

Quality Management at a Public University – A Perspective from Germany

Japanese-German Symposium 2018

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Outline

- I. JGU at a Glance**
- II. JGU's Quality Management System**
- III. System (Re)-Accreditation**
- IV. Example: Performance-Related Resource Allocation at JGU's University Medical Center**

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JGU at a Glance



- **Research-Oriented Comprehensive University** – research and studying on the Gutenberg campus
 - Approx. 32,000 students from 120 nations
 - 4,400 academic staff, including 560 professors
 - University Medical Center, two Art Schools
 - Cluster of Excellence, Graduate School of Excellence
- **Studying and Teaching at JGU**
 - JGU covers almost all academic disciplines
 - Interdisciplinary potential
 - 260 degree programs, 75 subjects

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The “Mainz Model”

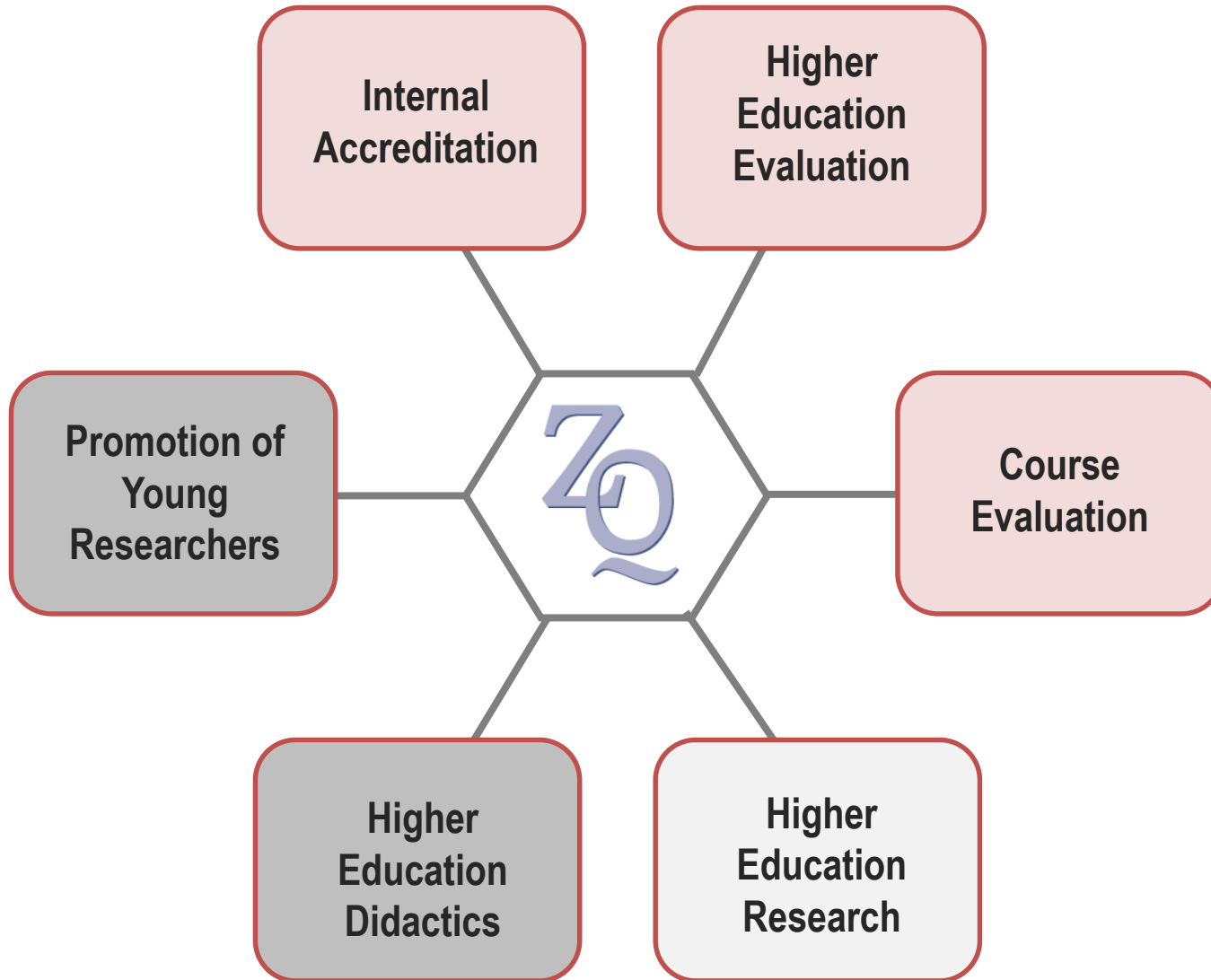
- Quality management covers research, teaching, and administration
- Link between quality management and governance
- Link between quality management and higher education research
- Model-based understanding of quality
 - Includes all dimensions of quality
(objectives, structures, processes, results)
 - Quality as the relative balance with regard to fulfilling different system functions
- Objective: approaching evidence-based governance and explaining causal relations and effects

