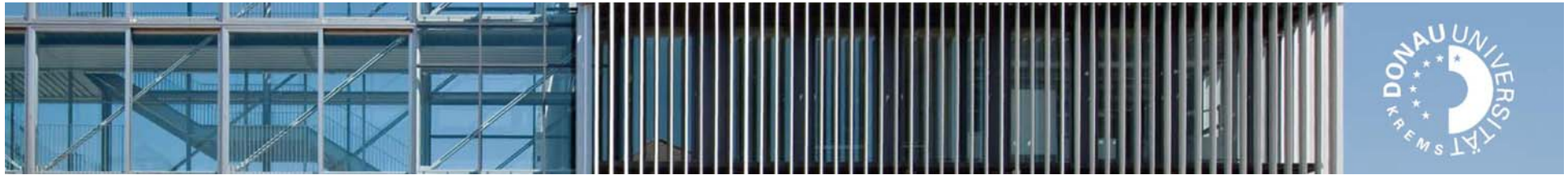


# **Towards the Third Mission - Universities in Transition and the Case of Austria**

**Attila Pausits**



**Diversification and institutional positioning will take place more through the third mission of universities in the future.**



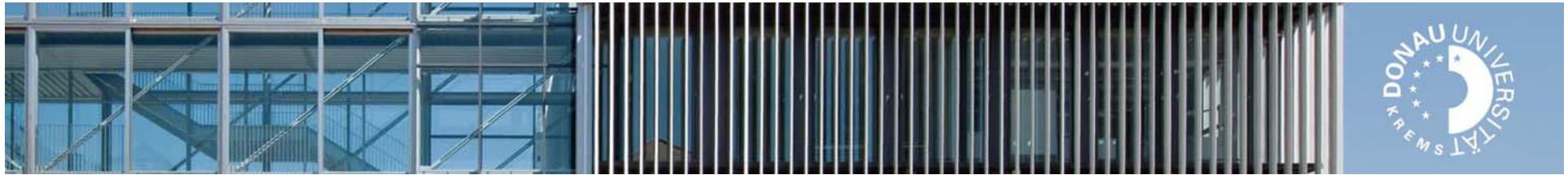
# Outline

- First and second mission effects
- Third mission
- Case of Austria
- Conclusions



# New Public Management Rhetoric: Modern University

- Knowledge alliances
- Entrepreneurship
- Employability
- Responsible science
- Science to professionals
- Science communication
- Accountability
- Effectiveness and efficiency
- Third mission
- ...



# Excellence in Higher Education

- System
  - Innovation Index
  - Universitas
  - EEU Initiative
- Institution
  - Excellence Initiatives
  - Third party support
- Units and Centers
  - Research Funds
  - Institutional Strategy
    - Teaching
    - Research
- Programme
  - Erasmus Mundus Programmes
- Individuals
  - Publications
  - Evaluation



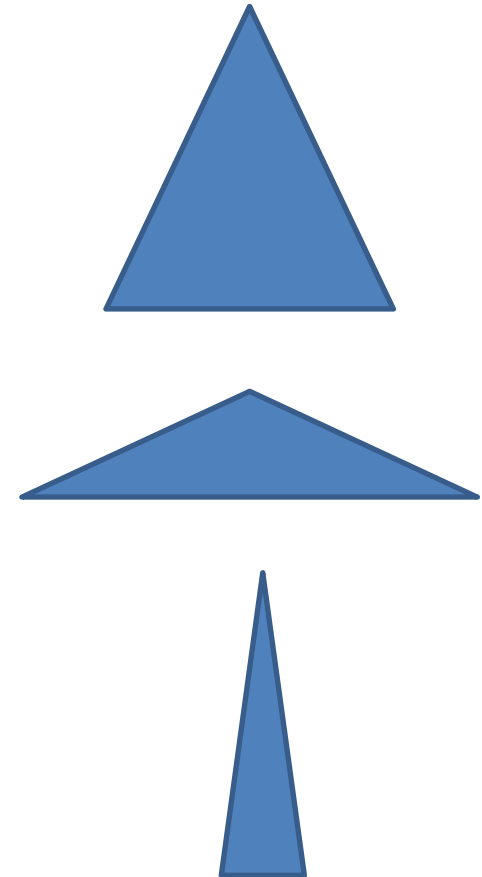
## Formation

- Contribute to
  - overcoming the global challenges of the world (UN SDGs)
  - the social, cultural and economic development and international competitiveness of their societies
- World class universities
  - Ten characteristics of contemporary research universities (AAU, LERU, GO8, C9)
- Entrepreneurial University, Responsible University, ...
- „Glocal University“
  - globally responsive and locally relevant (GUNI)
- Lifelong Learning University



# Diversification

- Positioning High Ed.
  - System
  - Institution
  - Units
  - Programmes
- Individuals (academic/administration, third space worker)
- Student population







## Institutional approach and contextualization

- The importance of universities is based on their achievements in research and teaching and not on their willingness to institutional changes (*Shattock 2003*)
- extending the responsibilities of the university as a transformative characteristic (*Kerr 2001; Barnett 2003*)
- need to define another mission from the complexity of the tasks (*Goddard/Puukka 2008; Daxner 2010; Mahrl/Pausits 2012*)
- a special organizational form and the herewith associated social role (*Montesinos/Mora 2008*)





## Solutions

- Renewed and revitalized strategic framework
  - History
  - Diversity
  - Context
  - Funding
  - ...
- “Balanced” social contract between HEIs and their respective societies (dual nature of local and global engagement)
  - Enhancing the quality and relevance of learning and teaching
  - Fostering the employability of graduates throughout their working lives
  - Making our systems more inclusive
  - Implementing agreed structural reforms

(Yerevan Communiqué 2015)



## Leading Questions

- How does the university achieve some impact within society from its research/teaching?
- How is the university's expertise used to extend the education of non-traditional learner groups?
- How can the university realise its potential to be one of the natural fora in the locality for educating the public and debating (not overtly political) matters of concern, and the development of consensus?
- How does the university empower and enable problem solving and development on a large scale in the (local) community?



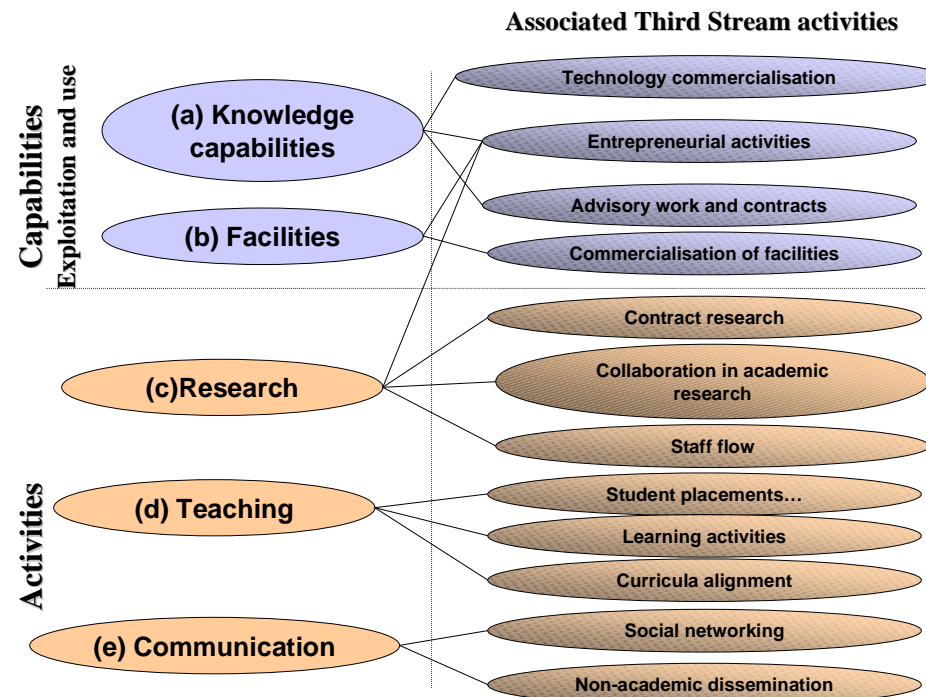
## Third Mission

- ... activities are therefore concerned with the generation, use, application and exploitation of knowledge and other university capabilities outside academic environments (Molas-Gallart et al. 2002)
- ...is the vehicle to let universities leave the ivory tower and to increase the collaboration and exchange with the society....
- ...social dimension of third mission activities is as important as the commercialisation of knowledge through technology transfer



