The Changing Academy – The Changing Academic Profession in International Comparative Perspective 2

William Locke
William K. Cummings
Donald Fisher *Editors*

# Changing Governance and Management in Higher Education

## The Perspectives of the Academy

Springer

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# The Changing Academy – The Changing Academic Profession in International Comparative Perspective 2



## Scope of the series

As the landscape of higher education has in recent years undergone significant changes, so correspondingly have the backgrounds, specializations, expectations and work roles of academic staff. The Academy is expected to be more professional in teaching, more productive in research and more entrepreneurial in everything. Some of the changes involved have raised questions about the attractiveness of an academic career for today's graduates. At the same time, knowledge has come to be identified as the most vital resource of contemporary societies.

The Changing Academy series examines the nature and extent of the changes experienced by the academic profession in recent years. It explores both the reasons for and the consequences of these changes. It considers the implications of the changes for the attractiveness of the academic profession as a career and for the ability of the academic community to contribute to the further development of knowledge societies and the attainment of national goals. It makes comparisons on these matters between different national higher education systems, institutional types, disciplines and generations of academics, drawing initially on available data-sets and qualitative research studies with special emphasis on the recent twenty nation survey of the Changing Academic Profession. Among the themes featured will be:

1. Relevance of the Academy's Work
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The audience includes researchers in higher education, sociology of education and political science studies; university managers and administrators; national and institutional policymakers; officials and staff at governments and organizations, e.g. the World Bank.

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# Chapter 1
# Introduction

**William K. Cummings, Donald Fisher, and William Locke**

This volume draws on the international study of the *Changing Academic Profession* (CAP) to highlight trends and challenges in the governance and management of institutions of higher education from the perspectives of the academy. It is based on a common survey of academics in 18 countries from 5 continents, the results of which have been analyzed by national experts in a structured way and in the context of their country's higher education system. This approach is intended to enable the editors and readers to begin to compare and contrast the contexts, drivers, and current issues facing the different national systems. The origins of the book lie in two symposia at the 2008 Annual Conference of the North American *Association for the Study of Higher Education* in Jacksonville, Florida, USA. Most of the authors of the chapters presented papers at these symposia, which took a common approach but focused separately on mature and emerging higher education systems.

This chapter offers some introductory comments on the organization of academic work, the beliefs of the academy, the drivers, and contemporary discourse on higher education governance and management. Our aim is to establish the context for the subsequent chapters and to anticipate some of the major themes emerging from the analysis of the CAP survey in each country. First, however, some contributions that help to delineate the scope of institutional governance and management are addressed in this book.

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> *Governance* is the structure of relationships that bring about organisational coherence, authorise policies, plans and decisions, and account for their probity, responsiveness and cost-effectiveness. *Leadership* is seeing opportunities and setting strategic directions, and investing in and drawing on people's capabilities to develop organisational purposes and values. *Management* is achieving intended outcomes through the allocation of responsibilities and resources, and monitoring their efficiency and effectiveness. *Administration* is the implementation of authorised procedures and the application of systems to achieve agreed results (Gallagher 2001: 1).

In describing governance as a "structure of relationships," Gallagher is referring to the reality of decision-making rather than the official descriptions of the distribution of policy-making authority that may be embodied in charters and statutes. Marginson and Considine agree:

> Governance …is concerned with the determination of value inside universities, their systems of decision-making and resource allocation, their mission and purposes, the patterns of authority and hierarchy, and the relationship of universities as institutions to the different academic worlds within and the worlds of government, business and community without. It embraces 'leadership', 'management' and 'strategy.' Governance affects specialised administrative activities such as fund-raising, financial planning or industrial relations… Governance does not contain in itself the sum of teaching and research, but it affects them. It provides the conditions which enable teaching and research to take place (Marginson and Considine 2000: 7).

From a traditional perspective, in the best of worlds, there would be a common understanding of the respective roles of the various participants/stakeholders in the governance and management of higher educational institutions – with academics having priority over academic matters and managers and external stakeholders having priority over other matters. Where such a division of labor has been established, it might be said that an ideal of shared governance is achieved.

But in recent times, significant gaps appear to have emerged between the key stakeholders. In the CAP survey which took place in 2007 in 18 countries, fewer than two out of every five academics said there was "good communication between managers and academics." Apparently, much discontent exists in the academy concerning the ways that contemporary higher education institutions are governed and managed. The aim in this volume is to highlight the reality of higher education governance and management as seen by members of the academy, which may differ with that seen by managers and external stakeholders.

## 1.1 The Organization of Academic Work

Burton Clark (1983), in his seminal study of *The Higher Education System*, reminds us that the core purposes of the academy are to create, apply, and disseminate knowledge. For this purpose, academics affiliate with different organizations. On the one hand, they seek employment in institutions of higher education and research institutes where they receive space, time, and support in exchange for their work as

teachers and researchers. On the other hand, they become members of professional associations that sponsor conferences and journals where knowledge is exchanged, debated, and codified. Additionally academics may affiliate with private companies that facilitate their consulting work, they may join unions to protect their jobs and their working conditions, and they may join other organizations that promote social and political agendas. These various affiliations shape the viewpoints of academics.

While academics affiliate with many organizations, the majority of their time is spent in the service of the university or college that employs them, pursuing their teaching and research. Depending both on personal inclination and the expectations of the institution where they are employed, they may focus relatively greater effort on teaching, research, or service. To facilitate this work, academics are organized in core units such as departments, centers and programs, and chairs. Many of the essential decisions relating to academic work are made in these units. Additionally, for the coordination of those decisions that affect multiple units, more comprehensive bodies may be formed for the deliberation of academics, such as academic senates or councils.

In the CAP survey, respondents were asked to describe the importance they attached to their affiliation with their academic discipline on the one hand as contrasted with their department and their institution. Nine out of ten described their affiliation with their academic discipline as very important or important, whereas only seven out of ten indicated that their departmental affiliation was very important or important; and fewer than six out of ten described their affiliation with their institution as very important or important. Clearly for the contemporary academic, the disciplinary tie is most important. Significantly, in a similar survey conducted in 1992 in 14 countries academics rated all three of these affiliations equally (Boyer et al. 1994; Altbach 1996). In sum, over the past 15 years academics have come to distance themselves from their departmental and institutional homes, perhaps because they sense these settings to be less helpful and rewarding.

To support the teaching and research work of the core units, the institutions that employ academics are engaged in a great variety of other tasks, including the selection of students, the provision of student housing, the construction, and maintenance of classroom and research buildings, the provision of educational and research technology, the acquisition of library resources, the management of finances, and so on.

To accomplish this support work, additional more inclusive organizational units are likely to be formed including the offices of department chairs, deans, provosts, and presidents with their related staff. The appointees to these offices, while often having a background as an academic, are usually regarded as managers. Those at the department and decanal level are sometimes described as middle-level managers while those at the presidential and provost levels are considered top managers. Finally, in state and national settings where governments play an important role in the provision and financial support of higher education, ministries or departments

of education and state higher education boards may be established to coordinate the activities of higher educational institutions.

