoted to the next year, otherwise they will have to repeat the entire year. There are both semester-based and final annual examinations in June of each year. Students can repeat the final annual examination one time in September if they fail in the first attempt. In order to graduate, students need to pass all courses in the final year and complete a graduation or research project. Students may also be required to complete summer training programs (internships).

Graduate Education (Master and PhD)

Graduate programs are usually taught at universities or higher institutes. Master's-level education is reserved only for the best students (typically those that score above 65% in their bachelor's program), and each university department determines their own admissions quotas.⁶ Students apply directly at the individual departments/colleges, and usually have to pass entrance examinations. They must also have a bachelor's degree in a related discipline, as well as demonstrate minimum levels of English proficiency. Master's degree programs in Iraq are usually two years in length (sometimes longer in professional fields), require the preparation of a thesis, and take 30 to 36 credits to complete. Study is conducted fulltime; curricula are pre-set and concentrated in the area of specialization, except for certain foreign-language requirements. The first year requires course work, while the second year is usually dedicated to the preparation of the thesis. The minimum passing grade for a course is 60 percent, but the overall average for the first year must be 70 percent or above in order to proceed with the thesis.

Doctoral degrees in Iraq are terminal research degrees that require a minimum of three years of study. Programs include one year of coursework (at least 20 credits) and the preparation and defense of an original dissertation in the following two years. As is the case in master's programs, the minimum passing grade for a course is 60, but the overall average in the course-work component must be 70 percent or higher. The name of the most commonly awarded final credential is the Doctor of Philosophy.

Bachelor's degree holders who do not get admitted directly into master's programs because they did not have high enough scores may have the option to enroll in higher diploma programs, where students can usually get admitted with a score lower than 65 percent. Programs are commonly one year in length, although higher diploma programs offered in professional disciplines may be up to three years. After completing the higher diploma, students may then continue their studies in master's programs, but will not get exemptions or transfer credit based on their previous studies.

The higher Studies Instructions No. (26) of 1990 regulates higher studies. Instructions are issued for higher studies in Iraq to be line with cultural and technical developments all over the world. It includes details about new post-graduate programs established in Universities, high Diploma and Master's degree establishment, PhD new programmes requirements, applying for higher studies requirements, PhD applicant criteria, teaching and supervising and Thesis/ Dissertation defense.⁷

⁶ Sulaf Al-Shaikhly (2017). Education in Iraq: A WES Education System Profile <https://wenr.wes.org/2017/10/education-in-iraq>

⁷ Source provided by the University of Baghdad.

Professional Education

Professional education programs in Iraq are long first-degree programs that are usually entered directly after completion of secondary education, respectively the award of the Preparatory Certificate.⁸ The first professional degree in medicine, for example, is the Bachelor of Medicine and Bachelor of Surgery, a six-year program studied at public medical colleges under the purview of the Ministry of Higher Education and Research. Programs include four years of coursework in basic sciences and pre-clinical study, followed by two years of clinical practice. After graduation, students are further required to complete a mandatory postgraduate clinical internship of two-year duration at a public hospital. Specialist doctors need to also complete residency training in a medical specialty. Requirements in other professions, such as dentistry or veterinary medicine are similar. Candidates must earn a first professional degree and fulfill additional postgraduate practice requirements.

Higher Technical and Vocational Education

Higher technical and vocational education in Iraq is offered by Technical Institutes and Technical Colleges under the umbrella of Technical Universities. While technical institutes only offer two-year technical diploma programs, technical colleges also offer 4-year bachelor's degrees in applied fields. Until recently, there were 16 stand-alone technical colleges and 28 technical institutes that were directly overseen by the Foundation of Technical Education (FTE), an organization under the purview of the Ministry of Higher Education and Scientific Research. In 2014, however, all technical colleges and institutes were absorbed by four new technical universities established under the FTE. In the Kurdistan region, technical colleges and institutes that were formerly under the FTE were in 2012 merged into three polytechnic universities overseen by the Kurdish Ministry of Higher Education⁹. Technical and vocational study programs are usually applied in nature, designed to prepare for employment, and include a large practical training component (curricula comprise of about 60 to 70 percent practical training and 30 to 40 percent theoretical classroom instruction). The top 10 percent of graduates from 2-year technical diploma programs may be eligible to continue their education in bachelor's programs in a similar major at universities. Holders of a technical diploma will, in this case, usually be exempted from the first year of the bachelor's program.

⁸ Sulaf Al-Shaikhly (2017). Education in Iraq: A WES Education System Profile <https://wenr.wes.org/2017/10/education-in-iraq>

⁹ Ministry of Higher Education and Scientific Research, KRG <http://www.mhe-kr.org/>

3.2 Key information on the Higher Education sector in Iraq

Modern universities in Iraq were established in the second half of the last century, beginning with the University of Baghdad in 1957 uniting several constituent colleges in the process. During the 1960s five more universities were established – the University of Technology and the Al-Mustansirya University in Baghdad as well as universities in Basra, Mosul and Sulaymaniah. The further development of higher education in Iraq was characterized by establishment of technical institutes reflecting the considerable demand for qualified technicians created by the flourishing oil industry. During the last 20 years the policy of establishing a university in each governorate responded to both the demands of equity and the growing demand for higher education. Thus 14 new universities were founded. Iraq's current higher education system comprises 20 universities and 47 technical institutes under the management of the Ministry of Higher Education and Scientific Research (MOHESR)¹⁰. This includes 200 colleges, 800 departments, 28 research centers.

According to the Iraqi National Development Plans (2010-2014 and 2013-2017)¹¹, the improvement of the education system plays a crucial role for the creation of an inclusive environment that cultivates civic values and helps contribute to the achievement of sustainable development. The Iraqi Government is increasingly realizing that the entire educational system—from early childhood through tertiary education-- must reflect the new social and economic needs of the global economy, which increasingly demands a better-trained, more skilled, and adaptable workforce.

After the conflict of 2003, the prevailing picture of the Higher Education sector was one of acute shortages and urgent needs. Most of the education institutions require physical rehabilitation, furniture, equipment and materials for the teaching of science, technology, other practical subjects, and replenishment of libraries. In-service training for teachers, who had long been cut off from the outside world, including access to international journals, textbooks as well as internet communications, remains a prerequisite for the introduction of innovative practices and changes into the education system. Teacher trainers need to be exposed to the nature of active learning, student-centered education, and practice in critical, creative and caring thinking as a foundation for responsible citizenship. The curriculum, likewise, has been static and limited by political constraints. Renewal of curriculum and textbooks is an urgent challenge, with a need for updating, especially in the sciences and technology, and infusion of the values of peace and human rights, respect for others, active citizenship and democracy. The Iraqi education system is generally soundly structured with committed national staff. Recent salary increases have improved staff motivation. However, the management and governance issues need to be addressed, and resources are needed for updating skills and promoting modern management and administration processes. Exposure of policy-makers to modern educational planning and management structures and procedures constitutes a key element for the renewal of the education system in general. (UNESCO, 2004).

¹⁰ The Higher Education In Iraq Challenges And Recommendations, Sabah Faihan Mahmud, Journal of Advanced Social Research Vol.3 No.9, September 2013, 255-264

¹¹ Directly from a Ministerial source of the Republic of Iraq, from the Ministry of Planning, National Development Plan 2013-2017, Baghdad January 2013 <https://mop.gov.iq>

Number of students in Higher Education

Concrete and reliable numbers on student enrollments are difficult to obtain, but according to the U.S. Department of State, higher education institutions in 2016 enrolled “a total of 490,000 students (95 percent are undergraduate and 55 percent are male)”. This compares to an estimated 424,900 students in 2005, the last year for which the UNESCO Institute of Statistics provides data on tertiary enrollments in Iraq. According to the Iraqi Ministry of Higher Education, a total of 121,285 students were admitted to higher education programs in 2016/17 in Iraq (in addition to 30,039 in the Kurdistan region). As per UNDP, the number of new students admitted to higher education annually in Iraq grew by 41,252 students between 2003 and 2011. Such increases in enrollments stand in contrast to decreased education spending, which dropped considerably in recent years, from 7.9 trillion Iraqi dinars in 2013/14 to 6.7 trillion Iraqi dinars in 2015/16. 50% of the students are enrolled at the 5 universities in Baghdad. Two universities have less than 2000 students while Baghdad University enrolls two thirds of all students. Thus, there is wide range in the size of universities as well as a lack of geographic equity in their distribution across the country.

Ministry of Higher Education and Scientific Research

The Ministry of Higher Education and Scientific Research, consisting of six departments, defines the higher education policy and supervises the administration and organization of the higher education system (universities, colleges and technical institutes). Both private and public universities in Iraq are autonomous in financial, administrative and technical matters. A number of other ministries such as the Ministry of Labor and Social Affairs, the Ministry of Industry, the Ministry of Defense, the Ministry of Health, the Ministry of Transport and Communications, the Ministry of Agriculture and Irrigation, and the Ministry of Oil, administer vocational training centers in order to produce skilled manpower in various fields of specialization¹². According to the law of the Ministry of Education and Scientific Research No. 40 of 1988, Article n.37, the matters related to the guidance of students, their scientific, educational, social and intellectual guidance, their material and moral care, the organization of their extracurricular activities, their examinations, their duties, their discipline, their attachment to scholarships and fellowships, their training and everything related to their other practical and educational affairs, and the organization of study vacations are determined by instructions issued by the Minister.

Accreditation

Accreditation in Iraq is institution-based, there is no accreditation process for individual study programs. The final license for institutions to operate is granted by the Iraqi Council of Ministers, a high-level government body, following a review process by the Ministry of Higher Education and Scientific Research. The licensing of private institutions is overseen by a Private Higher Education Council, but final approval to operate is also granted by the Council of Ministers. The assessment criteria for the approval of institutions include adequate funding structures and teaching staff. Institutions must also be situated in Iraq, have no foreign affiliations, and make notable contributions to higher education and scientific research. Bachelor’s programs offered by the institution must be four years long, and the institution must have been operating for at least five years.¹³

¹² World Data on Education. 7th edition, 2010/11, UNESCO-IBE (<http://www.ibe.unesco.org/>)

¹³ World Data on Education. 7th edition, 2010/11, UNESCO-IBE (<http://www.ibe.unesco.org/>)

Teaching staff in Higher Education

Teaching staff, and all employees working at the HEIs in the country, refer to the Law No. (23) of 2008 University Service Law, which provides regulations applicable to university service employees. University service employee means every employee who practices in university teaching, scientific research, and scientific and technical advice. The same law applies to the staff working in the office of the Ministry of Higher Education and Scientific Research. The law reports employees' rules, hiring procedures, vacations, retirements, salary levels, etc¹⁴. According to the Instruction n. 142 of 2001, the second amendment to the Instruction for the work structure of the faculty member n. 72 of 1993, the central authority regulates how much each lecturer at the university has to teach every week and how the supervision on undergraduate and postgraduate students is equivalent to teaching hours. According to the law of the MOHESR No. 40 of 1988, Article n.24, the faculty in universities and the technical institutes body consists of: Professors, Associate professors, Teachers, Assistant teachers. The law also regulates the recruitment criteria and the prerequisite to access each teaching position¹⁵.

Out of the 19,112 university teaching staff, 56.5% were males and 43.5% females. Faculty members were concentrated in Baghdad, which accounted for more than 37% of all higher education teaching force in the country. This is somewhat a little less than the concentration of students, of whom 43% were in Baghdad (UNESCO 2004). The average staff student teaching ratio is 1: 13 being much more favorable than neighboring countries such as Jordan (1:30) and Saudi Arabia (1:20). In Iraq the minimum educational qualification for a teaching post in higher education is a master's degree. However, one third of the teaching staff lack a master's degree; 28% of the staff has doctorates, 39% masters and 33% bachelor's degrees¹⁶.

Admission requirements and exam instructions

The standard admission requirement for entry into tertiary education in Iraq is the Preparatory Certificate, respectively the Baccalaureate examination. Students usually apply through a centralized application process by submitting an online application to the Ministry of Higher Education and Scientific Research, indicating their school preferences. The Central Office of Admission of the Ministry then places students in higher education institutions based on their Baccalaureate examination scores and admission quotas at universities. Admission to public institutions is very competitive and only students with high baccalaureate scores are accepted. Those with lower scores are usually accepted at private universities in the same majors¹⁷.

The instructions reported in the regulation n.134 of 2000, which was first amended by the regulation n.149 of 2002, then amended by the regulation n. 153 of 2003 and the regulation n. 154 of 2004 regulate the exams, grading system, annual average exams, final grading, minimum degree to pass the exam, absence limitation, second exam details, practical subjects exams, how the overall mark is calculated for the undergraduate study and so forth. These instructions are valid for all Universities and Technical institutes¹⁸.

¹⁴ Source provided by the University of Baghdad.

¹⁵ Source provided by the University of Baghdad.

¹⁶ The Higher Education In Iraq Challenges And Recommendations, Sabah Faihan Mahmud, Journal of Advanced Social Research Vol.3 No.9, September 2013, 255-264

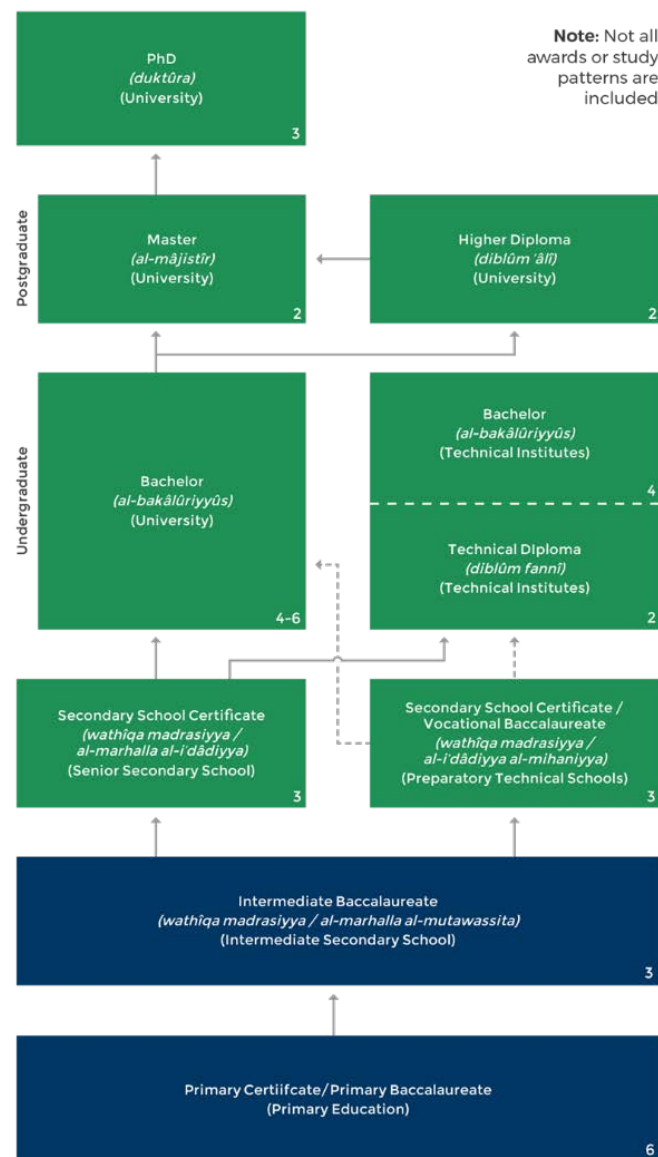
¹⁷ World Data on Education. 7th edition, 2010/11, UNESCO-IBE (<http://www.ibe.unesco.org/>)

¹⁸ Source provided by the University of Baghdad.

Grading system

Most Common Higher Education Grading Scales					
POST SECONDARY PROGRAMS		SCIENCE / PROFESSIONAL PROGRAMS		CLASSIFICATIONS	
IRAQ	U.S. EQUIVALENT	IRAQ	U.S. EQUIVALENT	IRAQ	U.S. EQUIVALENT
80-100	A	70-100	A	Excellent/Very Good	A
60-79*	B	60-69*	B	Good/Medium	B
50-59	C	50-59	C	Average/Pass	C
0-49	F	0-49	F	Fail	F

Patterns of Tertiary Education



Source: NUFFIC, (2015). The Iraqi education system described and compared with the Dutch system.

Outbound Student Mobility

Political instability, war, deteriorating living conditions and a lack of high-quality study options in Iraq have been the key drivers of Iraqi student mobility over the past decades. Being Iraq a middle-income country with pro capite GDP of only US\$ 4,610 (2016, World Bank), means that financial resources of many Iraqis are limited and that outbound student mobility is strongly dependent on scholarships and sponsorships provided by the government, NGOs, foreign governments and international organizations. Most of these scholarships and funding programs are designed to meet urgent needs in public service and infrastructure reconstruction and are available in STEM fields, agriculture, public health/medical sciences and English language. Some of these scholarship programs are quite extensive. Programs run by the Ministry of Higher Education and Scientific Research and the Higher Committee for Education Development in Iraq (HCED), for example, cover tuition and travel expenses for thousands of Iraqi students. In the U.S., Fulbright scholarships have been made available for qualified Iraqi students, most recently to study in U.S. master's degree programs in all majors, except for medicine and other clinical studies.

The source of funding plays a key role in determining the study destinations of Iraqi students. Self-funded students tend to go to neighboring countries such as Jordan and Turkey, or countries like Malaysia and India, where tuition and costs of living are lower than in high-cost countries like the United States. Scholarship-funded students, by contrast, are often encouraged to study in accredited institutions in English speaking countries, such as the U.S. and the United Kingdom. To minimize brain-drain, students on Iraqi government scholarships may also have to agree to repay their scholarships unless they return to Iraq to work after completing their studies.

Student mobility from Iraq has been growing strongly in recent years, increasing by 428 percent between 2005 and 2016, from 5,493 to 28,993-degree students (UNESCO, 2004). This steep increase follows a period of stagnation in the early 2000s and a sharp drop in outbound mobility during the Iraq war, which caused outbound student numbers to plunge by 18.6 percent between 2003 and 2004. The current top destinations of Iraqi students include Jordan, the United Arab Emirates, Ukraine and Malaysia. The U.S. is presently the 7th most popular destination country of Iraqi students.¹⁹

According to what stated by the 10 HEIs in the project²⁰, Iraqi Universities have student's mobility agreements with a wide range of countries much beyond the Middle East, despite the overall number of students obtaining scholarships abroad stays low compared to the general enrolment rate. Al-Qasim Green University, for example, has 14 PhD. Scholarship abroad in the following countries (USA 10 students, Poland 1 student, Britain 2 students and Australia 1 student), plus 11 Fellowships in the following countries (New Zealand 2 students, Hungary 3 students, Iran 3 students, Lebanon 1 student, Turkey 1 student and Russia 1 student). Wasit University has 74 ongoing outgoing scholarships to Malaysia, the UK and Iran. Basrah University has 97 ongoing mobility ranging from scholarships, fellowships and study-leave grants with over 12 different countries. The University of Baghdad instead displays a surprisingly low number of 6 outgoing scholarships.

¹⁹ Sulaf Al-Shaikhly (2017). Education in Iraq: A WES Education System Profile <https://wenr.wes.org/2017/10/education-in-iraq>

²⁰ Responses to the survey submitted by UNIMED in June 2019 to the 10 HEIs in the INSPIRE Consortium.

Inbound Student Mobility

²¹Unsurprisingly, inbound student mobility to Iraq is minimal, due to a lack of quality education, limited resources and continued conflict, prominently featured in the news mostly due to the war against the “Islamic State” (ISIS) in the northern parts of the country. The same factors that drive outbound mobility, constitute obstacles for inbound mobility, and make the country currently an unattractive study destination even for neighboring countries. UNESCO does not report recent inbound student numbers for Iraq, but between 2000 and 2004, the number of foreign degree students in the country dropped from 8,280 to 3,557 (UNESCO Institute of Statistics)²². The Institute of International Education (IIE) only reported six U.S. students pursuing studies in Iraq in 2013/14 and zero students since then.

According to what stated by the 10 HEIs in the project²³, the number of incoming foreign students is exceptionally low: only the University of Baghdad reported 92 foreign students coming from neighbouring Arab countries, such as Palestine, Egypt, Syria and Jordan, plus Iran (the only non-Arab country). The main University of the country does not draw neither Western nor Asian students among its ranks. A similar pattern is visible from data concerning foreign staff employment: only the University of Baghdad displays 18 units of academic personnel of foreign origin, coming from Palestine and Lebanon, and 6 of administrative staff, coming from Palestine only.

²¹ ulaf Al-Shaikhly (2017). Education in Iraq: A WES Education System Profile <https://wenr.wes.org/2017/10/education-in-iraq>

²² <http://data.uis.unesco.org/>

²³ Responses to the survey submitted by UNIMED in June 2019 to the 10 HEIs in the INSPIRE Consortium.

3.3. National legal framework

The main legislative reference for the HE sector in Iraq is **the law of the Ministry of Education and Scientific Research No. 40 of 1988**. The law has 58 articles defines the rule of the Ministry, each Ministry department, administrative formations and associated educational and research institutions rules and goals. **Article n.3** reports on the responsibilities of the Ministry itself: the task of the Ministry's center is to plan and follow up on higher education and scientific research, coordinate and approve plans after being drawn up by universities and the Technical Institutes Authority, unify them in one plan at the state level, oversee their proper implementation, hold public conferences, manage envoys' affairs and international cultural relations. In **Article n.4** it is reported that the Ministry has authority in deciding upon (among all): admission plans; approving the scientific, educational, cultural and technical plans of the universities; concluding agreements with Arab and foreign countries; approval of opening a college or institute and recommendation to open a university; curricula; approving study vacations, scholarships, fellowships, delegations, and loaning services to faculty members; appointing teaching staff with a doctorate degree or its equivalent in a way that fulfills the actual needs of universities. According to **Article n.7**, the Ministry has the duty to verify the legality of the actions of universities, colleges, institutes, departments and branches and their compatibility with the legislation in force.

Regarding Higher Education Institutions the law reports as follows:

Article n. 9

The university is a security campus and a cultural, intellectual, scientific, and technical radiation centre in society. The mind flourishes in its space and the capacity for creativity and innovation is supreme in the formulation of life, and it is directly responsible for achieving the goals contained in this law. Related to the scientific situation and the reality of new needs that guarantee high scientific levels to suit the age and its requirements and lead to reducing the scientific and technical gap existing between us and the developed countries, taking into account the peculiarity of our society and the inspiration of the original values of our nation and a complete understanding of the theory of the Ba'athist action and the embodiment of the educational thought on which this theory is based in its curricula and activities Different scientific, educational and cultural.

Article n. 10

The university, the college, the scientific research centre, and higher institutes associated with the university have the moral character, administrative and financial independence, and the legal capacity necessary to achieve its goals, and each of them is managed by a council.

Article n. 11

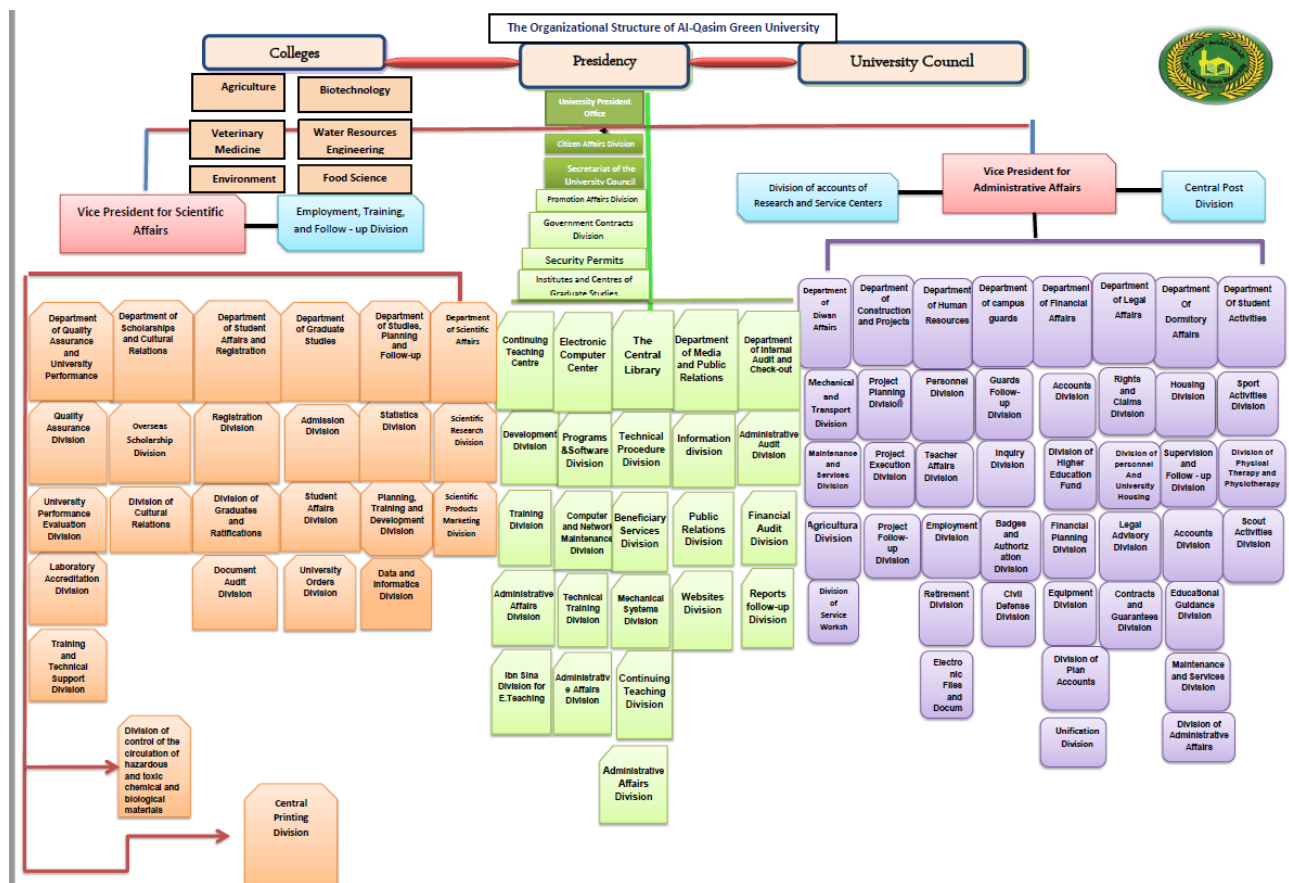
The official language in Iraqi universities is Arabic, and the Kurdish language is considered an official language in addition to the Arabic language in the autonomous region. The councils of colleges may decide to teach some scientific subjects in other languages.

Article 12

The university is composed of colleges and higher institutes, research centres, and any other formations as needed in terms of theoretical and applied knowledge.

Universities organigrams

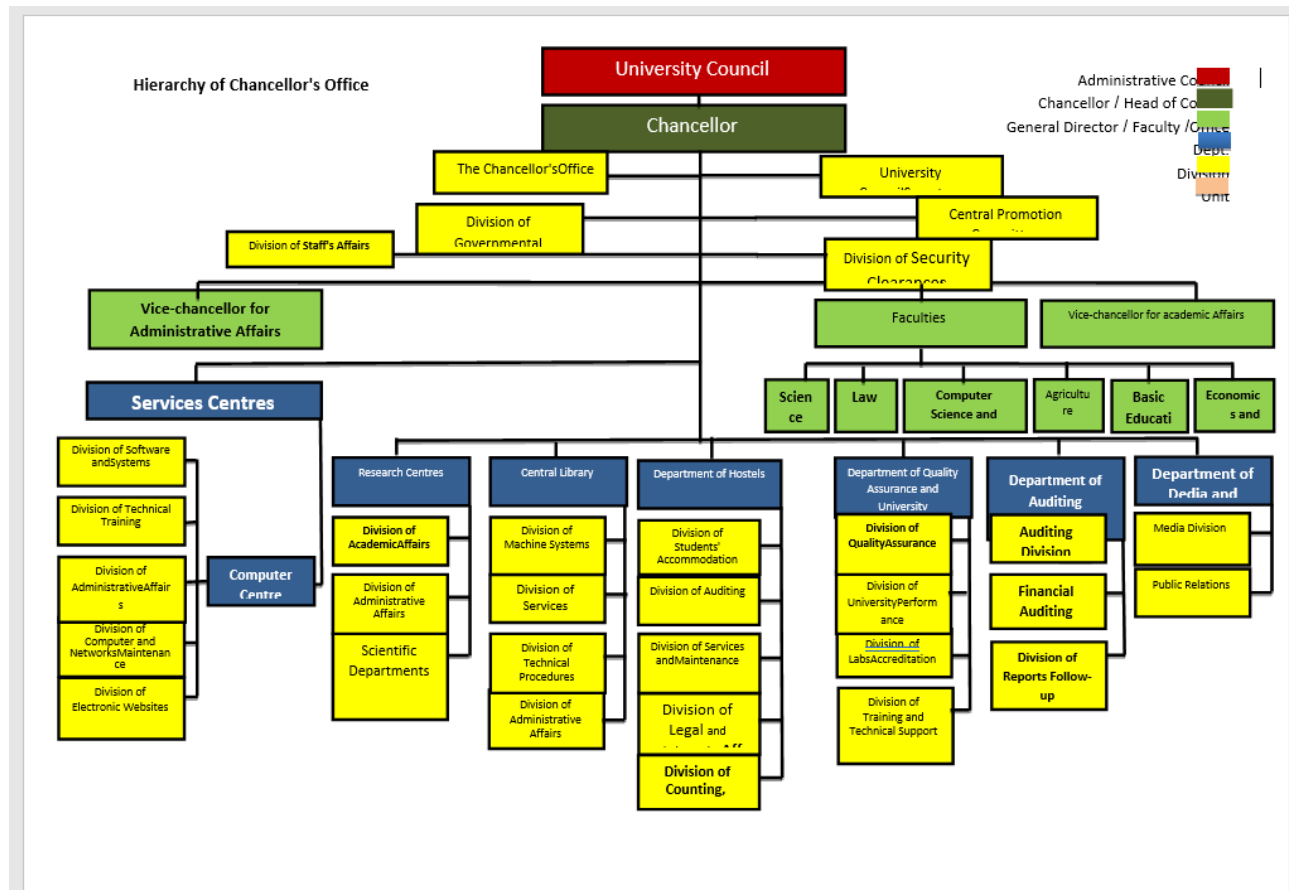
Among the questions we submitted to Iraqi universities, we have asked them to provide us with the organizational chart of their institutions, representing their management model. In this framework, according to the organizational charts collected, it seems clear that Iraqi Universities can slightly differ one from another concerning their organizational chart and hierarchy. In the last years developments have been made in the governance system. Despite the managerialism model of governance is weak, in the organigrams of Al-Qasim Green University and University of Sumer we can find that the University Council is the first and most important governing body of the university, which functions as the executive body of the university, as an advisory body to the university President, or something in between in authority.