# Taxonomy of the third mission

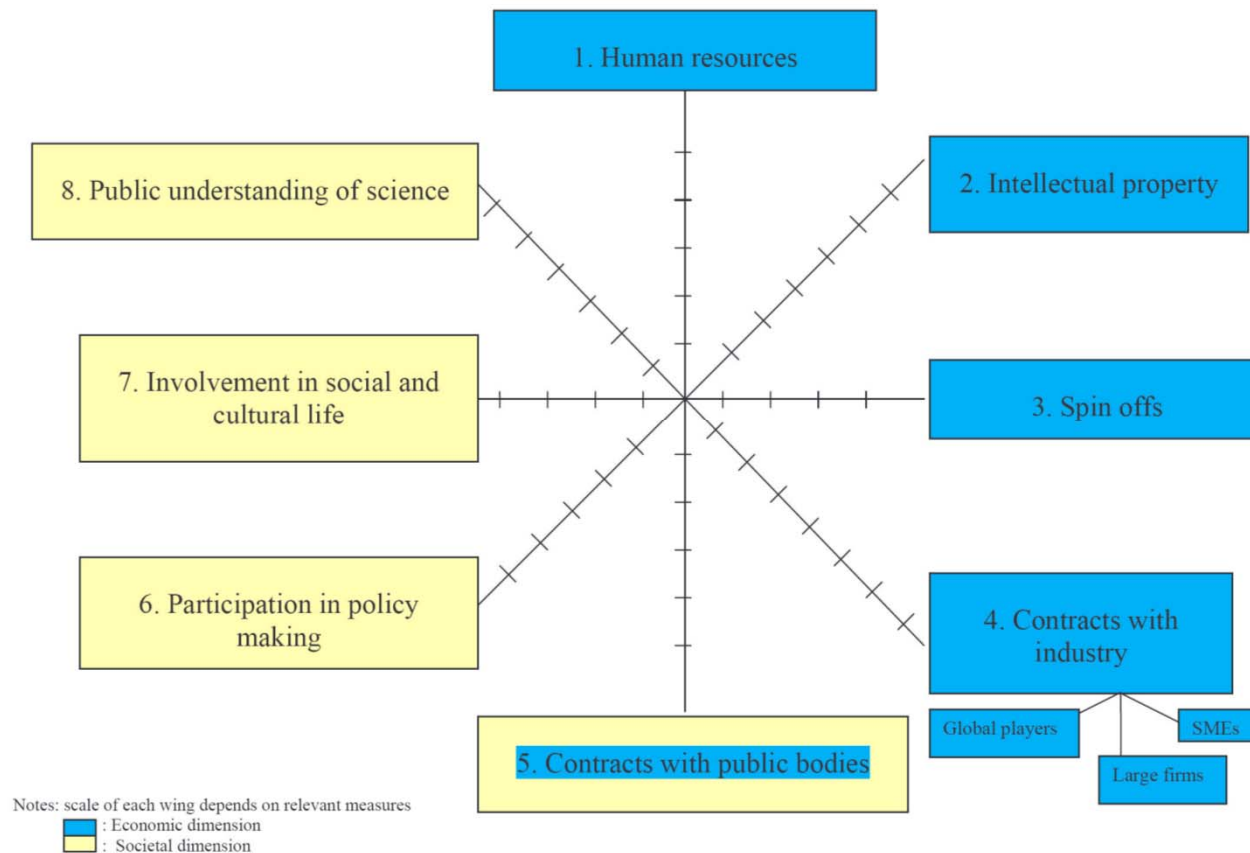
- Russell Report 2002





# Taxonomy of the third mission

- **Prime Network 2006**







# Taxonomy of the third mission

- **E3M**

Continuing  
Education

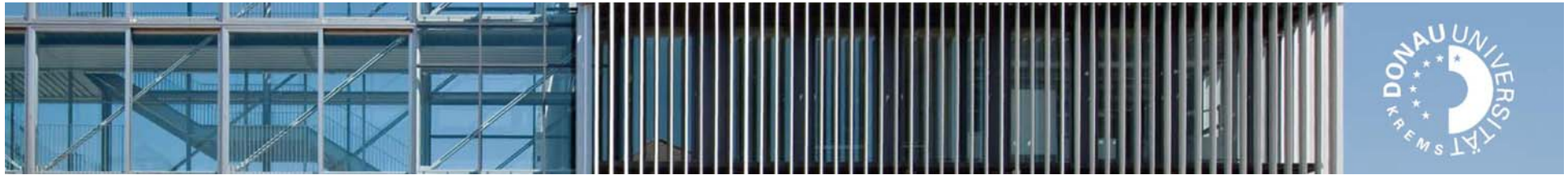
Education  
Continuing

Technology  
Transfer &  
Innovation

Innovation  
Transfer &  
Technology

Social  
Engagement

Engagement  
Social



## Third mission frameworks

	<b>Russell Report</b>	<b>Prime Network</b>	<b>E3M</b>
<b>scientific approach</b>	yes	yes	yes
<b>contextualization</b>	no	yes	no
<b>focus</b>	national	international	international
<b>dimensions</b>	5	8	3
<b>processes</b>	no	no	yes
<b>activities</b>	yes	yes	yes
<b>indicators</b>	34	21	54
<b>recommendation for actions</b>	yes	no	yes





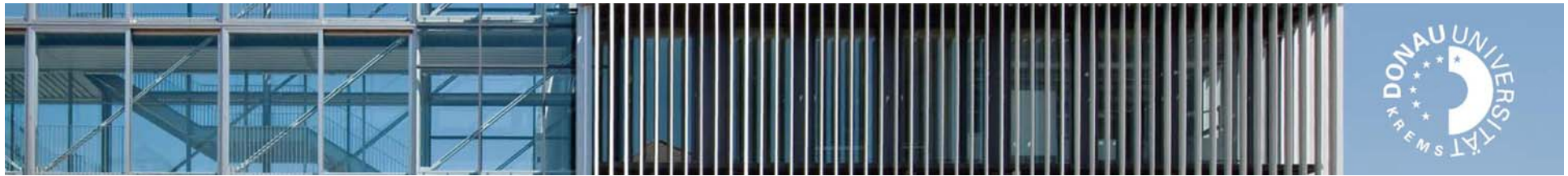
## International approaches

- Governments demanding more accountability and responsibility from the universities
- Include into governance
  - public dialogue
  - performance agreements
  - third mission funding scheme
  - revise public relations priorities
- Institutional implementation
  - Mission Statement, Strategy
  - Vice-Rector for Third Mission
  - Service units (e.g. TTO, LLLC)
  - Incentives, budget allocation