The CAP survey asked professors which organizational level was primarily responsible for a variety of decisions ranging from choosing the top academic officers to deciding on the course loads of individual academics. Several interesting generalizations can be elaborated from the responses. Professors in most countries believe they are the primary decision-makers on most academic matters, though by country there is interesting variation in what is considered academic and what is not. For example, approving a new academic program is thought to be an academic decision in Japan and much of Europe but a managerial decision in the USA, Korea, and several emerging countries.

For most of those countries for which there is data both for 1992 and 2007 the faculty's role in decision-making has shrunk somewhat, more so in the mature systems than in the more recently founded systems. Where faculty has experienced a decline in power, they perceive that the net gainers are middle-level managers rather than top-level managers or external stakeholders.

Governance and management reflects the decision-making rules and processes that link the actors at these various organizational levels. Some of this decision-making may involve extensive consultation between actors and has a collegial character, while other decisions tend to be top-down. Fewer than two out of every five respondents in the CAP survey said there was "collegiality in decision-making." Over half described the management style at their institution as top-down. The degree to which decision-making is collegial or hierarchical varies within and between institutions as well as between nations. But overall the academics in the CAP countries believe current decision-making is far more top-down than is appropriate and far less collegial than is desirable.

Effective governance and management hopefully leads to steady improvement in the facilities, resources, and personnel necessary to carry out academic work. The CAP survey asked academics what they felt about different facets of their working conditions. Concerning most items the respondents were about equally divided between those who felt the conditions were excellent or good and those who felt they were lacking. Interestingly, telecommunications, classrooms, and the technology for teaching tended to get the highest ratings whereas research equipment and support for research and teaching tended to get lower ratings. In the 1992 study, a similar question was asked, and the academics in those countries with more advanced economies such as the USA, the UK, and Japan reported little improvement whereas academics in several of the emerging societies reported significant improvement; overall academics in Hong Kong gave the highest rating to their facilities, resources, and personnel.

In sum, academics do not feel they have a sufficient role in decision-making. Additionally, in most national settings they do not feel that the current decision-making processes have led to much improvement in their working conditions. Hence overall the academics in the CAP countries do not give very high ratings to the performance of their managers. Less than half of all academics viewed their top-level managers as competent.

## 1.2 Beliefs of the Academy

### *1.2.1 Common Beliefs*

Academics are an outspoken lot, resistant to any attempt to curb their freedom of expression. Not withstanding this strong streak of independence within the academy, nearly all academics will agree that their goal is to strive for excellence in teaching, research, and service (Cummings 2009). Differences emerge in the relative emphasis on these activities, and obviously in the content by academic field.

### *1.2.2 The Historical–Institutional Perspective*

Arguably there are four major traditions in academic work (Ben-David 1977; Senba et al. 2005). The ***classical tradition***, focusing on the professions and centered in the Mediterranean countries and later in Latin America, stressed teaching the essential knowledge in such professions as the clergy, law, government, medicine, pharmacy, accounting, etc., and it was assumed that most teachers should be practicing professionals. This model gave research a low priority. In the United Kingdom, the classical tradition was re-directed to provide a ***liberal education*** for the elite or aristocratic class. The practical skills associated with the professions were subordinated to a study of the classical works of great thinkers such as Aristotle and Plato. And to enhance the educational impact, higher educational institutions were residential and staffed by full-time professors (who were clergy of the Anglican Church). With the emergence of the nation-state and national competitiveness based on industrial strength emerged the concept of ***the research university***, best typified by Humboldt's University of Berlin. In the research university, the disciplinary balance shifted to the basic and applied sciences whereas even the humanities were re-conceptualized as sciences. Academics were encouraged to devote their primary effort to the creation of new knowledge rather than to teaching or service. Finally, from the mid-nineteenth century, the United States pioneered the development of the ***land-grant university*** which stressed the agricultural and mechanical sciences and sought to apply knowledge for local development. In modern times, most university systems trace their origins to one or other of these institutional heritages, and the academics of these systems find that their orientation to their work is thereby influenced. For example, contemporary Japanese professors identify with the research university tradition even as they are pressed to improve their teaching, and contemporary English professors experience a strain between their liberal education origins and the new Anglo-emphasis on research excellence. While this perspective proved helpful in understanding national differences in 1992, it is less helpful for understanding patterns in 2007.

While our description of institutional types has focused on national differences, it is equally applicable to differentiation within systems. Thus in the US higher education system, it is generally recognized that there is a small group of universities focused on research, a somewhat larger group focused on service and professional training, and an even larger group focused primarily on undergraduate liberal education. Differentiation along these lines is characteristic of most mass higher educational systems. Indeed, the within-system differences were substantial in 2007 as will be illustrated in subsequent chapters.

### *1.2.3 The Cultural–Regional Perspective*

Separate from the academic heritage is a latent belief that different regions of the world have distinctive traditions of behavior including attitudes toward knowledge. At the broadest level, Nakayama (1984) distinguishes between the documentary tradition that stresses mastery of great books and relies on written exams characteristic of classical China and the rhetorical tradition that stresses the verbal presentation of arguments characteristic of classical Greece and more generally of the West. Others point to distinctive traditions of governance as between a disposition in Asia to accept centralized authority as contrasted to a disposition in the liberal West to challenge authority. To the extent these cultural–regional differences prevail, it might be expected that academics in different parts of the world would vary in their comfort level with collegial and hierarchical governmental steering approaches.

### *1.2.4 The Disciplinary Perspective*

The core work of the academy contributes to knowledge development and transmission in the respective academic disciplines or fields. While the overall structure of the various fields has many similarities, there are major variations in the knowledge traditions and technologies of these fields. For example, the sciences tend to stress journal articles as the appropriate mode of academic codification whereas the humanities stress books and creative projects such as plays and movies. The sciences generally rely more extensively on laboratories and machines to conduct their research whereas the social sciences are more field-based. But within the sciences, and even within particular sciences, there are important differences in needs, for example, as between theoretical and experimental physics. Generally the sciences require more resources to carry out their academic work, and they tend to capture a significant proportion of these resources through success in applications for research and development funds internally and externally. All of this is supported in the findings of CAP 2007.

### 1.2.5 The Professional Perspective

While the work in the academic disciplines is significantly oriented to the creation of new knowledge of a fundamental nature, a parallel task is the translation of these fundamental discoveries into practical applications. This latter work is generally considered the task of the learned professions such as medicine, law, business, engineering, agriculture, and education. The professions tend to build on the work of related disciplines, and professional teaching tends to be pegged at the graduate level rather than the undergraduate. Professional fields are more likely to bring their teaching to the workplace of their students and professional faculty are more likely to be engaged in applied or consulting work as distinguished from basic research. Professions were once a small sliver of the academic profession but today tend to constitute about half of all academic positions. As it turns out, there are substantial differences between the core fields and the profession in a number of areas. For example, academics in the professional fields are less likely to participate in decision-making, they are less likely to do research, and the research they do is more likely to have commercial implications.