Al-Qasim Green University Organigramme

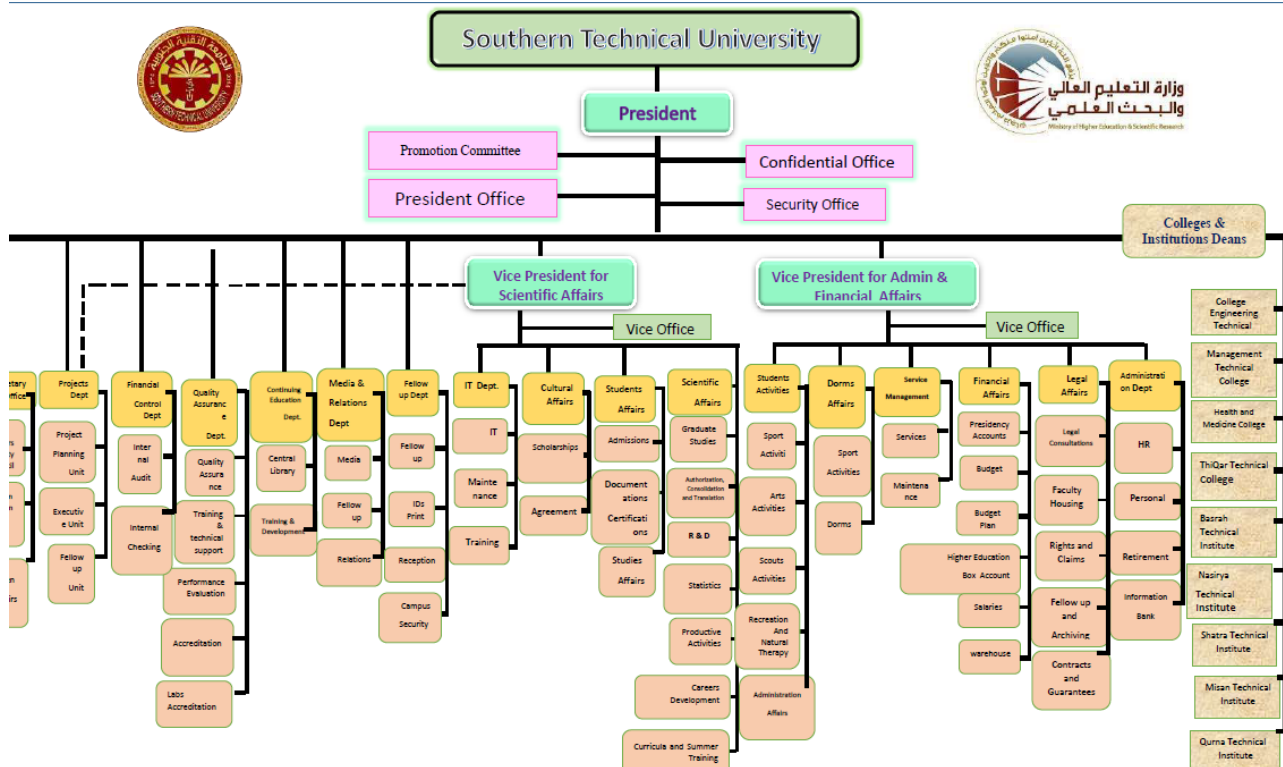
Generally speaking, in an Anglo-Saxon definition, the Council is responsible for all financial matters, the buildings, and the appointment of the Vice-Chancellor. Academic affairs are instead in the hands of the University Senate. In some cases, the Senate and Council have equal status under the legislation that established the university. The Council is chaired by the University Chancellor or a pro-Chancellor or deputy Chancellor, as we can easily read in the organigramme of Al -Qasim Green University. **The University Council is responsible for the strategic planning and oversight of the President.**

According to the answers to the survey, the University Council is responsible for developing and approving the university mission, strategic goals and objectives, and establishing policies related to programs and services, together with the Vice-Chancellor or Vice-President for academic affairs.



University of Sumer Organigramme

It is also worthwhile to mention that among the organigrams we received, the Southern Technical University (STU) has shown a slightly different hierarchical structure, where the President is at the top of the managerial structure and a Promotion Committee and a Confidential Office depend on him, alongside the President Office and the Security Office. Colleges and institutions Deans are managed by the Vice-President for Administration and Financial Affairs (depending on the Confidential Office) and the Vice-President for Scientific Affairs directly depends from the President Office. The organigram of the Southern Technical University is available here below.



Except from this particular case, all the Iraqi universities of the Consortium have a University Council which is the main body in charge of managing the institution and in charge for all the decisions, while the University President act as President.

On the other side, it must be noted that - except from two universities who replied that it is the University Council which defines the mission and strategy - all the other universities stated that it is the Ministry of Higher Education and Scientific Research which defines the policy and university mission. This is also confirmed by the answers to the survey where indeed all universities unanimously identified the University Council and the Iraqi Ministry of Higher Education and Scientific Research (MoHESR) as the authorities in charge of their activities, with direct institutional supervision and as their main financial sponsor.

In this context, the **article n.13** from the national regulation states that the University Council is the supreme scientific and administrative body at the university and consists of:

- University President as President
 - Secretary General of the Education Administration for the Kurdistan Autonomous Region in the region's universities as members
 - Deans Members
 - Assistant President of the University
 - Two members of the faculty are elected by the president and members of the University
- Furthermore, a representative of the Teachers 'Union is one of the faculty members at the university to be nominated by the Teachers' Union as a member, and a representative of the National Union of Iraqi Students and Youth has to be nominated as well by the Union's Executive Office for a period of one year, renewable as a member in the University Council.

According to **Article n. 14** the University Council meets at a regular meeting at least once every month, and the President of the University may call for an extraordinary meeting when necessary or upon a written request of one-third of its members, and the quorum of the Council takes place in the presence of the majority of its members and decisions, suggestions and recommendations are taken by the majority of the attendees and when votes are equal the side the speaker voted for is preferred.

The University Council exercises the following specializations according to **Article n. 16**:

1. Scientific specializations

- a. Recommend admission plans for undergraduate and postgraduate studies in colleges and higher institutes.
- b. Approval of scientific research plans for colleges and higher institutes.
- c. Approval of an Arabization plan for science, authorship and translation,
- d. Approval of a plan to provide educational requirements.
- e. Approval of a plan to open scientific departments, branches, and scientific centres. Approving academic subjects and distributing them over the academic years of colleges and higher institutes.
- g. Approved a plan to provide faculty members.
- h. Granting the professorship status to faculty members.
- i. Implement the graduate admission plan.
- j. Follow up the results of the faculty member's evaluation. You can propose curricula and make changes in them in order to continuously consolidate the scientific situation.
- l. Nomination for scientific and cultural awards.

According to **Article n. 18**, the President of the university exercises the following powers:

- a. Presiding over the University Council, calling it to regular and extraordinary meetings, and implementing its decisions. He has the right to represent the university before all parties.
- b. Managing the university's scientific, administrative and financial affairs in accordance with the provisions of law and order and the decisions of the University Council.
- c. Giving movable and immovable money in accordance with the laws, regulations and instructions in force.
- d. Distributing the profits of consulting offices and clinics, allocating (20%) of them to the university to be placed in a special fund and spent in developing its scientific and service activities, as well as distributing 80% of it to its employees, as an exception to Article 10 of the Engineering Consulting Offices Law No. (64) of 1979.

4. Key findings of the research process

4.1 Results from the focus groups held at the KOM

Decision-Making

The strategic process is defined by the Ministry of Higher Education and Scientific Research for 10 years period. The Ministry of Higher Education and Scientific Research sets the number of financial resources according to the state budget to spend in a given period (annually) for given areas of activities. Moreover, the Rector²⁴ is not elected, rather appointed by the Ministry of Higher Education and Scientific Research through 'indirect imposition'.

Strategic planning start at the Department level, then it goes through the: College Council (composed by the Dean, 3 Dean assistants, and the Head of Departments) and the University Council (composed by the President, 2 Vice-President, and the Dean of Colleges). Once the Strategic Plan is discussed, it is sent to the Ministry of Higher Education and Scientific Research for approval. Within the law of the Ministry of Higher Education and Scientific Research n. 40/1988, universities can enjoy some sorts of autonomy, within the regulation (for example in the establishment of departments). Sometimes, University Rectors do not want to assume the whole responsibility of specific actions, thus they are used to go back to the Ministry of Higher Education and Scientific Research in order to receive additional approval. This testifies also the partial/wrong reception/perception of the national legislation and the presence of non-written laws that are affecting official procedure. Focus groups participants stressed also the necessity to have more autonomy in:

- Students' acceptance;
- Hiring of human resources;
- Memorandum of Understanding and international cooperation agreements. The process is considered too long.

According to Focus groups participants, the Ministry of Higher Education and Scientific Research should support universities' decision-making, granting greater autonomy especially in making international agreements and on budgetary issues. Participants claimed that the Ministry of Higher Education and Scientific Research should play a supportive role to this process of "autonomization", by working with the Parliament for setting up new processes, a new governance model, also by issuing improved laws and regulations. It is worth to notice that, from the discussions it emerged very clearly that no common understanding on what autonomy means and what it implicates for HEIs.

In conclusion, results from the three focus groups highlighted that a regulated autonomy is left to Iraqi HEIs, hand in hand with a burdened discretion over the ability to obtain and spend resources for their activities. Therefore, even though universities may be willing to build their own strategies and related action plans, and even if in some cases they could rely on a proper existing regulatory framework, they do not feel in the conditions to act properly and autonomously in this regard. For this reason, the first concern is a change in the regulatory framework. The MOHESR is considered as a crucial actor to support such the change process.

²⁴ Sometimes referred in this document also as President or Chancellor according to different Universities definitions.

Ability to obtain resources

Financial resources are allocated on the basis of a categorized budget (main source, representing about 80% of funds), and then some external income (representing the remaining 20%). Big universities have different goals and needs in respect to smaller institutions, thus the Ministry of Higher Education and Scientific Research started tailoring rules upon their number of students, number of faculties, etc. Focus groups participants stressed also the differences existing with recently established universities, that do not have extra-sources of revenue and have very little resources.

With regards to human resources and infrastructures, Iraqi Universities stated that it is possible for them to move data, information, and experts within the institution. However, they identified two main problems: the destruction of many laboratories after 2003, because of the war (according to several reports after the 2003 invasion of Iraq by the coalition forces, 84% of the infrastructure in Iraqi higher education institutions has been either burnt, looted or severely destroyed), and the doubling of the population which puts pressure on the Iraqi Higher Education System. The education is free of charge in Iraq and many people want to pursue higher studies, generating what we can call a “massification effect”. In other cases, people go to work, and then they come back to the university to take their Master or PhD, increasing students’ numbers.

According to the participants, the Ministry of Higher Education and Scientific Research can help solve the problems through less categorized budget lines, and by giving more autonomy to the universities in accepting students and on the overall students’ number. Concurrently, Universities in Iraq may use their resources to improve structures, for capacity building activities, for cooperation with international universities and organizations, and for quality improvements.

A very important aspect is the uncertainty about the timing and amounts of the financial resources transferred to universities, which generates difficulties in making any forecast about future activities or developments. Universities develop action plans, but financial constraints from the Ministry of Higher Education and Scientific Research may lead to deviate from the plans, generating obstacles to performance. Universities stated they do not have enough resources to provide all the services they would like.

Financial planning is also limited by the fact that HEIs receive financial resources monthly (apart from an initial amount) and approaching the end of the year. This forces them to use the surplus of resources in an inefficient way, with negative effects on the formulation and monitoring of strategies, aims and the delivery of academic courses. Performance indicators and internal assessments are defined and supervised by the Rector yearly, using different parameters for different activities, whereas the external assessment is regulated by the Ministry of Higher Education and Scientific Research. External assessments are twice per year, using different parameters than those for the internal assessment.

Quality Improvement

When asked about the quality criteria of the services provided by universities, most of the participants referred to the “Deming Cycle” as shown in the figure below provided by the University of Baghdad. The logic is: plan – do – check – act. However, at the moment, it seems that quantity is more important than quality, considering the increasing number of students universities receive with limited available resources.



Source: University of Baghdad

Participants affirmed that regulatory and practical changes are needed to help to improve the quality of university services. As an example, Iraqi Universities are trying to comply with the requirement of the Ministry to improve the role of HEIs in training students and guiding them in the job market, by opening career centres, but in their perceptions, it may cost a lot and they might not have the proper human resources to manage it. When asked: *What is the priority change to achieve in the regulatory framework?* respondents share the followings:

- Limitation of the students' number
- Expansion of the cooperation with EU universities
- Introduction of quality exams (i.e. about QA, following the example of other Arabic countries).

Evaluation

To perform evaluations, quality departments receive indications and evaluation forms from the Ministry of Higher Education and Scientific Research. Regarding the strategic dimensions that most interest Iraqi HEIs, participants are convinced that capacity building must be considered as a priority for the Iraqi HE sector, as they look at the European countries as good models. There is a huge lack in managerial aspects. This priority is in line with several other reports and studies where it has been clearly recognized the absolute necessity to improve capacity building for university governance and management of Iraqi universities. The Ministry of Higher Education and Scientific Research evaluates the quality of academic staff. Results of the evaluation processes are not used to make decisions, at least not in terms of financial rewards, but only – indirectly – on academic careers.

4.2 Survey responses

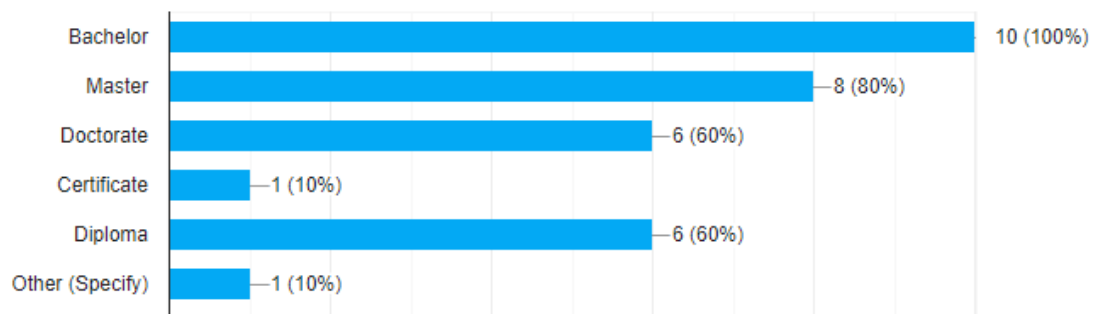
The current section of the report reports the answers provided by 10 Iraqi universities filling up a survey by universities personnel at all levels. The survey has been divided into six main sessions dealing with general information about the university member, funding and autonomy of the institution concerned, quality assurance implemented by the same institution, ongoing national and international cooperation projects and services, university-industry cooperation, that is the level of interaction with the private sector and the investments received from it, and future strategies each institutions would like to implement or is looking for international assistance to carry out.

General information

Besides the University of Baghdad, that has been established in 1957, all other universities date back to the last two decades. All interviewed universities are public universities or private not for profit universities. The range of enrolled students varies widely: from less than 1000 students displayed by three of them to over 60.000 students registered at the oldest university of the country, the university of Baghdad. Based on the data available, the majority of the students enrolled are women. However, at small universities and colleges focused on hard sciences, male students represent the majority (i.e., Al-Karkh University of Science). The number of teaching staff ranges from little over 100 to more than 6000 in the biggest university. The gender distribution is quite even. The administrative personnel vary between the 145 employees of small colleges and the 6476 units of the University of Baghdad.

Degrees offered

Universities offer degrees which range from the Bachelor level to the Doctorate level, including in some cases also the delivery of certificates and diplomas.

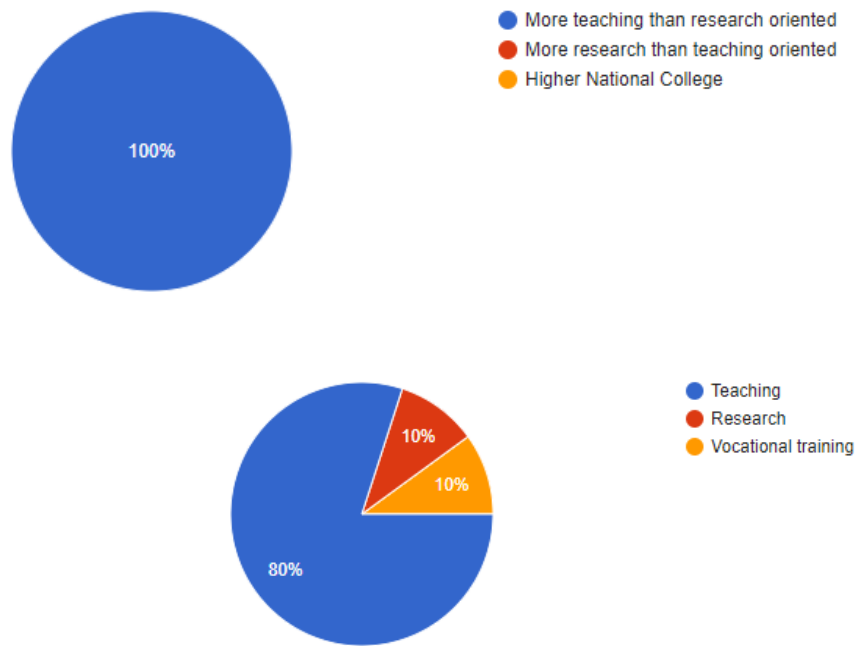


Elaboration of data from UNIMED survey, 2019

University Mission

The clarity of the mission and goals of the university is the first element in assessing university governance. In the case of Iraqi universities, the general mission and its specific goals are formally and clearly stated by University Council and the Iraqi Ministry of Higher Education and Scientific Research. The Universities in Iraq define a strategic plan for four or six years (it varies among universities) which is conducted and approved by the University Council and by the Iraqi Ministry of Higher Education and Scientific Research.

All the universities of the Consortium stated that they are more teaching than research oriented, and selected teaching as the activity that best defines their mission.



Elaboration of data from UNIMED survey, 2019

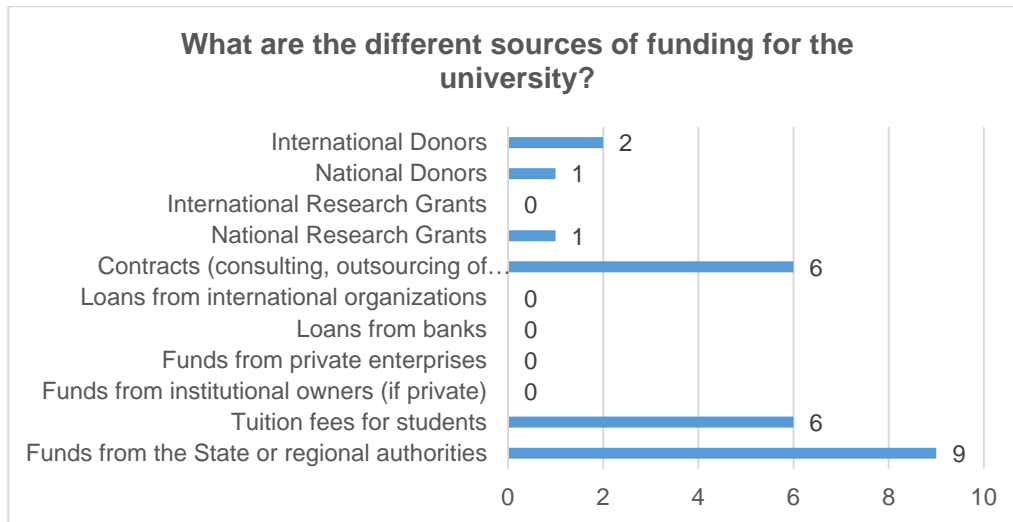
Funding

In the second section of the survey university funding and autonomy were covered.

The first set of questions aimed at exploring how Iraqi universities support themselves, what was their respective degree of financial autonomy vis-à-vis the State and how many private and public sources of funding they could benefit from. The second set of questions deals with autonomy in the broader sense, understood as independence in the decision-making process in relation to financial allocations, students' management, curricula-setting and university planning reaching across a multi-year range.

According to the results of the research conducted, the Ministry of Higher Education and Scientific Research sets the amount of financial resources for HEIs along with the state budget to spend in a given period (annually) for given areas of activities. The main institutional source of financial resources are public authorities, namely the State and regional authorities. Students' fees are very small, merely symbolic. Students pay only registration fees at the beginning of the academic year or semester. Other limited financial resources are generated through grants (national research grants, national or international donors), investments, and services provided by HEIs to the public. Indeed, the findings of the survey show that universities in Iraq rely heavily on funding received from the government, and only very few universities can also rely on other sources, such as tuition fees from students (mostly in the case of private colleges), such as the case for Wasit University.

Some universities stated that in occasional cases they receive grants by contracts (consulting, periodical outsourcing of services). Universities can surely benefit from further developing these alternative sources of revenue and further engaging in research or provision of continuing education services, but they have a very limited autonomy in managing and allocating the financial resources available.



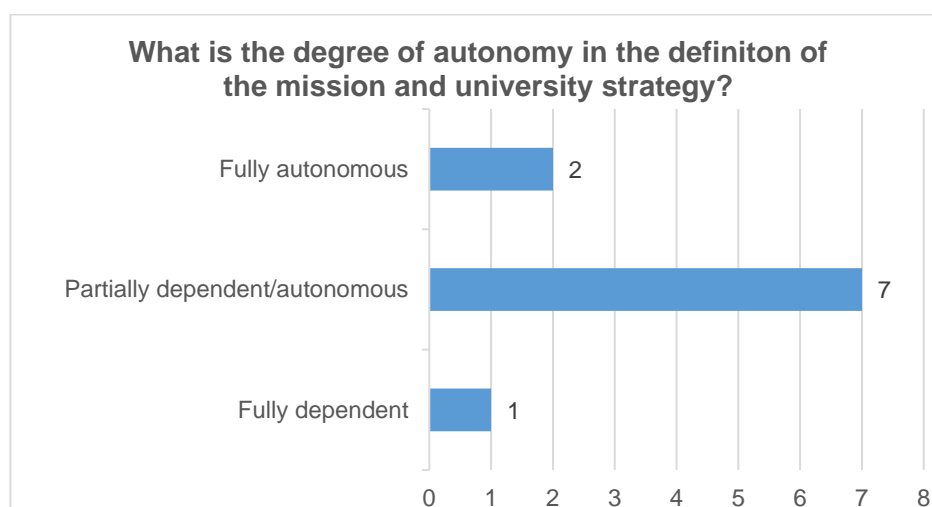
Elaboration of data from UNIMED survey, 2019

Autonomy

Autonomy concerns the relationship between each HE institution and the central authority. It measures how freely HE institutions can take decisions in the context of the rules and regulations that shape each higher education system. In the survey, we investigated autonomy as:

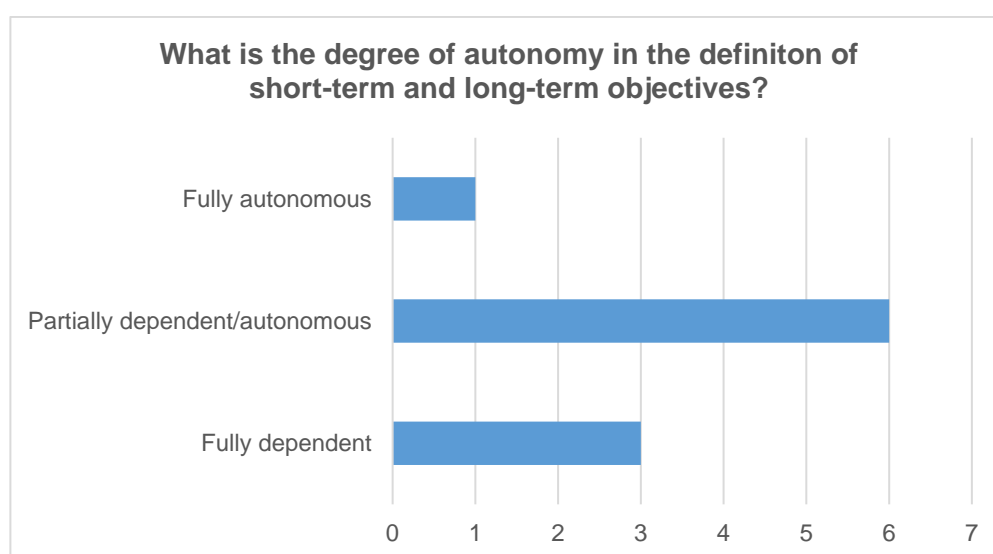
- autonomy in defining mission and institutional strategy
- financial autonomy: degree of freedom in decision making on financial issues
- human resources autonomy: degree of freedom in decision making on human resources management
- academic autonomy: degree of freedom in decision making on academic issues

The findings of our survey and our study show that universities in Iraq are partially autonomous **in defining their own mission and university strategy**. The graph below shows how the majority of universities stated to be partially independent in the definition of the university's mission, while Al-Qasim Green University stated to be full dependent on the national authority. On the other hand, among those ten, two universities stated they are fully autonomous in defining their own mission and university strategy. While on the one side, it is important to have a national vision for the HE system coming from the Ministry of Higher Education and Scientific Research, it is as well important that individual universities' missions are not defined centrally. For universities to be able to pursue their individual goals, it is critical to have well-defined mission tailored to the specific needs and vision of each individual institution. What shall be addressed is the capacity to define their own mission and strategy based on a clear vision at national level.



Elaboration of data from UNIMED survey, 2019

When universities are asked to specify their degree of autonomy in regards to more specific issues, answers confirm the partial degree of autonomy that higher education institutions in regards to the central Ministry of Higher Education and Scientific Research. When it comes to **autonomy in defining short-term and long-term objectives** 7 universities stated to be partially autonomous while the others stated fully dependent.



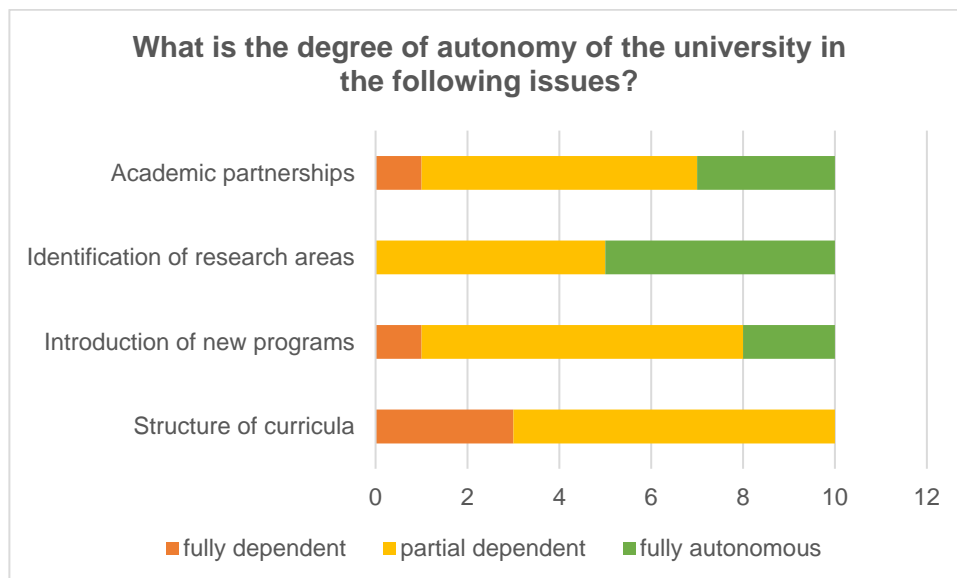
Elaboration of data from UNIMED survey, 2019

In regards to **human resources policy**, Iraqi universities display the same patterns in relation to academic and technical-administrative staff: 6 universities claimed to have partial autonomy in decision-making about HR management, while the others perceived full dependence on decisions about the staff. Generally speaking, we can state that universities rely on the Iraqi Ministry of HE and SR policy on human resources management, and they must comply with the national regulations governing employment for HE staff.

When it comes to **academic autonomy**, we refer to the decisions related the teaching topics (study fields, student numbers, student selection, introduction of new programs and curricula structure) that can be regulated by the central authority or freely managed by institutions. Research autonomy refers to the decisions related the researching topics (programs, research teams) that can be regulated by the central authority or freely managed by institutions.

Regarding students' admission, half of the universities (5) declared they have basically no say about the final number of students eligible for registration yearly, while the other half (5) asserted to enjoy a little space of autonomy in deciding about the total number of students admitted every academic year.

Within this context, the university's academic autonomy in Iraqi Universities is relatively low: they have partial level of autonomy as all their decisions in academic matters have to be approved by the central government, namely the Ministry of Higher Education and Scientific Research. The majority of the universities interviewed stated to have partial autonomy in deciding on the types of courses offered, on the curricula structure (diploma, the conditions of issues, the assessment of students and the format of exams) and in regards to the introduction of new academic programs. Although the university may introduce changes to the curricula and/or new programs, and decide on the number of hours per program per year, it is necessary for the central authority to approve any of these changes. Decisions must be approved first by the University Council and then obtain approval by the Ministry of Higher Education and Scientific Research itself.



Elaboration of data from UNIMED survey, 2019

It is worthwhile to mention another interesting aspect with regards the perception of having more or less autonomy about all the aspects investigated above: sometimes the perception of a minor autonomy is due to a weak knowledge of the legal framework regulating the governance system of the higher education institutions in Iraq, and/or a misunderstanding and a different interpretation and perception in relation to non-written laws that regulates also the behavior of universities. At the same time, the uncertainty related to the approval process by the Ministry, and the waiting time for the approval of certain issues (from few weeks to one, two, year) is discouraging Universities to apply for new programs or in general for changes.