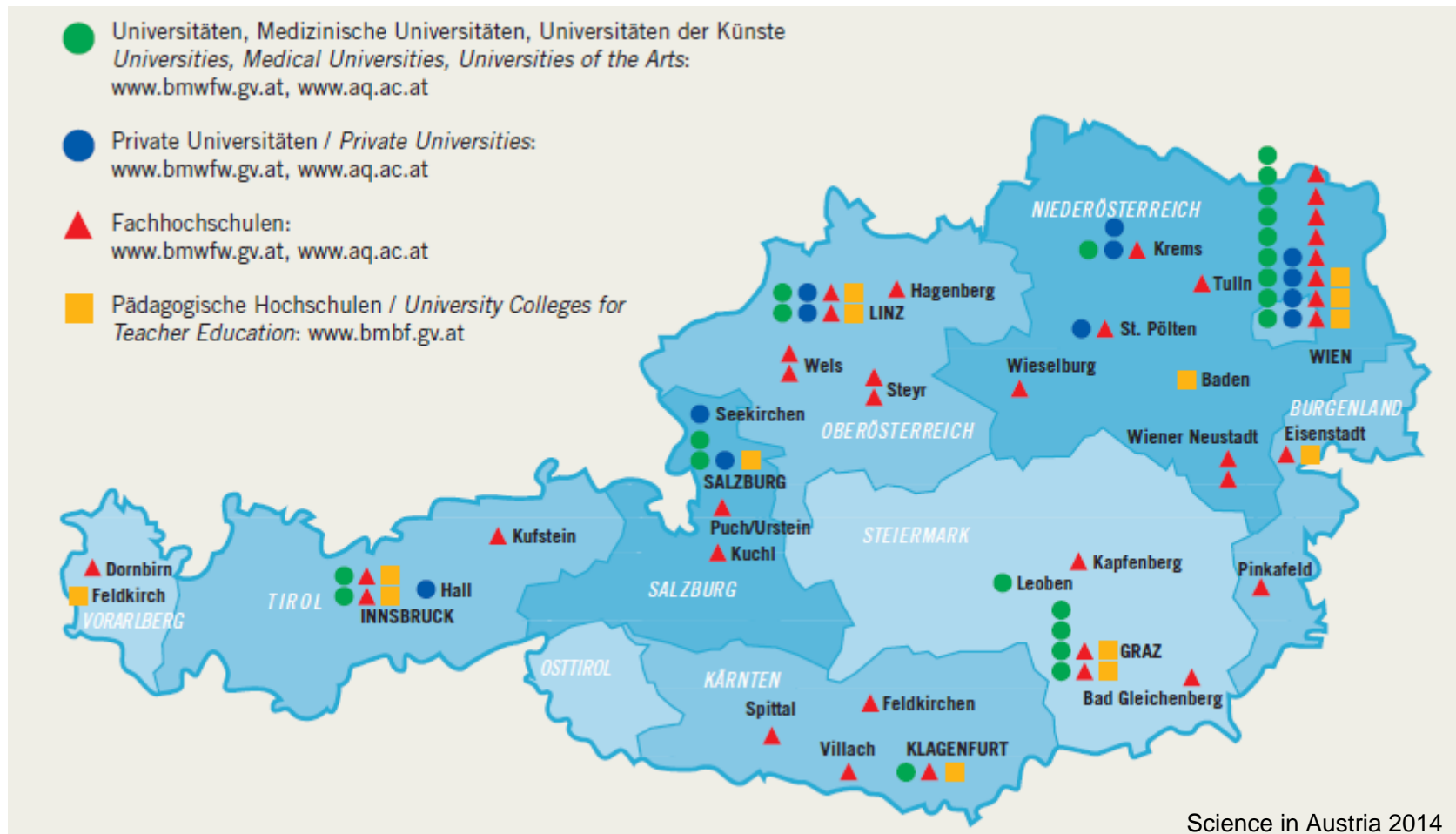


## Conclusions

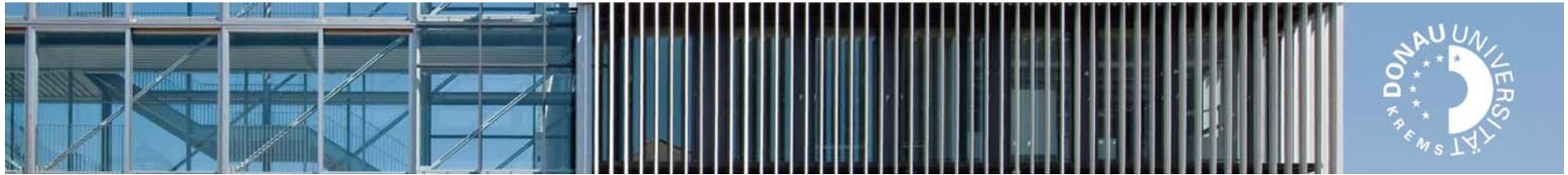
- Excellence in first and second mission
- Third mission as a vehicle for change and (re)definition of the social contract
- Large set of descriptors/indicators to show/measure third mission
  - Data collection and availability, feasibility, comparability...



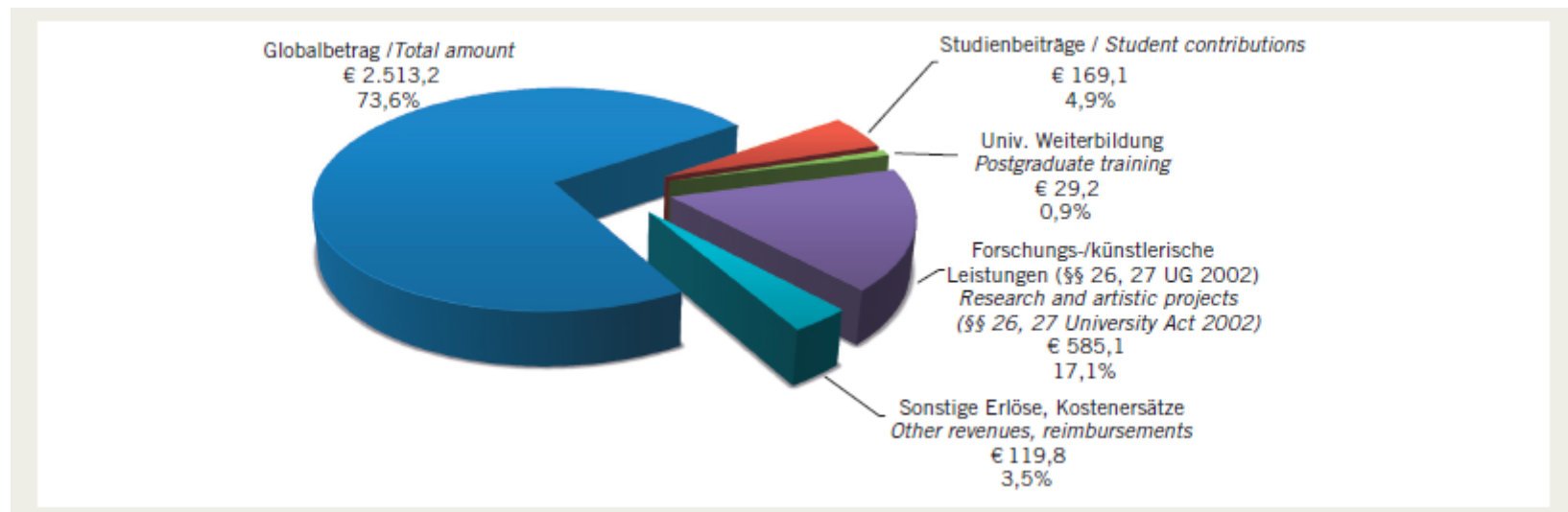
# Higher Education Institutions in Austria