JGU's Center for Quality Assurance and Development (ZQ)

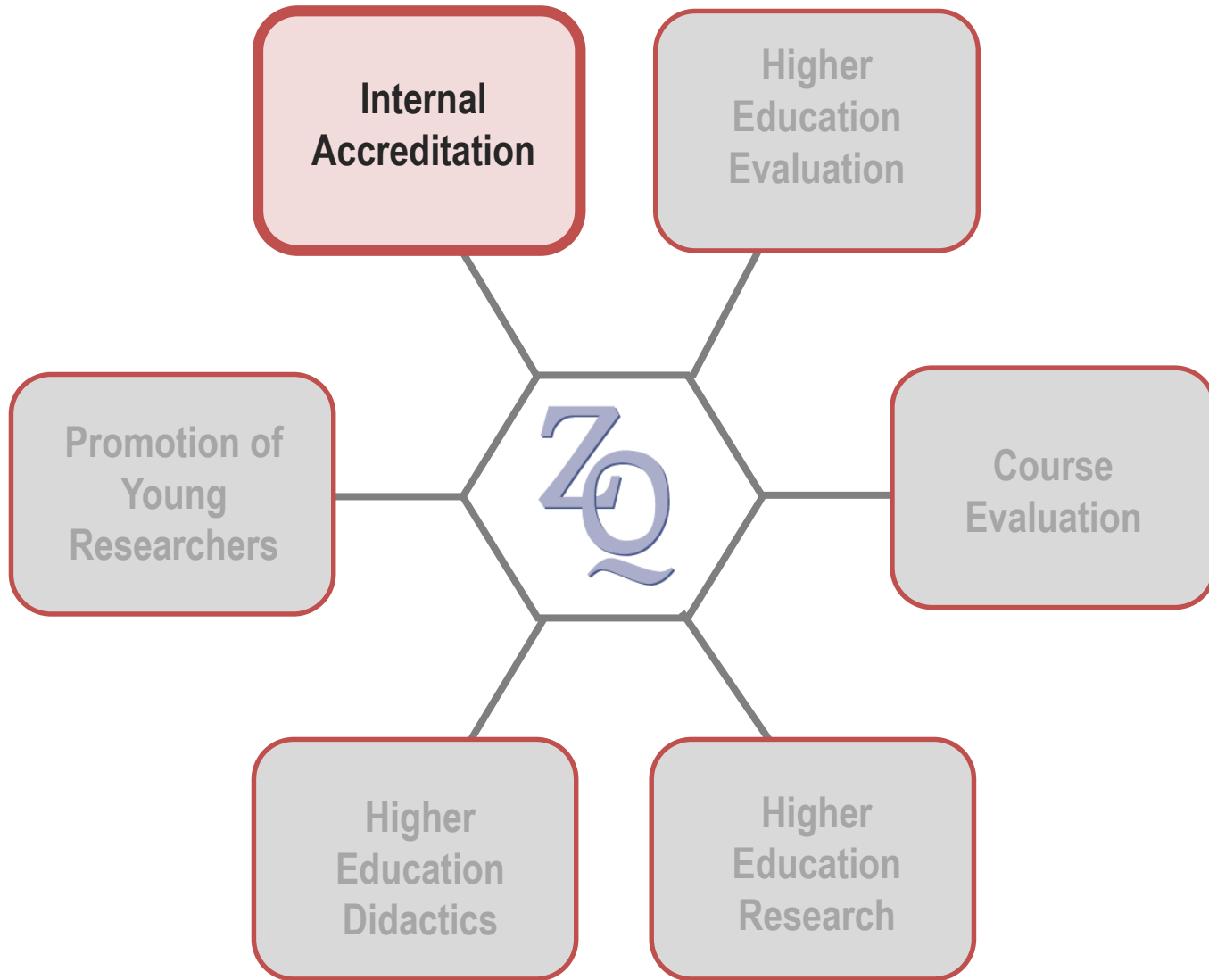
- Interdisciplinary **scientific** institution at JGU (established in 1999)
- Some 40 (academic) staff (most of them third-party funded)
- Responsible for quality assurance measures in the fields of research, teaching and administration
- Manages the “Evaluation Association of Higher Education Institutions in the Southwest” (22 member universities) (“Hochschulevaluierungsverbund SW”)
- Cooperation with JGU's Center of Educational and Higher Educational Research
- Broad range of training programs in university teaching for JGU staff and beyond