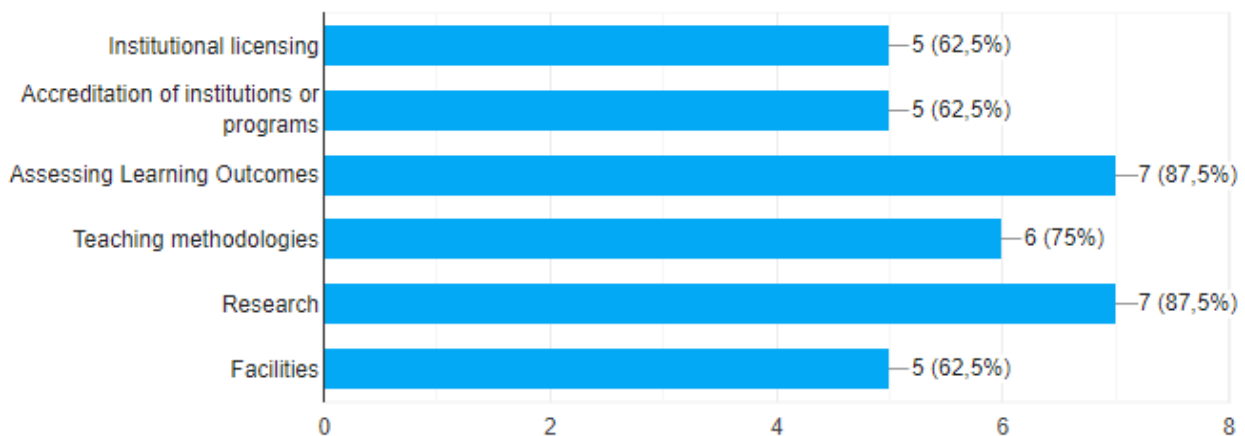
Strategic planning

When it comes to strategic planning, beyond what already stated, universities displayed a wide range of peculiarities. Generally speaking, universities define a strategic plan for the next years, which must be approved by the University Council and later by the Iraqi Ministry of Higher Education and Scientific Research. Strategic plans may include: the creation of new departments / units; the introduction of new teaching methodologies; development of the university staff; improvement in terms of ranking and international accreditation; signing of agreements with new partners; improvement of digital education; the implementation of activities on university-work transition; boosting coordination with other universities; modernization of facilities; etc.

Some very young universities are still working on establishing a strategic plan for the upcoming years and a body in charge for that. Strategies may be very ambitious, or more down-to-earth, but in all cases the approval of the central authority is a prerequisite for action. And in some occasions, the MOHESR comes back to universities with proposed changes on the plan which may generate incontinences.

Quality Assurance

When asked about the Quality Assurance mechanism at the institution, 8 out of 10 universities declared to have implemented a QA system, which is responsible for:

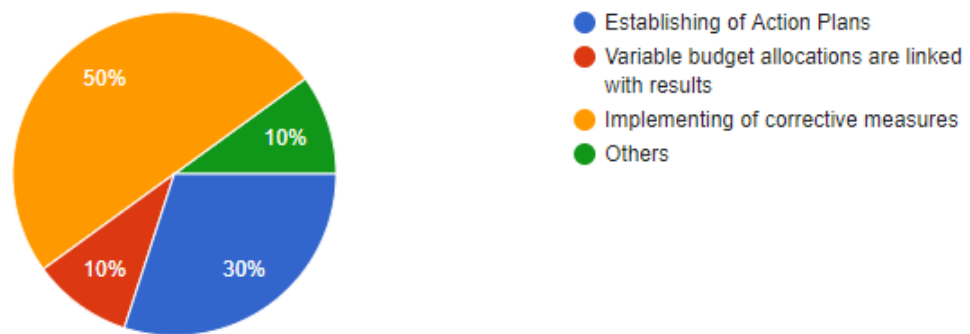


Elaboration of data from UNIMED survey, 2019

In other words, the QA Unit deals with ensuring the compliance of the university education and processes with QA standard, and fosters the adoption of quality standards at the institution. The compliance to the standards on behalf of managers and teachers at institutional level, and whether teaching practices actually derive and align to these main policies, seems to be still a work-in-progress in most institutions.

All universities, notwithstanding the implementation of a dedicated QA service, asserted to have a monitoring activity in place either carried out jointly by the University Council and the Department of Quality Assurance, or by the QA office at the university, or directly by the Department of Supervision and Evaluation

of the Ministry of Higher Education and Scientific Research. Once the evaluation process is concluded, the main mechanisms employed to follow-up on the outcomes are: the implementation of corrective measures (5/10), the establishment of action plans (3/10) and a different allocation of resources (1/10).



Elaboration of data from UNIMED survey, 2019

The main institutions in charge of follow-up mechanism are the Quality Assurance Department (4/10) and the Presidency or Vice-Presidency of the same University (4/10) while only 2 Universities report the Ministry of Higher Education to be directly in charge of. The frequency of monitoring activities varies widely between once a month and once a year, performed in most cases by the QA unit, supervised by the University Council.

Concurrently, universities reported that students are involved in the evaluation process of their learning experience, courses and lecturers. Involvement of students in the decision-making process is indeed very limited, and only in few occasions a student union or student association is present at the university. Mostly students are engaged in sports and artistic activities, volunteering campaigns, social activities.

Lastly, to the question “Has the institution put in place standardized sanctions against:” answers refer mainly to examination fraud as the principal reason for punitive actions.

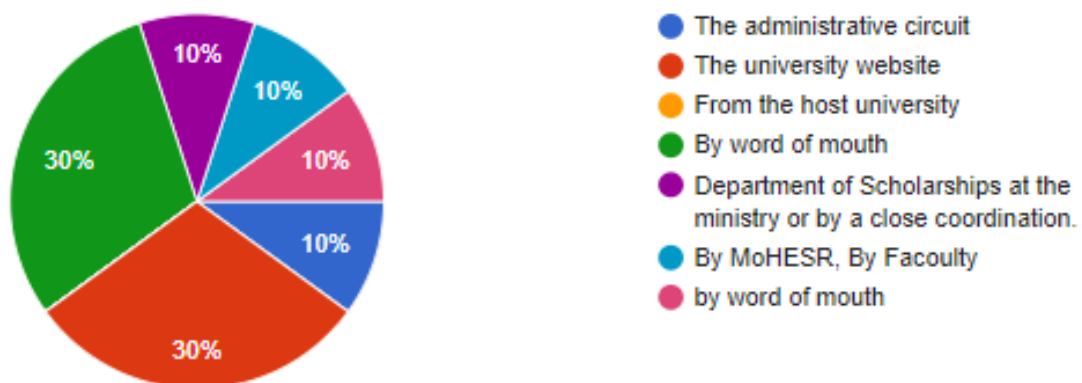
National and international cooperation

When asked about the presence of an International Relation Office at the university, only 4 out of 10 institutions declared to have put in place such an office. These answers are most likely imprecise, since in Iraq the office dealing with international relations is called Department of Scholarships and Cultural Relations. The majority of universities in the project have indeed such an office. The personnel working at the office has full-time contracts, meaning institutions dedicate resources fully to the goal.

The main task of the office is to work in coordination with foreign universities for the purpose of sending students and staff abroad and follow-up on them (mobility), sign agreements, promote scientific and cultural cooperation, summer training programs, teacher training and research cooperation, coordinating efforts with local and international institutions. The office is also in charge for organizing international conferences, workshops and events. Moreover, the office should contribute to achieving the vision and mission of the university, with the ultimate goal to keep pace with international standards.

The range of agreements already in place among Iraqi Universities vary between 5 and 1. The range of agreements in place with international Universities vary between 2 and 10, except for the University of Baghdad with 29 international agreements with over 18 international countries. These agreements are designed to promote scientific and cultural communications, conference exchanges and research cooperation. They could also consist in joint Research Projects, the launch of virtual training programs and short exchanges, and visiting programs for both staff and students. The agreements signed could take the form of Memorandums of Understanding (MoU) or Protocols of Cooperation (PoC). International agreements are signed mostly with neighbouring countries (in particular Egypt, Lebanon and Iran) and highly developed partner countries such as the USA, UK, Germany, France, Spain, UEA, India, Japan and Korea.

When asked how information on mobility programmes reach the university, answers are very wide-ranging:



Elaboration of data from UNIMED survey, 2019

University-Industry cooperation

Tackling the thorny issue of University-Industry cooperation and its potential beneficial outcomes for HEIs, all surveyed University seem eager to boost the current levels of cooperation between universities and the private sector. Most declared to have already in place some cooperation programs with social or economic partners outside the academic circle or mentioned the will to establish agreements in the near future. Universities generally referred to the importance of agreements supporting cooperation between companies and research centres, providing financial support to carry out projects (in specialized scientific fields) and for the development of soft skills training courses, internships and summer schools.

Concerning the question on if and how the University prioritize the issue of employability of graduates, universities replied that it ranks among their priorities to cooperate with the private sector as well as with the government to provide job opportunities for graduates. In addition, one university also stated that the Career and Development department (in some cases referred to as the Rehabilitation and Employment Division) play a big role supporting students by giving them training on CV writing, soft skills training, offering internship, etc. Most Universities highlighted the importance for hands-on professional trainings equipping students with more technical skills to better meet stakeholders' requirement on the job market.

4.3 Virtual Focus Groups main outcomes

Decision-making process

Most of decisions are taken by Ministry of Higher Education and Scientific Research or in few cases by the University Council. Universities have only **partial autonomy** in deciding upon their mission and strategic goals, both short and long term. Even when a University defines its own strategic plan, this is supervised and needs approval by the Ministry of Higher Education and Scientific Research. University Leaders are not elected but appointed by the Ministry of Higher Education and Scientific Research, on the basis of qualification, previous experience, academic title, years of employment, published articles, attendance to international /national conferences, etc.

Universities indeed relate non only to the Ministry of Higher Education and Scientific Research but also to the Ministry of Finance and the Ministry of Planning. Universities have the responsibility to implement the governmental program for HE, following the articles and points in the program relating to Higher Education. These guidelines from the government also rule the actions of the MOHESR itself. **Decisions are in the hands of the central authority based on set laws and regulations.** According to what stated by the participants to the Focus Groups, some decisions must stay within the MOHESR while others should be made by universities themselves, raising their level of autonomy and responsibility (accountability).

There is a new strategic plan for the next 5 years issued by the Ministry. It collects inputs from the strategic plans of each individual university and drafts a strategic plan for the Ministry for the whole HE sector. The plan includes indications for everything: adding colleges and departments, number of admitted students, expansion, materials, syllabus, physical locations, technology. Each university works on its own and then a strategic vision from the Ministry guides the whole HE sector in Iraq. The **main issue universities suffer from is the financial issue**, it is a unique regulation for all universities and no one can take its own decision about the amount of fees or the allocation of resources. There is a little space of decision for the University Council but it still needs to get approval from the MOHESR that fully decides on financial allocation.

The **process of approval** by the MOHESR may sometimes take hours or days, and require a simple notification by email on behalf of the HEIs. In other occasions, it may be very long and complex, taking weeks, months or even years to get to the final approval stage. This in turn affects not only the timing of change but also the will and attitude towards change on behalf of the university members.

If on the one side is essential to work on widening the level of autonomy granted to HEIs, on the other side it is also **important to work on the perceptions of the university staff** as well as on empowering universities. A step in this direction is to strengthen their role and concurrently defining the role of the central authority. The HE system is very static and is deeply affected by non-formal and not-written rules. Instead, Universities need to start carrying the responsibility for improvement. Decentralization must happen from the MOHESR to the HEIs but also internally to each institution, towards the faculties, changing the direction of decisions (from top-down to bottom-up). There is the **need to encourage universities' leaders to take the responsibility of decisions**, being accountable for these decisions. To support that, more knowledge and understanding of the regulatory framework and on the role of the MOHESR in relation to the university's functioning is crucial.

Autonomy, Strategic Planning and Accountability

Universities have partial autonomy (regulated autonomy) in deciding about the structure of curricula, the process of students' admission, the introduction of new programs, the areas of research, human resources policies and on the academic partnerships with other institutions. Universities may be willing to build their own strategies and the related action plans, and even if in some cases they could rely on a proper existing regulatory framework, they **do not feel to be in the conditions to act autonomously**. The first concern is a change in the regulatory framework, where the MOHESR should be the key actor to support the process.

Participants in the Focus Groups seemed to have a cautious position towards full autonomy. Most stated that having more autonomy is fine and desirable, but that a condition of full autonomy might leave them in a condition of uncertainty. Partial autonomy is considered fine, the support from the Ministry essential. While we do not intend to state that the role of the Ministry is not essential, such a perception on behalf of the HEIs seems to be mostly the result of a limited knowledge of the concept and implications of autonomy in HE. **Autonomy should be further discussed with Iraqi universities**, to explain the full potential of an independent decision-making process complemented by a strong vision, support and regulation on behalf of the Ministry of Higher Education and Scientific Research.

As the system functions today, universities are in a condition of decision-taking more than decision-making. **Even when universities define their own strategic plans, approval from the central authority is needed.** Universities define a plan, supervised and approved by the University Council; then submit the plan to the Ministry, which either approves it or begins a negotiation with the university and the Ministry of Finance. Main requirement on behalf of the Ministry is the compliance with the current regulations and laws. A big player in the process is the financial support, affecting everything, starting from the strategic plan and its implementation. Real autonomy starts on the financial capacity of implementing the strategic plan, therefore all universities agreed that higher financial autonomy is needed. Universities should have the right to diversify the sources of revenue, i.e consulting, services, etc. and allocate resources as they deem more appropriate.

According to the MOHESR the probabilities that the plans are rejected are almost none, usually the Ministry says yes. However, changes may be asked to the university, and this may generate inconsistencies. For example, each university defines a number of students which is able to welcome, but often (due to the rising number of students in the Iraqi HE sector) the Ministry demands to admit an higher number of students, while resources (both human resources and funds) stay the same, or are even reduced over the course of the years due to the financial crisis in the country. Universities are often forced to do differently than what they have planned, with difficulties in keeping the overall quality of the service provided. Taking into consideration that **university staff members may benefit from training on strategic planning**, the current system still risks to generate difficulties for universities to fully implement what is in the plan, still being held accountable for that (for example by the auditing department of the Ministry of Finance). In some cases, 'departments plan less because they know they will get more'. Universities suffer from the **imbalance between the rising number of students and the limited resources available**. The sector of private tertiary education is still very young, private HEIs absorb students but they are still immature. The public universities hold most of the burden of offering to all Iraqi students an education of good quality with the limited available resources. The whole sector is in need for investments to improve HE facilities, train staff and raise funds. Along with that, there is a need to redefine the national HE system and its outcomes.

Another element has been pointed out during the Focus Group is the issue of accountability. According to the Ministry, the central authority stays as the only authority which controls that HEIs work in compliance with the regulations. **Accountability is the other element which must be taken into account when re-defining the relation HEIs-MOHESR.** Approval from the Ministry is a way to control and monitor compliance, make universities accountable in respect to the law and instructions from the government. However, approval is different than notification, as it happens in more decentralized systems. Accountability relates to transparency, to the freedom of action within a set regulatory framework.

Quality Assurance

Most of Universities have a Quality Assurance system and practice monitoring activities. The results of periodical evaluations are sent to the University Council and the Ministry of Higher Education and Scientific Research. There is no national agency for QA which is independent by the Ministry, but a Quality Department in the Ministry itself. Quality departments at each university receive indications and evaluation forms directly from the MOHESR. Quality Assurance applies on Institutional licensing, accreditation of institutions and programs, assessing learning outcomes, on teaching methodologies, on the research activities and on the facilities. Even students periodically evaluate their learning experience, their courses, their lecturers. Corrective actions are undertaken after each evaluation if needed, eventually defining an action plan. The main rising issue is that **QA offices are today dealing mostly with the results of the evaluation of performance, while they should also work to provide universities with guidance on ensuring quality standards.** They should intervene before and after the evaluation, to guarantee compliance with standards and preventing unnecessary mistakes. The work of the QA offices should change direction, not only working on results but providing guidance to universities to comply with international quality standards.

As mentioned before, since universities are working often with unexpected changes, training is also needed to empower staff to deal with these changes, without affecting the quality of the service. There is a general lack of knowledge in management techniques and skills which should be further developed. For example, recently a round of evaluation has been performed by the Ministry to assess programs. Many universities had a low score because they were not well prepared to provide information to the accreditation team. Participants explained it was not a matter of quality of the programs, but a matter of difficulties and lack of knowledge on reporting to the accreditation team. Advice and directions should be given to departments. **Raising awareness on procedures** can results in well representing the quality of HE programs. Indicators for accreditation are shared between the Ministry and the HEIs through the QA departments, but the sharing process and the awareness around these indicators must be improved.

Students' involvement in the University

In some Universities students are grouped into Students Union but they do not take part in the decision process. Students, alumni and students' organizations are not among the stakeholders involved in the university governance. The process towards decentralization must also include students' involvement at different levels. Engaging students in the governance of the university, in the decision-making process, welcoming students' representatives in the University Council is something new for HEIs in Iraq, it is a new culture which needs to be acknowledged and promoted. When the recent evaluation on behalf of the central

authority took place, in the rare occasions that representatives of the students were actually invited to take part in some Council meetings (such was the case in Wasit University) an higher score was granted.

International Cooperation

International cooperation agreements of the Iraqi universities include many activities, such as training, scientific cooperation and research projects, faculty exchange, scholarships, lectures exchanges, mobility, etc. All Universities have an International Relation Office coordinating and guiding international activities, which is called Department of Scholarships and Cultural Relations. At the Ministry of Higher Education and Scientific Research there is a unit for international relation. It emerged the need to reduce bureaucracy of permissions on behalf of the Ministry which is needed also when universities want to engage in international cooperation. If on the one side new universities rely on the guidance of the Ministry because they are less experienced (for example relying on advices about agreements with international universities), on the other side there is need to ease the procedures of approval which may take very long (up to 1 or 2 years).

Universities in the Focus Groups agreed that **universities need more space of autonomy in managing international relations** and international opportunities (despite the perception of autonomy is higher in respect to other dimensions), **along with training** on how to handle these international opportunities, agreements, cooperation projects, how to manage mobilities, and on the transfer of credits and recognition procedures. This will also support the drive towards being listed in international rankings. According to some respondents, it would be helpful to have more knowledge about the criteria or requirements to fulfill in order to achieve a position in the ranking and raise the level of Iraqi HEIs.

Despite the willingness to engage in international cooperation, joint transnational activities also beyond European funded projects, concerns arise in respect to the resistance HEIs have displayed towards changes (necessary to advance in international collaboration and to raise the quality of HEIs to international standards) and regarding different understandings of what internationalization means. In addition, the **centralized relation with the MOHESR may reduce the potential of international cooperation**, for example universities need to take permission every time they want to be involved in new collaborations. The funds available are also a limit: if the budget for international cooperation is low, then also its impact will be low. Most of activities are performed online with the current resources, even before the pandemic, which (as we have fully experienced) may reduce the benefits and impact of transnational cooperation.

Iraqi HEIs should also dialogue between themselves. Cooperation is not only international but also at national level, where **dialogue between universities should become an asset** for advancement.

5. Self-evaluation results

Mosul University

Mosul University is a public institution located in Mosul. It is one of the largest educational and research centres in the Middle East, and the second largest in Iraq, behind the University of Baghdad. It is among the historical institutions in Iraq having been established in 1967 building on the foundations of the 1929 College of Medicine, under the control of the Ministry of Health. In 1963 two more colleges were established: the College of Engineering and the College of Science, followed by the College of Agriculture in 1964 and College of Arts on 1966. Reflecting the increasing needs of the different academic specialization in Iraq, the university continued to establish more colleges and departments. Today the University has 23 colleges, 6 centres and 6 consultant bureaus, it has also 5 hospitals and clinics, 6 museums and a number of other technical and administrative units and directorates. The University houses also a number of scientific research centres, which reflect the University's orientation towards technological and practical developments. Mosul University offers accredited Bachelor's, Master's, and Doctorate degrees in more than 100 specializations.

As a preliminary outcome of the self-assessment, we can state that all the governance dimensions analysed are perceived as important for the life of the institution by the 7 respondents is the self-assessment, with average scores of 3.8 for participation, 3.7 for accountability and 3.5 for management. The only dimension which seems to be perceived as less relevant is the autonomy with the average value of 3.1. The perceptions of the participants in the self-evaluation reflect the actual situation as well as the survey findings, where Mosul University declared to have only partial level of autonomy, in particular in defining its own mission and strategy, and that the majority of decisions in terms of academic and financial issues are taken by the Ministry of Higher Education and Scientific Research. A lower score of importance attributed to autonomy may therefore most likely depend on the limited actual autonomy granted to HEIs in the Iraqi system. Looking at the prioritization of the governance sub-dimensions, particular relevance is given first of all to academic autonomy and human resources autonomy, to all the management techniques (the definition of quality assurance mechanisms, the use of planning tools and the use of evaluation results for decision-making) and to accountability in relation to academic and financial issues.

AUTONOMY

Importance of governance dimension	
Number of repondents	Priority factor
7	3.1

The perceptions of the 7 respondents from Mosul University confirm that the degree of autonomy granted to HEIs is limited or partial, with the majority of decisions taken by the government and/or the Ministry of Higher Education and Scientific Research. This is reflected in the answers provided, where most of the values related to autonomy are around the average of 3. When the degree of autonomy is higher, it most likely

represents situations where decisions are made by the university and only later approved by the MOHESR. Indicators where autonomy is perceived somehow higher (despite still partial) are:

- the functions, composition, selection and dismissal of governing bodies
- academic issues, in particular these related to the introduction and definition of teaching and research programs, as well as the setting up of the students' placement office
- the acquisition of research tools and technical instruments

Very limited autonomy is granted instead in relation to human resources management and financial aspects confirming what stated by universities in the survey and in the Virtual Focus Groups, and which is coherent for the three strategic activities of the university.

Generally speaking, when looking at the degree of autonomy in relation to the three strategic university activities, it seems the lower scores concern Research (except for academic autonomy where the scores are the higher) and the Third Mission activities, where in particular the percentage of time dedicated to TM is perceived by the university very low, as well as the capacity of the university to invest own resources to foster its social role. With regards the degree of autonomy in relation to both Teaching and Research, we can state that the University has partial autonomy in deciding about governing bodies, about scientific issues and research programs, as well as a slightly higher degree of financial autonomy in allocating funds and in attracting funds from international organizations, the EU and the private sector. Such a big university can most likely rely on other sources of revenue beyond public funds (such as funds obtained through contracts, consulting, outsourcing of services) which may in turn influence the perceptions about financial autonomy.

Organizational Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3	Functions of governing bodies	3.3	3.1	2.9
	Composition of governing bodies	3.3	3.1	3.1
	Selection criteria of governing bodies	3.4	3.1	3.3
	Dismissal criteria of governing bodies	3	2.9	3

Academic Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.7	Overall students number	2.9		
	Students' selection	2.6		
	Introduction of programs	3.6		
	Design of course content	3.3		
	Choice of the language of instruction	3		
	Definition of research programs		4	
	Acquisition of research tools		3.7	

	Set-up of socio-economic activities			2.9
	Set-up students follow-up mechanisms			3
	Set-up students placement office			3.1

Human Resources Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.4	Salaries for academic staff	3	2.6	
	Salaries for administrative staff	2.6	2.6	
	Dismissal for academic staff	2.7	2.7	
	Dismissal for administrative staff	2.7	2.7	
	% of time dedicated to TM activities			2.4

Financial Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.8	Buy / Sell assets	2.7	2.1	1.9
	Decision on how to allocate public funds	2.9		
	Attraction of funds from private sector		2.4	2.9
	Attraction of funds from EU and int org		2.6	2.7
	Decision on allocating private funds		2.6	2.7
	Investment of its own resources			2.4

MANAGEMENT TECHNIQUES

Importance of governance dimension	
Number of respondents	Priority factor
7	3.5

The management techniques in relation to Teaching, Research and Third Mission, is perceived as the third more important dimension after participation and accountability, with the average value of 3.5, in the upper range of the evaluation scale. Management techniques, effective performance and the use of quality assurance procedures are at the core of the recent developments in the Iraqi Higher Education system promoted by the Ministry, but are most likely perceived less relevant by big and historical universities, such as Mosul University, due to ongoing limitations of the national legislator framework. Indeed, it is extremely important for HEIs in Iraq to keep pace with recent HE developments and practices to deliver high quality education and high-quality services to the local communities.

For what concerns the definition of standard quality procedures for evaluation (QA ex-ante) the staff members of the institution felt that the degree of efficiency and effectiveness is quite high, in particular for the evaluation of the student services and students' performance, the design of the research programs and the acquisition of research instruments. Slightly lower scores are reported for the activities related to the Third Mission, for which it may be beneficial to improve the competences of the university staff. The university must acknowledge the need to define standard procedures also for the evaluation of the students' placement office management and for the realisation of socio-economic activities, to reinforce the potential benefits generated by the social role of the university. This strongly relates to the use of evaluation results: perceptions reveal that the institutional capacity to use the results of the evaluation for informing decisions is somehow limited. Training is needed to make effective use of the outcomes of periodical and targeted evaluations, so that the institutional performance is improved along with these outcomes. Lastly, when it comes to assessing the capacity of the university in using planning tools (for the definition of long-term strategic documents and operational budget documents), capacity is perceived partially effective, with scores in the field of Teaching relatively lower if compared to the perceptions for Research and Third Mission. Staff members need to be empowered in the use of strategic planning tools both for long-term and short-term periods. Strategic planning and the correct definition of long-term goals is the first step into an effective university management. Moreover, as emerged in the Virtual Focus Groups, is extremely important for HEIs to invest in Quality Assurance and Evaluation practices.

Quality procedures

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4	Definition of standard procedures for the evaluation of academic courses and teaching methodologies	4		
	Definition of standard procedures for the evaluation of student services	4.3		
	Definition of standard procedures for the evaluation of students' performance	4.3		
	Definition of standard procedures for the design of research programs		4.3	
	Definition of standard procedures for the acquisition of research tools / technical instruments		4.1	
	Definition of standard procedures for realization of socioeconomic activities			3.6
	Definition of standard procedures for the evaluation of students' follow-up			4
	Definition of standard procedures for students' placement office management			3.7

Planning Tools

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3,71	Planning documents (long-term)	3.6	3.6	3.7
	Budget documents (short-term)	2.9	3.7	3.4

Evaluation Results

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.85	Use of data on organizational performance for decision-making	4	3.7	3.4
	Use of data on individual staff performance for decision-making	3.9	3.7	3.4

ACCOUNTABILITY

Importance of governance dimension	
Number of repondents	Priority factor
7	3.7

The accountability dimension is the second most relevant dimensions for the participants in the self-assessment, which attributed high priority factors to both academic and financial accountability. When looking at the outcomes of the self-evaluation exercise, we can say that the institution is held responsible for its decision to a quite extent. Said in other words, we can also affirm that the long history of the institution taught to staff members that – despite a centralized HE sector – the university is still held responsible in front of internal and external stakeholders for its performance and the outcomes of the activities put in place.

The degree of accountability is slightly higher in relation to Teaching and Research activities, where results are for the most part well above the average. A more limited perception of accountability is reported in relation to Third Mission activities, for which instead it would be equally important to raise awareness about taking the responsibility for the activities performed as well as the generated outcomes. What can be improved is the lower commitment in following-up with the outcomes of the socio-economic activities put in place by the university, as well as the student follow-up and placement. All in all, the differences in perceptions among the three strategic activities is relatively small.

Great attention is given to the compliance with the Mission, Vision and strategic documents, showing the commitment of the intuitional leadership towards the set agenda and objectives. What is interesting to note is the quite low priority factor given to the sub-dimension of organizational accountability, which does not correspond to the outcomes of self-assessment for the same sub-dimension and its related indicators. The coherence between strategic planning and actual implementation is indeed put in place in the university,

with accountability values for organizational autonomy well above the average. Therefore, it is not considered a priority but it is implemented at the university as a natural practice.

A high degree of accountability is also perceived in relation to academic issues: the students' performance, the students' services, the academic workload and research results. The more the institution feels autonomous in taking decisions about scientific affairs, the more it is held accountable by several actors, beyond the central authority. It is not a case that Mosul University has also given a quite high degree of relevance to the participation dimension, reporting a situation where especially internal stakeholders are (and should be) involved in decisions. Lower scores are finally detected for financial accountability, even though they reflect the trends reported for financial autonomy: despite the system is centralized, financial matters are still a concern for university staff members which perceive the importance to be reliable for budget sources and the allocation of funds.

Organizational Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.9	Compliance with the Mission and Vision of the institution	4	4.1	3.7
	Compliance with planning documents (strategic plan)	3.7	4	3.6
	Organisation and functioning of institutional central governing bodies	3.4	3.3	3.4

Academic Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.7	Students' performance	4.1		
	Students services	4.1		
	Academic workload	4		
	Research results		4.4	
	Acquisition research tools / instruments		3.7	
	Set-up of socio-economic activities			3.7
	Student follow-up			3.7
	Set-up of student placement office			3.6

Human Resources Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.1	Dismissal of academic staff	3.6	3.4	
	Dismissal of administrative staff	3.6	3.7	
	Promotion of academic staff	4.1	4	
	Promotion of administrative staff	4.1	4	
	Punitive sanctions against unethical behavior	4	4.1	3.4
	% time dedicated to TM activities			3.3

Financial Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.4	Budget sources	3	2.6	2.7
	Budget allocation	2.7	2.6	2.6
	Debt level	2.4	2.3	2.4

University of Baghdad

The largest university in Iraq, and second in the Arab world to the University of Cairo, the University of Baghdad (UOB) was the first university established in Iraq in 1957 by the amalgamation of a number of existing institutions in the city, such as the College of Law (1908), College of Engineering (1921), High Teachers' House (1923) and Faculty of Medicine (1927) which represent the first cornerstones for establishing the University. It is Iraqi most modern university, which has led to many pioneering systems, traditions and achievements in the development of the Iraqi higher education sector. It is the first of its kind from which highly trained educational, technical and administrative staff emerged and supported the staff of other Iraqi universities that were founded and built later. It has many colleges, research centres and units, and offers recognized bachelor, master and doctorate degrees and diploma certificates.

Looking at the answers provided by the 6 participants in the self-assessment, we can easily affirm that the governance dimensions analysed in the self-assessment session are all perceived as high priorities for the institution. Scores are all above average, even considering the results reported by the other Iraqi universities. Autonomy is at the top of the evaluation, followed by management techniques, participation and accountability. The prioritization of the governance sub-dimensions reflects these trends (with high relevance given in particular to academic, human resources and financial autonomy and accountability), with the only exception represented by the relevance assigned to quality procedures, which is lightly lower in comparison to the other sub-dimensions. The relatively lower scores reported in the assessment of the

management techniques reflect the survey findings, where the University of Baghdad stated to perform monitoring activities but without a set Quality Assurance system. Generally speaking, the outcomes of the self-assessment show that the University have a quite strong commitment towards the modernization of its governance, investing in the institutional capacity to maintain a high profile in the country. This is also reflected on the high value posed by respondents to the participation of stakeholders in the university governance as a beneficial factor for the future of the university.

AUTONOMY

Importance of governance dimension	
Number of repondents	Priority factor
6	4.1

The perceptions of the 6 respondents who took part in the self-assessment of the University of Baghdad, confirm that the degree of the perceived autonomy is partial, reflecting the dependent relation between HEIs and the Ministry of Higher Education and Scientific Research in Iraq. The outcomes of the self-evaluation are in line with the findings of the survey, for which the university is partially autonomous in deciding upon the majority of institutional matters, and within this limited autonomy major influence is exercised by teaching staff, in particular President, Vice-President and Deans which seem to have the strongest effect on decision-making at the university. Most of the values related to autonomy are indeed between the scores of 3 and 4. Within this perception of limited autonomy in the decision-making process, relatively higher values are attributed to academic autonomy and in particular to the design of course content, the definition of research programs and the acquisition of research tools and technical instruments. Partial autonomy is also reported in HR management, in particular in relation to the dismissal of both academic and administrative staff. Interesting enough, quite high scores are reported also for autonomy in setting-up students' follow-up mechanisms and the students' placement office, as well as in deciding upon the percentage of time dedicated to the university's social role, which show that the university is committed towards Third Mission activities.