### 1.2.6 The Unionist Perspective

Academic work is certainly hard work. While not usually physically challenging, academics have to commit to projects that extend over lengthy periods of time and that are fraught with uncertainties about the outcome. To provide some comfort as they engage on these uncharted teaching and research journeys, academics prefer a reasonable level of job security and thus press for contracts of long duration and even for lifetime employment. University managers may resist these pressures, favoring annual contracts or, in the case of adjuncts, single-course contracts. These tensions between the desire of academics for security and of managers for control have in many institutional and national contexts led to conflict and the inclination of academics to join in labor unions that protect their rights as intellectual workers. University employers and managers may combat this unionist inclination by promoting the counter ideology that unions are not suited to the academic environment.

### 1.2.7 The Fiduciary Perspective

Most academics are committed to high quality work, regardless of what it costs. Thus whether a class has one student or ten is of little concern. After all, the one student may be a future Einstein. Beyond ten students, academics may fret that they cannot provide sufficient individual attention. While this commitment to quality is laudable, managers express the concern that small classes may not be adequate in generating sufficient revenue to cover institutional costs. In most institutions, at

least a minority of academics concurs with this pragmatic concern – these academics tend to be in fields that have relatively little difficulty in attracting students and/or outside funding. Thus there may be a schism between some academics who eschew financial issues and others who are more pragmatic. To some degree, these differences characterize academics in public versus private universities, though they are also evident within both sectors.

## 1.3 Drivers

Parallel with the role of beliefs in shaping change or the lack thereof in the academy is the role of drivers. The CAP project has identified the following drivers as potentially influential.

### *1.3.1 System Scale and Recent Growth*

Perhaps the single most important driver affecting the profession is the recent change in the number of academic institutions and academic positions. In small systems, there is little room for the differentiation of institutional types or even of academic fields. With expansion, possibilities open up. However, as systems approach universal enrollment as in the USA, Finland, or contemporary Korea, once again the possibilities for change become limited; at the institutional level they depend on mergers and failures, and at the departmental level they depend largely on openings related to retirements.

### *1.3.2 Demographic Change*

Of course, if the youth population is steadily increasing, this opens up modest possibilities for the expansion of institutions and academic positions as in the case of the USA or in the developing world. However, in most advanced countries, population size is currently stable. But within this stability there may be sharp ups and downs in the size of the collegiate cohort due to baby booms and busts; for example, Japan faces a 35% drop in the size of its collegiate cohort between 2000 and 2015.

### *1.3.3 National Social Welfare Priorities*

Where demographic growth is slowing, there is a tendency for the overall demographic pyramid to be tilted toward the elderly. And with this shift there are likely to be sharply increased costs for the care of the elderly both in special residences

and in health care. With the rise in these costs, national budgets are strained, and one likely outcome is a decrease in the amount of funds that political leaders allocate to other projects such as higher education.

### 1.3.4 Marketization, Privatization, Including the Privatization of Public Institutions

With the strain on public budgets and the recognition that young people stand to gain significant private returns from their attendance at institutions of higher education, policy-makers have come to express increasing interest in the private funding of higher educational institutions, whether they be primarily private or publicly established. In East Asia, this trend is sometimes referred to as the "corporatization" of public higher education. In mature systems, the force of neo-liberalism through globalization has led to a significant shift toward the market (Slaughter and Rhoades 2004; Chan and Fisher 2008; Rizvi and Lingard 2010).

### 1.3.5 Economic Level and Growth

Nations with strong and growing economies have more resources to invest in education including higher education while stagnant economies have fewer possibilities. Eastern Asia, Singapore, Malaysia, China, and Hong Kong are all enjoying relatively high rates of economic growth over a long period, and their academic systems thus have been blessed. The Philippines, Indonesia, and Vietnam have not been as fortunate.

### 1.3.6 Global Science and Technology Competition and Commercialization

Augmenting the benefits of economic growth is the belief of national policy-makers that knowledge creation will enhance economic competitiveness. This belief is captured in the European Union's proposal that all nations invest at least 3% of their Gross Domestic Product (GDP) in research and development (R&D). While Finland and Norway have responded to this challenge, several other European nations have lagged behind. In East Asia, most nations are striving for a 3% share for R&D. But in Latin America, the Middle East, and Africa, most nations are considerably short of that standard. Substantial resources devoted to R&D tend to be associated with substantial funds available for academic research projects (National Science Board 2008).

## 1.4 Changing Conditions and Practices

The delivery of quality higher education and research involves extensive resources in terms of staff, buildings, and facilities. In earlier times, one measure of an institution's quality was the number of books in its library. Currently, hard-back libraries are being significantly supplemented by digital libraries, but the costs for obtaining access to digital library resources are often very substantial. Also in earlier times, the backbone of academic life in many systems was the department office staffed by highly competent managers and secretarial staff, whereas currently much of this support work has been replaced by technological surrogates. Concerning classroom instruction, a major change in some systems and an incipient change in others is the reliance on learning systems such as Blackboard or Moodle to communicate course syllabi, readings, and assignments. There are a host of changes in conditions and practices, some for the better and some for the worse, that academic systems have been undergoing in recent years.

## 1.5 Changing Outputs and Outcomes

These changes in conditions and practices are ostensibly designed to improve the productivity of higher educational institutions and the academy. Certainly the number of students graduating from higher education has steadily increased, and in most systems an increasing proportion of these students have post-bachelors degrees – but there are no independent measures of the quality of this education. On the research side, most academic systems have become more productive at least as measured by the number of refereed articles written by their academic staff. However, the increases are least notable in those systems that have traditionally been regarded as the centers of learning – indeed, for the last 15 years there has been essentially no change in the total number of refereed articles written by US-based academics. In contrast, there have been rapid increases in the numbers written by academics in several East Asian systems. This raises interesting questions about who is benefiting from recent changes in governance and management.

## 1.6 The Contemporary Discourse

The starting point for this book's treatment of higher educational governance and management is the 1970s and 1980s when, in many advanced countries, steps were being taken to expand the scale of higher education enabling the shift from more elitist to more inclusive mass and even near universal enrollment. With this expansion, most nations came to view a wide range of institutions from community colleges and higher technical schools to elite research universities as components of their higher educational systems. During these decades of expansion, both public

and private funding of higher education increased. At the same time, public interest in the direction of higher education became more noticeable. This was welcomed by institutional managers and the academy, leading to a period of relative harmony. But in recent years, new questions have surfaced.

### *1.6.1 System/Institution Division of Labor*

System-wide management is longstanding in Europe and East Asia and became popular in the USA and elsewhere in the second half of the twentieth century. At that time, public bodies provided the great bulk of the financing of public higher educational institutions. When state support was generous and facilitated across the board growth, university managers and academics were willing to accept a prominent system role. But over the last two decades in nearly all national and state systems, the public share of higher educational funding has sharply declined to the point in many state systems in the USA it is less than 15 % of total revenues. With the shrinking role of state support, questions arise about the appropriateness of the state attempting to coordinate the activities of state-located institutions of higher education. Both university managers and academics have come to argue for greater institutional and faculty autonomy.