ZQ's Tasks



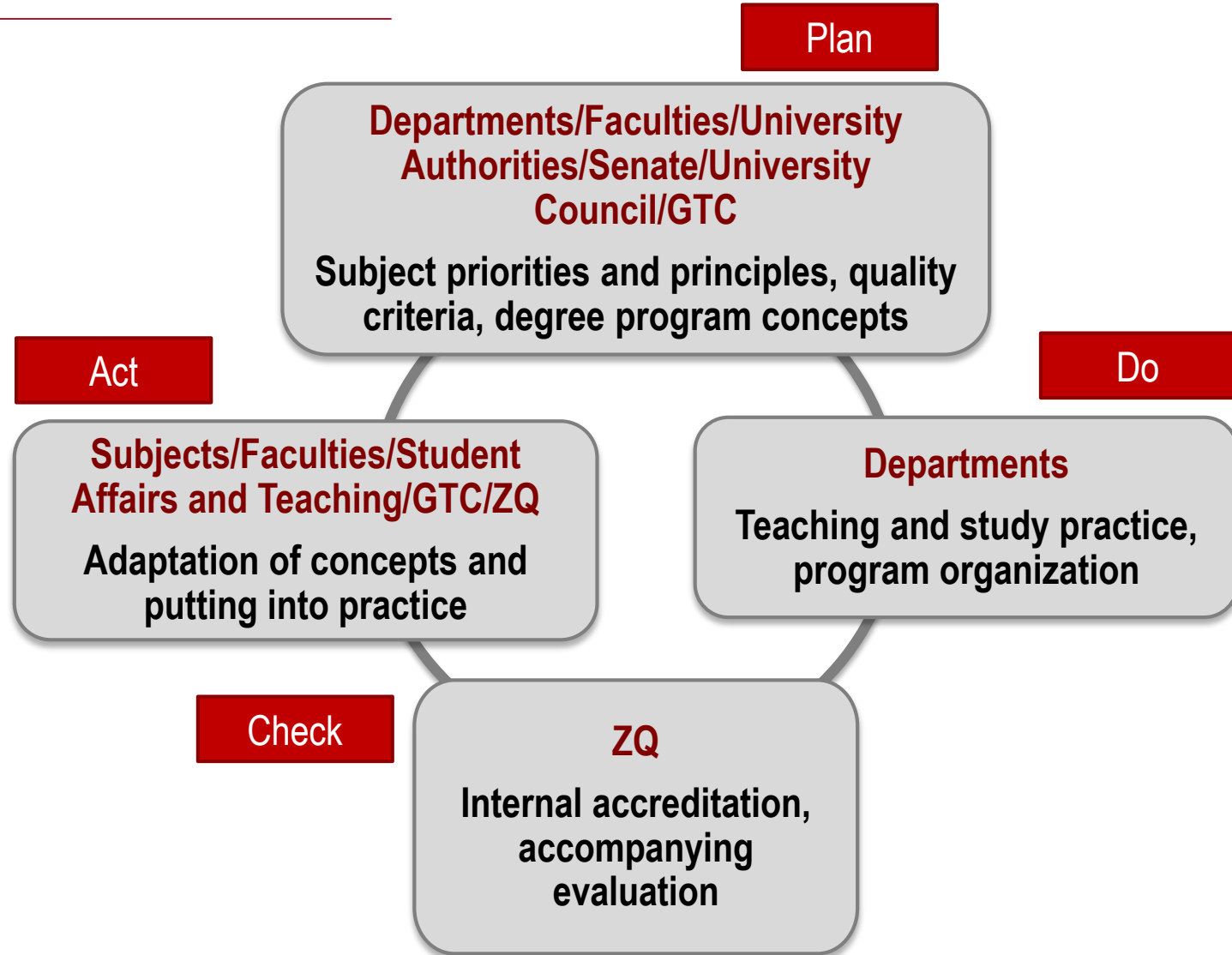
ZQ's Tasks



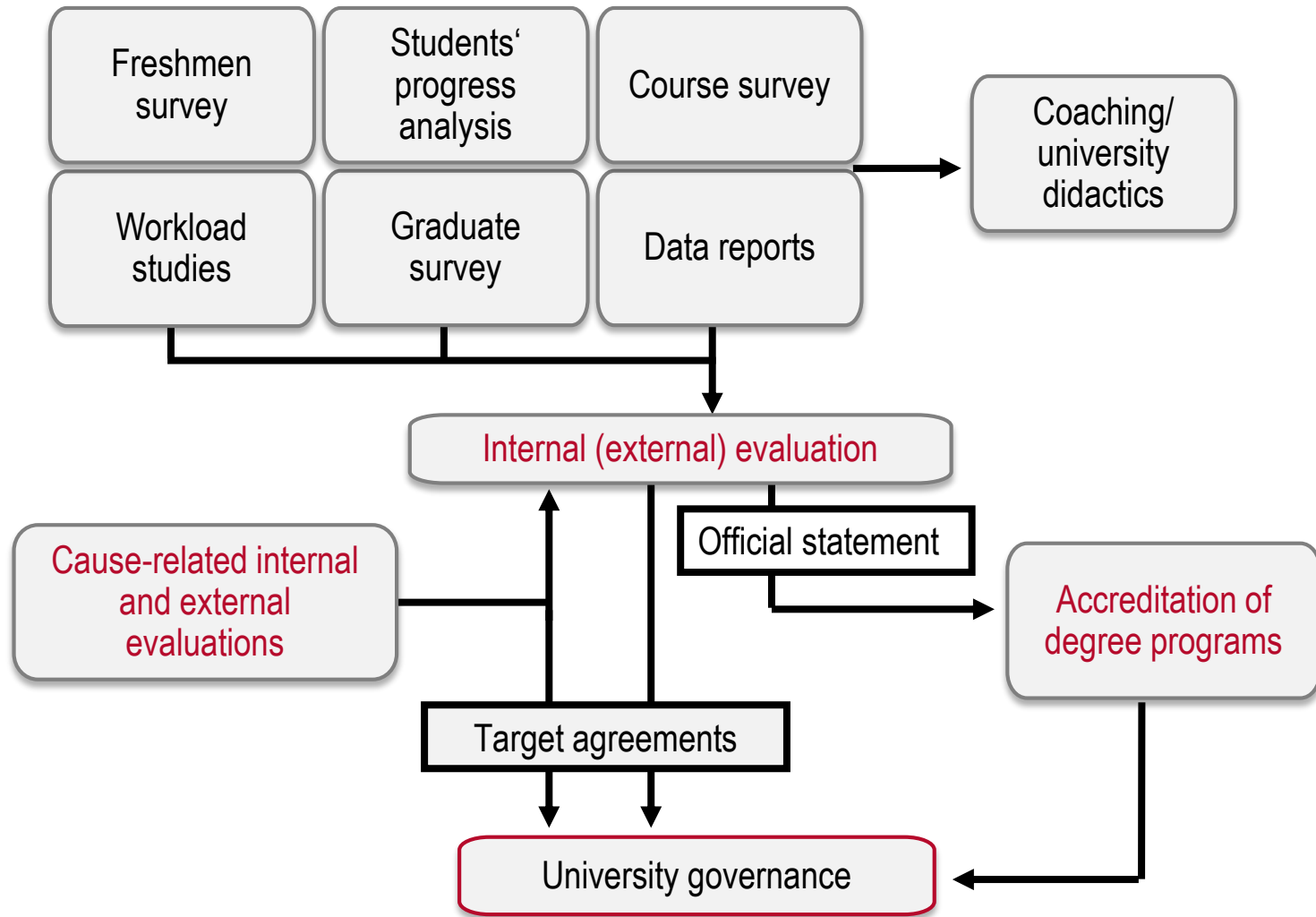
ZQ's Academic Advisory Council

- Internal and external members representing different status groups
- **Tasks:**
 - Advisory function for fundamental quality assurance questions (such as the preparation of Senate decisions or recommendations for the implementation of graduate and student surveys)
 - Critical support and observation of accreditation procedures carried out by the ZQ
 - **“Complaints Office”** for questions concerning internal accreditation

PDCA Quality Loop



From Quality Assurance to Quality Management



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System Accreditation at JGU

- **2006-2008: Model project on system accreditation**
- **2009-2011: System accreditation of JGU**
- **2011: JGU is the first German university to successfully complete system accreditation**
- **2014: Interim evaluation of JGU**
- **2018: JGU will complete system reaccreditation**