It is not a case in fact that values are homogeneous for the three strategic university's activities, Teaching, Research and Third Mission, representing partial autonomy in decision-making, with a slightly higher perception of autonomy for Research-related activities. Partial autonomy is reported also for financial matters, which is no surprise for an historical, experienced and stable university (in comparison for example to younger institutions in the analysis) which can rely to diversified sources of revenues. Indeed, despite each decision must undergo a process of approval by the Ministry of Higher Education and Scientific Research, staff members still perceive they have the capacity to partially influence organizational process by informing financial decisions. As it is for Mosul University, the University of Baghdad can rely on other sources of revenue beyond public funds (such as funds obtained through contracts, consulting, outsourcing of services) which may in turn influence the perceptions about financial autonomy.

Organizational Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.2	Functions of governing bodies	3.3	3.5	3.1
	Composition of governing bodies	3.7	3.3	3
	Selection criteria of governing bodies	3.3	3.3	3.1
	Dismissal criteria of governing bodies	3.3	3.5	3.5

Academic Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.5	Overall students number	3.3		
	Students' selection	3		
	Introduction of programs	3.5		
	Design of course content	4.3		
	Choice of the language of instruction	3.9		
	Definition of research programs		4.1	
	Acquisition of research tools		4.1	
	Set-up of socio-economic activities			3.7
	Set-up students follow-up mechanisms			3.9
	Set-up students placement office			3.9

Human Resources Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.3	Salaries for academic staff	3	3.1	
	Salaries for administrative staff	3	3	
	Dismissal for academic staff	4	3.5	
	Dismissal for administrative staff	4	3.5	
	% of time dedicated to TM activities			3.7

Financial Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.3	Buy / Sell assets	3	3	3
	Decision on how to allocate public funds	3.5		
	Attraction of funds from private sector		3.2	3.2
	Attraction of funds from EU and int org		3	3.5
	Decision on allocating private funds		3.3	3.5
	Investement of its own resources			3.5

MANAGEMENT TECHNIQUES

Importance of governance dimension	
Number of repondents	Priority factor
6	4

The governance dimension of management techniques is perceived as a priority for the university, as an essential element for performing at the best in all the three core activities: Teaching, Research and Third Mission. Perceptions about the capacity of the institution in management are indeed quite coherent for the three missions, revealing a slightly higher need for improvement in relation to Teaching. Developing management techniques is considered an essential element for HEIs. According to the respondents in the self-assessment, relevance is given to putting in place an effective management system: while most things are already set, importance is assigned in particular to the use of planning tools, the definition of long-term and short-term strategic documents, as well as in the use of the evaluation results to inform decision-making.

Looking at the outcomes of the assessment of actual governance arrangements, staff members felt quite confident about their competences in relation to strategic planning, with a particular emphasis on the development of long-term strategic documents. This is probably due to the experience that the university has gained in the past decades of developments, as it is also proven by homogeneous results in relation to the effective use of planning tools for Teaching, Research and Third Mission activities. This is also reflected by the results about quality procedures, where respondents stated the university performs sufficiently well in the definition of standard procedures for the design of research programs and the acquisition of tools and technical instruments. In addition, scores above the average are also attributed to the capacity of the staff in defining standard procedures for the realization of socio-economic activities, and the evaluation of the outcomes of the students' follow-up and the work of the students' placement office. Partial capacity is assigned to the use of evaluation results to inform decision-making about organizational and individual staff performance.

Generally speaking, we can state that the university has a solid base of competences and confidence to leverage on, and it has probably invested much in the last decades in building the capacity of its own human resources. However, further improvements are needed for the modernization of the actual governance

arrangements to fully exploit the possibilities opened for modern, big and solid universities in the globalized arena. In addition to that, HR are dedicated to the three core university missions, meaning the university intends to expand horizontally in providing high quality education but also services to the local communities as well as becoming an asset for national research developments. The University of Baghdad should not stop investing in training its human resources and advancing at the same pace of the leading HEIs in the Arab countries and in the world. Both academic and administrative staff, together with the institutional leadership, needs to be further empowered to take decisions and raise to the highest international standards.

Quality procedures

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.7	Definition of standard procedures for the evaluation of academic courses and teaching methodologies	3.5		
	Definition of standard procedures for the evaluation of student services	3.7		
	Definition of standard procedures for the evaluation of students' performance	3.7		
	Definition of standard procedures for the design of research programs		3.8	
	Definition of standard procedures for the acquisition of research tools / technical instruments		4	
	Definition of standard procedures for realization of socioeconomic activities			3.8
	Definition of standard procedures for the evaluation of students' follow-up			3.8
	Definition of standard procedures for students' placement office management			3.3

Planning Tools

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.1	Planning documents (long-term)	4.3	4.2	4.2
	Budget documents (short-term)	3.8	3.8	3.7

Evaluation Results

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4	Use of data on organizational performance for decision-making	3.7	3.7	3.7
	Use of data on individual staff performance for decision-making	3.7	3.5	3.5

ACCOUNTABILITY

Importance of governance dimension	
Number of repondents	Priority factor
6	3.8

Results of the self-evaluation on accountability reflect the results on autonomy. Accountability is considered sufficiently relevant, with high priority factors in each of the 4 sub-dimensions: organizational accountability, academic accountability, human resources and financial accountability. The university takes responsibility and is held responsible in particular for decisions in relation to:

- the capacity to comply with the stated Mission, Vision and strategic plan of the university
- the organization and functioning of the governing bodies, which are held accountable for the decisions taken with the partial autonomy granted to the institution
- all academic issues, for which the degree of perceived autonomy is higher. In particular, the university is held accountable for the services provided to students and the students' performance, as well as in regards to the academic workload for teachers and researchers
- research design and research outcomes, including the acquisition of research tools
- the promotion and dismissal of academic and administrative staff, as well as the sanctions against unethical behaviours (such as the examination fraud)
- the time dedicated to TM activities and the setting-up of socio-economic activities

When it comes to financial decisions, despite most of directions are provided by the central authority, the staff members still assessed that the institution is partially responsible for implementing such decisions and is partially held responsible for budget sources, allocation and debt level.

Regarding the degree of accountability in relation to Teaching, Research or Third Mission activities, perceptions are again quite coherent. The results of the self-assessment show that the three core university missions are perceived equally relevant, and the partial degree of autonomy is reflected in the partial feeling of accountability for decisions. The long history of the institution taught to staff members that – despite a centralized HE sector – the university is still held responsible in front of internal and external stakeholders for its performance and the outcomes of the activities put in place. In the future developments of Higher Education in Iraq, the university leadership needs to be ready to take responsibility for action and decide properly within the current and future regulatory framework.

Organizational Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.1	Compliance with the Mission and Vision of the institution	4.2	4.2	3.7
	Compliance with planning documents (strategic plan)	4.5	4.2	4.2
	Organisation and functioning of institutional central governing bodies	4.2	4.2	3.7

Academic Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.5	Students' performance	4.2		
	Students services	4.2		
	Academic workload	4		
	Research results		4.2	
	Acquisition research tools / instruments		4	
	Set-up of socio-economic activities			3.7
	Student follow-up			3.8
	Set-up of student placement office			3.7

Human Resources Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.3	Dismissal of academic staff	3.5	3.5	
	Dismissal of administrative staff	3.7	3.5	
	Promotion of academic staff	3.8	3.7	
	Promotion of administrative staff	3.8	3.8	
	Punitive sanctions against unethical behavior	3.8	4	3.8
	% time dedicated to TM activities			3.5

Financial Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.2	Budget sources	3.3	3	3.5
	Budget allocation	3.3	3.2	3.5
	Debt level	3.5	3	3

University of Basrah

The University of Basrah is a public university situated in the city of Basra in Iraq. For historic reasons the final -h is retained on Basrah in the name of the university. Founded in 1964 to meet the needs of southern Iraq, the University of Basrah was at first affiliated with the University of Baghdad, but in 1964 it became an independent body. Today the University consists of fourteen colleges located on three campuses around the city of Basra, with research facilities and student halls of residence (dormitories). The Northern Campus of Qarmat Ali contains the colleges of Pharmacy, Veterinary Medicine, Engineering, Science, Education, Agriculture and Physical Education. On the Southern Campus of Bab Al Zubayer, the colleges of Business and Economics, Law, Arts, Historical Studies, Fine Arts. The Medicine and Dentistry colleges are based separately. The University awards the degrees of BA, BSc, Higher Diploma, MA, MSc and PhD.

The answers to the self-assessment, provided by the 10 participants engaged in the bilateral session, report that the governance dimensions analysed are all perceived as high priorities for the institution with the following scores: 4.5 for participation, 4.5 for accountability, 4.6 for autonomy and 4.1 for management techniques. This latter dimension seems to be slightly lower in the prioritisation exercise, except for the sub-dimension on planning tools, which has a priority factor of 4.6. This reflects the relevance given to strategic planning by the university and the need to invest on both short-term operational planning as well as on long-term planning of institutional mission and objectives. For what concerns autonomy, the prioritization exercise and the self-evaluation show what has been already affirmed in the survey and in the Virtual Focus Groups, that is, HEIs in Iraq have limited autonomy in the majority of matters, from financial aspects to organisational issues, from human resources management to scientific decisions. Particular relevance is given by the university staff to academic autonomy and organizational autonomy, where universities seem to have a higher space of autonomy. On the contrary, human resources and financial autonomy are somehow considered less relevant. This is probably due to the fact that the reality is that financial autonomy for all the three strategic activities (Teaching, Research and Third Mission) is very low as well as the university's capacity to decide about human resources, strongly depending from the central authority. What is relevant to say is that the University of Basrah recognises as priority financial accountability and academic accountability, despite the very low perception in terms of autonomy. Finally, the dimension of participation has a great importance according to the results of the assessment. Despite the connections that the university has with its context and the leading role of the university in the southern region of Iraq, answers in the evaluation show that the private sector, donors and local authorities have limited access to the institution. The higher degree of participation is evident in relation to Research activities, probably related to a higher degree of academic autonomy in Research-related activities.

AUTONOMY

Importance of governance dimension	
Number of respondents	Priority factor
10	4,6

The perceptions of the 10 respondents from the University of Basrah confirm that the degree of autonomy granted to HEIs is limited or partial, with the majority of decisions taken by the central authority. This has been clearly expressed by the three bigger universities in Iraq (Baghdad, Mosul and Basrah) which have a long-lasting experience of performance and decades of relations with the Ministry of Higher Education and Scientific Research, which have in turn influenced the perceptions of respondents. The degree of centralization of the HE system is reflected in the answers provided, where most of the values related to autonomy are around the average of 3. In some cases, the degree of autonomy is higher, which is probably due to the fact that some issues are defined by the University Council and only later approved by the MOHESR. This is the case, along with the perceptions collected in the self-evaluation, of:

- the composition, selection and dismissal of governing bodies dealing with teaching and research
- academic issues related to the introduction and definition of teaching and research programs
- the choice of the language of instruction
- the acquisition of technical instruments
- the setting-up of socio-economic activities.

Very limited autonomy is granted in relation to human resources management and financial aspects confirming what stated by universities in the survey and in the Virtual Focus Groups.

When looking at the degree of autonomy in relation to the three strategic university activities, it seems the lower scores concern Teaching and Third Mission activities, except for academic autonomy which seems quite high for the three university's missions. On the other hand, it is pretty clear that decisions about financial allocation, investments and the attraction of funds are mostly in the hands of the central authority. The same applies to human resources management, for which clear directives are established by the national regulations. For what concerns the percentage of time dedicated to Third Mission activities, the perception of the university staff is a partial capacity of decision. Despite decisions are taken by the Ministry, or must undergo a process of approval by the Ministry, staff members and institutional leaders still perceive they have the capacity to partially influence organizational process by informing these decisions. It is important therefore to train and empower them to take full advantage of this space of autonomy, and to be ready for a process of decentralization, both from the central authority to the HEIs and internally at the institution, which is particularly true for big and multi-disciplinary universities.

Organizational Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4,4	Functions of governing bodies	3	3.2	3
	Composition of governing bodies	3	3.1	2.9
	Selection criteria of governing bodies	3.2	3.1	3
	Dismissal criteria of governing bodies	2.7	3	2.8

Academic Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4,5	Overall students number	2.5		
	Students' selection	2.8		
	Introduction of programs	3.1		
	Design of course content	3.7		
	Choice of the language of instruction	3.7		
	Definition of research programs		3.8	
	Acquisition of research tools		4	
	Set-up of socio-economic activities			3.7
	Set-up students follow-up mechanisms			3.3
	Set-up students placement office			3.3

Human Resources Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3,9	Salaries for academic staff	2.5	2.7	
	Salaries for administrative staff	2.4	2.7	
	Dismissal for academic staff	2.5	2.9	
	Dismissal for administrative staff	2.6	2.9	
	% of time dedicated to TM activities			2.9

Financial Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3,5	Buy / Sell assets	2.7	2.5	2.5
	Decision on how to allocate public funds	2.4		
	Attraction of funds from private sector		2.9	2.9
	Attraction of funds from EU and int org		2.9	2.8
	Decision on allocating private funds		3.1	2.8
	Investement of its own resources			2.7

MANAGEMENT TECHNIQUES

Importance of governance dimension	
Number of respondents	Priority factor
10	4,1

Many studies on the Iraqi HE sector refer to the necessity for the universities to strengthen their management capacity, to improve performance and the quality of the services provided. This is partially confirmed by the perceptions of the respondents in the self-assessment. A very high priority is given to management tools and practices, namely the effective use of planning tools, the use of evaluation results for subsequent decisions and the setting of quality procedures. However, comparing the results of the prioritization with the results of the self-assessment, the capacity of the institution seems to be somehow limited. It is important to focus future trainings on strategic planning (both short-term and long-term) with particular attention to the planning of Third Mission activities. For what concerns the use of quality procedures and the definition of standard procedures for the evaluation, the staff members felt very confident in the evaluation of:

- academic courses and teaching methodologies
- students' performance and students' services
- the design of research programs and the acquisition of technical instruments

On the other hand, the assessment reveals that the institutional capacity to use the results of periodical evaluations to inform decisions is somehow limited. Indeed, training is needed to make sure institutional performance is improved along with these outcomes. In fact, evaluation results are a powerful tool for effective management, linking strategic planning to QA procedures and good governance practices.

Perceptions of limited capacity, combined with high priority factors, tell us that the university needs to (and is willing to) improve the skills and capacity of the staff in strategic planning, in the use of evaluation results for decision-making, and in the adoption quality assurance procedures (ex-ante and ex-post). It is not a case that respondents, when assessing participation, mentioned the central quality department at the top of the rank, showing how quality has a deep value for the university, followed by the administrative staff and the Ministry providing guidelines to the institution and support in the processes.

No major differences are detected in the assessment of management effectiveness when it comes to Teaching and Research activities, while slightly lower scores are reported for the university's Third Mission. The university seems more capable and confident when managing issues related to Teaching, while capacity building may be beneficial to strengthen the capacity to manage Research activities (both planning and the use of evaluation results) and Third Mission activities. It emerges the need to train staff members on strategic planning and quality procedures for Third Mission activities, for example in relation to the work of the students' placement office management and for the realisation of socio-economic activities.

Quality procedures

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4	Definition of standard procedures for the evaluation of academic courses and teaching methodologies	4.1		
	Definition of standard procedures for the evaluation of student services	4.1		
	Definition of standard procedures for the evaluation of students' performance	4.1		
	Definition of standard procedures for the design of research programs		4.2	
	Definition of standard procedures for the acquisition of research tools / technical instruments		3.9	
	Definition of standard procedures for realization of socioeconomic activities			3.6
	Definition of standard procedures for the evaluation of students' follow-up			3.8
	Definition of standard procedures for students' placement office management			3.3

Planning Tools

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.6	Planning documents (long-term)	3.8	3.9	3.3
	Budget documents (short-term)	3.7	3.3	3

Evaluation Results

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.3	Use of data on organizational performance for decision-making	3.7	3.4	3.5
	Use of data on individual staff performance for decision-making	3.6	3.4	3.5

ACCOUNTABILITY

Importance of governance dimension	
Number of respondents	Priority factor
10	4,5

When looking at the outcomes of the self-evaluation exercise, we can say that the institution is held responsible for its decision to a relatively high extent. As it is for the other big universities in the project, the long history of the institution influenced perceptions of respondents which are well aware that – despite the Higher Education sector is highly centralized – the university is still held responsible in front of internal and external stakeholders for its performance and for the outcomes of the activities put in place. The degree of accountability is slightly higher in relation to Research activities, where results are for the most part above the average, and slightly lower for Third Mission activities. However, perceptions are substantially homogeneous for the three strategic activities. Accountability and the capacity of the university to be held responsible directly relates to autonomy, and it is not a case that responses are aligned for both autonomy and accountability little over the average.

In details, for what concerns academic issues, accountability is higher for students' performance and students' services (meaning the university is held responsible for and by the students), for the academic workload, for research results and the acquisition of research instruments, as well as for the indicators related to the university's social role, namely the students' follow-up and placement. For what concerns organizational autonomy, the compliance with the Mission, Vision and strategic plan is perceived as partially in the hands of the university, meaning the university is only partially held responsible for working in respect of what declared in its core documents, probably due to the constraints in the resources made available to the institution by the central authority and the often higher number of students that HEIs are asked to accept. Both financial accountability and human resources accountability report the lowest scores (even though higher capacity is assessed for the management, promotion and dismissal of academic staff), reflecting the limited autonomy granted to the university in deciding upon these issues.

Along with a higher desire for autonomy in decisions, awareness should be raised on the importance for institutions to be transparent, reliable and accountable for organizational processes and decisions. The university leadership should commit to take responsibility for all these aspects which fall in the partial space of autonomy granted to HEIs, without leaving all responsibilities to the central authority. In this sense, exceptional performance and high-quality outcomes would be the results of this commitment.

Organizational Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.9	Compliance with the Mission and Vision of the institution	3.4	3.9	3.6
	Compliance with planning documents (strategic plan)	3.9	3.9	3.6
	Organisation and functioning of institutional central governing bodies	3.3	3.6	3.2

Academic Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.3	Students' performance	4.2		
	Students services	4.1		
	Academic workload	4		
	Research results		4.2	
	Acquisition research tools / instruments		4	
	Set-up of socio-economic activities			3.9
	Student follow-up			4.1
	Set-up of student placement office			4

Human Resources Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4	Dismissal of academic staff	2.7	4.3	
	Dismissal of administrative staff	2.6	3.8	
	Promotion of academic staff	3.9	3.9	
	Promotion of administrative staff	3.8	3.2	
	Punitive sanctions against unethical behavior	2.9	3.2	2.9
	% time dedicated to TM activities			3.1

Financial Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4,2	Budget sources	3.1	3.2	3
	Budget allocation	3	3.3	3
	Debt level	3.1	3.1	2.7

Al-Furat Al-Awsat Technical University

Al-Furat Al-Awsat Technical University is a public university established in 2014. It has four technical colleges and seven technical institutes in different disciplines (medical, engineering, administrative, agricultural and applied arts) which are distributed across five locations: Al-Muthanna, Al-Najaf, Babylon, Diwaniya and Karbala. Courses are offered across technical diploma, technical bachelor, master's and PhD levels. The university is officially accredited by the MOHESR as well as the Technical Education Authority. On the agenda

of the university: sustainability, renewable energy, research, innovation and employability, through connections with local communities and national actors.

Looking at the answers provided by the 8 participants in the self-assessment, all governance dimensions have been evaluated as top priorities for the institutional future developments. Autonomy is on the forefront of the agenda, followed by management techniques and accountability. The university staff members have indeed realized the importance of an effective institutional performance, based on autonomy in decision-making, improved capacity and empowered leaderships. Interesting enough, the highest values are attributed to academic autonomy and the related academic accountability, complemented by the definition of quality assurance mechanisms and the effective use of performance planning tools. The outcomes of the self-assessment show that such a young institution has the willingness to prioritize its governance and invest in the institutional capacity to reach a prominent position in the national context. This is also reflected on the high value posed by respondents to the participation of stakeholders in the university governance.

AUTONOMY

Importance of governance dimension	
Number of repondents	Priority factor
8	4.5

Perceptions about the autonomy dimension reveal much of a Higher Education system. Looking at the results of the previous analysis conducted on the Iraqi HE sector, the system is quite centralized with decisions taken by and/or approved by the Ministry of Higher Education and Scientific Research. However, the staff of this very young and technical institution feel to have a quite high degree of autonomy in defining a vast number of issues within the regulatory framework. Autonomy is perceived as a very important factor for the university staff and leaders, which attributed a high score while assessing the relevance of this governance dimension and its related sub-dimensions, with a particular emphasis on academic autonomy which reached the highest score. Academic autonomy is indeed the area where universities in Iraq have more room for manoeuvre. Looking at the results concerning the actual governance arrangements of the institution, responses reveal that higher autonomy is perceived for Research-related activities which seems quite natural for a technical university focused on developing its research component.

Partial autonomy (with scores on the high range of the scale) is reported for:

- Function, composition, selection and dismissal criteria for the governing bodies. A possible explanation is that, despite many instructions are given by the MOHESR and ultimately all decisions need to undergo an approval process, the university staff still feel a high degree of autonomy because the governing bodies are those entitled to define the strategic plan of the university, decide upon both administrative and scientific issues, and many other institutional aspects.

- Academic issues, above all on the introduction of programs, the definition of research programs and the acquisition of research tools (which confirms the attention given by the university to research), and the socio-economic activities of the university related to the university's Third Mission.
- Financial matters. In this latter case, answers seem to diverge substantially from what stated by other Iraqi colleagues. The perception of a higher financial capacity in the allocation of resources, in attracting funds and in investing resources is probably related to the strong will of the university leadership to capitalize resources in research advancements and specific research sectors. The capacity of the university to direct funds into one or another specialization, such as the revenues and funds offered by international cooperation, consulting and outsourcing of services, may have strengthened the perception of a higher financial autonomy, notwithstanding the centralization of financial decisions on behalf of the Ministry and the limited resources available to Iraqi HEIs.

When looking at the degree of autonomy in relation to the three strategic university activities, answers are quite coherent in representing partial autonomy in decision-making, with a slightly higher perception of autonomy for Research-related activities. The lowest scores are reported for human resources autonomy, which was also indicated in the very first survey submitted to the university. Indeed, despite each decision must undergo a process of approval by the Ministry of Higher Education and Scientific Research, staff members still perceive they have the capacity to partially influence internal decisions. Additional efforts should be made to fully train staff and leaders about the full meaning and implications of the concept of autonomy, so to raise their awareness about the boundaries of the legislative framework as well as the actual freedom granted to universities for decisions. Moreover, such a high perception of autonomy should be leveraged to promote a process of decentralization also internally to the institution, involving all the internal stakeholders in the process and leaving more discretion to departments and colleges.

Organizational Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.2	Functions of governing bodies	3.9	4.1	3.4
	Composition of governing bodies	3.6	4	3.5
	Selection criteria of governing bodies	3.5	4	3.6
	Dismissal criteria of governing bodies	3.5	4.1	3.1

Academic Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.5	Overall students number	2.5		
	Students' selection	2.6		
	Introduction of programs	3.4		
	Design of course content	3.1		
	Choice of the language of instruction	3		

	Definition of research programs		3.6	
	Acquisition of research tools		3.5	
	Set-up of socio-economic activities			
	Set-up students follow-up mechanisms			
	Set-up students placement office			

Human Resources Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.9	Salaries for academic staff	2.7	3	
	Salaries for administrative staff	2.6	3	
	Dismissal for academic staff	2.7	2.7	
	Dismissal for administrative staff	2.6	2.6	
	% of time dedicated to TM activities			3

Financial Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.7	Buy / Sell assets	3.7	3.9	3.4
	Decision on how to allocate public funds	4		
	Attraction of funds from private sector		3.6	3.4
	Attraction of funds from EU and int org		3.1	3.7
	Decision on allocating private funds		3.6	3.7
	Investment of its own resources			3.9

MANAGEMENT TECHNIQUES

Importance of governance dimension	
Number of respondents	Priority factor
8	4.4

As for the dimension of autonomy, management techniques gained a very high score in the prioritization exercise, highlighting that effective management is considered a point of strength for the university, in all its declinations. In fact, very high scores were assigned to each sub-dimension: quality procedures, planning tools and the use of evaluation results. Looking at the outcomes of the self-assessment, the main perception is that the university is quite capable to use management tools and techniques to support institutional processes and developments. The majority of scores are well beyond the average, representing in our opinion

a mix of perceptions about both the real capacity of staff members and the desired capacity of the university. This set of managerial competences should be continuously improved and updated with the ongoing developments in higher education, to make sure the university keeps pace with international standards and practices. In this sense, a modernization of the university governance and capacity building to raise awareness about the full range of possibilities and instruments related to the use of quality procedures, long-term and short-term planning tools along with an effective use of performance evaluation results, may be beneficial for the university, building on the university agenda and vision.

Perceptions are coherent in relation to the three strategic activities of the institution, showing that Teaching, Research and the university's social role (Third Mission) are all considered relevant for the institution. It is no surprise that a very young, ambitious and technical higher education institution poses its attention on all the three university missions, giving relevance to quality in teaching, to targeted research developments and to creating connections with the private sector and the local communities, working to strengthen graduates' employability as well as generating an impact on the territory.

Quality procedures

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.5	Definition of standard procedures for the evaluation of academic courses and teaching methodologies	4		
	Definition of standard procedures for the evaluation of student services	4.1		
	Definition of standard procedures for the evaluation of students' performance	4.5		
	Definition of standard procedures for the design of research programs		3.2	
	Definition of standard procedures for the acquisition of research tools / technical instruments		4.2	
	Definition of standard procedures for realization of socioeconomic activities			3.9
	Definition of standard procedures for the evaluation of students' follow-up			4
	Definition of standard procedures for students' placement office management			4.1

Planning Tools

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.6	Planning documents (long-term)	4.2	4	4.5
	Budget documents (short-term)	3.9	4.1	4.4

Evaluation Results

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.2	Use of data on organizational performance for decision-making	3.9	3.6	4.1
	Use of data on individual staff performance for decision-making	3.6	3.6	3.7

ACCOUNTABILITY

Importance of governance dimension	
Number of repondents	Priority factor
8	4.2

Looking at the results of the self-assessment about the accountability dimension of governance, we can say that staff members consider accountability as a top priority. Results of the self-evaluation for accountability are in line with the results for the dimension of autonomy, where the higher score is attributed to academic accountability as it was for academic autonomy. Accountability is higher for academic indicators, such as students' performance, academic workload, research results and the acquisition of research instruments, students' follow-up and the socio-economic activities of the university. Most likely, since decisions about scientific matters are in the hands of the colleges and the University Council, staff members feel a higher degree of responsibility in relation to these decisions (even though an approval process from the central authority is needed, on these matters is in many cases only a formal requirement).

Great relevance is also given to organizational accountability, for which perceptions reveal that the university is responsible and held responsible, in particular for the compliance with Mission and Vision, the compliance with the planning documents, and for the organization and functioning of its own governing bodies.

Looking at the three strategic activities, accountability is homogeneously perceived for Teaching, Research and Third Mission activities. As it was for the management techniques, such high scores probably represent a mix of real and desired outcomes, showing nevertheless the willingness of the staff members and leaders to take responsibility for decisions. Building on this, the university should be empowered to make full use of the competences already there, complemented by a new set of skills and a strong commitment on behalf of the university leadership to support developments and governance improvements.

Organizational Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.4	Compliance with the Mission and Vision of the institution	4	4	3.9
	Compliance with planning documents (strategic plan)	4	3.7	4.1
	Organisation and functioning of institutional central governing bodies	4.1	4	4.1

Academic Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.7	Students' performance	4.2		
	Students services	3.7		
	Academic workload	4		
	Research results		4.2	
	Acquisition research tools / instruments		4.4	
	Set-up of socio-economic activities			4
	Student follow-up			4.1
	Set-up of student placement office			3.7

Human Resources Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.1	Dismissal of academic staff	3.1	3.4	
	Dismissal of administrative staff	3.2	3.2	
	Promotion of academic staff	4.4	4.2	
	Promotion of administrative staff	3.7	4.4	
	Punitive sanctions against unethical behavior	4.2	4.1	4
	% time dedicated to TM activities			3.9

Financial Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4	Budget sources	3.1	3.4	3.5
	Budget allocation	3.7	4	4.1
	Debt level	3.2	3.6	3.5

University of Sumer

University of Sumer is a small public institution having been established in 2012 in Dhi-Qar province/ Al-Rifai town. It was started as part of the Ministry of Higher Education and Scientific Research plan to create institutions to drive development in Iraq's regions. The university offers four-year bachelor programs, and two-year master's programs in Administration and Economics, Education, Agriculture, Law, And Computer Science & Information Technology.

Looking at the answers provided by the 7 participants in the self-assessment, a first consideration we can make is that the governance dimensions under investigation, namely autonomy, management techniques and accountability, are not perceived as top priorities for the institution. Most likely, the guidance provided by the Ministry to a young institution is still perceived very important, providing directions, instructions and a solid base upon which the university work and perform. Furthermore, when going more in details at the prioritization of the governance sub-dimensions, no particular relevance is given to any of them, with the relatively exceptions of the organizational autonomy, the use of quality assurance procedures and mechanisms, and the academic accountability, which gained scores slightly higher (even though still in the lower range of the scale).

AUTONOMY

Importance of governance dimension	
Number of repondents	Priority factor
7	2.1

The degree of autonomy of institutions is one of the most critical issues which emerged in the analysis of the HE sector in Iraq. Perceptions of respondents confirm that the degree of autonomy granted to the university is very limited: the answers provided in relation to autonomy are all noteworthy below the average, in line with a very centralized system where with the majority of decisions are taken, or later approved, by the central authority. When looking more in details to the sub-dimensions and the autonomy indicators, relatively higher scores are reported for organizational autonomy, especially for what concerns the functions and composition of the institutional governing bodies. On the other hand, very limited autonomy is granted in relation to Human Resources management and financial issues. In fact, both matters are strictly regulated by the directives of the Ministry of Higher Education and Scientific Research and the law regulating HE. The perceptions of respondents are also in line with what stated by the university in the very first survey submitted at the beginning of the project and during the Virtual Focus Groups.