Science in Austria 2014



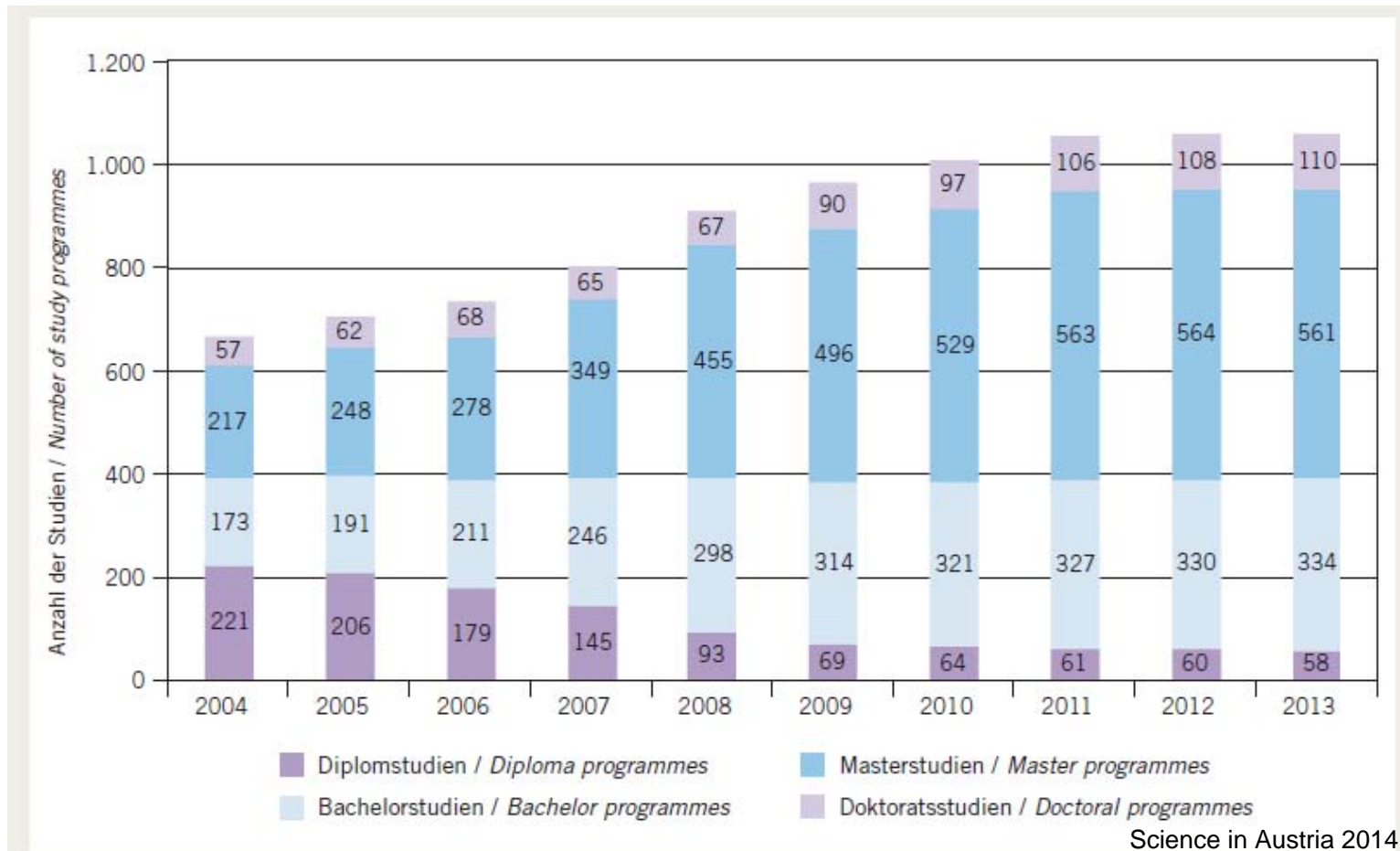
## Revenues of public universities in million EUR (2012)