System Accreditation Criteria

System Accreditation Criteria (According to the Accreditation Council)

1. Qualification goals (university-wide and related to degree program)
2. Governance system for studying and teaching
3. Internal quality assurance procedure
4. Reporting system and data collection
5. Clear definition of responsibilities
6. Documentation



Quality Assurance Procedure

Internal Accreditation

- Independent position of the ZQ (President, Senate, Academic Advisory Council)
- Internal Accreditation procedure starts on program level
- Mandatory assessment by external experts for initial accreditations (with and w/out on-site visits)
- Involvement of experts already at early stages of program development
- Integration of research aspects
- Consistent internal accreditation criteria (criteria discussed and specified by the University Senate and the GTC).

Previous Experience

- **Strengths:**

- Re-establishment of the university's autonomy
- High degree of commitment through early involvement of ZQ
- Use of existing resources, efficiency
- Internally accepted criteria / more consistent decisions on standards that go beyond minimum standard requirements
- Inclusion of research performance

- **Potential Weaknesses:**

- In classical reviews, reviewers tend to learn more than those being reviewed

System (Re)-Accreditation 2018

Revised Procedure:

- System accreditation is not only a control tool, but also has a development-oriented function → application of the so called “experimental clause”
 - Self-evaluation report
 - One-day on-site visit of external experts [“control”]
 - Peer audit with (international) partner universities [“development”]
 - Definition of development areas that are discussed with partner university over a two-year period
 - Partner university is chosen depending on the topic
 - Classic Audit: Visits and return visits of delegations
 - In addition: smaller, individual measures such as regular guest lectures etc.

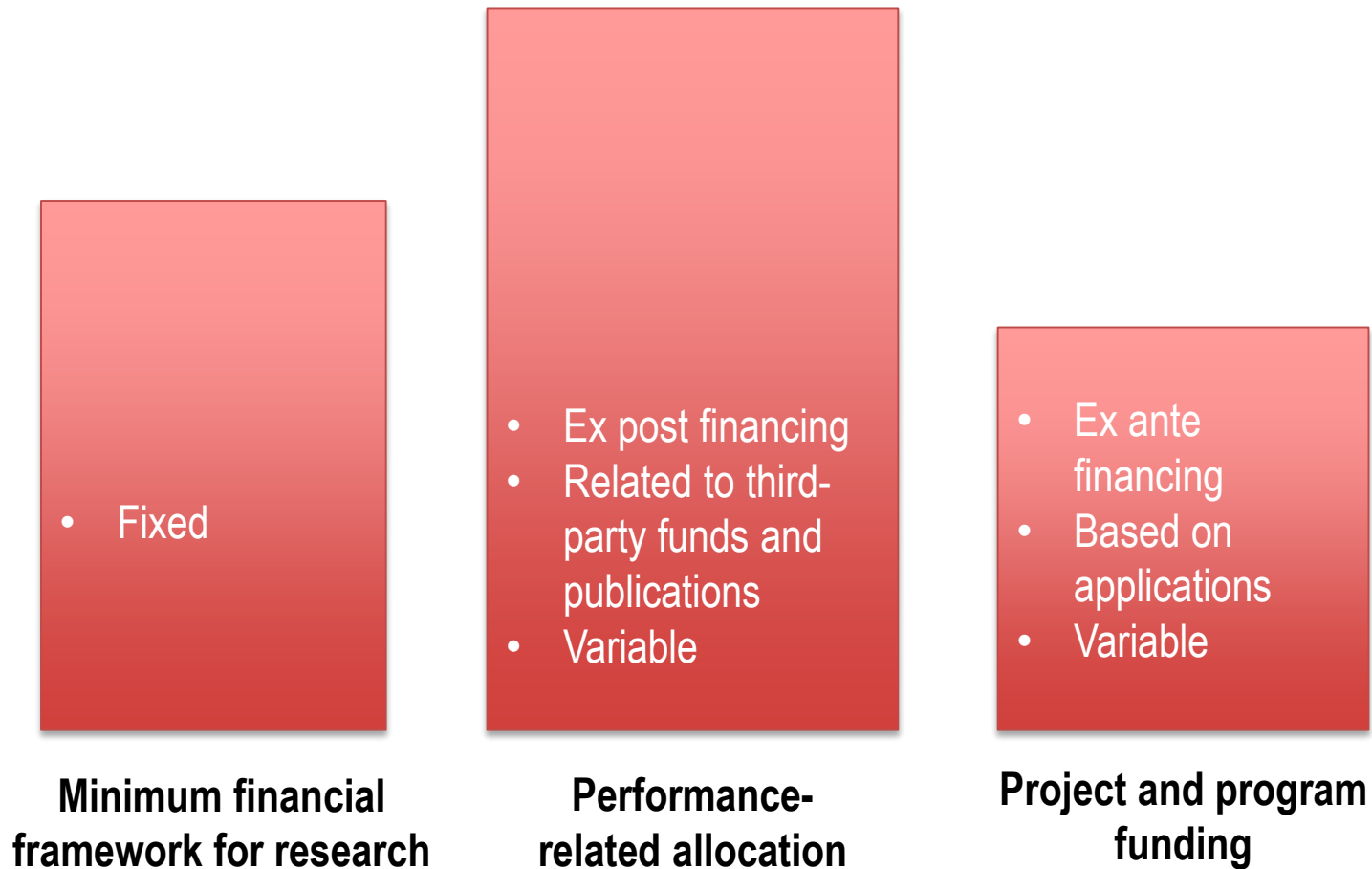
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Performance-Related Resource Allocation at the University Medical Center (LOM)