### *1.6.2 The Shifting Balance in Shared Governance*

Governance has always been shared between academics, managers, governing establishing bodies, and even students. But the balance between these stakeholders is often in flux. Historically academics have had the primary voice in academic matters, with the academic senate (or a similar body) making key decisions. But there appears to be a new rhetoric urging, for the sake of efficiency, a shift in governance over academic matters from multipurpose standing bodies such as academic councils and senates to standing committees chaired by university managers. While this rearrangement may enhance faculty participation it also can be perceived as diluting faculty power. Some describe the shift as leading to the academy becoming a managed profession.

### *1.6.3 Stress on Accountability*

In the era of expansion, all tended to benefit and there was little more than a modest effort to evaluate the performance of academic units. But with the leveling of resource growth and a host of new demands, stakeholders from both outside and inside the higher educational system have urged the introduction of measures to more accurately gage the performance of individual units, with the potential implication of shifting funds from low to high performing units. So a variety of accountability

schemes have been promoted as a means of identifying best returns. But these tend to be proposed from on top with limited consultation with academics. Thus the accountability movement has often been received with skepticism.

### *1.6.4 Front Line or Bottom Line*

Academics are open to change if they find it improving their working conditions and their possibilities for achievement in teaching, research, and service. But academics may express concern when they perceive the changes contributing to bloated institutional bureaucracies but no improvement in academic work. In many institutions and systems, recent changes seem to have resulted in an erosion of academic employment stability with more professors on fixed term and part-time appointments. And for those on full-time, indefinite appointments, salaries do not seem to be improving nor are many features of their immediate work environment. Yet unit costs for higher education are going up. Academics wonder if managers have their priorities right.

### *1.6.5 Public–Private Differences*

Private institutions provide an increasing proportion of higher educational opportunities in many countries around the world, especially in Asia. Some private institutions have long histories and are governed and managed in the same manner as public institutions while others tend to have relatively centralized management with faculty being largely excluded from decision-making. Regardless, private universities tend to be largely autonomous from government control (although in some systems they do benefit from state subsidies) and thus have to make responsible decisions if they are to survive. The model of private autonomous higher education has come to be favorably regarded by many commentators on government and management units. However, it is not clear that the academics in private institutions, and who are sometimes subject to autocratic leadership, share in this rosy view of the private sector. Additionally there is much discussion of privatizing certain functions of the public institutions such as plant maintenance or food and services. Critics raise the issue, might not privatization lead to a sacrifice of the contribution of institutions of higher education to the public good?

### *1.6.6 Impact of "New" Public Management*

Much of the recent published discourse focuses on US and European examples. But in East Asia, notably in Japan and Korea, there are somewhat parallel initiatives to corporatize public higher education institutions – that is to re-establish national institutions as quasi-autonomous entities and to shift many decisions from the state

bureaucracy to the respective institutions including the responsibility for revenue generation and financial management. While corporatization opens up possibilities for institutional growth and excellence, it also forces institutions to make difficult choices. As this situation is new, it is often not clear who should make these choices or how. Thus there are many potential sources of conflict.

### *1.6.7 The Experience of Academe in the Emerging Economies*

While advanced countries experienced their growth in earlier decades and are now entering a period of relative stability, in many other countries higher education growth is only recently underway. In several of the more dynamic new countries, the educational growth is accompanied by R&D growth. Also there is a trend toward creating more stable institutions with more full-time faculty and managers. With so many new possibilities opening up in these emerging systems, academics may approach governance and management with more optimistic and tolerant perspectives.

## 1.7 Thinking About Similarities and Differences

Reflecting on this discourse, it is apparent that, while there are many tensions within systems, perhaps more notable are the contrasts between systems: Centralized-decentralized-privatized, N. America-Europe-Asia, Mature Systems-Emerging systems. Many studies of governance–management in various national systems exist, but relatively few studies that compare governance–management across systems. The Clark/Scott models are one approach. They portray enduring differences in governance and management rooted in culture, system scale, etc.

While some observers stress system differences, in recent years it has often been argued that powerful global drivers are forcing national systems to become more similar in various respects including governance and management. For example, the East Asian movement to promote “the new public management model” mirrors in many respects recent reforms in the UK and the USA. The extent of convergence or divergence between national systems as well as within is an important sub-theme of this study.

Regardless of how one perceives the recent trends in this regard, the significant differences between systems in governance and management – for example, as between centralized state-run systems and those that stress private initiatives and autonomy – cannot be denied. The prevalence of different approaches allows a comparison of the relative acceptance of each. Do academics prefer more hierarchical or collegial systems? More bureaucratic or more politicized systems? Or is the structure less important than the actual performance of the structure in providing satisfactory working conditions? These are the types of questions that will be addressed in this comparative study of governance–management, particularly in the concluding chapter.

## 1.8 The Contemporary Challenge

In the discussion above, a framework has been proposed for the analysis of recent changes in governance and management and their impact on the academy and its work. The drivers are pressing for a more privatized approach to higher education and research, to a greater reliance on technology, and to a more efficient use of resources. Yet these changes are, at least in some systems, perceived as coming from above with little consultation with academics and an inadequate consideration of the beliefs and values that have traditionally guided academic work. This tension between academic beliefs and the contemporary drivers is doubtless more evident in certain systems than in others, and within national systems concerning certain issues and not others. The goal of this book is to pinpoint, in so far as possible, the areas where recent change is perceived positively and where it is perceived negatively.

Within this framework, the volume's editors wish to test a hypothesis about the relationship between the changing nature of institutional governance and management and faculty engagement with the traditional full range of academic activities, especially those aspects of institutional decision-making on academic policies directly relating to teaching and research. This hypothesis is implicit in the conceptual framework for the CAP study and informed the design of the questionnaire. It suggests that, where governance is shared between institutional managers and academics themselves, faculty are more likely to report that the management of their university is consultative and feel they have primary influence over decisions on academic matters. Under these conditions, it is likely that the facilities, resources, and personnel needed to support academic work would be regarded positively, the administration would appear to have a supportive attitude to research and teaching, and the overall working conditions in higher education would be perceived by faculty to have improved during their careers. Such perceptions might lead to greater personal affiliation of academics to their institution (as well as to their discipline and department) and higher levels of overall satisfaction with their current job and the academic career in general. In these circumstances, faculty might be more likely to engage in the full range of academic roles of teaching, research, and service, including activities in support of institutional governance and management such as participation in committees, but also professional activities in the broader academy and beyond. This hypothesis will be explored further in the concluding chapter of this volume.

## 1.9 The Structure of the Book

The following 15 chapters that make up the core of this volume focus primarily on particular national case studies with attention to the diversity of institutions and differentiation among academics within national higher education systems, together with other explanatory factors as appropriate. The authors of each chapter have

largely followed a common structure to facilitate comparison and cross-national analysis, providing:

- A description of the national higher education system and recent developments and a profile of institutional types
- A brief account of the national CAP survey methods, as distinct from the common methodology which is described in Chapter 18 in this volume
- Analysis of the responses to the national CAP survey on academic work, institutional support for teaching and research, decision-making, personal influence, management style and performance, and general views on job and career
- Discussion of the drivers for changes in institutional governance and management and current issues facing the national higher education system

The country chapters are distinguished according to whether they are "emergent" or "mature" higher education systems. Part 1 includes ***emergent higher education systems*** which tend to have several or all of the following characteristics:

- Recent dramatic increases in student enrollment rates
- Institutions that are largely staffed by part-time faculty
- The vast majority of the academic body holding a first or a second degree at the most
- A limited level of research activity
- Limited provision of research training, such that domestic students pursuing a research degree tend to have to study abroad
- Relatively low levels of public and private funding for higher education
- Most of the countries also have significant private HE provision

Those emergent systems included in this volume are Argentina, Brazil, Mexico, Malaysia, and South Africa.