When looking at the degree of autonomy in relation to the three strategic university activities, Teaching, Research and Third Mission, perceptions show similar trends. Generally speaking, the extent to which the university can freely decide is very low. However, it is worth to mention that such extreme perceptions of very limited autonomy may be due to the limited knowledge of the regulatory framework within which universities perform. In fact, from the analysis conducted on the Iraqi system and from the answers provided

by the other universities, the room for manoeuvre granted to HEIs is not wide but neither so reduced. It would be beneficial for the institution to invest in capacity building, training both university staff and leaders to fully comprehend the concept of autonomy and what it implies for the university, as well as deepen the knowledge of the entire set of regulations to which rely on. Moreover, the university governance should be empowered to take responsibility for action, strengthening the role of the institutional governing bodies and the process of consultation with internal and external stakeholders to support modernization and advancements, along with a coherent definition of a strategic plan and a Vision for the institution.

Organizational Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.6	Functions of governing bodies	2.4	2.7	2.7
	Composition of governing bodies	2.7	2.4	2.4
	Selection criteria of governing bodies	2.4	2.3	2.1
	Dismissal criteria of governing bodies	3	2.3	2.4

Academic Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
1.9	Overall students number	2.3		
	Students' selection	2.1		
	Introduction of programs	1.7		
	Design of course content	2		
	Choice of the language of instruction	2.3		
	Definition of research programs		2.4	
	Acquisition of research tools		1.7	
	Set-up of socio-economic activities			2
	Set-up students follow-up mechanisms			2.1
	Set-up students placement office			1.9

Human Resources Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.1	Salaries for academic staff	1.9	1.7	
	Salaries for administrative staff	1.7	1.7	
	Dismissal for academic staff	2.4	2.4	
	Dismissal for administrative staff	2.3	2	
	% of time dedicated to TM activities			2

Financial Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
1.4	Buy / Sell assets	2	1.1	1.7
	Decision on how to allocate public funds	1.9		
	Attraction of funds from private sector		1.3	1.9
	Attraction of funds from EU and int org		1.7	1.9
	Decision on allocating private funds		2.1	2.4
	Investment of its own resources			2

MANAGEMENT TECHNIQUES

Importance of governance dimension	
Number of respondents	Priority factor
7	2.4

Looking at what emerges from the answers provided by respondents, as well as from what detected from the analysis of the Higher Education system in Iraq, it is necessary for Iraqi universities to strengthen their management capacity in order to improve performance and the quality indicators of the services provided. However, the priority attributed to management techniques is somehow limited, probably reflecting the same perceptions reported for autonomy and accountability. The reason may be the same: the university feel to have a very reduced capacity to take decisions and manage its own processes, resulting in very low priority factors and very low scores in the assessment. As mentioned before, a process of empowerment, capacity building and awareness raising would be essential to support the university's future developments. Staff members need to be empowered in the use of strategic planning tools both for long-term and short-term planning (for which they stated to be fully dependent from the central authority in the survey), as well as in the effectiveness in the use of evaluation results to inform the decision-making process. Slightly higher scores are reported on quality procedures, in particular for the definition of standard procedures for the evaluation of students' performance and for the realization of socioeconomic activities.

Generally speaking, no relevant differences are detected in the assessment of management effectiveness when it comes to Teaching, Research or Third Mission activities.

Quality procedures

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.3	Definition of standard procedures for the evaluation of academic courses and teaching methodologies	2.1		
	Definition of standard procedures for the evaluation of student services	2.3		
	Definition of standard procedures for the evaluation of students' performance	2.7		
	Definition of standard procedures for the design of research programs		2.3	
	Definition of standard procedures for the acquisition of research tools / technical instruments		2.3	
	Definition of standard procedures for realization of socioeconomic activities			2.4
	Definition of standard procedures for the evaluation of students' follow-up			2.3
	Definition of standard procedures for students' placement office management			2.3

Planning Tools

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2	Planning documents (long-term)	2.1	2.1	2.1
	Budget documents (short-term)	2	2	1.9

Evaluation Results

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.16	Use of data on organizational performance for decision-making	2.1	2	2.1
	Use of data on individual staff performance for decision-making	2.3	2.3	2.1

ACCOUNTABILITY

Importance of governance dimension	
Number of repondents	Priority factor
7	1.4

Looking at the results of the self-assessment about the accountability dimension of governance, we can say that the trend is similar to the above-mentioned dimensions. The degree of accountability is low (directly correlated to the very low perception of autonomy) and no major differences are detected in relation to Teaching, Research and Third Mission activities. The university staff members and leaders strongly rely on the directions provided (formally and informally) by the central authority, without taking responsibility or considering the university accountable for institutional performance and decisions. Relatively higher scores are reported for organizational accountability, where the compliance with the Mission, Vision and strategic plan is perceived in the hands of the university to a relatively higher extent (the score reaches almost the average of the scale) if compared to the other factors. On the other hand, human resources accountability and financial accountability are extremely low, reflecting the very low degree of autonomy in these matters.

As it has been pointed out before, the university need to undergo a deep process of capacity building and knowledge sharing, and need to strengthen the commitment of the leadership in taking responsibility for decisions, guiding the institution towards future objectives and rely on a strengthened process of consultations, with newly trained internal actors (academic staff, administrative staff and students) as well trough the dialogue with neighbour universities and local stakeholders. Dialogue with other Iraqi universities may be an asset for this young and relatively unexperienced institution, to capitalize on the possibilities offered by the modernization of its governance arrangements.

Organizational Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.42	Compliance with the Mission and Vision of the institution	2.1	2.4	2.4
	Compliance with planning documents (strategic plan)	2.4	2.4	2.4
	Organisation and functioning of institutional central governing bodies	2.3	2.3	2.1

Academic Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.42	Students' performance	2.3		
	Students services	2.3		

	Academic workload	2.3		
	Research results		2.3	
	Acquisition research tools / instruments		2.1	
	Set-up of socio-economic activities			1.7
	Student follow-up			2.1
	Set-up of student placement office			2.1

Human Resources Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.16	Dismissal of academic staff	2	2.1	
	Dismissal of administrative staff	2	2.1	
	Promotion of academic staff	2	2.3	
	Promotion of administrative staff	2	2.3	
	Punitive sanctions against unethical behavior	2.3	2.4	2.3
	% time dedicated to TM activities			2.1

Financial Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
1.9	Budget sources	2	2	2
	Budget allocation	2.1	2	2
	Debt level	1.7	1.7	1.7

Al-Qasim Green University

Al-Qasim Green University is a relatively young institution having been established in 2012. It was started as part of a higher education ministry plan to create specialised institutions to drive development in Iraq's regions. It started with faculties of agriculture and veterinary science from the nearby University of Babylon, along with newly-formed schools of biotechnology; food science; environmental science and water resource engineering. The idea of it becoming Iraq's Green university was founded on its location in the Euphrates region, where agriculture and animal husbandry are significant local industries. Two further colleges - science and physical education and sports science - have been added to the original six.

Looking at the answers provided by the 11 participants in the self-assessment, a first consideration we can make is that the governance dimensions in the analysis are not perceived as top priorities for the institution.

Most likely, the guidance provided by the central authority to a very young institution is still perceived very important, providing certainty, solidity and clear directions. However, when going more in details at the prioritization of the governance sub-dimensions, particular relevance is given to organizational autonomy, academic autonomy, to the definition of quality assurance mechanisms, and to accountability in relation to academic issues and decisions about human resources. Generally speaking, the necessity to strengthen the social role of the university emerged, since very low scores are reported for Third Mission activities. Especially for a young university focused on the development of the local territory, it is important to work on the engagement of socio-economic actors and the dialogue with the local communities, as it also emerged in the analysis of the participation dimension. External stakeholders should be more involved in the university life, reinforcing the Third Mission of the institution and its vision as a critical actor in the close context.

AUTONOMY

Importance of governance dimension	
Number of repondents	Priority factor
11	1.8

The degree of autonomy of institutions is one of the most critical issues for the Iraqi HE sector. The perceptions of respondents confirm that the degree of autonomy granted to HEIs is very limited, with the majority of decisions taken by the central authority ex-ante. This is reflected in the answers provided, where most of the values related to autonomy are below the average. When the degree of autonomy is higher, it most likely represents situations where decisions are made by the university and only later approved by the Ministry of Higher Education and Scientific Research, such is the case of:

- the composition, selection and dismissal of governing bodies dealing with teaching and research
- academic issues related to the introduction and definition of teaching and research programs
- the acquisition of technical instruments
- the setting-up of socio-economic activities.

Very limited autonomy is granted in relation to HR management (where decisions about administrative staff seem to be relatively freer than these related to academic staff) and financial issues, confirming what stated by universities in the survey and in the Focus Groups.

When looking at the degree of autonomy in relation to the three strategic university activities, the absolute lower scores relate to the Third Mission activities, where the university staff members felt to have almost no autonomy in decisions, except for decisions about setting-up activities related to the university social role. The degree of autonomy in relation to both Teaching and Research show similar trends, with partial autonomy in deciding about governing bodies, about academic issues and research programs. Generally speaking, the extent to which the university can freely decide about financial matters is very low. However, perceptions reveal a relatively higher financial autonomy granted in relation to Teaching activities than to Research activities.

Organizational Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.9	Functions of governing bodies	2	2.4	1.2
	Composition of governing bodies	3.3	2.9	1.4
	Selection criteria of governing bodies	2.9	2.6	1.3
	Dismissal criteria of governing bodies	3.2	3	1.3

Academic Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.7	Overall students number	1.4		
	Students' selection	1.3		
	Introduction of programs	2.6		
	Design of course content	2.1		
	Choice of the language of instruction	2.7		
	Definition of research programs		3.4	
	Acquisition of research tools		2.7	
	Set-up of socio-economic activities			2.7
	Set-up students follow-up mechanisms			1.8
	Set-up students placement office			1.8

Human Resources Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
1.6	Salaries for academic staff	1.3	1.3	
	Salaries for administrative staff	1.3	1.3	
	Dismissal for academic staff	2	2	
	Dismissal for administrative staff	2.3	2.3	
	% of time dedicated to TM activities			1.4

Financial Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
1.4	Buy / Sell assets	2.3	1.4	1
	Decision on how to allocate public funds	2.2		
	Attraction of funds from private sector		1.2	1
	Attraction of funds from EU and int org		1	1
	Decision on allocating private funds		1	1
	Investment of its own resources			1

MANAGEMENT TECHNIQUES

Importance of governance dimension	
Number of respondents	Priority factor
11	2.1

Many researchers of the Iraqi HE sector referred to the necessity for the universities to strengthen their management capacity to improve performance and the quality of the services provided. This is also confirmed by the perceptions of the respondents in the self-assessment. High priority is given to quality assurance and the definition of standard procedures for evaluations. However, except for what concerns teaching (i.e. evaluation of academic courses and teaching methodologies, student services and students' performance), where the university felt more confident about its own capacities, there is an emerging need to train staff members on quality procedures for research activities and third mission activities. This strongly relates to the use of evaluation results: perceptions reveal that the institutional capacity to use the results of the evaluation for informing decisions is very limited. Indeed, training is also needed to make effective use of the outcomes of periodical and targeted evaluations, so that the institutional performance is improved along with these outcomes. Lastly, when it comes to assessing the capacity of the university in using planning tools, scores are again at the very bottom of the scale. Staff members need to be empowered in the use of strategic planning tools both for long-term and short-term planning.

No major differences are detected in the assessment of management effectiveness when it comes to Teaching, Research or Third Mission activities. The university seems more capable and confident when managing all the issues related to Teaching, while capacity building is surely needed to strengthen the capacity to manage Research activities (both for QA procedures and planning) and Third Mission activities.

Quality procedures

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.3	Definition of standard procedures for the evaluation of academic courses and teaching methodologies	3		
	Definition of standard procedures for the evaluation of student services	2.5		
	Definition of standard procedures for the evaluation of students' performance	2.7		
	Definition of standard procedures for the design of research programs		1.6	
	Definition of standard procedures for the acquisition of research tools / technical instruments		2.5	
	Definition of standard procedures for realization of socioeconomic activities			1.2
	Definition of standard procedures for the evaluation of students' follow-up			1.3
	Definition of standard procedures for students' placement office management			1.1

Planning Tools

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.2	Planning documents (long-term)	2.2	1.5	1.1
	Budget documents (short-term)	1.5	1.4	1.2

Evaluation Results

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
1.9	Use of data on organizational performance for decision-making	2.2	2.2	1.3
	Use of data on individual staff performance for decision-making	1.9	2.2	1.3

ACCOUNTABILITY

Importance of governance dimension	
Number of respondents	Priority factor
11	2.1

Looking at the results of the self-assessment about the accountability dimension of governance, we can say that the institution is held responsible for its decision to a high extent. The degree of accountability is higher in relation to Teaching and Research activities, where results are for the most part above the average. This directly relates with the areas in which autonomy is slightly higher, namely academic autonomy and organizational autonomy. A very low degree of accountability is instead perceived in relation to Third Mission activities, which need to be followed-up more carefully to make sure the institution is responsible not only for setting-up the activities but also for the outcomes and impact of its social engagement.

Compliance with the Mission, Vision and strategic plan is relatively high, meaning the university is held responsible for working in respect of what declared in its core documents. For what concerns academic issues, accountability is higher for students' performance and services (meaning the university is held responsible for and by the students), while the degree of accountability is lower for research results and very limited for socio-economic activities, and the students' follow-up after graduation (including their employability and placement). If on the one side financial accountability is extremely low – reflecting the very low degree of autonomy in financial matters, for which decisions are set by the central authority, accountability in human resources management is very high – even though the degree of autonomy in HR management is extremely low. This means that, despite decisions are taken by the central authority, the university is still held responsible to a very high extent for making sure staff is managed according to these decisions. Accountability seems relatively higher on Research activities than on Teaching activities.

Organizational Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.3	Compliance with the Mission and Vision of the institution	3.9	3.7	1.5
	Compliance with planning documents (strategic plan)	3.1	3.6	1.4
	Organisation and functioning of institutional central governing bodies	3.2	3.8	1.4

Academic Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.1	Students' performance	3.4		
	Students services	3.4		
	Academic workload	3.6		
	Research results		2.6	
	Acquisition research tools / instruments		2.7	
	Set-up of socio-economic activities			1.3
	Student follow-up			1.4
	Set-up of student placement office			1.4

Human Resources Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.7	Dismissal of academic staff	3.1	3	
	Dismissal of administrative staff	3.1	2.9	
	Promotion of academic staff	3.8	4.2	
	Promotion of administrative staff	3.5	4.2	
	Punitive sanctions against unethical behavior	4.2	4.1	1.9
	% time dedicated to TM activities			1.4

Financial Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
1.9	Budget sources	2.6	1	1
	Budget allocation	2.4	1	1
	Debt level	1.6	1	1.2

University of Basra Oil and Gas

Basra University for Oil and Gas (BUOG) is the first Iraqi Public University that specializes in oil and gas industries as well as other energy fields. It was established according to the Ministry of Higher Education and Scientific Research Order No. (3/11) in 2014. This technical university currently has only one college- oil and gas college- which includes two departments: Chemical Engineering Department and Oil and Gas Engineering Department. BUOG adopted the Central Admission System, taking into consideration the current capacity of the university as well as the country need for qualified engineering staff in the field of Petroleum Industry. The university is located in Basra, the economic capital of Iraq where the Iraqi largest oil and gas plants are located, and due to the proximity to the sites of the International Oil Companies.

Looking at the answers provided by the 7 participants in the self-assessment, it is possible to affirm that the governance dimensions analysed in the self-assessment are not all perceived as high priorities for the institution: the top priority is the accountability dimension with an average of 4 in the prioritization exercise, whereas the 3.3 value attributed to participation (little over the average) reveals the nature of the university as linked to the socio-economic reality of the country. In particular, external stakeholder are considered relevant for the university, even though answers indicate that the university needs to strengthen the participation of stakeholders in its governance arrangement. Then, importance is respectively given to management techniques and lastly to autonomy (with a priority factor below the average). The autonomy dimension seems to be perceived as the less relevant compared to the other governance dimensions. Self-assessment replies reflect the survey findings, where the University of Basra Oil and Gas declared to have only partial autonomy in many issues because the majority of both scientific and financial decisions depend

on the Ministry of Higher Education and Scientific Research. Partial autonomy is also reported in the self-assessment. Looking at the prioritization of the governance sub-dimensions, particular relevance is given to financial autonomy, to the definition of quality assurance mechanisms, and to accountability in relation to financial issues. Financial accountability as well as financial autonomy are both perceived as top priorities, and this is most likely related to the need to improve both and benefit from more autonomy in managing resources upon the set institutional objectives. Training in terms of management techniques, strategic planning and QA is also needed, to complement the set of skills essential to the university to improve.

AUTONOMY

Importance of governance dimension	
Number of respondents	Priority factor
7	2.6

The perceptions of the 7 respondents in the self-evaluation confirm that the degree of autonomy granted to the university is limited or partial, with the majority of decisions taken by the central authority. Perceptions of limited freedom in the decision-making process are reported: most of the values related to autonomy are around the average of 3 or little below the average. When the degree of autonomy is perceived higher, it most likely represents situations where decisions are made by the university and only later undergo the approval process by the Ministry, such is the case of:

- the composition, selection and dismissal of governing bodies dealing with Teaching and Research
- academic issues related to Teaching, in particular for the introduction of teaching programs and the students selection (as it was also reported in the Virtual Focus Groups)
- the decisions about Human Resources engaged in Teaching activities
- the setting-up of students' follow-up mechanisms and the work of the placement office

Very limited autonomy is granted in relation to financial aspects, especially for Third Mission activities.

When looking at the degree of autonomy in relation to the three strategic university activities, it seems the higher scores are reported for Teaching-related activities, while the lower scores concern the activities related to the university's Third Mission (as an example, the percentage of time dedicated to TM is low as well as the possibility to invest own resources to strengthen the university social role). As anticipated, the lower perception in terms of financial autonomy and for decisions about human resources is reported in all the three strategic activities, even though again for what concerns Teaching scores are relatively higher. It is also worth to notice that a higher degree of organizational autonomy is reported for the governing bodies dealing with Research. Most likely, being the university so specialized, more autonomy is perceived on behalf of the institutional leadership when taking decisions about the main focus of the institutional activity.

Organizational Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.42	Functions of governing bodies	3	3.4	2.6
	Composition of governing bodies	2	3.7	2.6
	Selection criteria of governing bodies	3	3.9	2.7
	Dismissal criteria of governing bodies	2.6	3.7	2.6

Academic Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.85	Overall students number	3.6		
	Students' selection	3.6		
	Introduction of programs	4		
	Design of course content	3.3		
	Choice of the language of instruction	3.3		
	Definition of research programs		2.6	
	Acquisition of research tools		2.6	
	Set-up of socio-economic activities			1.9
	Set-up students follow-up mechanisms			3.6
	Set-up students placement office			3.4

Human Resources Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.85	Salaries for academic staff	3.4	2	
	Salaries for administrative staff	3.3	1.9	
	Dismissal for academic staff	3.4	1.9	
	Dismissal for administrative staff	3.4	1.7	
	% of time dedicated to TM activities			2.3

Financial Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.28	Buy / Sell assets	2.4	2.4	
	Decision on how to allocate public funds	2.4		
	Attraction of funds from private sector		2.1	1.9
	Attraction of funds from EU and int org		1.9	1.6
	Decision on allocating private funds		1.9	1.9
	Investment of its own resources			1.7

MANAGEMENT TECHNIQUES

Importance of governance dimension	
Number of respondents	Priority factor
7	3.4

The dimension of governance of management techniques in relation to Teaching, Research and Third Mission, is perceived as the third dimension more important for the university, after participation and accountability, with a score of 3.4. This reflects the relative importance given to effective management, within the limits of the current regulatory framework. Indeed, a reform process is currently ongoing in Iraq which should aim at strengthening the capacity of HEIs to manage institutional processes effectively and raise awareness about the importance of quality assurance mechanisms and performance evaluation. However, except for what concerns Teaching, where the university staff feel more confident about the institutional capacities (in particular in the evaluation of academic courses and teaching methodologies, the use of long-term planning tools and the use of evaluation results for decision-making), there is an emerging need to train staff members on quality procedures, on setting up QA mechanisms for the evaluation of students services, research programs, the impact generated by the work of the students' placement office, and the use of short-term planning tools. All in all, answers reveal that the institutional capacity to use management techniques is very limited, with the lower scores reported for Research-related activities. This may generate particularly negative outcomes if we consider major autonomy is perceived exactly in Research. It is therefore extremely important to strengthen the capacity of the university in management, with extra attention in the management of Research activities. Indeed, training is also needed to set quality procedures and keep pace with international quality standards, and make effective use of the outcomes of periodical and targeted evaluations, so that the institutional performance is improved along with these outcomes.

Quality procedures

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.3	Definition of standard procedures for the evaluation of academic courses and teaching methodologies	2.6		
	Definition of standard procedures for the evaluation of student services	1.9		
	Definition of standard procedures for the evaluation of students' performance	2		
	Definiton of standard procedures for the design of research programs		1.9	
	Definition of standard procedures for the acquisition of research tools / technical instruments		1.9	
	Definition of standard procedures for realization of socioeconomic activities			2.1
	Definition of standard procedures for the evaluation of students' follow-up			2
	Definition of standard procedures for students' placement office management			1.9

Planning Tools

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3	Planning documents (long-term)	2.3	2.3	2.1
	Budget documents (short-term)	1.9	2	1.9

Evaluation Results

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.6	Use of data on organizational performance for decision-making	2.4	2.1	2
	Use of data on individual staff performance for decision-making	2.3	2	2.3

ACCOUNTABILITY

Importance of governance dimension	
Number of respondents	Priority factor
7	4

Looking at the results of the self-assessment about the accountability dimension of governance, we can say that the staff at the institution perceive to be responsible for decisions to a partial extent and only partially accountability is perceived as a priority in future developments. The degree of accountability is slightly higher in relation to Teaching and Research activities, where results are for the most part little above the average, while scores for accountability in Third Mission are substantially low. As a preliminary consideration, it would be beneficial for the university to raise the knowledge of the accountability concept and raise awareness about the relation between autonomy and accountability. The more decision power is transferred to universities, the more universities are responsible and held responsible for decisions. The university needs to be empowered to take effective decisions but also to be accountable, transparent, liable and report on the decision-making process. All in all, the difference among the three strategic activities is really small, with higher degree of accountability perceived for:

- the compliance with the Mission, Vision, and strategic planning documents
- the organization and functioning of the governing bodies, which also relates to the degree of accountability in promoting staff and sanction unethical behaviours
- academic matters, specifically on academic workload, research outcomes, students' performance and students' follow-up (meaning the university is held responsible for and by the students)
- the percentage of time dedicated to Third Mission activities

On the financial accountability, the average score is very low, reflecting the low degree of autonomy in financial matters, for which decisions are set by the central authority. A little more responsibility is perceived in relation to Teaching activities, for which the university is still held accountable to some extent.

Organizational Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.4	Compliance with the Mission and Vision of the institution	3.7	3.6	2.7
	Compliance with planning documents (strategic plan)	3.6	3.6	2.7
	Organisation and functioning of institutional central governing bodies	3.4	3.6	2.7

Academic Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
2.8	Students' performance	3		
	Students services	2.9		
	Academic workload	3.4		
	Research results		3.3	

	Acquisition research tools / instruments		2.1	
	Set-up of socio-economic activities			1.9
	Student follow-up			3
	Set-up of student placement office			2.9

Human Resources Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.3	Dismissal of academic staff	1.9	2.3	
	Dismissal of administrative staff	1.9	2.4	
	Promotion of academic staff	3.4	4	
	Promotion of administrative staff	3.4	2.4	
	Punitive sanctions against unethical behavior	4.1	4.1	1.9
	% time dedicated to TM activities			3.7

Financial Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.3	Budget sources	2.9	1.1	1.6
	Budget allocation	2.9	1.1	1.6
	Debt level	1.1	1.1	1.6

Al-Karkh University for Science

Al-Karkh University of Science (KUS) is a newly established University in 2014 as non-profit public higher education institution located in the metropolis of Baghdad. The University aspires to achieve higher levels among other Iraqi Universities, preparing a whole new generation armed with science and knowledge through the establishment of new scientific faculties and departments especially in the rare scientific fields such as Remote Sensing and Geophysics techniques. The University is officially accredited and recognized by the Ministry of Higher Education & Scientific Research of Iraq, and offers courses and programs leading to officially recognized bachelor degrees in several areas of study.

While conducting the self-assessment exercise, 8 participants from Al-Karkh University of Science took part in the process. All the governance dimensions analysed are perceived as high priorities for the institution: the top dimension on the university agenda is the participation dimension, with an average score of 5, whereas all the other dimensions, autonomy, accountability and management techniques, show scores between 4 and 4.9. Answers reveal the nature of the university, very linked to the socio-economic reality and which values very much the involvement of external stakeholders in the university functioning. This also

related to the very high values attributed to academic autonomy and the related academic accountability, complemented by the definition of quality assurance mechanisms and the effective use of performance planning tools. The outcomes of the self-assessment show that such a young institution has the willingness to prioritize its governance and invest in the institutional capacity to reach a prominent position in the national context. Where values are lower, for example for human resources autonomy and financial autonomy, it most likely reflects the state of the art of the Iraqi higher education system, where the management of human resources (their related salary, the possibility for recruitment or dismissal) as well as financial decisions are strongly dependent on the central authority and there is very limited autonomy left to HEIs. Interesting enough, in the assessment the degree of accountability is quite high, revealing that despite autonomy is lower, the university still feel responsible to a high extent for compliance with decisions.

AUTONOMY

Importance of governance dimension	
Number of respondents	Priority factor
8	4.6

The perceptions of the 8 respondents from Al-Karkh University of Science show a certain degree of autonomy in dealing with academic issues, which also gained the higher priority score. Academic autonomy is perceived in particular on the students' selection, the design of course content, the choice of the language of instruction, the definition of research programs and the students' follow-up mechanisms. As well, autonomy in organizational aspects is quite high, in relation to all the mentioned indicators: functions of governing bodies, composition of governing bodies, selection and dismissal criteria of governing bodies. This also reflects the survey findings where the university stated to have its own autonomy in taking decisions about academic and organisational aspects, with decisions only validated and accepted in a second stage by the government / the Ministry of Higher Education and Scientific Research. When the degree of autonomy is higher, it most likely represents situations where decisions are made by the university and only later approved by the central authority, strengthening the perception of a higher degree of autonomy. Very limited autonomy is instead granted in relation to human resources management and financial aspects, still very centralized, confirming what stated by universities in the survey and in the Virtual Focus Groups. Interesting is to notice that higher scores are attributed to the capacity to allocate funds for teaching activities, as well as autonomy in attracting funds from the EU and international organizations, and invest own resources for socio-economic activities related to the university's Third Mission.

When looking at the degree of autonomy in relation to the three strategic university activities, it seems that perceptions are coherent, with small unbalances once in one direction and once in another. All in all, autonomy is perceived in a relatively high and homogeneous way. In this sense, it would be important for the institution to start from this solid base and keep investing resources in empowering the university leadership and train staff to take advantage of all the possibilities offered to HEIs within the existing regulatory framework. Autonomy must be fully understood and fully exploited as an instrument to tailor the future steps coherently with the resources available and the set strategic objectives.

Organizational Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.6	Functions of governing bodies	4.6	4.9	4.9
	Composition of governing bodies	4	4.7	4.5
	Selection criteria of governing bodies	4.7	4.7	4.6
	Dismissal criteria of governing bodies	3.9	4	4.4

Academic Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.9	Overall students number	2.9		
	Students' selection	4.2		
	Introduction of programs	3.2		
	Design of course content	4.9		
	Choice of the language of instruction	4.4		
	Definition of research programs		4.6	
	Acquisition of research tools		3.6	
	Set-up of socio-economic activities			4
	Set-up students follow-up mechanisms			4.2
	Set-up students placement office			2.6

Human Resources Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.4	Salaries for academic staff	2.6	3.2	
	Salaries for administrative staff	2.7	3	
	Dismissal for academic staff	2.7	3	
	Dismissal for administrative staff	3	3.2	
	% of time dedicated to TM activities			4.4

Financial Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4	Buy / Sell assets	2.	2.1	
	Decision on how to allocate public funds	3.6		
	Attraction of funds from private sector		2.4	1.7
	Attraction of funds from EU and int org		4.7	1.9
	Decision on allocating private funds		2	1.9
	Investement of its own resources			2.9

MANAGEMENT TECHNIQUES

Importance of governance dimension	
Number of respondents	Priority factor
8	4.6

The governance dimension of management techniques in relation to Teaching, Research and Third Mission activities, is perceived as the second more important dimension for the university, after the participation and together with accountability and autonomy. Answers report the relevance given to effective institutional management in the Iraqi higher education system, where quality assurance and evaluation tools are on the forefront of the HE sector agenda, reflecting the reform process currently ongoing in the country and confirming the efforts made by the MOHESR towards spreading a culture of quality assurance and performance evaluation. Respondents are quite confident in their capacity to use quality assurance mechanisms and setting standard procedures for evaluation, in particular for the assessment of courses, teaching methodologies, students' services and students' performance, and ultimately for the evaluation of research programs. This also relates to the perceived degree of effectiveness in using evaluation results, which is also very high – and reflects the answers provided in the survey submitted to the university at the beginning of the research process, in which QA mechanism were described as relatively strong. Starting from these perceptions, it would be important for the university to keep working on strengthening the skills and competences of the staff dealing with QA, to make sure the institution keeps high standards in performance. Lastly, when it comes to assessing the capacity of the university in using planning tools (both short-term and long-term) in the field of Teaching perceptions about the institutional capacity are relatively higher compared to Research and Third Mission. Overall, staff members feel to rely to a very strong capacity in planning, confirmed also by the high values attributed to accountability in the compliance with the strategic documents. Since a high emphasis is attributed to strategic planning, it should not be neglected in the future capacity building action despite the high scores reported, taking advantage of the project training to expand the number of the staff and leaders capable to effective use planning tools. In this way, the newly trained and empowered human resources may grant to the university a solid base in terms of institutional capacity beyond the current governance arrangements.

Quality procedures

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.6	Definition of standard procedures for the evaluation of academic courses and teaching methodologies	5		
	Definition of standard procedures for the evaluation of student services	4.9		
	Definition of standard procedures for the evaluation of students' performance	5		
	Definiton of standard procedures for the design of research programs		4.6	
	Definition of standard procedures for the acquisition of research tools / technical instruments		4.2	
	Definition of standard procedures for realization of socioeconomic activities			4.4
	Definition of standard procedures for the evaluation of students' follow-up			4.1
	Definition of standard procedures for students' placement office management			4.2

Planning Tools

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.4	Planning documents (long-term)	4.6	4.4	4.1
	Budget documents (short-term)	4.7	4.5	4.3

Evaluation Results

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.4	Use of data on organizational performance for decision-making	4.5	4.6	4.5
	Use of data on individual staff performance for decision-making	4.6	4.6	4.2

ACCOUNTABILITY

Importance of governance dimension	
Number of respondents	Priority factor
8	4.6

Looking at the results of the self-assessment about the accountability dimension of governance, we can say that the institution is held responsible for its decision to a high extent. The degree of accountability is slightly higher in relation to Teaching and Research activities, where results are for the most part above the average reaching the 4.5 score. A lower perception of accountability is reported in relation to human resources (reflecting the lower degree of autonomy in decisions). The university feel to be accountable and held accountable for its own performance, the services provided and the impact generated in the socio-economic context, being responsible towards both internal and external stakeholders. The difference among the three strategic activities is really small, showing that the university is also willing to take responsibility for its own decisions (even when the degree of real autonomy granted is lower than the perceptions collected, such is the case for financial matters). All in all, Al-Karkh University attributes particular attention to accountability, especially to academic accountability and organizational accountability. The more an institution feels autonomous in teaching and research, the more it is accountable in front of several actors (and not only the central authority). Results show not only the importance given to this dimension and its sub-dimensions, but also the need to further empower universities in this direction, for the benefit of the entire country and as a source of inspiration for other HEIs which perceive the accountability dimension as less important.