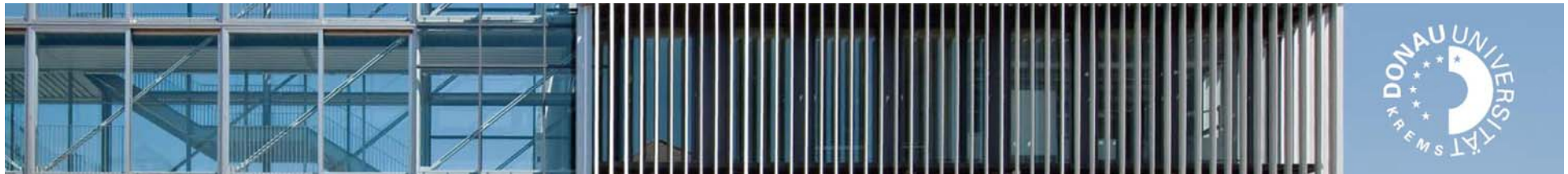
Science in Austria 2014



## Development of study programmes winter term 2004-2013



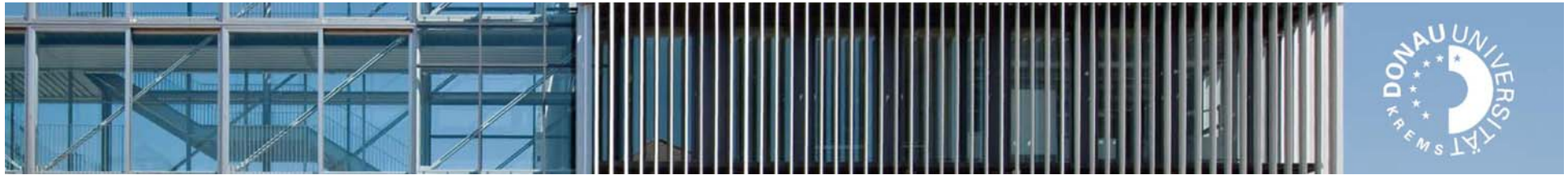




## OECD Indicators

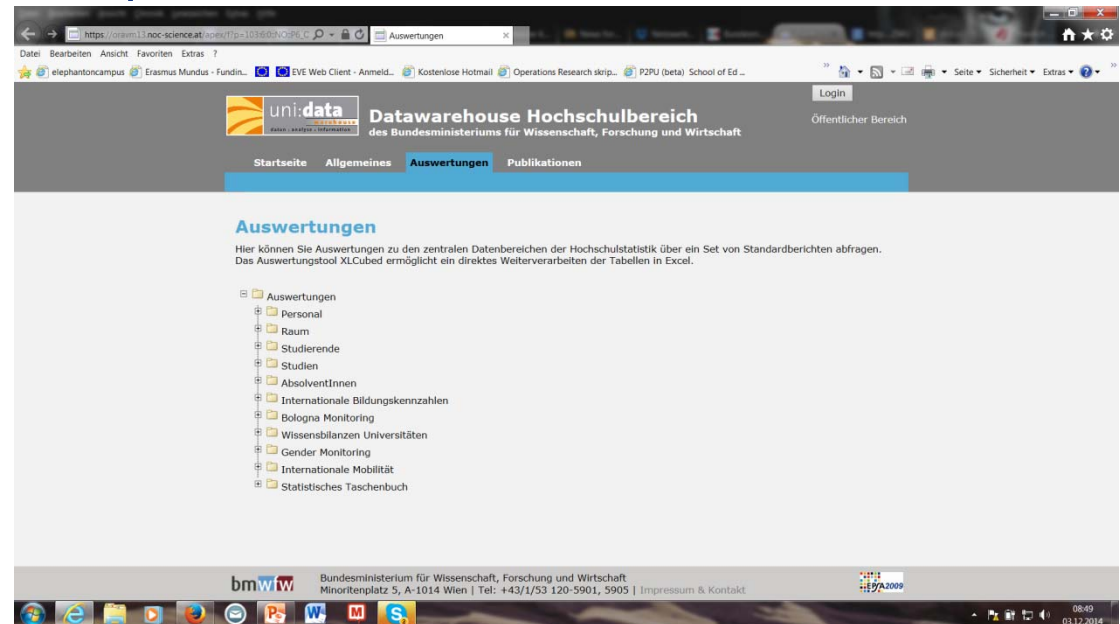
	Österreich <i>Austria</i>	OECD-Durchschnitt <i>OECD-average</i>
Anteil von Personen mit Sekundarabschluss <i>Population with at least upper secondary education</i>	82%	73%
Hochschulzugangsquote <i>Entry rates to tertiary education</i>	52%	60%
Ausländische Studierende als Prozentsatz aller Studienanfänger/innen <i>Foreign students as a percentage of all tertiary enrolment</i>	14,7%	7,0%
Akademikerquote – Personen mit tertiärem Bildungsabschluss <i>Population with tertiary education</i>	19%	32%
Abschlussquote bei Doktoratsstudien <i>Graduation rates in advanced research programmes</i>	2,1%	1,6%
Erfolgsquote im Tertiärbereich <i>Completion rates in tertiary level</i>	65%	70%
Öffentliche Bildungsausgaben im Tertiärbereich als Anteil am BIP <i>Public expenditure on tertiary education as a percentage of GDP</i>	1,5%	1,1%
Jährliche Ausgaben pro Studierenden <i>Annual expenditure per student in tertiary education</i>	\$ 15.007	\$ 13.528
Betreuungsverhältnis im Tertiärbereich <i>Ratio of students to teaching staff in tertiary education</i>	16,6	15,6

OECD 2013



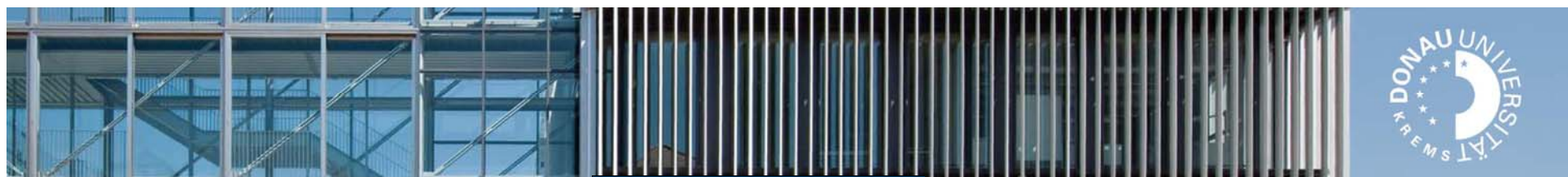
## University Governance

- Higher education act 2002
- Development plans
- Performance agreements
- Annual knowledge surveys
- Uni:Data



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## UNIVERSITY AUTONOMY IN EUROPE II

### THE SCORECARD

By Thomas Estermann, Tedi Hakala & Monika Strödel

Table 12 - Organisational autonomy scores

Rank	System	Score
1	United Kingdom	100%
2	Denmark	94%
3	Finland	93%
4	Estonia	87%
5	North Rhine-Westphalia	84%
6	Ireland	81%
7	Portugal	80%
8	Austria	78%
	Hesse	78%
	Norway	78%
11	Lithuania	75%
12	The Netherlands	69%
13	Poland	67%
14	Latvia	61%
15	Brandenburg	60%
16	France	59%
	Hungary	59%
18	Italy	56%
19	Spain	55%
	Sweden	55%
	Switzerland	55%
22	Czech Republic	54%
23	Cyprus	50%
24	Iceland	49%
25	Slovakia	45%
26	Greece	43%
27	Turkey	33%
28	Luxembourg	31%

Table 13 - Financial autonomy scores

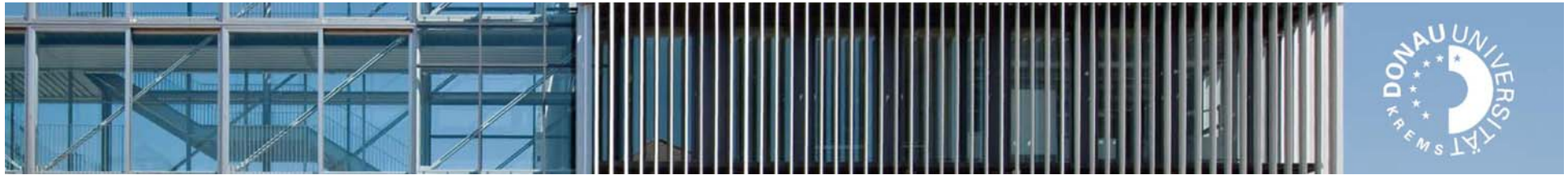
Rank	System	Score
1	Luxembourg	91%
2	Estonia	90%
3	United Kingdom	89%
4	Latvia	80%
5	The Netherlands	77%
6	Hungary	71%
7	Italy	70%
	Portugal	70%
	Slovakia	70%
10	Denmark	69%
11	Ireland	66%
12	Switzerland	65%
13	Austria	59%
14	North Rhine-Westphalia	58%
15	Finland	56%
	Sweden	56%
17	Spain	55%
18	Poland	54%
19	Lithuania	51%
20	Norway	48%
21	Czech Republic	46%
22	France	45%
	Turkey	45%
24	Brandenburg	44%
25	Iceland	43%
26	Greece	36%
27	Hesse	35%
28	Cyprus	23%

Table 14 - Staffing autonomy scores

Rank	System	Score
1	Estonia	100%
2	United Kingdom	96%
3	Czech Republic	95%
	Sweden	95%
	Switzerland	95%
6	Finland	92%
	Latvia	92%
8	Luxembourg	87%
9	Denmark	86%
10	Lithuania	83%
11	Ireland	82%
12	Poland	80%
13	Austria	73%
	The Netherlands	73%
15	Iceland	68%
16	Norway	67%
17	Hungary	66%
18	Portugal	62%
19	Hesse	61%
	North Rhine-Westphalia	61%
21	Turkey	60%
22	Brandenburg	55%
23	Slovakia	54%
24	Italy	49%
25	Cyprus	48%
	Spain	48%
27	France	43%
28	Greece	14%