Part 2 covers the ***mature higher education systems*** which tend to have several or all of the following characteristics:

- Gross enrollment rates of approximately 50% or more
- Relatively high expenditure per student (both public and private sources)
- Institutions largely employing full-time faculty
- A majority of academics holding a doctorate
- A relative high level of research activity
- All the countries included in the book are also considered by the World Bank to be high-income countries

This volume features the mature systems of Australia, Canada, the United Kingdom, the United States of America, Germany, Finland, Norway, Japan, Hong Kong, and South Korea.

The concluding chapter will revisit the issues raised in this introductory chapter, proposing a series of generalizations about the contemporary status of higher education institutional governance and management.

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# Part I
# Emergent Higher Education Systems

# Chapter 2
# Argentina: Changes in Academics' Involvement in the Governance and Management of Public Universities

**Norberto Fernández Lamarra, Mónica Marquina, and Gabriel Rebello**

## 2.1 Introduction

The academic profession in Argentina belatedly begins to take shape toward the mid-twentieth century. A major impetus was the 1918 University Reform which authorized increased autonomy from national governments and democratic institutional governance. Henceforth, governing bodies were composed of professors, students, and alumni. Intra- and inter-institutional heterogeneity, successive institutional disruptions, and political interventions in university life plus the unplanned expansion because of increased student enrolment are the main features of the local academic profession. To accommodate the expansion, a large number of part-time faculties were hired and they are now in a majority.

During the 1990s a government agenda for the sector was implemented placing emphasis on efficiency of institutional administration and improvement in educational quality. These policies changed working conditions for faculty, their socialization mechanisms, and their practices. Thus a "new type" of academic begins to emerge, with a high level of postgraduate education and the expectation they will develop both teaching and research expertise. With the introduction of different incentives and regulations academic activity begins to be evaluated according to criteria of productivity in research more than in teaching. Public policies regarding academics have generated changes in the systems of recognition and rewards which explain interests, affiliations, and institutional involvement (Marquina and Fernandez Lamarra, 2008). We argue that these new conditions have had an impact on the institutional involvement of Argentine academics.

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## 2.2 The Growth of the University System and the Academic Profession

### *2.2.1 The Expansion of the Argentinean Higher Education System*

The Argentinean higher education system manifests a highly complex historical evolution characterized by the absence of long-term agreed policies. In consequence universities have experienced periods where the State has intervened and depleted the resources and other periods of growth and plenty.

Against this background higher education has had a relatively sustained development during the twentieth century. Expansion came almost exclusively from the growth in the number and size of public sector universities, which presently account for more than 85% of the university enrollment, far exceeding the Latin American average of less than 50%.

Beyond universities, the higher education system consists of non-university institutions (usually called tertiary education). This sector acquired characteristics which are both highly particular and clearly different from universities. These institutions are mainly engaged in the training of teachers and technicians. They account for less than one third of the total higher education enrollment and are regarded as lesser options, because of easier admission requirements (Fig. 2.1).

The expansion of enrollment in Argentinean universities begins around the middle of the century. The peaks coincide with periods of democratic governance and respect for autonomy, while the troughs occur during periods of military rule. After a reduction in enrollment during the last military dictatorship (1976–1983) the period of rebuilding of democratic institutions of 1984–1990 witnessed growth in university enrollment by 65%.

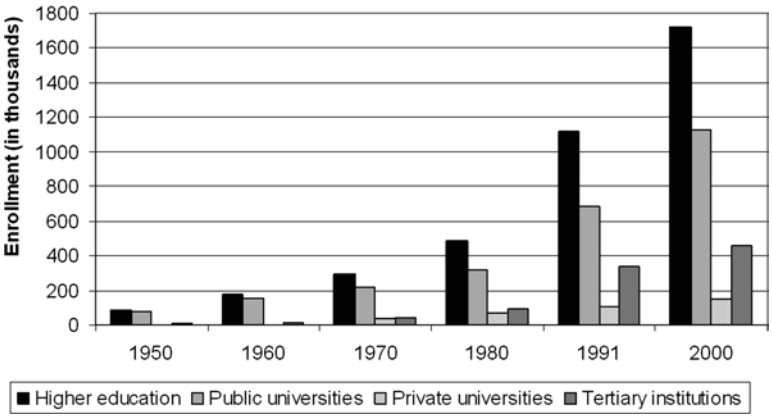


**Fig. 2.1** Expansion of higher education enrollment (Source: Fernández Lamarra 2003)

**Table 2.1** Number of higher education students and institutions according to dependency

| | Public | | Private | |
|---|---|---|---|---|
| | Institutions | Students | Institutions | Students |
| University system | 48 | 1,283,482 | 57 | 317,040 |
| Non-university system | 913 | 433,826 | 1,139 | 412,375 |
| Total | 961 | 1,717,308 | 1,196 | 729,415 |

Sources: MECyT, SPU, 2008 Yearly Report on University Statistics. MECyT, DINIECE, Educational Statistical Yearly Report 2008

Today higher education students are distributed unevenly between the two subsystems and between the public and private sectors. As shown in Table 2.1, the public university system accounts for approximately 70% of the total number of students. Open access and free admission are the key factors influencing this distribution.

### *2.2.2 The Academic Profession in Argentina: Heterogeneity and Unplanned Expansion*

Unlike other Latin American countries, the collection of scientific information on the academic profession in Argentina is still in its early stages. Only in the last decade has such data been produced in a consistent manner. This change occurred because political decision-makers made the coordination of the university system part of their political agenda.

Nevertheless statistical information concerning professors in the private university sector is non-existent. Given this context, our research has focused on university teachers in the public sector. Further, this collectively is the most representative group in the sector as a whole.

As noted earlier, the growth of the academic profession in Argentina was unplanned, and a result of growth in student enrollment. Significant growth occurred in the period 1955–1960 and in turn had a profound impact on what for the first time was a clearly identifiable academic profession. This period was notable for the scientific and academic advances that occurred and was a time when the academic profession developed a strong identity in terms of its disciplinary relevance that also went beyond merely institutional affiliation.

Faculty growth in Argentinean universities kept pace with the explosive growth in student enrollment and even remained constant during the last military dictatorship when the number of students was reduced. Between 1982 and 1992, the number of professors doubled, although part-time faculty continued to be the majority (Chiroleu, 2002). While growth has remained steady since then it has not kept up with the growth in the number of students.