In details, for what concerns academic issues, accountability is higher for students' performance and services (meaning the university is held responsible for and by the students), with similar scores also for the degree of accountability for research results and for academic workload. What could be improved is the slightly lower values reported for the setting-up of socio-economic activities, the student follow-up and the student placement office setting up, which are probably due to the fact that Third Mission activities are more recent development and universities still need to work on both setting up services and following up on their impact. On the financial accountability, the average score is lower than the other sub-dimensions, reflecting the lower degree of autonomy in financial matters, for which decisions are set by the central authority. Indeed, it is also interesting to note that the university feels responsible to a very high extent to comply with financial directives. This may lead us to think universities are indeed held responsible for the use they make of financial resources, despite very little of financial decisions is left in their hands.

What is also interesting to note is the low perception given to financial accountability in relation to the Research activities, with an average score of 2.5 which diverge from results in the self-assessment for Research-related activities in other sub-dimensions. For example, when looking at the compliance with the mission and the vision of the institution, or also the compliance with the strategic plan, Research-related activities gain the higher scores. It is important therefore to stress that the university should raise awareness about the need to be responsible and accountable also for financial issues linked to the research field.

Organizational Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.5	Compliance with the Mission and Vision of the institution	4.2	4.9	4
	Compliance with planning documents (strategic plan)	4.7	4.5	4.1
	Organisation and functioning of institutional central governing bodies	4.5	4.5	3.9

Academic Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4,5	Students' performance	4.2		
	Students services	4.5		
	Academic workload	4.5		
	Research results		4.2	
	Acquisition research tools / instruments		4.7	
	Set-up of socio-economic activities			3.9
	Student follow-up			4.2
	Set-up of student placement office			4.1

Human Resources Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.37	Dismissal of academic staff	3.4	3.2	
	Dismissal of administrative staff	3.6	3.7	
	Promotion of academic staff	4.4	4.2	
	Promotion of administrative staff	4.4	4.1	
	Punitive sanctions against unethical behavior	4.2	4	4.1
	% time dedicated to TM activities			4

Financial Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4,5	Budget sources	4.9	2.7	4.9
	Budget allocation	4.2	2.9	4.7
	Debt level	4.4	2.7	4.6

Southern Technical University

Founded in 2014, Southern Technical University is a non-profit public higher-education institution located in the metropolis of Basrah. It is polytechnic university among the most recently established in Iraqi universities. It offers different education levels which are technical Diploma, Technical Bachelor and Technical Master of Science in Engineering, Technology, Administration, Health and Medicine, Finance and Accounting, and other tracks. It has the ambitious of becoming an interest point of linkage for different stakeholders in the region.

Looking at the answers provided by the 7 participants in the self-assessment, all governance dimensions have been evaluated as extremely important and relevant for an effective institutional performance. Accountability gained the higher score together with autonomy, followed by the management techniques. The university values very much to invest in the modernization and improvement of its governance arrangements to provide high quality education and services. Interesting enough, high importance is given to accountability showing full willingness on behalf of the institution to take responsibility for its own decisions and lead institutional processes once granted a higher degree of autonomy.

AUTONOMY

Importance of governance dimension	
Number of repondents	Priority factor
7	4.3

Autonomy has proven to be one of the main issues for Iraqi HEIs. Respondents in the self-assessment reveal that the university has a partial degree of autonomy in the majority of the institutional matters, with lower scores concerning human resources management and financial decisions, in line with the main features of the HE sector in Iraq. These decisions are in fact in the hands of the central authority. Despite the system in Iraq is quite centralized, answers in the assessment show that this very young university has found its space of autonomy within the limits, especially for the issues related to research activities. Partial autonomy (with scores little above the average) is reported for:

- Function, composition and selection criteria for the governing bodies
- Academic issues, above all on students' selection, the choice of the language of instructions, the definition of research programs and the acquisition of research tools, and the socio-economic activities of the university (including placement)
- Attraction of funds from the private sector, the EU and international organizations
- Human resources management, which seems to be somehow partially delegated to the university

When looking at the degree of autonomy in relation to the three strategic university activities, answers are quite coherent in representing partial autonomy in decision-making, with a slightly higher perception of autonomy for Research-related activities. The lowest scores are reported for financial autonomy, which is no surprise. Indeed, despite each decision must undergo a process of approval by the Ministry of Higher Education and Scientific Research, staff members still perceive they have the capacity to partially influence organizational process by informing these decisions. It is important empower staff members to allow them

to take full advantage of this perception of autonomy, and to be ready for a process of decentralization, both from the central authority to the HEIs and internally at the institution.

Organizational Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.6	Functions of governing bodies	3.1	3.3	3.3
	Composition of governing bodies	3.1	3.4	3.1
	Selection criteria of governing bodies	3.1	3.4	3.1
	Dismissal criteria of governing bodies	2.4	2.4	2.3

Academic Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.6	Overall students number	3.1		
	Students' selection	3.3		
	Introduction of programs	2.9		
	Design of course content	3.1		
	Choice of the language of instruction	3.7		
	Definition of research programs		3.3	
	Acquisition of research tools		3.4	
	Set-up of socio-economic activities			3.3
	Set-up students follow-up mechanisms			3
	Set-up students placement office			3.3

Human Resources Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.8	Salaries for academic staff	3.3	3.6	
	Salaries for administrative staff	3.1	3.1	
	Dismissal for academic staff	2.6	2.9	
	Dismissal for administrative staff	3	2.7	
	% of time dedicated to TM activities			3.3

Financial Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.6	Buy / Sell assets	2.6	2.6	2.1
	Decision on how to allocate public funds	2.6		
	Attraction of funds from private sector		3.1	2.3
	Attraction of funds from EU and int org		3	2
	Decision on allocating private funds		2.9	2.3
	Investment of its own resources			1.9

MANAGEMENT TECHNIQUES

Importance of governance dimension	
Number of respondents	Priority factor
7	4

Effective and fruitful management techniques are essential for the correct functioning of each institution. It is not a case that in the prioritization exercise, this dimension is considered very relevant by the staff members and leaders of the university, with very high scores assigned to each sub-dimension: quality procedures, planning tools and the use of evaluation results. The assessment highlights that great relevance is given to management tools and techniques, which should be constantly improved to support the rapid advancements made by such a young and ambitious higher education institution. When looking at the perceived capacity of the university to manage itself, answers report a quite positive perception on behalf of the university staff. The majority of the scores are above the average, showing that there is room for improvement starting from a quite solid base. The use of planning tools, long-term and short-term, are the elements for which performance is assessed more effectively and successfully. For what concerns the use of evaluation results to influence decisions about organizational and individual performance, the assessment shows that it is done only partially. This is maybe due to the very young life of the institution, which has probably conducted only few rounds of evaluation and is still in the process of collecting inputs for the next strategic planning. In terms of quality procedures, monitoring is done more effectively on academic courses, teaching methodologies, students' performance, the acquisition of research tools and the realization of socio-economic activities. More work should be done in providing the university with standard QA procedures in each aspect of the institutional life and connect QA with the decision-making process. Trends are quite homogeneous for the three strategic activities.

Quality procedures

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.6	Definition of standard procedures for the evaluation of academic courses and teaching methodologies	3.3		
	Definition of standard procedures for the evaluation of student services	3.1		
	Definition of standard procedures for the evaluation of students' performance	3.3		
	Definition of standard procedures for the design of research programs		3	
	Definition of standard procedures for the acquisition of research tools / technical instruments		3.3	
	Definition of standard procedures for realization of socioeconomic activities			3.3
	Definition of standard procedures for the evaluation of students' follow-up			2.9
	Definition of standard procedures for students' placement office management			2.6

Planning Tools

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.7	Planning documents (long-term)	3.6	3.3	3.3
	Budget documents (short-term)	3.6	3.4	2.9

Evaluation Results

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.7	Use of data on organizational performance for decision-making	3	3.1	2.9
	Use of data on individual staff performance for decision-making	3	2.9	2.7

ACCOUNTABILITY

Importance of governance dimension	
Number of respondents	Priority factor
7	4.4

Looking at the results of the self-assessment about the accountability dimension of governance, we can say that staff members consider accountability as a top priority. Results of the self-evaluation for accountability are in line with the results for the dimension of autonomy, which is a natural outcome if we consider that the two aspects are strongly related to each other. Accountability is higher on organizational and academic issues, for which the university feel to be responsible and held responsible, in particular for the compliance with its own Mission and Vision, for the compliance with the planning documents, for the students' performance and the academic workload. Notwithstanding the approval process by the Ministry, the university staff members feel these aspects fall into their responsibility and therefore assessed to be partially accountable for decisions. It is not a surprise that a lower degree of accountability is perceived for decisions about human resources and financial matters, for which the degree of autonomy is lower and the responsibility for making decisions is in the hands of the central authority.

Looking at the three strategic activities, accountability is higher for Teaching-related matters and for Research-related activities, while accountability in relation to the social-role of the university is perceived to a lower extent (except for the compliance with the Mission, Vision and strategic plan). The social dimension of university is a quite recent development in HE and answers to the assessment show how important is to further raise awareness on that, complemented by a new set of skills for the staff involved. The university needs indeed to move in this direction: in the assessment of the participation dimension, external stakeholders have a very limited influence on the institutional life, while for a successful growth of the institution it would be beneficial to invest on Teaching and Research but also on the university Third Mission.

Organizational Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.7	Compliance with the Mission and Vision of the institution	3.7	3.2	3.4
	Compliance with planning documents (strategic plan)	4	3.6	3
	Organisation and functioning of institutional central governing bodies	3.7	3.2	2.9

Academic Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.7	Students' performance	3.9		
	Students services	3.1		
	Academic workload	3.6		
	Research results		3	
	Acquisition research tools / instruments		3.1	
	Set-up of socio-economic activities			2.7

	Student follow-up			3
	Set-up of student placement office			2.7

Human Resources Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.4	Dismissal of academic staff	2	2.4	
	Dismissal of administrative staff	1.9	2.6	
	Promotion of academic staff	3.1	3.1	
	Promotion of administrative staff	2.9	3.3	
	Punitive sanctions against unethical behavior	2.9	2.7	2.1
	% time dedicated to TM activities			2.4

Financial Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
4.8	Budget sources	3	3	2.6
	Budget allocation	2.6	3	2.3
	Debt level	2.1	2.7	2

Wasit University

The Wasit University is a public higher education institution in Iraq, established in 2003 in the Wasit Governorate to be a centre for knowledge, culture and science. Wasit University has started with only two colleges: College of Education and College of Administration and Economics. With a later expansion, it includes now fifteen colleges with 55 scientific and human departments, offering Bachelor degrees. The university is among the top universities in Iraq according to the national rankings.

The university engaged 14 respondents in the self-assessment. Results of the evaluation show that university staff members and leaders value to a high extent the governance dimensions under investigation: great relevance is given to the institutional autonomy, with particular emphasis on academic autonomy and organizational autonomy. Importance is also attributed to management techniques, in particular on the definition of quality assurance mechanisms and the use of planning tools. The evaluation also highlights the importance for the university of the accountability for academic and financial matters. From the self-assessment emerges clearly the will of the university to put in place efforts to achieve success: from the high number of participants engaged in the process to the high relevance given to the dimensions of governance.

AUTONOMY

Importance of governance dimension	
Number of respondents	Priority factor
14	3.9

According to the analysis conducted on the Iraqi Higher Education system, the sector is highly centralized. This explains in part why participants in the self-assessment attribute a high priority factor to the autonomy dimension. On the other hand, the continual support from the Ministry of Higher Education and Scientific Research is still valued important, so that values do not depart much from the average. Partial autonomy is perceived in relation to the three strategic dimensions, with a slightly higher room for manoeuvre for Research-related activities. Surprisingly, partial autonomy is perceived also in relation to Third Mission activities. The social role of the university is the most neglected role for other institutions, while here respondents seem to value the Third Mission like the other two core natures of HEIs. Indeed, in a few cases, the degree of perceived autonomy is higher than while looking at Teaching and Research, for example when it comes to academic autonomy and human resources autonomy.

Generally speaking, partial autonomy (with scores little above the average) is reported for:

- Function, composition, selection and dismissal criteria for the governing bodies
- Academic issues, such as students' number, the introduction of programs and the design of course contents, the choice of the language of instructions, the definition of research programs and the acquisition of research tools, and the students' follow-up mechanisms
- Human resources management, which seems to be somehow partially delegated to the university, especially in the percentage of time dedicated to TM activities

In respect to younger universities, also the degree of financial autonomy is perceived higher. While in many cases financial autonomy is very low, here responses report a partial degree of financial autonomy, in particular referring to the capacity to allocate funds and to attract funds from the private sector, the EU and from international organizations. Moreover, results show partial autonomy also in investing own resources in activities related to the university's social role, highlighting the commitment of the university towards the Third Mission of the institution, as it has been mentioned above. It is not a case that, when looking at the assessment of the participation dimension, great value is given to involving stakeholders in the university governance, and relations are already in place with a number of external stakeholders.

Organizational Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.7	Functions of governing bodies	3.4	3.8	3.4
	Composition of governing bodies	3.4	3.7	3.5
	Selection criteria of governing bodies	3.5	3.5	3.6
	Dismissal criteria of governing bodies	3.4	3.4	3.4

Academic Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.9	Overall students number	3.4		
	Students' selection	3.1		
	Introduction of programs	3.4		
	Design of course content	3.4		
	Choice of the language of instruction	3.5		
	Definition of research programs		3.5	
	Acquisition of research tools		3.5	
	Set-up of socio-economic activities			3.4
	Set-up students follow-up mechanisms			3.6
	Set-up students placement office			3.1

Human Resources Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.4	Salaries for academic staff	3.2	3.6	
	Salaries for administrative staff	3.4	3.1	
	Dismissal for academic staff	3	3	
	Dismissal for administrative staff	3.3	3	
	% of time dedicated to TM activities			3.5

Financial Autonomy

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.6	Buy / Sell assets	3	3	3
	Decision on how to allocate public funds	3.3		
	Attraction of funds from private sector		3.2	3
	Attraction of funds from EU and int org		3	3.2
	Decision on allocating private funds		3	3.2
	Investment of its own resources			3

MANAGEMENT TECHNIQUES

Importance of governance dimension	
Number of respondents	Priority factor
14	3.6

Developing management techniques are considered a crucial asset for an institution. According to the respondents in the self-assessment, partial relevance is given to putting in place an effective management system. This is most likely related to the degree of perceived autonomy in taking decisions about how to manage the institution. While most things are already set, relevance is given in particular to the use of planning tools and the setting of long-term and short-term strategic documents. Looking at the outcomes of the assessment of actual governance arrangements, staff members felt sufficiently confident about their competences in relation to quality procedures, specifically in the definition of standard procedures for the evaluation of students' performance, the design of research programs and the acquisition of tools and technical instruments. In addition, scores above the average are also attributed to the capacity of the staff in using planning tools and in using evaluation results to inform decisions. This is probably due to the experience that the university has gained in the past two decades of developments.

When looking at the results vertically, the perceptions are quite homogeneous for Teaching, Research and Third Mission activities. The university has a solid base of competences and confidence to leverage on, and it is ready to invest in building the capacity of its own human resources for the modernization, improvement and future governance developments. In addition to that, HR are dedicated to the three core university missions. In the next strategic plan, the university wants to expand horizontally and vertically. In order to do so, both academic and administrative staff, together with the institutional leadership, needs to be trained to fully exploit the potential growth of the university as a leading institution in the country.

Quality procedures

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.6	Definition of standard procedures for the evaluation of academic courses and teaching methodologies	3.2		
	Definition of standard procedures for the evaluation of student services	3.3		
	Definition of standard procedures for the evaluation of students' performance	3.6		
	Definition of standard procedures for the design of research programs		3.7	
	Definition of standard procedures for the acquisition of research tools / technical instruments		3.5	
	Definition of standard procedures for realization of socioeconomic activities			3.4
	Definition of standard procedures for the evaluation of students' follow-up			3.4
	Definition of standard procedures for students' placement office management			3.3

Planning Tools

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.6	Planning documents (long-term)	3.4	3.1	3.4
	Budget documents (short-term)	3.5	3.2	3.3

Evaluation Results

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.4	Use of data on organizational performance for decision-making	3.3	3.6	3.4
	Use of data on individual staff performance for decision-making	3.6	3.4	3.4

ACCOUNTABILITY

Importance of governance dimension	
Number of repondents	Priority factor
14	3.6

Results of the self-evaluation on accountability reflect the results on autonomy and management techniques. Accountability is considered sufficiently relevant, with higher scores on organizational accountability, academic accountability and liability for financial matters. The university takes responsibility and is held responsible in particular for decisions in relation to:

- The capacity to comply with the stated Mission, Vision and strategic plan of the university
- The organization and functioning of the governing bodies, which are held accountable for the decisions taken with the partial autonomy granted to the institution
- The services provided to students and the academic workload for teachers and researchers
- The promotion of academic and administrative staff

When it comes to financial decisions, despite most of directions are provided by the central authority, the staff members still assessed that the institution is partially responsible for implementing such decisions and is held responsible for budget sources, allocation and debt level.

Regarding the degree of accountability in relation to Teaching, Research or Third Mission activities, perceptions are again quite coherent. The results of the self-assessment show that the three core university missions are perceived with equal dignity, plus the partial degree of autonomy is reflected in the partial feeling of accountability for decisions. Results show that the university leadership is ready to take responsibility for action, strengthening its role and competences for a renewed, trained and empowered university governance, able to decide properly within the current and future regulatory framework.

Organizational Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.6	Compliance with the Mission and Vision of the institution	3.6	3.4	3.6
	Compliance with planning documents (strategic plan)	3.6	3.6	3.5
	Organisation and functioning of institutional central governing bodies	3.5	3.3	3.6

Academic Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.8	Students' performance	3.5		
	Students services	3.6		
	Academic workload	3.8		
	Research results		3.3	
	Acquisition research tools / instruments		3.3	
	Set-up of socio-economic activities			3.5
	Student follow-up			3.4
	Set-up of student placement office			3.1

Human Resources Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.5	Dismissal of academic staff	2.9	3	
	Dismissal of administrative staff	3	3	
	Promotion of academic staff	3.6	3.6	
	Promotion of administrative staff	3.6	3.6	
	Punitive sanctions against unethical behavior	3.2	3.4	3.1
	% time dedicated to TM activities			3.2

Financial Accountability

Priority Factor	Indicator	Assessment		
		Teaching	Research	Third Mission
3.7	Budget sources	3.1	3	3.2
	Budget allocation	3.2	3.3	3.3
	Debt level	3.3	3.1	3.3

6. Stakeholders Mapping

According to Miles (2012), the concept of the 'stakeholder' has become central to business and to all kind of organizations), yet there is no common consensus as to what the concept of stakeholder means, with hundreds of different published definitions suggested. There are a number of different components that can be considered when defining the term, summarized in the following questions:

- Who are the stakeholders?
- Who is identifying the stakeholder?
- How does the organization impact the stakeholder?
- What is the nature of the stake?
- What does the stake relate to?

According to R. Edward Freeman, a stakeholder is "any group or individual who can affect or is affected by the achievement of the organization's objectives". For the purpose of the current research, a stakeholder is intended as those individuals or bodies having an interest in the activities of the university.

From this perspective, a first general distinction is made between internal and external stakeholder, first in general terms, then in relation to the HE context and the university as the main actor. The following table outlines the main features of internal and external stakeholders, while the second table outlines those which have been defined as internal and external stakeholders for HEIs in the Iraqi context.

Table 1: Internal and external stakeholders Source: Adapted from managementnote.com

BASIS FOR COMPARISON	INTERNAL STAKEHOLDERS	EXTERNAL STAKEHOLDERS
Meaning	The individuals and parties that are part of the organization are known as Internal Stakeholders.	The parties or groups that are not part of the organization, but are affected by its activities are known as External Stakeholders.
Nature of impact	Direct	Indirect
Who are they?	They serve the organization.	They are influenced by the organization's work.
Employed by the entity	Yes	No

BASIS FOR COMPARISON	INTERNAL STAKEHOLDERS	EXTERNAL STAKEHOLDERS
Responsibility of the company towards them	Primary	Secondary
Includes	Employees, owners, boards of directors, managers, investors, etc.	Suppliers, customers, creditors, clients, intermediaries, competitors, society, government, etc.

Table 2: Internal and external stakeholder in the Iraqi HE context

INTERNAL STAKEHOLDERS	EXTERNAL STAKEHOLDERS
Students	Ministry of HE and SR
Students' Union	Central quality department
Alumni	Local authorities
Professors (including researchers)	Private sector
Administrative staff	Research institutes
	Donors
	International organizations
	European Union
	Non-governmental organizations

In the last decades the role of external stakeholders has emerged in Higher Education. Maassen (2000) states: "In the relationship between higher education and its environments the involvement of external actors in policy processes has changed in two ways. First, in the national higher education policy networks the dominant actors were traditionally government and institutional representatives. The reforms implied that the role of other external actors in these networks has become more prominent. Second, external actors have become more directly involved in the internal affairs of the higher education institutions. This includes both participation in institutional governance structures and involvement in the basic activities of universities and colleges, especially teaching" (Maassen, 2000b: 377).

Starting from this perspective, many different stakeholder maps may be defined and may describe the relationships between organizations and stakeholders. The stakeholder map can be used to describe the most important stakeholders of each institution. After the institution has identified its stakeholders, it can evaluate relationships and develop them in a systematic and effective manner.

The mapping of stakeholders in the current analysis has been done looking at the outcomes of the self-assessment for what concerns the participation dimension of governance. First, universities have been asked to do a **prioritization exercise** in relation to each governance dimension, and later assessing the importance of the participation of each stakeholder (internal and external) in the institutional life. Then, participants in the self-evaluation have been asked to **assess to what extent each actor participates** in the decision-making process and/or is in the position to influence decisions, in relation to the each of the strategic university activities: teaching, research, third mission (also said in Iraq university's social role).

The results of the self-evaluation for the Participation dimension of governance are reported in the following pages for each university of the Consortium. The document reports the statistic values for each indicator, as an average score of the answers provided by the staff members of the university. To represent the relations between the university and the stakeholders, a graphic map has been also developed: a quadrant with two axes, which separates stakeholders depending on their nature and role. To map stakeholders in the quadrant, a simple legend based on colors and shapes has been used. The bigger green circles represent the actors which are more engaged in the university decision-making process up-to-date; the medium light blue circles represent these actors which are in a medium position, namely the actors which have a limited influence in the governance of the university; the smaller orange circles are these representing the less involved actors which have very little influence on the process of decision.

Based on the outcomes of the stakeholders mapping, each university will be able to develop a specific intervention plan regarding the involvement of internal and external stakeholders in the university governance for the delivery of higher quality education and services. In addition, the analysis of the results sheds further light on the specific perceived priorities of each university and help towards which actors the university must define actions to strengthen specific relations.

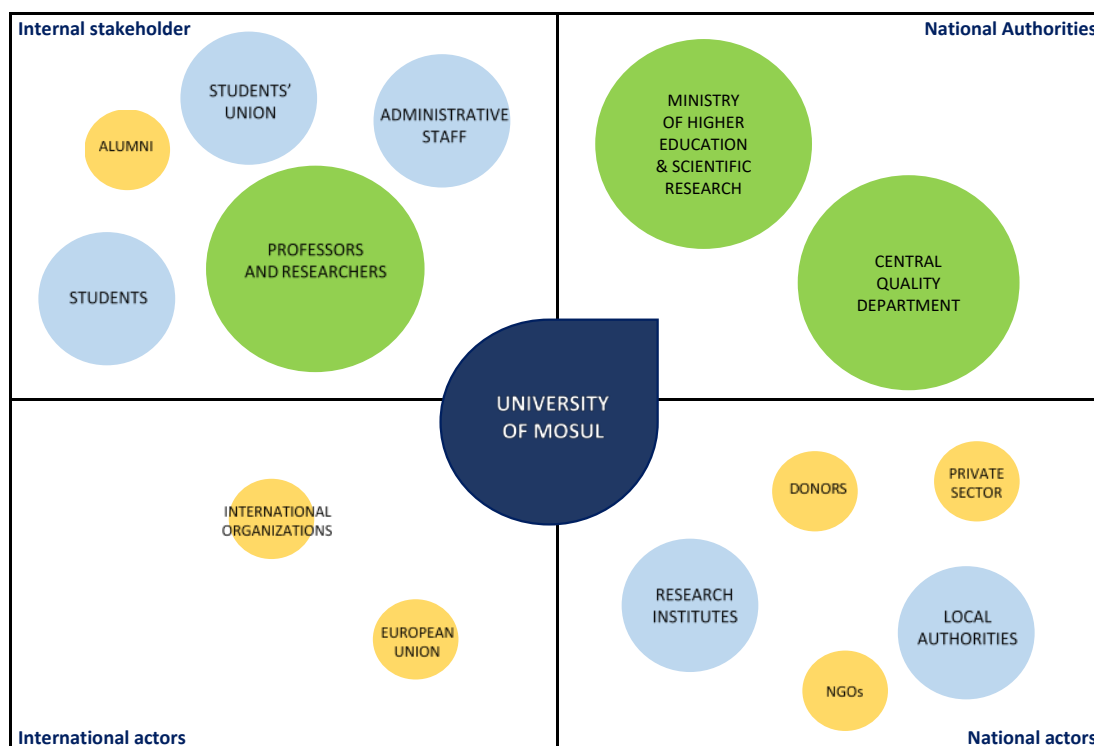
University of Mosul

Importance of governance dimension	
Dimension	Priority factor
Participation	3.8

Importance of involving stakeholders	
Stakeholder	Priority factor
Private sector	3
European Union	3
Donors	2.4
Students' Union	3.1
Local authorities	3.1
Central quality department	3.3
International organizations	3.3
Non-governmental organizations	3.3
Alumni	3.7
Administrative staff	4
Students	4.1
Professors (including researchers)	4.1
Ministry of HE and SR	4.1
Research institutes	4.3

Stakeholders' participation			
Stakeholder	Assessment		
	Teaching	Research	Third Mission
Students	3.1	2.9	3.9
Students' Union	2.9	2.6	3.6
Alumni	2.6	2.7	3.3
Professors (including researchers)	4.3	4.3	3.6
Administrative staff	3	3	3.3
Ministry of HE and SR	3.6	3.4	3.1
Central quality department	3.4	3.3	3
Local authorities	2.9	2.9	2.7
Private sector	2.7	2.3	2.6
Research institutes	3.3	3	3.1
Donors	2.4	2.9	2.6
International organizations	2.6	2.6	2.4
European Union	2.4	2.6	2.7
Non-governmental organizations	2.3	2.4	2.4

The dimension of participation is among the priorities of the university. The stakeholders considered more important for the institutional performance are research institutes, the Ministry of Higher Education and Scientific Research, academic staff, students and administrative staff. Relevance is also given to the other external stakeholders, the central quality department and local authorities. However, results in the assessment show that the actual governance arrangement allow participation in the decision-making process to very few actors: the academic staff, the MOHESR, students, the central quality department and research institutes. For what concerns the Third Mission activities, a higher degree of participation of internal stakeholders is granted, especially for students.



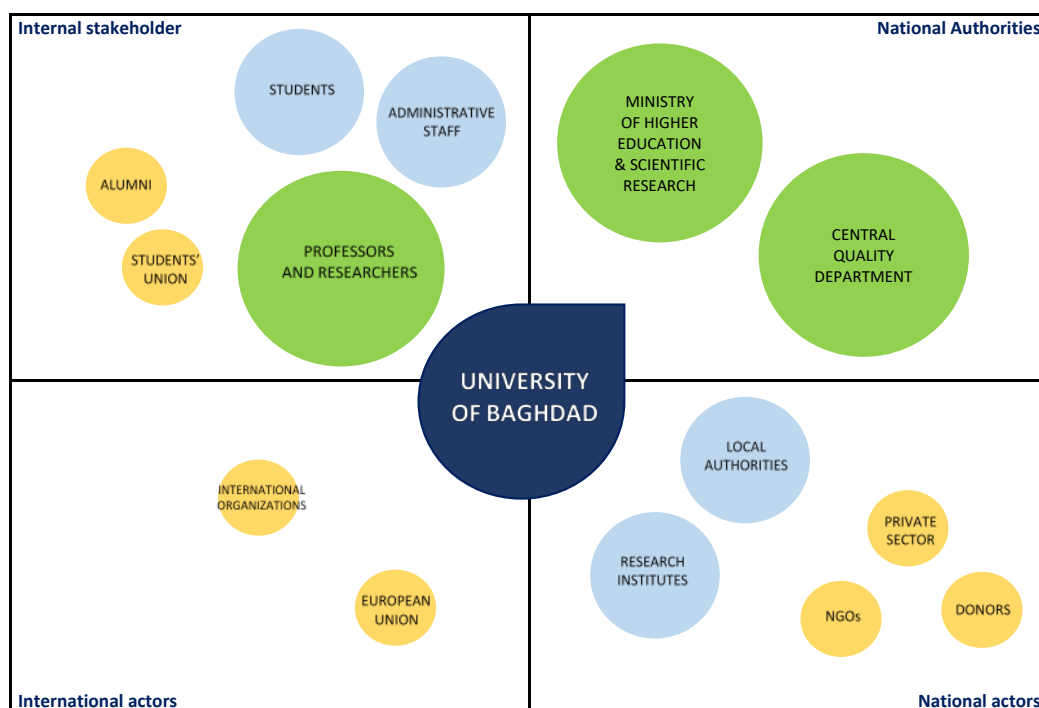
University of Baghdad

Importance of governance dimension	
Dimension	Priority factor
Participation	4

Importance of involving stakeholders	
Stakeholder	Priority factor
Students' Union	3.1
Local authorities	3.1
Students	3.3
Alumni	3.3
Private sector	3.5
European Union	3.5
Non-governmental organizations	3.5
International organizations	3.6
Ministry of HE and SR	3.8
Donors	3.8
Administrative staff	4
Central quality department	4.1
Professors (including researchers)	4.3
Research institutes	4.3

Stakeholders' participation			
Stakeholder	Assessment		
	Teaching	Research	Third Mission
Students	2.6	3.3	2.8
Students' Union	2.5	2.3	2.5
Alumni	2.8	2.6	2.8
Professors (including researchers)	3.8	3.6	3.8
Administrative staff	2.8	2.8	3.1
Ministry of HE and SR	4.3	3.5	3
Central quality department	4	3.5	3.5
Local authorities	2.8	2.5	2.8
Private sector	2.8	2.3	2.1
Research institutes	3.1	3.1	2.5
Donors	2.5	2.1	2.3
International organizations	2.6	2.8	2.6
European Union	2.8	2.6	2.5
Non-governmental organizations	2.5	2.3	2.6

The participation dimension is a priority for the university. The stakeholders considered more important for the life of the institutions are the administrative staff, the central quality department, professors and researchers, and ultimately research institutes. Great importance is attributed also to the MOHESR and in general to donors. When looking at the results of the assessment of the actual governance arrangements of the university, the actors more relevant are the professors (meaning the whole teaching staff), while administrative staff and students seems to have a limited role in the decision-making process. National authorities have a strong influence, especially when it comes to teaching, while the majority of the external stakeholders seem to have a very low influence on the university governance.