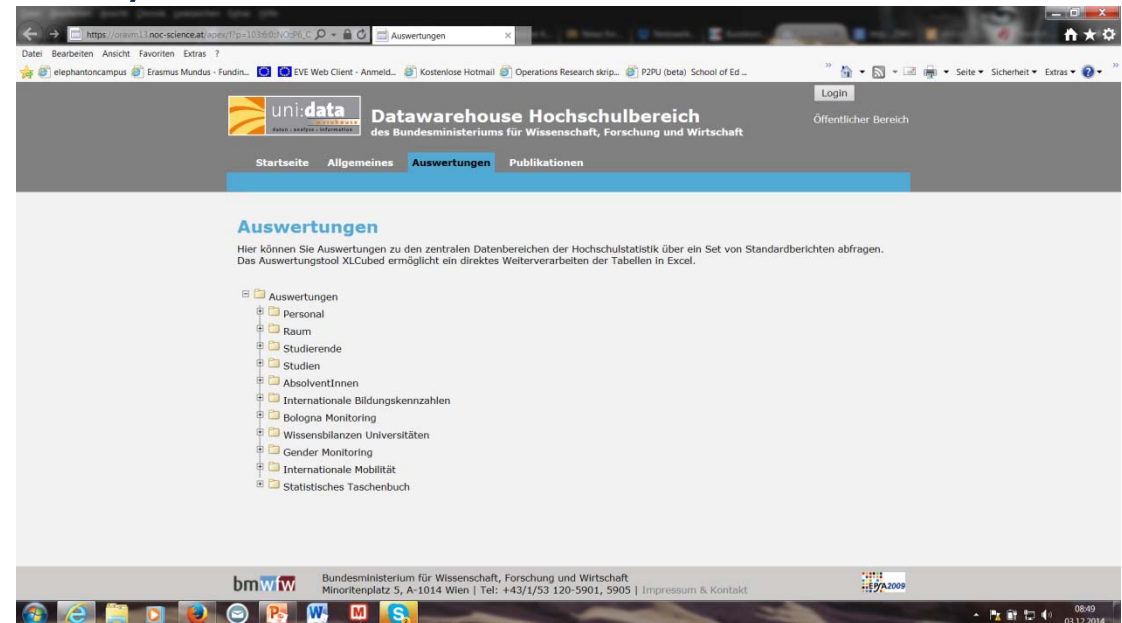
Table 15 - Academic autonomy scores

Rank	System	Score
1	Ireland	100%
2	Norway	97%
3	United Kingdom	94%
4	Estonia	92%
5	Finland	90%
6	Iceland	89%
7	Cyprus	77%
8	Luxembourg	74%
9	Austria	72%
	Switzerland	72%
11	Hesse	69%
	North Rhine-Westphalia	69%
13	Brandenburg	67%
14	Sweden	66%
15	Poland	63%
16	Italy	57%
	Spain	57%
18	Denmark	56%
	Slovakia	56%
20	Latvia	55%
21	Portugal	54%
22	Czech Republic	52%
23	The Netherlands	48%
24	Hungary	47%
25	Turkey	46%
26	Lithuania	42%
27	Greece	40%
28	France	37%



## Austrian Case: University Governance

- Higher education act 2002
- Development plans
- Performance agreements
- Annual knowledge surveys
- Uni:Data

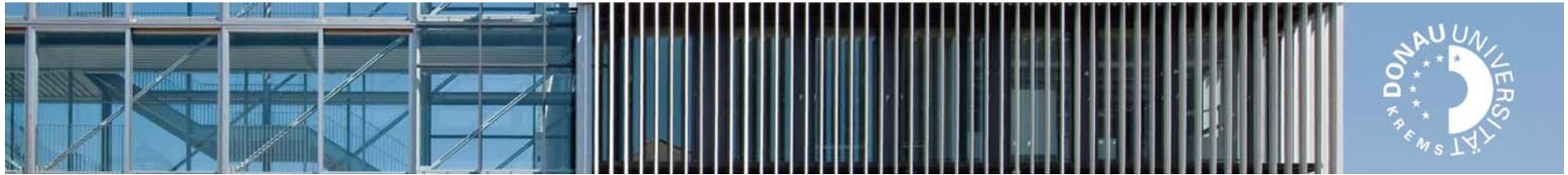


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## Research Questions

- How is third mission covered in governing instruments?
- How can we improve the structure and guidelines of performance agreements?
- Are there major differences between the different types/documents?
- How many indicators in the knowledge surveys are affiliated with third mission?
- How different types of universities respond to third mission in their strategies?



Contracted research Collaborative research projects  
Non-academic organizations  
Patents Licensing Business incubators  
Consultancy  
Shared laboratories  
Cooperation  
Facilities  
Technology Transfer & Innovation  
Companies  
Spin-offs  
Mobility of people  
International cooperation  
Start-ups Technology parks  
Volunteering Community service projects Sharing of space  
Community Engagement Political participation  
Membership of Access to libraries  
Community boards Cultural events  
Senior populations  
Seminars  
Life Long Learning Grants Educational activities  
Business opportunities Continuing Education Programs  
Fee management e-Learning Teaching  
Sponsoring of education Sponsorship