- Implemented in 2009
- Recommendation of the German Research Foundation (DFG): allocation of 20-40% of state funds on a performance-related basis
- Allocation at JGU's Medical Center: 40% of the 80 Mio € are allocated based on performance
- **Objectives:**
 - Targeted promotion of excellence in research and teaching
 - Incentives to raise third-party funds
 - Improved quality in research and teaching

Financing Model of JGU's University Medical Center: Research



Performance-related allocation of resources - Research

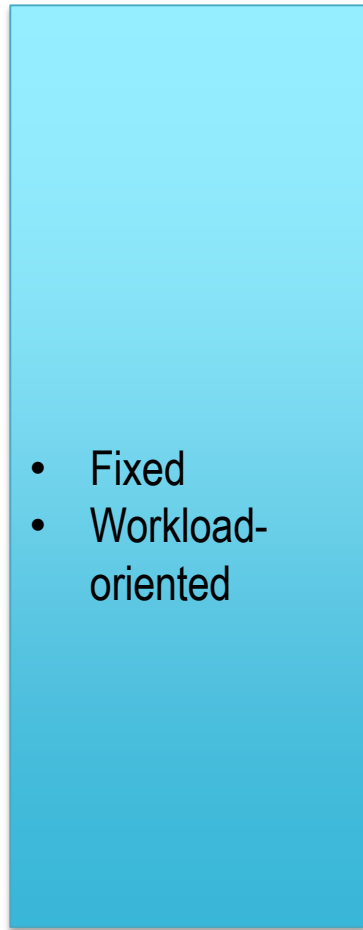
1. Publications

- 3-year average based on the impact factor (IF)
- Internal registration via the faculties science management systems

2. Third-Party Funds

- 3-year average
- Factor 1.5: international third-party funding (EU funding, NIH)
- Factor 1: public funding in Germany (German Research Foundation, German Federal Ministry of Education and Research, other ministries)
- Factor 0.6: other public funding based on peer-reviewing (e.g. foundations) and non-commercial clinical GCP studies (IIT)
- Factor 0.3: other external third-party funding (industry, foundations without procedure for peer-review)
- Factor 0.0: internal funds of the medical center or the faculty (MAIFOR, MAICUM etc.) and university third-party funds

Financing Model of JGU's University Medical Center: Teaching



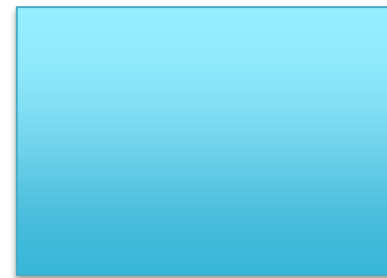
Quantitative, based on teaching load

- Ex post funding
- Results of course evaluations by students
- Performance-related



Qualitative, based on course evaluations

- Ex ante funding
- Based on applications
- Variable
- Performance-related



Project and program funding

Performance-related allocation of resources – a critical review

- Limited (partly decreasing) total budget
- Fixed basic funding per unit encourages the creation of small units
- Economic pressure on clinical units leads to even smaller research budgets (spiral)
- Impact factors are not only a measure of quality, but also a measure on community size
- Third party grants are not necessarily a measure of research quality

Thank you very much for your attention

GUTENBERG SPIRIT –
MOVING MINDS
CROSSING BOUNDARIES