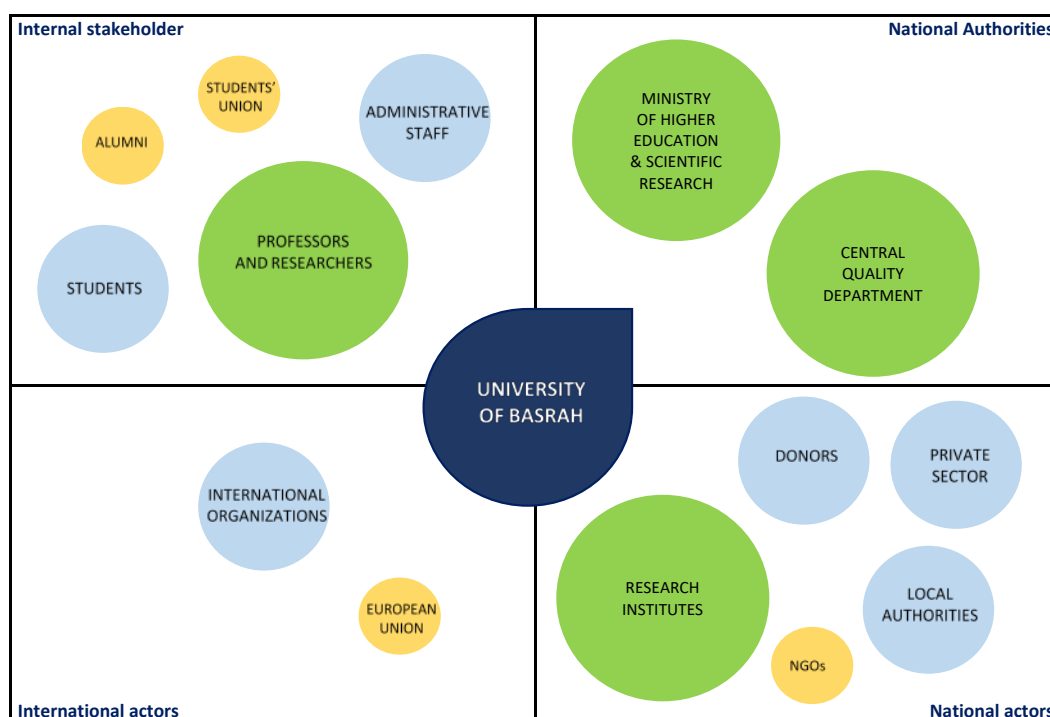
University of Basrah

Importance of governance dimension	
Dimension	Priority factor
Participation	4.5

Importance of involving stakeholders	
Stakeholder	Priority factor
Non-governmental organizations	2.7
Local authorities	2.9
European Union	2.9
Private sector	3.1
Donors	3.1
International organizations	3.1
Students' Union	3.2
Students	3.3
Alumni	3.4
Research institutes	3.9
Administrative staff	4
Ministry of HE and SR	4
Central quality department	4.2
Professors (including researchers)	4.4

Stakeholders' participation			
Stakeholder	Assessment		
	Teaching	Research	Third Mission
Students	2.8	3.8	2.6
Students' Union	2.8	2.7	2.2
Alumni	2.8	2.8	2.7
Professors (including researchers)	4	4.3	3.6
Administrative staff	3.3	3.2	3
Ministry of HE and SR	3.9	3.7	3.3
Central quality department	3.8	3.8	3.3
Local authorities	2.4	2.7	3.6
Private sector	2.8	2.7	2.8
Research institutes	3.3	3.8	3.2
Donors	2.6	2.9	2.6
International organizations	3	2.6	2.8
European Union	2.2	2	2.2
Non-governmental organizations	2.6	2.3	2.3

The dimension of participation has a great importance according to the results of the assessment. Respondents ranked stakeholders upon their relevance for the university functioning: academic staff and the central quality department are at the top of the rank, showing how quality has a deep value for the university, followed by the administrative staff and the Ministry providing guidelines to the institution and support in the processes. Despite the great connections that the university has with its context, answers in the evaluation show that the private sector, donors and local authorities have limited access to the institution. The higher degree of participation is evident in relation to research activities, and the most influential actors are indeed professors and researchers, the central authority and research institutes, revealing the focus of the institution towards research.



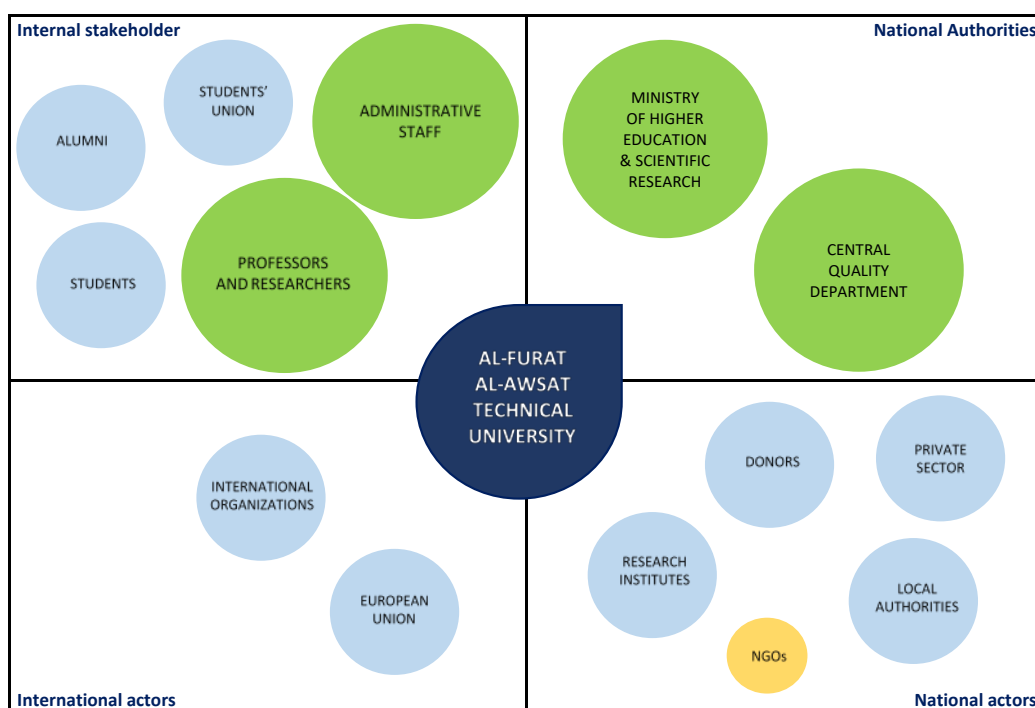
Al-Furat Al-Awsat Technical University

Importance of governance dimension	
Dimension	Priority factor
Participation	4.5

Importance of involving stakeholders	
Stakeholder	Priority factor
Local authorities	3
Ministry of HE and SR	3.2
Non-governmental organizations	3.5
Donors	3.6
Students' Union	3.7
International organizations	3.7
Students	3.8
Alumni	3.8
Administrative staff	3.8
Central quality department	3.8
Private sector	3.8
European Union	3.8
Professors (including researchers)	4.3
Research institutes	4.5

Stakeholders' participation			
Stakeholder	Assessment		
	Teaching	Research	Third Mission
Students	3.4	3.3	2.8
Students' Union	3.1	3	2.4
Alumni	2.6	3.1	3
Professors (including researchers)	4.3	4.4	4.1
Administrative staff	3.6	3.7	3.7
Ministry of HE and SR	3.8	3.7	3.7
Central quality department	4.5	4.5	4.1
Local authorities	2.8	3.1	3.4
Private sector	2.8	3.1	3.5
Research institutes	3.4	3.7	3.4
Donors	2.4	3.1	3.4
International organizations	3	3.1	2.8
European Union	3	3	3.1
Non-governmental organizations	2.5	3.1	2.7

The participation dimension is a high priority for the university. The stakeholders considered more important for the life of the institutions are those related to research activities: research institutes, professors including researchers, and financial sponsors such as the European Union and the private sector. Importance is also attributed to the participation of students (including students' union and alumni), the administrative staff and the central quality department. The role of the MOHESR is considered on the average score, leaving the Ministry to a supportive but less invasive role. When looking at the results of the assessment on the actual institutional governance, the actors more relevant are the professors and the administrative staff, along with the central authority, namely the MOHESR and the central quality department. External stakeholders seem to have a very limited part in the functioning of the university.



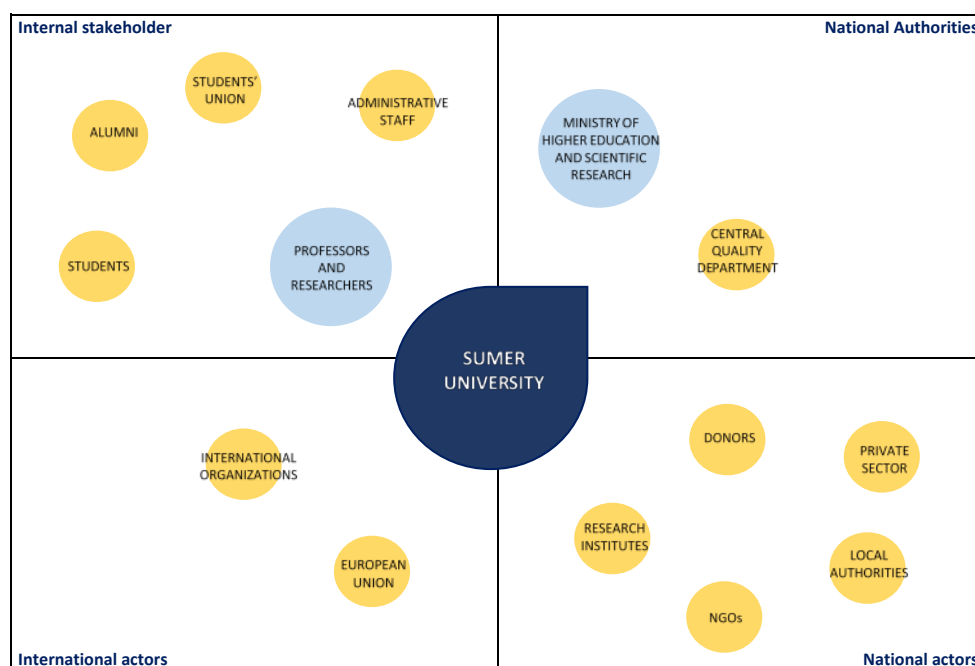
University of Sumer

Importance of governance dimension	
Dimension	Priority factor
Participation	2.7

Importance of involving stakeholders	
Stakeholder	Priority factor
Local authorities	1.7
European Union	1.7
Non-governmental organizations	1.7
Alumni	1.9
Students' Union	2
Private sector	2
Donors	2
International organizations	2
Administrative staff	2.1
Students	2.3
Research institutes	2.3
Professors (including researchers)	2.4
Central quality department	2.6
Ministry of HE and SR	4

Stakeholders' participation			
Stakeholder	Assessment		
	Teaching	Research	Third Mission
Students	2.3	2.4	2.3
Students' Union	1.7	1.4	1.7
Alumni	1.9	1.9	1.9
Professors (including researchers)	2.7	2.9	2.6
Administrative staff	2.1	2.3	2.1
Ministry of HE and SR	3.3	2.9	2.9
Central quality department	2.3	2.6	2.1
Local authorities	1.9	1.9	2
Private sector	1.7	1.6	2.1
Research institutes	2	2	2.1
Donors	1.6	1.9	1.9
International organizations	1.9	2	2
European Union	1.7	1.7	1.9
Non-governmental organizations	1.4	1.7	1.7

The dimension of participation is not considered important for the university governance. In the assessment of its importance and the importance of stakeholders in the institutional life, values are below the average. The actors which are assessed more relevant are the Ministry of Higher Education and Scientific Research, and in some way the central quality department and the professors. The answers provided clearly represent the attitude of the staff members in a very centralized system, where the central authority is the most relevant voice and to the academic staff is left with a little space of autonomy. This is well represented also by the assessment of the actual governance arrangements: participation is very low in each strategic activity, where the most influent actors are the MOHESR, the central quality department, professors and researchers. The participation dimension and how to establish effective and beneficial relations with stakeholders must be a focus for the future developments of the university.



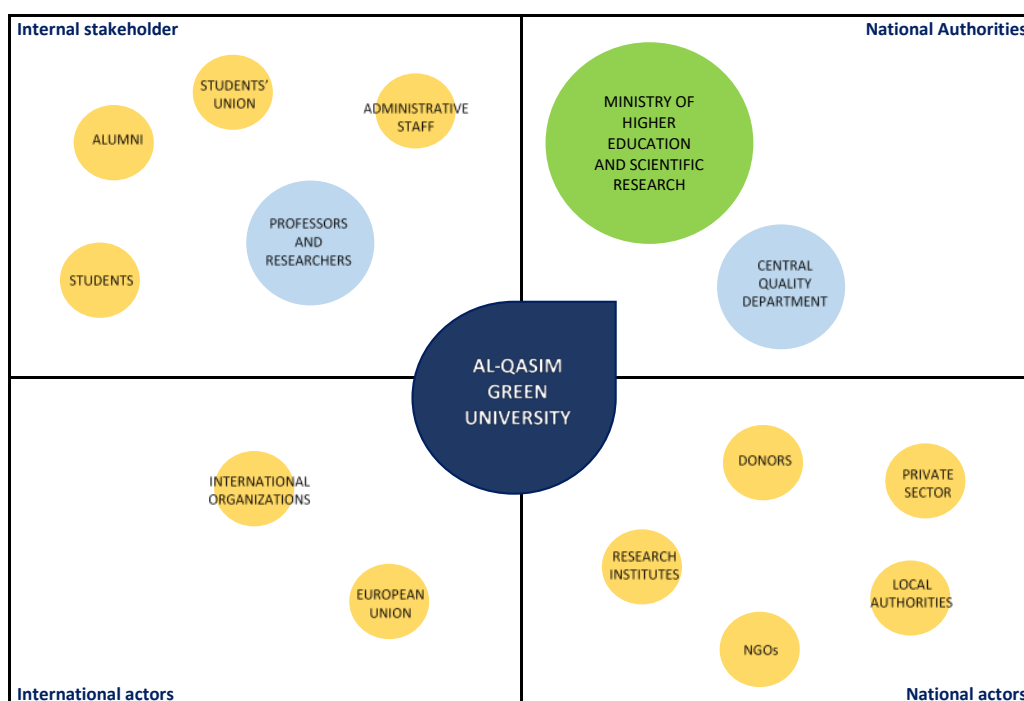
Al-Qasim Green University

Importance of governance dimension	
Dimension	Priority factor
Participation	2.3

Importance of involving stakeholders	
Stakeholder	Priority factor
Private sector	1.4
International organizations	1.4
Non-governmental organizations	1.4
Donors	1.5
European Union	1.5
Alumni	1.6
Students' Union	1.7
Local authorities	1.7
Research institutes	1.8
Central quality department	2.3
Students	2.5
Administrative staff	2.5
Professors (including researchers)	2.7
Ministry of HE and SR	3.6

Stakeholders' participation			
Stakeholder	Assessment		
	Teaching	Research	Third Mission
Students	1.5	3	1.3
Students' Union	1.1	1.1	1.1
Alumni	1	1	1
Professors (including researchers)	2.9	3.4	1.7
Administrative staff	2.2	2.4	1.3
Ministry of HE and SR	4.5	2.2	2.9
Central quality department	3	2.2	2
Local authorities	1	1	1.1
Private sector	1.3	1	1
Research institutes	1.1	1	1
Donors	1	1	1
International organizations	1	1.2	1
European Union	1	1	1
Non-governmental organizations	1	1	1

The dimension of participation is not considered among the priorities for the university. Respondents in the assessment stated that the most important actor for the institution is the Ministry of Higher Education and Scientific Research, followed by internal stakeholders, namely professors and researchers, administrative staff and students. However, scores are mostly below the average. When looking at the evaluation of the actual degree of participation of stakeholders in the institutional life, participation seems higher in all these activities related to teaching, while it is lower when it comes to research and third mission. Among the stakeholders, the MOHESR is the most influential actor, as it is usual for very centralized sectors. External stakeholders have an extremely low degree of participation. Attention should be directed to reinforce the capacity of the institution to involve stakeholders in the decision-making process.



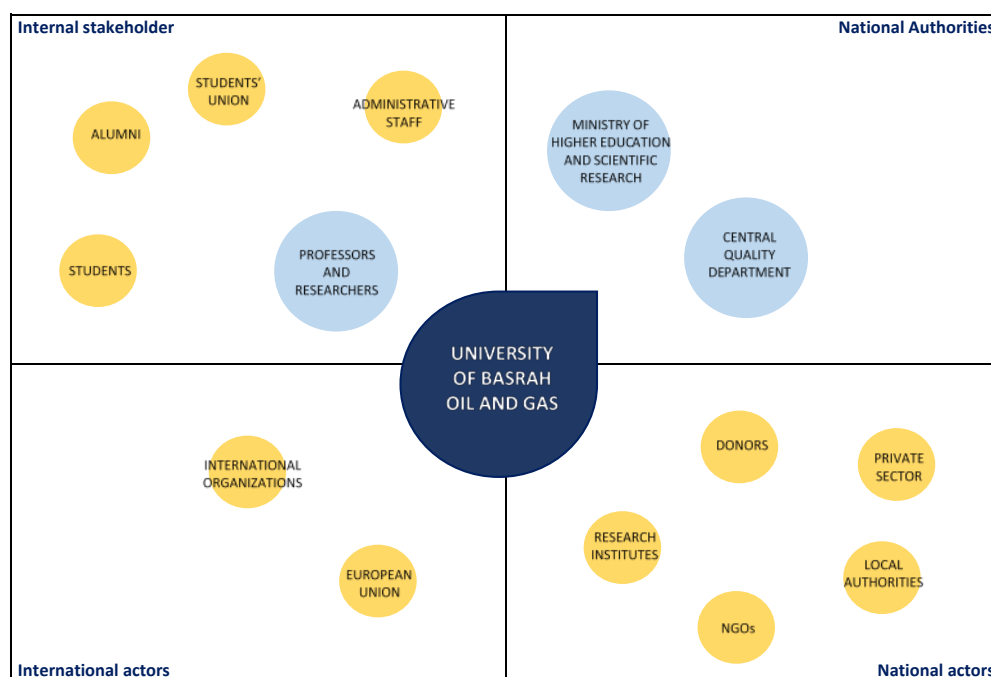
University of Basrah Oil and Gas

Importance of governance dimension	
Dimension	Priority factor
Participation	3.3

Importance of involving stakeholders	
Stakeholder	Priority factor
Non-governmental organizations	1.3
Alumni	1.7
Donors	1.9
International organizations	1.9
Students' Union	2
European Union	2
Local authorities	2.1
Administrative staff	2.3
Professors (including researchers)	2.4
Ministry of HE and SR	2.4
Central quality department	2.4
Research institutes	2.4
Students	2.7
Private sector	2.9

Stakeholders' participation			
Stakeholder	Assessment		
	Teaching	Research	Third Mission
Students	3.1	1.7	1.4
Students' Union	1.1	1	1.1
Alumni	3.3	1.3	1.4
Professors (including researchers)	3.1	3.6	2.1
Administrative staff	2.6	2	1.7
Ministry of HE and SR	4	3	1.6
Central quality department	3.6	3	1.4
Local authorities	2.7	2.9	1
Private sector	1.1	1.4	1
Research institutes	1.6	1.4	1
Donors	1	1	1
International organizations	1	1.1	1
European Union	1	1	1
Non-governmental organizations	1.1	1.7	1

The participation dimension of governance is not among the priorities for the university. In the assessment of its importance, values are on the average, as it is also shown when respondents have been asked to evaluate the importance of the participation of each internal and external stakeholder. These considered more important are the private sector, as it is natural for a university with a technical nature, students, research institutes and the central authorities. However, answers still stay on the lower values of the scale, indicating that the university needs to be strengthen the participation of stakeholders in its governance arrangement and learn how to establish fruitful relations within the contexts in which operates for the benefit of the services provided. This is also clear looking at the results of the assessment itself, in which participation of stakeholders is clearly very limited, except in the teaching activities, for which the MOHESR, the central quality department, professors and students seem to exercise an influence on decisions.



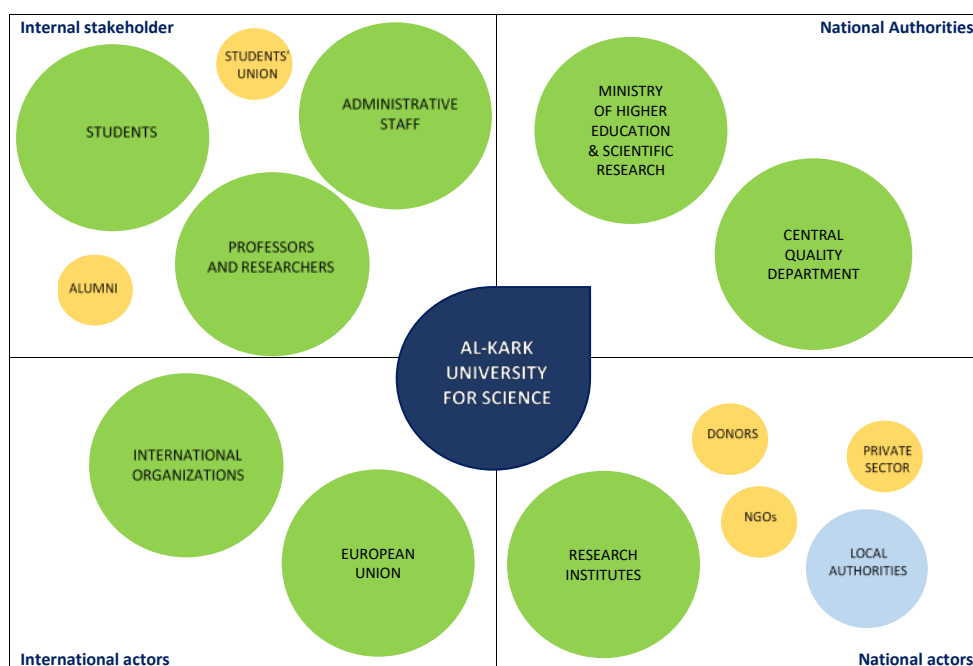
Al Karkh University for Science

Importance of governance dimension	
Dimension	Priority factor
Participation	5

Importance of involving stakeholders	
Stakeholder	Priority factor
Alumni	2.4
Private sector	2.5
Students' Union	2.9
Non-governmental organizations	2.9
Local authorities	4
Donors	4
European Union	4.2
Students	4.4
Administrative staff	4.4
Central quality department	4.5
Professors (including researchers)	4.6
Research institutes	4.6
International organizations	4.6
Ministry of HE and SR	4.7

Stakeholders' participation			
Stakeholder	Assessment		
	Teaching	Research	Third Mission
Students	4.5	4.2	4.2
Students' Union	2.1	2.1	2.5
Alumni	1.9	2	1.9
Professors (including researchers)	4.7	4.6	5
Administrative staff	4.5	4	3.7
Ministry of HE and SR	4.6	5	4
Central quality department	4.6	4.7	4.2
Local authorities	2.9	3.4	3.6
Private sector	2.1	2.7	2.5
Research institutes	3.6	4.6	3.4
Donors	2	2	1.9
International organizations	4.4	5	4.9
European Union	4.9	4.9	5
Non-governmental organizations	2.4	2	1.9

Respondent have been unanimous in assigning to the dimension of participation the highest score when assessing its importance. The majority of stakeholders are considered very relevant for the university: starting from the MOHESR, international organizations and research institutes, to include professors, the central quality department, the administrative staff, students, the EU, local authorities and donors in general. Strange enough for a scientific university, the private sector is not perceived as a relevant interlocutor. In assessing the real degree of participation of internal and external stakeholders in the university life, answers are quite coherent for the three strategic activities. Students, professors and administrative staff display a high degree of participation, along with the Ministry and the central quality department. In slight contrast with what stated by other universities, also the European Union and in general international organizations seem to have a quite strong influence on the university decisions.



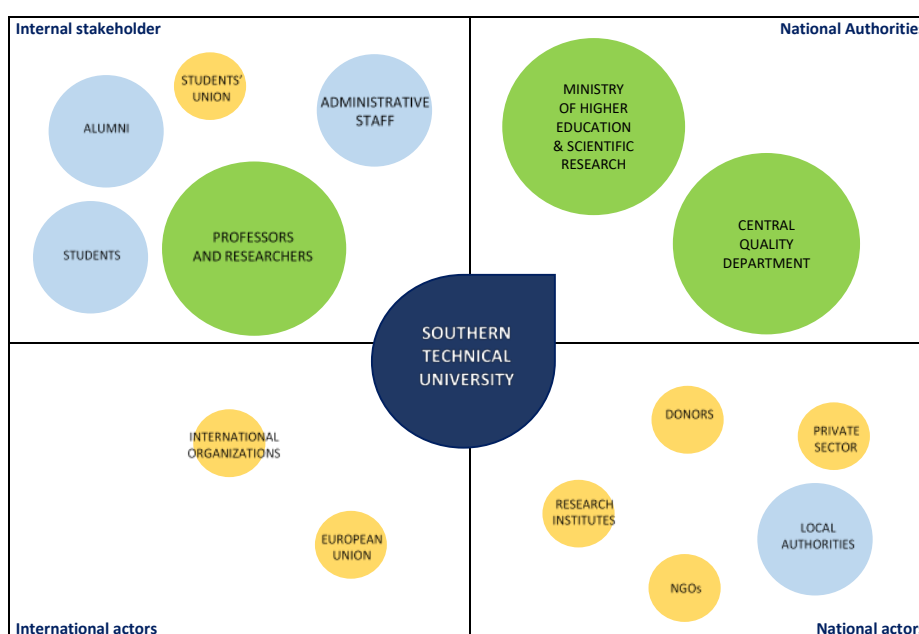
Southern Technical University

Importance of governance dimension	
Dimension	Priority factor
Participation	4.4

Importance of involving stakeholders	
Stakeholder	Priority factor
Donors	3.3
Students' Union	3.5
Private sector	3.5
International organizations	3.5
Non-governmental organizations	3.5
Alumni	3.6
Central quality department	3.6
Local authorities	3.6
Research institutes	3.6
European Union	3.6
Students	3.8
Professors (including researchers)	3.8
Administrative staff	3.8
Ministry of HE and SR	3.8

Stakeholders' participation			
Stakeholder	Assessment		
	Teaching	Research	Third Mission
Students	3	3.1	3
Students' Union	2.3	2.3	2.1
Alumni	2.9	2.4	2.6
Professors (including researchers)	3.3	3.4	3.4
Administrative staff	3	3.3	2.7
Ministry of HE and SR	3.7	3.7	3.4
Central quality department	3.7	3.7	3.2
Local authorities	3.4	3.1	2.4
Private sector	2.9	2.5	1.7
Research institutes	2.7	2.9	2
Donors	2	2	1.6
International organizations	2.4	2.4	2.1
European Union	2.1	2.1	2
Non-governmental organizations	2	2.1	1.7

The dimension of participation is considered among the top priorities for the university. Among the most important stakeholders for the correct and effective functioning of the institution, respondents stated the Ministry of Higher Education and Scientific Research being equally relevant than the internal stakeholders, namely administrative staff, professors, researchers and students. All the remaining actors are perceived as strategic for the university, mostly at the same level of importance above the average. When looking at how these actors really take part in the university governance, it is worth to start with a general consideration: stakeholders are more engaged in research and teaching activities and have a very little role when it comes to the university's third mission. Generally speaking, external stakeholders have an extremely limited participation in the university's activities, professors and administrative staff contribute to the decision-making process but the most relevant actors remain the Ministry HESR, the central quality department and local authorities, representing a quite centralized system.