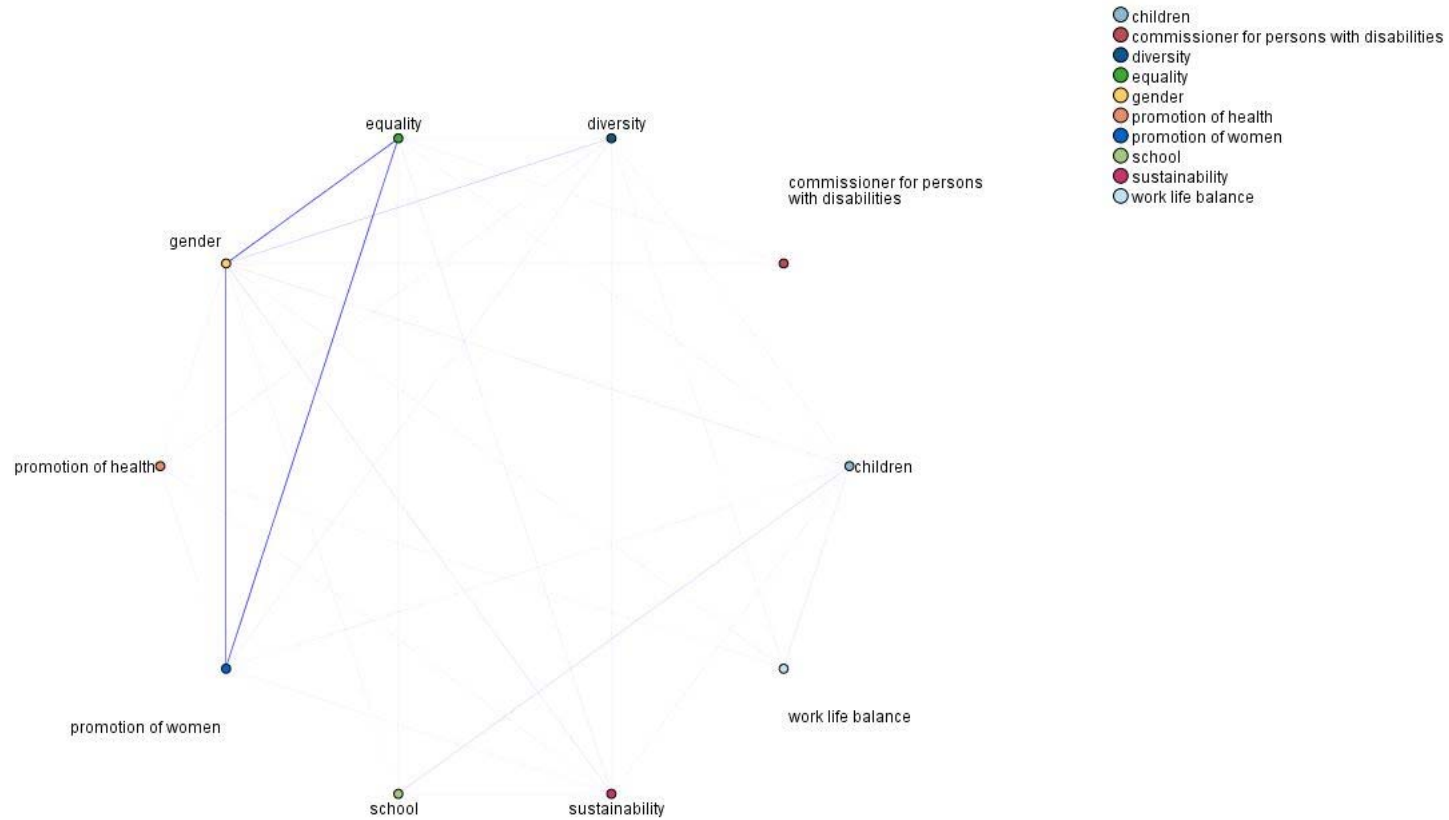
## Research design

- 22 state universities
- E3m dimensions:
  - Innovation & tech. transfer, Continuing education, Social engagement
- Documents (words)
  - Development plans (latest): 7.653.402
  - Performance agreements (2013-2015): 7.109.477
  - annual knowledge surveys: 15.420.736
- Text Mining: Concepts
  - Wording, Synonyms
  - Frequency, Place/Chapter, Document sources
  - University
- Qualitative analysis
  - Reading
  - Institutional profiles/activities

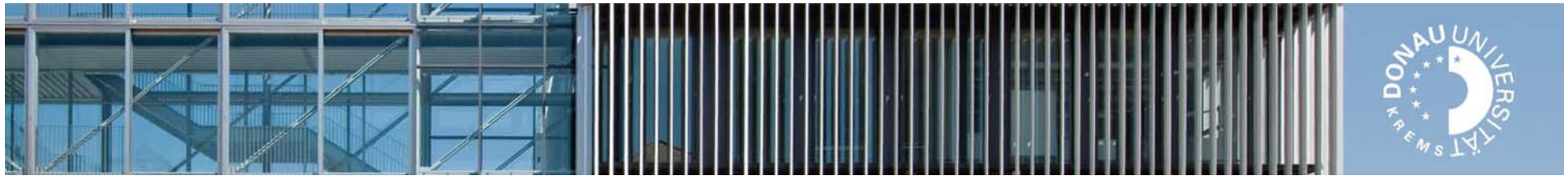




**Social Engagement**  
**Institutional development plan**



**top 10 modal terms**



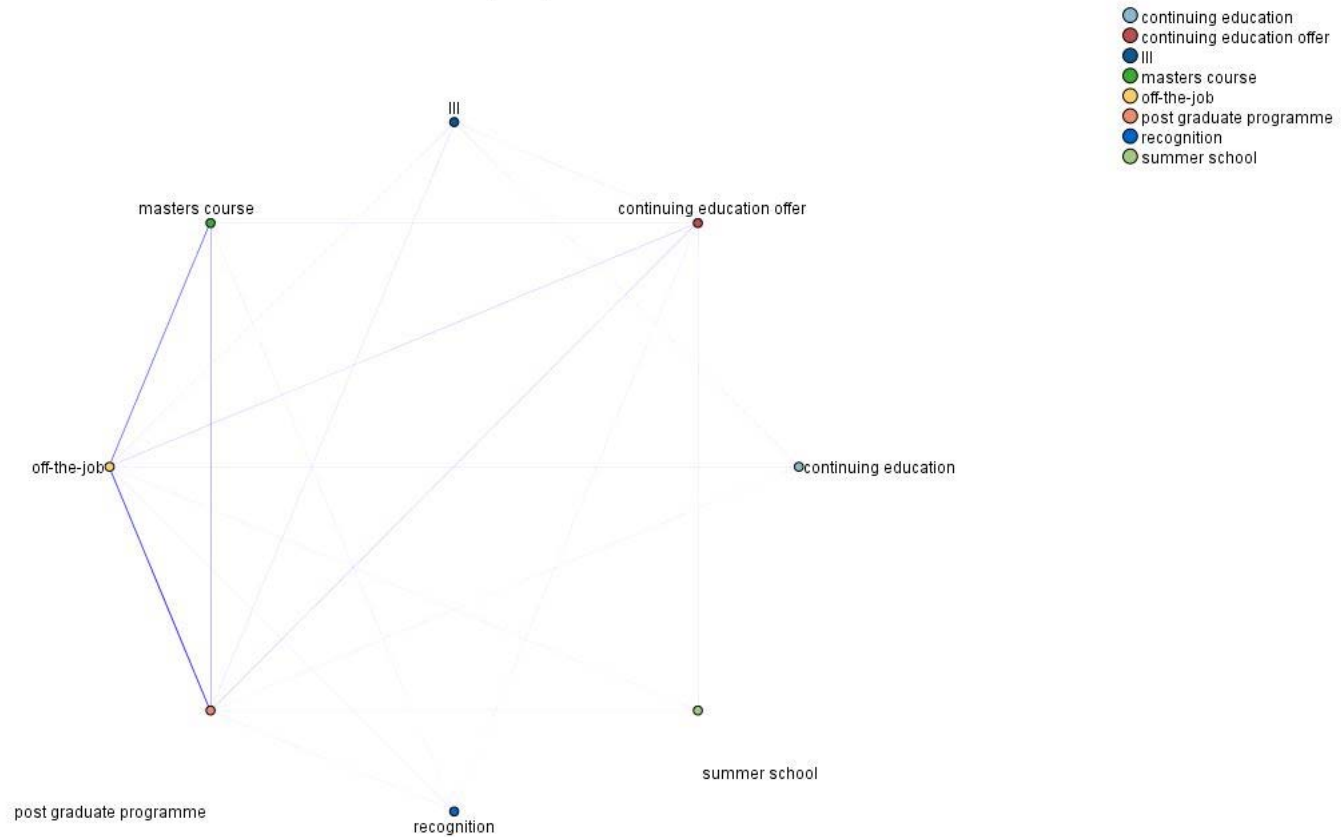
## Social engagement in performance agreements

Concepts	Uni Wien	Donauuni Krems	Uni Linz	Uni Graz	Uni Klagenfurt	Uni Salzburg	Uni Innsbruck	Med. Uni Wien	Med. Uni Graz	Med. Uni Innsbruck	Vet. Med. Wien	TU Wien	TU Graz	Montan Leoben	WU Wien	BOKU Wien	Akademie Wien	Angewandte Wien	Kunstuni Linz	Musik Uni Wien	Musik Uni Graz	Musik Uni Salzburg
gender																						
staff development (f)																						
school																						
sustainability																						
children																						
equity																						
diversity																						
health support																						
work life balance																						
societal challenges																						
sparkling science																						
employability																						
disable staff rep.																						
migration background																						
social responsibility																						