The key characteristic of the academic profession in Argentina is that the majority are part-time teachers. The amount of weekly time for which a professor is hired in

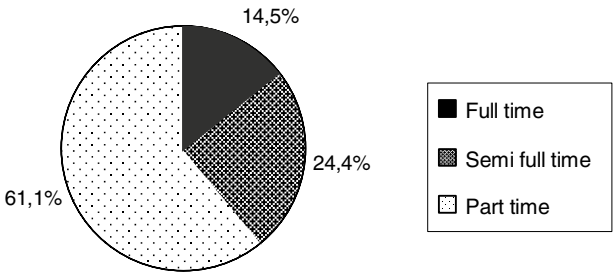


**Fig. 2.2** Time requirement of faculty to academic activity, 2006 (Source: Authors' own work based on data from SPU-MECyT 2006)

Argentina is called: "dedicación." This time is usually ranked into three categories: "simple" (10 h per week), "semi" (25 h per week), and "exclusive" (40 h per). But assistants and professors hired under a "simple" requirement may be requested to work fewer hours a week than formally stated. It follows that most professors do not consider this as their main job. Although this feature has been constant, in the last few years the growth in the number of teachers hired for the lowest time requirement (10 h a week) to cope with the growing student demand has evolved at a faster rate than the increase in the total number of teachers.

As Fig. 2.2 illustrates just over a third of university professors dedicate themselves exclusively (40 h per week) or semi-exclusively (25 h per week) to teaching and research while the remaining two thirds do so at the "simple" level. In many cases, which it is as yet not possible to quantify, the fact that the teacher is part-time does not mean that she/he does not carry out research duties. When the teacher's interest is related to the development of an academic career in which scientific production is a key element for promotion, the teacher carries out research regardless of whether this task is recognized in monetary terms.

In total, faculty in Argentina is distributed evenly according to gender. Although a certain (yet declining) predominance of males is present, it is striking how this tendency is sharply reversed in favor of women when considering full-time teachers. However, the highest position in the hierarchy ("profesor titular") is mostly occupied by males.

The chair system is the predominant way of organizing academic work, especially in traditional universities. Under this scheme the career path of faculty consists of a series of five positions organized hierarchically, distinguished principally into the categories: junior teaching staff or "auxiliary" teachers (assistant and senior assistant) and "professors" (assistant professor, associate and full professor). The names of the positions are "ayudante" and "jefe de trabajos prácticos" for the junior teaching staff and "profesor adjunto," "profesor asociado," and "profesor titular" for the professors. These terms refer specifically to the Argentine education system and do not necessarily correspond to similarly termed positions within the

British or North American systems. Each of these positions is independent of the time requirement ("dedicación").

In theory the first group takes responsibility for coordinating the groups of students' practical assignments, and at the same time they attend theory classes given by professors. In an attempt to avoid the vertical and rigid nature of the chair system some institutions are organized under departmental structures. Nevertheless, the levels of the teaching positions do not vary to a great extent and in fact in many cases a vertical division of work is maintained.

Access to positions is decided, in general terms, by a "contest" mechanism of selection termed *concurso de oposición y antecedentes*, involving interviews and competitive examinations, in which the institution makes an open call for applications. A board of adjudicators composed of peers occupying higher positions in the hierarchy evaluates the aptitude of the applicants by means of their curriculum vitae, an interview, and observing them teach a constructed class situation. Professorial positions are held for 6–7 years. After that a new selection is called to fill the same position using identical procedures. In the case of teaching assistants the time span is shorter. Once a professor has passed the examination, she/he is granted job stability for the time span of the held position. This status is called being "regular." It implies that the professor cannot be removed – except in extreme circumstances – and that she/he has acquired "university citizenship," which allows him or her to choose and to be chosen in the different bodies or positions of university governance. Thus the complexity of this "contest" mechanism lies in its double impact on the quality of academic activity and on the political consequences.

This complexity explains many of the current problems concerning governability in the traditional and bigger universities. In several cases the percentage of "regular" professors (chosen by contest) is low. This occurs in part because it is difficult to carry out the selection processes but also because of political decisions which influence the impeding or advancement of such processes which clearly have the potential to determine the political composition of governing bodies in universities. The recent case of the governability crisis in the University of Buenos Aires (the largest university in the country) is linked to such a situation.

In recent years, especially since the reforms of the 1990s, innovations have been implemented in the systems that rule access to positions, especially in the "new" universities. One such variation is having a panel of examiners evaluate the work carried out by the professor holding the position at the expiration of her/his term and deciding whether he or she should continue. Other universities, following innovative models, have opted directly for systems of hiring teachers with an annually renewable contract, as in the majority of private institutions.

Another feature of the Argentine academy is low wages. Although, on average, universities spend more than 85% of their budget on personnel expenses, many – specially the largest and most traditional ones – are able to continue operating thanks to "work donation" (Fernández Lamarra, 2003). In large universities, such as those of Buenos Aires and La Plata, around 30% of professors work *ad honorem.* In general they are recent graduates who work as junior part-time teaching assistants. It may be considered an inevitable beginning for an academic career, or a way

**Table 2.2** Teacher gross monthly salary according to position (average)

| Position | Time requirement | Salary in Argentinean $ | Salary in US$ |
|---|---|---|---|
| Full professor | Full time | 9,291 | 2,445 |
| | Part time | 2,116 | 557 |
| Assistant professor – JTP | Full time | 5,958 | 1,568 |
| | Part time | 1,317 | 347 |
| Junior assistant | Full time | 4,344 | 1,143 |
| | Part time | 1,038 | 273 |

Source: Authors' own work based on data from MECyT 2009

to obtain professional prestige outside the university. However, the lack of salary means that these positions do not always constitute a legal working relation with the institution. Currently there is some official concern regarding this situation and policies have been announced aiming to reduce the number of "*ad honorem*" teachers. In the last 5 years, and after being frozen for a long period, professorial wages have increased substantially, reaching in the case of some part-time professors an increase of 200%. Even so, relatively speaking wages are still low (Table 2.2).

In spite of this panorama and the limited resources available for research, the largest part of the scientific output in the country, which translates into more than two thirds of articles published, is produced in national (public) universities.

### *2.2.3 Policies in the 1990s for the Academic Profession: Between the Availability of Resources and Accountability*

The government which took office in 1989 designed and implemented a political agenda for universities which was clearly set within the international trends of the era, placing the emphasis on the efficiency of institutional administration and improvement in educational quality. These policies took shape concretely from 1994 when certain measures were developed at a governmental level.[1] These policies modified faculty working conditions, their socialization mechanisms, and practices, creating a new academic work model for all disciplines.

In recent years, the State has been more directly involved in determining the allocation of R&D funds to universities. By setting strategic priorities that are connected to government policies and then making competitive calls for proposals, the State is able to exert strong influence on academic activity. Without doubt these new conditions for academic work have strongly operated in a particular area of tension for the academic field: the distribution of material and symbolic assets

[1]For example, the "National Programme of Incentives for Teachers – Researchers of National Universities"; the "Fund for Quality Improvement"; among others.

(Bourdieu, 1983, 1989). Though these conclusions are widespread within the academic collective, it is necessary to evaluate them empirically.