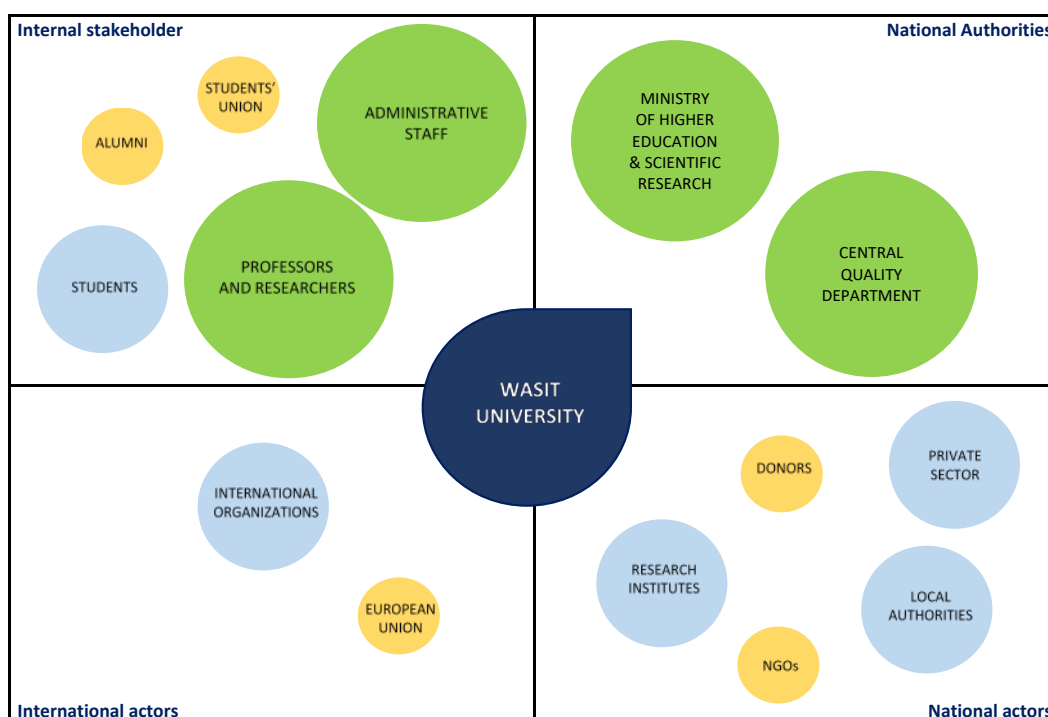
Wasit University

Importance of governance dimension	
Dimension	Priority factor
Participation	4.4

Importance of involving stakeholders	
Stakeholder	Priority factor
Donors	3.3
Students' Union	3.5
Private sector	3.5
International organizations	3.5
Non-governmental organizations	3.5
Alumni	3.6
Central quality department	3.6
Local authorities	3.6
Research institutes	3.6
European Union	3.6
Students	3.8
Professors (including researchers)	3.8
Administrative staff	3.8
Ministry of HE and SR	3.8

Stakeholders' participation			
Stakeholder	Assessment		
	Teaching	Research	Third Mission
Students	3	3.2	3.3
Students' Union	2.7	3	3
Alumni	2.7	2.7	2.9
Professors (including researchers)	3.5	3.4	3.4
Administrative staff	3.3	3.2	3.3
Ministry of HE and SR	3.4	3.3	3.2
Central quality department	3.4	3	3
Local authorities	3.2	3	3
Private sector	2.9	2.9	3.1
Research institutes	3.2	2.9	3
Donors	2.7	2.7	2.6
International organizations	2.9	2.9	3
European Union	2.6	3	2.8
Non-governmental organizations	3	2.7	2.8

The participation dimension is a high priority for the university. The stakeholders considered more important for the life of the institutions are internal stakeholders (administrative staff, professors and researchers and students), and authorities such as the Ministry of Higher Education and Scientific Research, the European Union, local authorities, the central quality department and research institutes. When looking at the results of the assessment on the actual institutional governance, the actors more relevant are the professors and the administrative staff, along with the central authorities, namely the MOHESR and the central quality department. External stakeholders seem to have a limited part in the functioning of the university: international organizations, the private sector, research institutes and donors have apparently a limited influence on the decision-making process and the governance of the institution.



7. Needs of the Iraqi Higher Education System

After the conclusion of the thorough analysis on the Iraqi Higher Education system, we can draw conclusions about the current state of the art of governance arrangements and define a number of training needs for the improvement and modernization of the Higher Education Institutions.

An improved knowledge of national current regulatory framework

During the analysis, most of the attention has been directed towards the dimension of autonomy. Autonomy has been investigated in several declinations, from organizational to academic autonomy, from autonomy in human resources management to financial autonomy. Within the limits of the project scope, we can say that it would be desirable to put in place a process of decentralization from the central authority to the HEIs in several matters, to allow HEIs to fully exploit and enjoy autonomy in decisions. Within the framework of the capacity building action, we can provide universities with additional instruments to improve their performance: an improved knowledge of the current regulatory framework, directions and instructions provided by the Ministry of Higher Education and Scientific Research, so to clearly define the boundaries within which universities can act and have space of autonomy.

Empowerment of university leaders on strategic planning and management skills

A noteworthy lack on managerial aspects has emerged from the research. The university leadership needs to be trained and empowered to conduct an effective and tailored strategic planning and manage the institution along with the last developments and practices of modern governance arrangements. This should be complemented by an improved capacity to manage resources (both financial resources and human resources) by strengthening the institutional capacity in long-term and short-planning, in the use of management techniques and in putting in place a process of consultation with stakeholders (internal and external) which may generate a positive impact of the institutional performance. University leaders can be empowered to take responsibility for action and drive institutional modernization within the national legislation framework. Strengthening their role, against non-formal and non-written rules, to carry the responsibility for improvement with support from the Ministry of Higher Education and Scientific Research.

Raising awareness and competences on Quality Assurance mechanisms

Along with the developments promoted by the Ministry of Higher Education and Scientific Research in the country, Quality Assurance is at the forefront of the national agenda. It would be extremely beneficial for Iraqi universities to build on the existing quality offices to strengthen the quality assurance mechanisms in place. University staff members should be provided with a clear guidance, with set procedures for evaluation and with improved mechanisms to inform the decision-making process with the outcomes of the periodical evaluations on activities, services, performance. Capacity building is needed to enhance staff skills, along with the dissemination of a quality culture in the university (ex-ante and ex-post). Quality should be perceived as a strategic dimension to allow Iraqi HEIs to compete in the global scenario meeting international quality standards. In this sense, the quality department at the Ministry, already indicated by many HEIs as a relevant actor among national stakeholders, could become a reference for universities for consultation and sharing

of practices, in order to improve the competences and awareness on Quality Assurance. Quality assurance practices should be fully managed by universities, with an overall guidance from the national body to ensure coherence in the entire Higher Education sector and compliance with international standards and trends. Moreover, to make the Quality Offices fully operational and dynamic, they should network and dialogue, share practices, difficulties and solutions. In this sense, the Quality Department at the Ministry is pivotal to ensure this coordination and networking among university's offices.

Enhancing the social role of universities

From the analysis conducted, the Third Mission of the universities seems to be a process in need of further attention. Universities in Iraq have the potential of being the starting point for the future of the country, the bridge between education and the job market, contributing to local developments. Capacity building activities should strengthen the capacity of staff members to engage in fruitful relations with the private sector and local communities, by engaging external actors from the socio-economic field in order to meet the real needs of the job market and provide students with the necessary skills. A special attention should be dedicated to the mechanisms to follow-up students during their university career and after the graduation. A major focus on employability and placement is recommended, building on the work already in place in the existing Career and Development department (in some cases referred to as the Rehabilitation and Employment Division), and by strengthening the administrative staff skills in managing and offer services to the students. Contamination between Higher Education Institutions, the private sector, companies and research centres has the potential to increase graduates' employability and respond effectively to the socio-economic needs of the country.

Students' participation in institutional processes

Universities stated quite clearly that both academic and administrative staff have ways to take part in the decision-making process and share their insights to direct decisions. Although a process of approval is in place first by the University Council and later by the Ministry of Higher Education and Scientific Research, academic and administrative staff have a quite relevant role in the institutional process. What would be beneficial for Iraqi HEIs is to enable students and students' representatives to have a voice in the decision-making processes, in the definition of teaching and research programs, and by integrating them in the university's structures, being students the primary beneficiaries of the education and services provided by the university.

Modernization of teaching and learning practices

In the framework of the relatively high academic autonomy granted to universities, efforts should be made to advance in teaching and learning practices and raise the quality of education. Education techniques are required to be amended to meet the social and technological demands. Without having the ambitious of exploring the entire range of possibilities in terms of teaching and learning practices, Universities would benefit from training on designing course contents, online learning and the use of technology in education, collaborative learning and a multi-disciplinary approach.

Management of research and inclusion of stakeholders

Capacity building is needed to strengthen the capacity of universities to manage research, providing staff with appropriate knowledge and tools to manage R&I. Research has been expressed as the main focus for

many universities in the consortium, even though a lack of managerial competences and proper follow-up on research outcomes has been detected. Universities should aim at developing an institutional management model of innovation and research, extend services and training in collaboration with local and regional industries and communities. Academic and administrative staff in charge of managing research should be trained to grant adequacy of research processes and outcomes, reinforcing the process of consultation and involvement of stakeholders to tailor research specialization with the need of the private and public sector.

Strengthening staff capacity to manage internationalisation opportunities

A focus should be posed in the training (as foreseen in WP4) on the management of international relations. Capacity building should be directed to train staff of the Department of Scholarships and Cultural Relations (those in charge for international relations) to fully exploit all the possibilities offered by international cooperation. In particular attention should be directed to: a) welcoming of international students and staff (incoming mobility); b) management of mobilities of staff and students (outgoing mobility); c) management of cooperation agreements; d) recognition procedures and the Bologna process; e) international ranking; d) management of international funds, fundraising and international opportunities, financial accountability. Improving the capacity of universities to manage internationalization opportunities may also result in the possibility to amplify and diversify the sources of revenue for HEIs. While strengthening staff capacities to manage international relations, a consequence would be to increase the degree of transparency and accountability in the management of international funds, which may in turn grant to the university a wider set of financial resources.

Proposed list of training topics

- University governance: modern practices
- The national regulatory framework
- University leadership and strategic planning
- Management techniques
- Quality assurance and evaluation
- Modernization of teaching and learning practices
- University social responsibility
- Employability and the relation with the private sector
- The process of consultation with stakeholders
- Management of Research
- Students' empowerment
- Management of international relations

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ANNEX I

Topics and questions Focus Groups KOM

TOPICS	QUESTIONS	
Decision making	How does you make strategic decisions in your university?	What role can the MOHESR play in the case of university autonomy?
	What should be the respective roles of universities and of the MOHESR in strategic decision-making?	How do you see the role of MOHESR in supporting the decision-making power of the university?
Ability to obtain resources	What resources do you currently have to achieve your strategic goals?	What are the regulatory and Practical changes needed to help you to improve the performance of your university?
	How do current resources allow you to achieve your strategic goals?	How can the MOHESR help you to improve the performance of your university?
	Do you have action plans to achieve your strategic goals?	What does a good performance of your university mean to you?
	Are there performance indicators that you monitor periodically?	
Quality Improvement	What are the quality criteria of your services?	What do you think are the quality criteria for your services according to: the student public, the socio-economic partners, the public authorities?
	What are the regulatory and practical changes needed to help you to improve the quality of your services?	
Evaluation	What methods are used to evaluate your performance?	How do you see the involvement of the different components of the university (teachers, administrators, students) in your evaluation?
	What are the strategic dimensions that most interest your university / about which you think your university can learn more from the experiences of other countries?	How do you plan to use the performance evaluation reports from your university?

Annex II

Survey

INsPIRE _ WP1 : State of the art of the Higher Education System and its Governance in Iraq

This survey, addressed to university leaders (Presidents or Vice-presidents), and to different directors, aims at drawing up an objective and current state of play in Iraqi universities. The analysis of this survey will help defining universities needs and propose actions to strengthen their capacities.

Some instructions on how to fill in the survey:

Questions from 1 to 5 Session I : addressed to University Presidents

Questions from 6 to 14 Session I: addressed to Department of Studies and Planning

Questions from 1 to 2 Session II: addressed to University Presidents

Questions from 1 to 7 Session III: addressed to Department of Quality Assurance

Questions 8, 10 and 11 Session III: addressed to Students Affairs Department

Question 9 Session III: addressed to Finance Department

Questions from 1 to 8 Session IV: addressed to Department of Cultural relations

Questions from 1 to 4 Session V: addressed to the Division on rehabilitation and employment

Questions from 1 to 6 Session VI: addressed to Department of Scientific Affairs

Should you have any need of clarification or any question, please write to Silvia Marchionne from UNIMED (s.marchionne@uni-med.net) and to Sudad Ahmed from Baghdad University (sudadmaaf4@yahoo.com).

Thank you for your cooperation!

The team of the INsPIRE WP1
(UNIMED & University of Baghdad)

***Campo obbligatorio**

1. Indirizzo email *

I - GENERAL INFORMATIONS About your University

2. 1. How would you describe the profile of your institution? Please choose one option.

Contrassegna solo un ovale.

☐ More teaching than research oriented

☐ More research than teaching oriented

☐ Higher National College

3. 2. How would you describe the mission of your institutions. Please chose one :

Contrassegna solo un ovale.

☐ Teaching

☐ Research

☐ Vocational training

4. 3. Year of foundation of the university

5. 4. Type (check all that apply):

Seleziona tutte le voci applicabili.

- ☐ For profit
- ☐ Independant
- ☐ Private
- ☐ Public
- ☐ Not for Profit
- ☐ Other (Specify)
- ☐ Comments

6. 5. Degrees offered (check all that apply):

Seleziona tutte le voci applicabili.

- ☐ Bachelor
- ☐ Master
- ☐ Doctorate
- ☐ Certificate
- ☐ Diploma
- ☐ Other (Specify)
- ☐ Comments

7. 6. Number of Iraqi students (academic year 2018/2019) – Please provide the number of female and male students

8. 7. Number of Iraqi professors (Please specify the categories according to your academic status – full professor, associate professor – Typologies of contract) – Please provide the number of female and male students Professors?

9. 8. Number of Iraqi administrative Staff

10. 9. Number of Foreign students (academic year 2018/2019) and from where are they coming from (top 3 country of origin)?

11. 10. Number of Foreign academic staff and from where are they coming from (top 3 country of origin)?

12. 11. Number of Foreign administrative staff

13. 12. Number of temporarily students abroad (Please provide geographical location - mobility + type of scholarships + scholarship providers)

14. 13. Please explain the selection process of each of the following : (president, vice-president, university council, dean, head of department)

15. 14. Please attach the academic and administrative organigramme of your university (in English and in Arabic)

File inviati:

II - FUNDING AND AUTONOMY

16. 1. What are the different sources of funding for the university?

Seleziona tutte le voci applicabili.

- ☐ Funds from the State or regional authorities (budget allocation, grants, other)
- ☐ Tuition fees for students
- ☐ Funds from the owners of the institution (if private)
- ☐ Funds raised from private enterprises (industrial, commercial)
- ☐ Loans from banks
- ☐ Loans from international organizations
- ☐ Funds obtained through contracts (consulting, outsourcing of services)
- ☐ Revenues from National Research Grants
- ☐ Revenues from International Research Grants
- ☐ Opzione 10
- ☐ Revenues from National Donors
- ☐ Revenues from International Donors

17. 2. What is the degree of autonomy of the University on the following items :

Seleziona tutte le voci applicabili.

	fully dependent	partially dependent/autonomous	fully autonomous
Mission definition and University strategy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Definition of short-term objectives and long-term objectives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The structure of the curricula (diplomas, conditions of issue)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The total number of students admitted? (i.e. can the university refuse any enrolments)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The introduction of new programs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Identification of areas of research	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Academic partnerships with other institutions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Human resources policy : for academic staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Human resources policy : for technical-administrative staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

18. 2. From whom or which entity depends your decision on the issues above described?

19. 3. Does the university have a strategic plan for the next years? If yes, please describe it here below and describe also how is formulated and by whom is approved?

III - QUALITY ASSURANCE

20. 1. Is there a Quality Assurance system in your institution?

Contrassegna solo un ovale.

☐ yes

☐ no

21. 2. If existent, does/do the QA system(s) to address the following items?

Seleziona tutte le voci applicabili.

- ☐ Institutional licensing
- ☐ Accreditation of institutions or programs
- ☐ Assessing Learning Outcomes
- ☐ Teaching methodologies
- ☐ Research
- ☐ Facilities

22. 3. Does your institution practice a monitoring activity?

Contrassegna solo un ovale.

☐ Yes

☐ No

23. 4. If your answer to question 3 is yes, could you indicate who does this monitoring activity, what is the frequency of the activity and to whom you send the results?

24. 5. What are the mechanisms used to follow up on evaluations' results?

Contrassegna solo un ovale.

- ☐ Establishing of Action Plans
- ☐ Variable budget allocations are linked with results
- ☐ Implementing of corrective measures
- ☐ Others

25. 6. Who leads the mechanisms used to follow up on evaluations' results of the QA system? And how frequently is this done?

26. 7. When was the last time that an institutional self assessment was conducted?

27. 8. When was the last time that a program was accredited? By whom?

28. 9. How many programs of the total have been accredited in the institution?

29. 10. Has the institution put in place standardized sanctions against:

Contrassegna solo un ovale.

- ☐ Examination fraud
- ☐ Unethical behavior of faculty (sale of exams,)
- ☐ Non compliance with admission standards
- ☐ Unethical management of faculty careers
- ☐ Unethical management of faculty careers
- ☐ others

30. 11. Does the institution follow a standardized process for procurement?

31. 12. Do students evaluate their learning experience, their courses, their lecturers?

32. 13. Please describe students involvement (union groups etc.)

IV - NATIONAL AND INTERNATIONAL COOPERATION

33. 1. Is there an international office in your university/institution? If yes, how is the selection of the director and the members made?

34. What is the International office in charge for, what is its role and the main priorities ?

35. 3. How many agreements with Iraqi universities have been established? (please list them)

36. 4. What type of agreements are they? With which countries do you have often such cooperation agreements? Why

37. 5. How many agreements with Foreign universities have been established? (please list them)

38. 6. What kind of joint activities do agreement include? Do you manage to perform them? If not, why?

39. 8. Information on international mobility programs reaches you through: (Please select the most appropriate answer)

Contrassegna solo un ovale.

☐ The administrative circuit

☐ The university website

☐ From the host university

☐ By word of mouth

☐ Altro:

40. 9. From how many people your office is composed? Are they all part-time or full-time employees?

41. 10. Have you recently organised international events in your institution? If so, what kind of event?

V - UNIVERSITY-INDUSTRY COOPERATION

42. 1. How is it possible, according to your view, to involve enterprises in the activities of your institution in order to ensure an extensive and continuous communication between HEI and their socio-economic partners?

43. 2. How does your institution tackle the issue of employability of graduates?

44. 3. Are you aware of the unemployment rates of your graduated students (for example average unemployment rate 6 months after graduation)

45. 4. How do you consider the role of vocational training courses outside the University CV?

VI - FUTURE STRATEGIES

46. 1. Please describe the subjects in which your University would like to receive capacity building training

47. 2. Please describe the Scientific Domains in which your University would like to enhance its research activities

48. 3. Please indicate the top 3 Scientific Domains in which your University would like to specialize in the forthcoming years

49. 4. Please indicate 3 administrative domains in which your University would like to receive capacity building trainings

50. 5. Please identify possible barriers and constraints for Scientific and University cooperation between Iraq and European Higher Education Institutions

51. 6. Please identify possible barriers and constraints for Scientific and University cooperation between Iraq and Arab Higher Education Institutions

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Google Moduli

Annex III

Self-evaluation questionnaire



Welcome to the institutional self-assessment of university governance in the framework of the INsPIRE project.

Section A: Prioritization governance DIMENSIONS

You are asked to assess the IMPORTANCE of each governance DIMENSION in relation to the effective functioning of the institution.

A1. Please evaluate from 1 (low) to 5 (high) how IMPORTANT is each of the following governance DIMENSIONS.

	1 (low)	2	3	4	5 (high)
AUTONOMY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MANAGEMENT TECHNIQUES	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ACCOUNTABILITY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PARTICIPATION	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section B: Prioritization governance SUB-DIMENSIONS

You are asked to assess the IMPORTANCE of each governance SUB-DIMENSION.

B1. Please evaluate from 1 (low) to 5 (high) how important is each SUB-DIMENSION of the INSTITUTIONAL AUTONOMY.

	1 (low)	2	3	4	5 (high)
ORGANIZATIONAL AUTONOMY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ACADEMIC AUTONOMY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
AUTONOMY IN DECISION-MAKING ABOUT HUMAN RESOURCES	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FINANCIAL AUTONOMY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B2. Please evaluate from 1 (low) to 5 (high) how important is each governance SUB-DIMENSION of the MANAGEMENT TECHNIQUES.

	1 (low)	2	3	4	5 (high)
DEFINITION OF QUALITY ASSURANCE MECHANISMS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EFFECTIVE USE OF PERFORMANCE PLANNING TOOLS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EFFECTIVE USE OF EVALUATION RESULTS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



B3. Please evaluate from 1 (low) to 5 (high) how important is each SUB-DIMENSION related to institutional ACCOUNTABILITY.

	1 (low)	2	3	4	5 (high)
ORGANISATIONAL ACCOUNTABILITY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ACADEMIC ACCOUNTABILITY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
HUMAN RESOURCES ACCOUNTABILITY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FINANCIAL ACCOUNTABILITY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B4. Please evaluate from 1 (low) to 5 (high) how important is the PARTICIPATION of INTERNAL and EXTERNAL stakeholders in the institutional life.

	1	2	3	4	5
INT: Students	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
INT: Students unions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
INT: Alumni	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
INT: Professors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
INT: Administrative staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXT: Ministry of Higher Education	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXT: Central quality department	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXT: Local authorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXT: Private sector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXT: Research institutes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXT: Donors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXT: International organisations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXT: European Union	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXT: NGOs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Section C: Assessment of INSTITUTIONAL AUTONOMY

You are asked to ASSESS to what extent the instituion is ABLE TO DECIDE FREELY IN RELATION TO THE CENTRAL AUTHORITY.

C1. Please evaluate on a scale 1 (low) to 5 (high) the degree of ORGANIZATIONAL AUTONOMY of the governing bodies entitled to decide on TEACHING activities.

	1	2	3	4	5
Functions of governing bodies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Composition of governing bodies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Selection criteria of governing bodies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dismissal criteria of governing bodies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C2. Please evaluate on a scale 1 (low) to 5 (high) the degree of ORGANIZATIONAL AUTONOMY of the governing bodies entitled to decide on RESEARCH activities.

	1	2	3	4	5
Functions of governing bodies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Composition of governing bodies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Selection criteria of governing bodies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dismissal criteria of governing bodies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C3. Please evaluate on a scale 1 (low) to 5 (high) the degree of ORGANIZATIONAL AUTONOMY of the governing bodies entitled to decide on the THIRD MISSION of the university.

	1	2	3	4	5
Functions of governing bodies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Composition of governing bodies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Selection criteria of governing bodies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dismissal criteria of governing bodies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C4. Please evaluate on a scale 1 (low) to 5 (high) the degree of ACADEMIC AUTONOMY in relation to TEACHING activities.

	1	2	3	4	5
Overall students number	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Students' selection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



	1	2	3	4	5
Introduction of programs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Design of course contents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Choice of the language of instruction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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C5. Please evaluate on a scale 1 (low) to 5 (high) the degree of ACADEMIC AUTONOMY in relation to RESEARCH activities.

	1	2	3	4	5
Definition of research programs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Acquisition of research tools / technical instruments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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C6. Please evaluate on a scale 1 (low) to 5 (high) the degree of ACADEMIC AUTONOMY in relation to the THIRD MISSION of the university.

	1	2	3	4	5
Set-up of socio-economic activities (such as museum management, medical laboratories...)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Set-up of students' follow-up mechanisms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Set-up of students' placement office	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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C7. Please evaluate on a scale 1 (low) to 5 (high) the degree of AUTONOMY in taking decisions on HUMAN RESOURCES involved in TEACHING activities.

	1	2	3	4	5
Salaries for academic staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Salaries for administrative staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Dismissal for academic staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Dismissal for administrative staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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C8. Please evaluate on a scale 1 (low) to 5 (high) the degree of AUTONOMY in taking decisions on HUMAN RESOURCES involved in RESEARCH activities.

	1	2	3	4	5
Salaries for academic staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Salaries for administrative staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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	1	2	3	4	5
Dismissal for academic staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dismissal for administrative staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C9. Please evaluate on a scale 1 (low) to 5 (high) the degree of AUTONOMY in taking decision on HUMAN RESOURCES involved in the THIRD MISSION of the university.

	1	2	3	4	5
Percentage of dedicated time to support Third Mission activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C10. Please evaluate on a scale 1 (low) to 5 (high) the degree of FINANCIAL AUTONOMY in deciding upon the financial resources for TEACHING activities.

	1	2	3	4	5
Buy / Sell assets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Decision on how to allocate public funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C11. Please evaluate on a scale 1 (low) to 5 (high) the degree of FINANCIAL AUTONOMY in deciding upon the financial resources for RESEARCH activities.

	1	2	3	4	5
Buy / Sell assets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Attraction of funds from the private sector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Attraction of funds from EU and international organizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Decision on how to allocate private funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C12. Please evaluate on a scale 1 (low) to 5 (high) the degree of FINANCIAL AUTONOMY in deciding upon the financial resources for activities related to the THIRD MISSION of the university.

	1	2	3	4	5
Buy / Sell assets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Investement of its own resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Attraction of funds from the private sector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Attraction of funds from EU and international organizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Decision on how to allocate private funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Section D: Assessment of MANAGEMENT TECHNIQUES

You are asked to ASSESS to what extent the Institution is ABLE TO EFFECTIVELY USE MANAGERIAL TOOLS.

D1. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the DEFINITION OF QUALITY PROCEDURES in relation to TEACHING activities.

	1	2	3	4	5
Definition of standard procedures for the evaluation of academic courses and teaching methodologies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Definition of standard procedures for the evaluation of student services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Definition of standard procedures for the evaluation of students' performance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D2. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the DEFINITION of QUALITY PROCEDURES in relation to RESEARCH activities.

	1	2	3	4	5
Definiton of standard procedures for the design of research programs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Definition of standard procedures for the acquisition of research tools / technical instruments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D3. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the DEFINITION of QUALITY PROCEDURES in relation to the THIRD MISSION of the university.

	1	2	3	4	5
Definition of standard procedures for the realization of socio-economic activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Definition of standard procedures for the evaluation of students' follow-up	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Definition of standard procedures for the students' placement office management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D4. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the use of PLANNING TOOLS for TEACHING activities.

	1	2	3	4	5
Planning documents (medium and long term strategic goals)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Budget documents (short term operational goals)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D5. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the use of PLANNING TOOLS for RESEARCH activities.

	1	2	3	4	5
Planning documents (medium and long term strategic goals)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



	1	2	3	4	5
Budget documents (short term operational goals)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D6. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the use of PLANNING TOOLS for the activities related to the university's THIRD MISSION.

	1	2	3	4	5
Planning documents (medium and long term strategic goals)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Budget documents (short term operational goals)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D7. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the USE of EVALUATION RESULTS in relation to TEACHING activites.

	1	2	3	4	5
Use of data on organizational performance for decision-making	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Use of data on individual staff performance for decision-making	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D8. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the USE of EVALUATION RESULTS in relation to RESEARCH activites.

	1	2	3	4	5
Use of data on organizational performance for decision-making	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Use of data on individual staff performance for decision-making	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D9. Please evaluate on a scale 1 (low) to 5 (high) the degree of EFFECTIVENESS in the USE of EVALUATION RESULTS in relation to the THIRD MISSION of the unversity.

	1	2	3	4	5
Use of data on organizational performance for decision-making	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Use of data on individual staff performance for decision-making	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section E: Assessment of ACCOUNTABILITY

You are asked to ASSESS to what extent the Institution is ACCOUNTABLE to stakeholders.

E1. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for ORGANIZATIONAL aspects related to TEACHING.

	1	2	3	4	5
Compliance with the Mission and Vision of the institution	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



	1	2	3	4	5
Compliance with planning documents (strategic plan)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Organisation and functioning of institutional central governing bodies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E2. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for ORGANIZATIONAL aspects related to RESEARCH activities.

	1	2	3	4	5
Compliance with the Mission and Vision of the institution	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Compliance with planning documents (strategic plan)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Organisation and functioning of institutional central governing bodies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E3. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for ORGANIZATIONAL aspects related to the THIRD MISSION of the university.

	1	2	3	4	5
Compliance with the Mission and Vision of the institution	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Compliance with planning documents (strategic plan)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Organisation and functioning of institutional central governing bodies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E4. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for ACADEMIC ISSUES related to TEACHING.

	1	2	3	4	5
Students' performance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Students services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Academic workload	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E5. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for ACADEMIC ISSUES related to RESEARCH activities.

	1	2	3	4	5
Research results	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Acquisition of research tools/technical instruments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



E6. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for ACADEMIC ISSUES related to the THIRD MISSION of the university.

	1	2	3	4	5
Set-up of socio-economic activities (such as museum management, medical laboratories...)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Student follow-up	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Set-up of student placement office	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E7. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for HUMAN RESOURCES MANAGEMENT in relation to TEACHING.

	1	2	3	4	5
Dismissal of academic staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dismissal of administrative staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Promotions for academic staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Promotions for administrative staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Punitive sanctions against unethical behavior	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E8. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for HUMAN RESOURCES MANAGEMENT in relation to RESEARCH activities.

	1	2	3	4	5
Dismissal of academic staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dismissal of administrative staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Promotions for academic staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Promotions for administrative staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Punitive sanctions against unethical behavior	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E9. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for HUMAN RESOURCES MANAGEMENT in relation to the THIRD MISSION of the university.

	1	2	3	4	5
Percentage of time dedicated to Third Mission activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



	1	2	3	4	5
Punitive sanctions against unethical behavior	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E10. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for FINANCIAL decisions related to TEACHING.

	1	2	3	4	5
Budget sources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Budget allocation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Debt level	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E11. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for FINANCIAL decisions related to the THIRD MISSION of the university.

	1	2	3	4	5
Budget sources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Budget allocation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Debt level	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E12. Please evaluate on a scale 1 (low) to 5 (high) to what extent the Institution is ACCOUNTABLE for FINANCIAL decisions related to RESEARCH activities.

	1	2	3	4	5
Budget sources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Budget allocation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Debt level	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section F: Assessment on PARTICIPATION

You are asked to assess the DEGREE OF PARTICIPATION OF STAKEHOLDERS in the overall institutional functioning and their influence on decision-making.

F1. Please evaluate on a scale 1 (low) to 5 (high) the degree of involvement of INTERNAL stakeholders in TEACHING activities.

	1	2	3	4	5
Students	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Students unions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Alumni	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



	1	2	3	4	5
Professors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Administrative staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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F2. Please evaluate on a scale 1 (low) to 5 (high) the degree of involvement of INTERNAL stakeholders in RESEARCH activities.

	1	2	3	4	5
Students	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Students unions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Alumni	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Professors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Administrative staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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F3. Please evaluate on a scale 1 (low) to 5 (high) the degree of involvement of INTERNAL stakeholders in the activities related to the university's THIRD MISSION.

	1	2	3	4	5
Students	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Students unions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Alumni	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Professors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Administrative staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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F4. Please evaluate on a scale 1 (low) to 5 (high) the degree of involvement of EXTERNAL stakeholders in TEACHING activities.

	1	2	3	4	5
Ministry of Higher Education	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Central quality department	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Local authorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Private sector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Research institutes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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	1	2	3	4	5
Donors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
International organisations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
European Union	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NGOs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

F5. Please evaluate on a scale 1 (low) to 5 (high) the degree of involvement of EXTERNAL stakeholders in RESEARCH activities.

	1	2	3	4	5
Ministry of Higher Education	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Central quality department	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Local authorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Private sector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Research institutes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Donors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
International organisations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
European Union	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NGOs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

F6. Please evaluate on a scale 1 (low) to 5 (high) the degree of involvement of EXTERNAL stakeholders in the activities related to the university's THIRD MISSION.

	1	2	3	4	5
Ministry of Higher Education	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Central quality department	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Local authorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Private sector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Research institutes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Donors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



	1	2	3	4	5
International organisations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
European Union	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NGOs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Thanks for your time!

UNIMED team