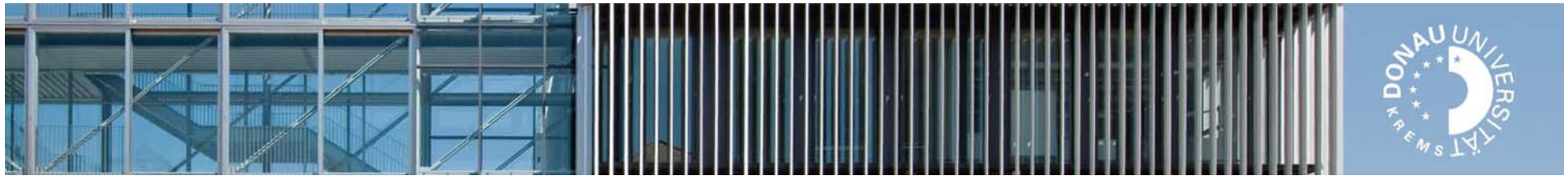




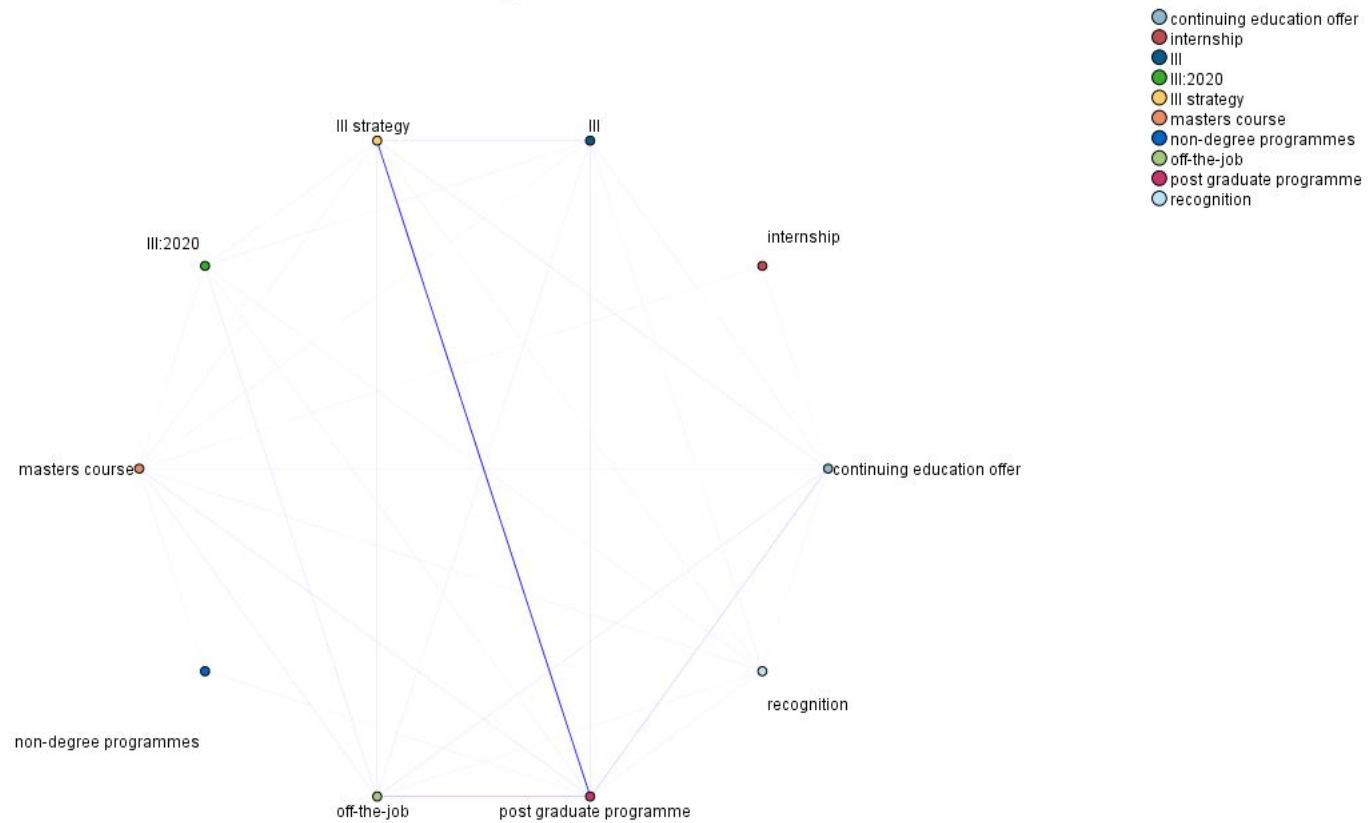
# Continuing Education Institutional development plan



top 10 modal terms



# Continuing Education Performance Agreement



top 10 modal terms



## Results

- No common concept for third mission
- Given structure does not lead to “a” third mission
  - Cross cutting
  - Guidelines for performance agreements
  - Example: few companies with their names vs. research and university co-operations
- Benchmarking universities
- Different results by different document types (coherence)
- Third mission doesn't play a key role (importance, structure, presentation)



## Recommendations: Institutions and their leaders

- commitment into mission statements, strategic documents
- supporting and celebrating the “activity”
- engaging with local authorities and the other high-level institutions of society
- achieving academic recognition - meritorious involvement by academic staff as justification for promotion
- fostering a trusting ambiance



## Recommendations: Academic staff

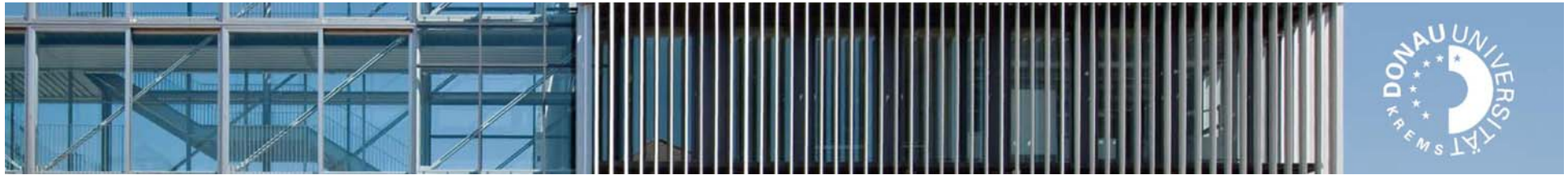
- realising their own personal share of the Third Mission social contract with society
- behaving entrepreneurially both academically and through external engagement
- engaging in trusting relationships and activities with non-academic people, including administration, and people outside the university



## Recommendations: Business sector and others in public role

- trusting, engaging and working with university people, looking for inputs of innovation, knowledge and skills
- making allowances for the particular culture within universities, which typically differs markedly from that found in the commercial world, but is not 'worse'
- adopting a medium-term horizon for the timing of projects





## Recommendations: Public officials and politicians

- facilitating the recovery of the social contract between universities and society through Third Mission activity
- using whatever (financial and other) instruments they have at their disposal
- abstaining from rapid and/or repeated changes in funding or policy regimes





## Recommendations: All stakeholders

- combine forces to promote and support work of developing suitable metrics and indicators to represent the range of Third Mission activity
- unintended consequences
- over a reasonable timescale: neither long nor hurried



## How to respond to third mission?

- Governments demanding more accountability and responsibility from the universities
- Include into performance agreements
- Institutional implementation
  - Strategy
  - Service units (e.g. technology transfer office)
  - Incentives



**Diversification and institutional positioning will take place more through the third mission of universities in the future.**



Thank you  
for your attention!