## 2.3 Some Theoretical Issues on University Governance and Management in Argentina

The reforms of the 1990s have brought into question the effectiveness and efficiency of the governing bodies of universities. Their size has come under particular scrutiny. For those promoting reform, the limitation of these spaces was necessary, in order to assure more flexible and effective mechanisms of action with roots in models of management that privilege the technical aspects of these processes and underestimate or disqualify the political character of organizations such as universities.

From this standpoint, the idea of "government" as a dimension of university management is replaced by a definition associated with business management, thus excluding conflict and ignoring the need for deliberation, as well as consensus building and participation which is an inherent dimension of the traditional collegial approach (Fernández Lamarra and Alonso Bra, 2004).

The new approach challenged the democratic reforms referred to earlier. In this regard, recent prevailing reform guidelines do not seem to have a high penetration. In many cases they have raised the need for a frank discussion regarding the operation of these large structures, rather than causing major change.

For some authors, the issue of university governance appears as a problem tied to pressures from the structures of the national political parties (Krotsch, 2002). This perspective, which is increasingly popular in the professoriate, is different from the changes of the 1990s. It restores the validity of politics within universities (which is considered an intrinsic part of academic life), but tries to separate the academic community from conflicts or interests associated with political parties because they alter the social meaning of the university. Policy and therefore the governance of universities should be the result of the interaction between needs and interests of different sectors within the institution, i.e., this game should be conceived and practiced in academic terms, and not subject to mandates, speculation, strategies, or disputes between political parties. On the other hand, some studies suggest the relationship between the governance of Argentinean universities and national political parties is inherent to the history of the said institution; therefore the challenge is to think about how to make this inevitable relationship virtuous (Stubrin, 2001).

Some studies provide background to the results presented here and in this sense we aim to complement their findings. Difficulties in the direct involvement of academics and students in building the institutional project, shortcomings in participation, and consensus-building throughout the university community to carry ahead the processes of governance, or the need to intensify the democratic electoral processes, are frequently mentioned. The problem of "integration" is highlighted in relation to resource distribution. In a restrictive context there are strong political

struggles among academic units, which require the genuine participation of all the sectors to ensure persistence of the agreements over time. Other issues relate to internal organizational integration and communication. A certain lack of integration and relational problems among different instances of governing bodies, groups, and organizational units are usually observed, especially in bigger universities. (Fernández Lamarra and Alonso Bra, 2004). Difficulties in the relationship between governance and management are also prevalent. Such problems are diagnosed from a perspective akin to the reform of the 1990s in terms of a tension between the preservation of collective bodies, participation in government and professionalization, and effectiveness of management. The loss of meaning and stability that is expressed most visibly in the process of disintegration within the institutions and the system as a whole is probably the main constraint on the current university administration.

## 2.4 Research Advances in the Framework of the Changing Academic Profession

The CAP study is the first attempt to undertake a national survey of the academic profession in Argentina.

All faculty members from national (public) universities, i.e., both teaching assistants and professors with any time requirement, were chosen as the target population. This was justified by the fact that the private sector is marginal both in terms of the number of students and faculty; that the information on this sector is non-existent; and because most of these professors also work in public universities. The wide non-university spectrum of higher education has characteristics that are far different from what is considered academic activity. They have contracts per class hour, do not carry out research, and their activity is more similar to that of a secondary school teacher than to that of an academic.

The sampling frame was assembled by using the official base available from the System of University Information (SIU) of the National Ministry of Education. From the total of 119,000 teachers in national universities a random sample of 2,400 teachers was drawn. The figure was agreed among the international groups based on a standard estimate of 30% of effective replies (as the goal was to obtain 800 responses). The instrument in its Spanish version had a few questions added that were related to particularities of the Argentine system, and was a product of a process of discussion and trial in addition to consultations with other teams in Latin America.[2] The results shown here arise from 826 respondents. The sample was

[2]Field work consisted in reaching people and contact by invitation through email to fill out of the survey on line. This was set up in an automatic virtual system which allows its administration, with invitations to participate and periodic reminders. The major difficulty in the field work was not in obtaining a reply but in locating the teachers chosen. The official base provided a series of data on each teacher selected, from which email address, telephone, and postal address were excluded.

taken from all national universities and then weighted because there was a bias toward the highest ranks and full-time positions.

We depart from the hypothesis that public policies regarding academics have generated changes in the system of recognition and compensation which explain preferences, interests, and perceptions related to university management and governance commitments. Therefore, the next section presents some results of the survey selecting four main aspects: interests, satisfaction, principal reference, and perceptions about the management of their institutions.

## *2.4.1 Findings from a Preliminary Analysis of Survey Data*

### 2.4.1.1 Academics' Interests

The preferences for research or teaching activity are almost equal. Almost half (49.3%) opt for research either exclusively (6.7%) or for "both, but leaning toward research" (42.6%) (see Table 2.3). The tendency to prefer research increases in the case of full-time positions. Nevertheless, it is worth highlighting that part-time teachers, who are usually conceived as being in a teaching-only position, also prefer research (mainly or exclusively) by nearly 50%.

Regarding the career span of faculty, the "year of obtainment of first post" was used to divide respondents into three categories (see Table 2.4). While the oldest

**Table 2.3** Regarding your own preferences, do your interests lie primarily in teaching or in research? (Totals and by mode of employment, %)

| | Primarily in teaching | In both, but leaning toward teaching | In both, but leaning toward research | Primarily in research | Row totals |
|---|---|---|---|---|---|
| Full time teachers | 1.9 | 30.2 | 60.4 | 7.5 | 100 |
| Semi-full time teachers | 7.8 | 53.9 | 35.0 | 3.3 | 100 |
| Part time teachers | 16.0 | 34.8 | 41.5 | 7.8 | 100 |
| Column average | 12.0 | 38.7 | 42.6 | 6.7 | 100 |

**Table 2.4** Regarding your own preferences, do your interests lie primarily in teaching or in research? (According to obtainment of first post %)

| | Primarily in teaching | In both, but leaning toward teacher | In both, but leaning toward research | Primarily in research | Row totals |
|---|---|---|---|---|---|
| Before 1976 | 12.3 | 46.8 | 27.8 | 13.1 | 100 |
| Between 1977 and 1999 | 11.8 | 42.1 | 40.9 | 5.2 | 100 |
| Since 2000 | 12.4 | 25.8 | 53.7 | 8.1 | 100 |
| Column average | 12.0 | 36.8 | 42.6 | 6.7 | 100 |

academics (those who started working prior to 1976), fit into the general mean, (with about half preferring research and the other half choosing teaching as their main interest) those who obtained their first position after 2000, incline toward primarily research (61.8%) which surpasses the mean by 7.5%.

#### 2.4.1.2 Overall Satisfaction

Argentinean academics show a considerable level of satisfaction with their jobs (55.7% adding both "high" and "very high") (see Table 2.5). We do observe significant variations with respect to the mean in the variables "time devoted to academic tasks" and "position." Full-time academics show more satisfaction (71.2%, adding "high" and "very high") over part-time faculty and semi-full timers, which are slightly below the mean.

Full and associate professors exceed the mean by far, showing higher levels of satisfaction (82.4% and 79.4% respectively) while junior and senior assistants are below the average. In general terms, work satisfaction increases with the rank.[3]

Some interesting data appears when we measure satisfaction according to the time of entering faculty life (see Table 2.6). Teachers with a longer academic careers are the most satisfied with their job (66.8% over an average of 55.0%), while the youngest are below average at 50.7% when adding high and very high satisfaction responses.

**Table 2.5** How would you rate your overall satisfaction with your current job? (Totals and according to "time devoted to academic tasks" %)

| | Very high | 2 | 3 | 4 | Very low | Row totals |
|---|---|---|---|---|---|---|
| Full time teachers | 14.8 | 56.4 | 25.9 | 2.8 | 1.9 | 100 |
| Semi-full time teachers | 16.8 | 37.4 | 39.7 | 5.0 | 1.1 | 100 |
| Part time teachers | 11.2 | 41.3 | 37.8 | 7.3 | 2.4 | 100 |
| Column average | 13.4 | 42.3 | 36.5 | 6.1 | 2.0 | 100 |

**Table 2.6** How would you rate your overall satisfaction with your current job? (Totals and by year of first appointment %)

| | Very high | 2 | 3 | 4 | Very low | |
|---|---|---|---|---|---|---|
| 1958–1983 | 15.26 | 51.59 | 28.86 | 3.13 | 1.17 | 100.00 |
| 1984–2000 | 13.70 | 38.82 | 38.79 | 6.38 | 2.31 | 100.00 |
| 2001–2007 | 8.21 | 42.66 | 38.29 | 8.67 | 2.17 | 100.00 |
| Column average | 12.98 | 42.09 | 36.71 | 6.16 | 2.06 | 100.00 |

[3]The positions described refer specifically to the Argentine education system and do not exactly correspond to similarly termed positions within the British or North American systems. Each of these positions is independent of the "dedication." The term "dedication" is used to refer to the time the faculty member devotes to the position; thus "exclusive dedication" is an alternative for "full-time."

In a related question (considering making major changes in their job), 96% of those who answered stated they were not thinking of doing so (see Table 2.7). Another three questions associated with greater pressure or negative views of academic work result in a majority of respondents answering negatively ("absolutely disagree" and "disagree").

More than 80% of faculty surveyed would still choose to be an academic if they had to begin their career again. More than half do not consider the job a source of personal stress and almost 60% would recommend to young people that they take up an academic career. These results confirm the level of satisfaction reported in the previous question. The differences in the responses according to the variables considered are not significant, or at least do not present correlations that could give rise to specific interpretations.

#### 2.4.1.3 Affiliation

In general terms, those surveyed define discipline (69.7%) as the principal field of reference ("very important"), followed by institution (54.6%) and finally department (50.3%) (see Table 2.8). When we combine levels of importance 1 and 2 (very important and important) 92% favor their academic discipline/field. The differences in the responses according to the variables considered are not significant.

#### 2.4.1.4 Governance and Management

Faculty members identify managers from institutional or academic unit levels as the more influential actors regarding decision-making in their institutions

**Table 2.7** Percentage of answers in the negative to three questions %

| | |
|---|---|
| If I had it to do over again, I would not become an academic (disagree/strongly disagree) | 81.4 |
| My job is a source of considerable personal strain (disagree/strongly disagree) | 54.1 |
| This is a poor time for any young person to begin an academic career in my field (disagree/strongly disagree) | 59.8 |

**Table 2.8** Please indicate the degree to which each of the following affiliations is important to you (%)

| | 1 Very important | 2 | 3 | 4 | 5 Not at all important | Total |
|---|---|---|---|---|---|---|
| My academic discipline/field | 69.71 | 23.04 | 5.03 | 1.37 | 0.84 | 100.00 |
| My department (at this institution) | 50.31 | 31.94 | 12.65 | 3.45 | 1.65 | 100.00 |
| My institution | 54.55 | 31.30 | 10.92 | 2.68 | 0.56 | 100.00 |

(see Table 2.9). Decisions like faculty and staff appointments, new faculty selection, promotion and tenure, as well as budget priorities are attributed to these managers by more than 55% of the respondents. Faculty committees/boards were also regarded as very influential in all areas of decision-making except budget priorities. At the same time faculty clearly underestimate the power of these committees/boards given that the statutory norms establish them as the place where these kinds of decisions are taken. They do not see themselves or "Government and External Bodies" as being very influential. They see the "institution" as an alien place, which is consistent with the reference to the discipline in the preceding section.

Some other beliefs may reinforce the view of the institution as a foreign place. In Table 2.10 we consider several items regarding usual practices inside universities. In the four items corresponding to good personnel practices (considering research quality, teaching quality, relevance of work, and recruiting experienced

**Table 2.9** At your institution, which actor has the primary influence on each of the following decisions? (%)

| Type of decision | Government or external stakeholders | Institutional managers | Academic unit managers | Faculty committees/ boards | Individual faculty | Students |
|---|---|---|---|---|---|---|
| Selecting key administrators | 7.79 | 28.48 | 27.33 | 30.01 | 3.92 | 2.47 |
| Choosing new faculty | 0.77 | 10.28 | 49.26 | 24.01 | 15.25 | 0.43 |
| Making faculty promotion and tenure decisions | 3.59 | 20.80 | 40.99 | 27.54 | 7.01 | 0.08 |
| Determining budget priorities | 10.98 | 39.99 | 31.68 | 16.40 | 0.95 | |

**Table 2.10** To what extent does your institution emphasize the following practices? (%)

| | 1 Very much | 2 | 3 | 4 | 5 Not at all | Total |
|---|---|---|---|---|---|---|
| Considering the research quality when making personal decisions | 5.18 | 17.21 | 28.05 | 23.66 | 25.90 | 100 |
| Considering the teaching quality when making personal decisions | 6.82 | 23.15 | 25.50 | 19.66 | 24.87 | 100 |
| Considering the practical relevance/ applicability of the work of colleagues when making personal decisions | 6.40 | 20.74 | 25.20 | 24.99 | 22.67 | 100 |
| Recruiting faculty who have work experience outside of academia | 7.67 | 16.71 | 30.10 | 26.32 | 19.20 | 100 |

outsiders), between 45% and 49% respond negatively (very little and not at all) while the range for the positive responses is from 22% to 29%.

The data shown above is also related to faculty perceptions regarding their influence on their academic unit and the university (see Table 2.11). An overwhelming majority (85.9% and 92.00%, respectively) see themselves as having either little or no influence. Even at the department level this same statistic is very high (71.1%). The percentages vary according to the time devoted to academic tasks. Full-time teachers perceive themselves as more influential on all levels. However, these variations do not neutralize the overall weight of the perceived lack of influence across decisions at all levels.

We also included some questions where respondents were asked to declare their level of agreement with regard to specific aspects of governance and management (see Table 2.12). Most respondents chose an intermediate or neutral point of agreement which probably indicates a degree of uncertainty about these topics.

**Table 2.11** How influential are you, personally, in helping to shape key academic policies? (%)

| | | Totals | Full time teachers | Semi-full time teachers | Part time teachers |
|---|---|---|---|---|---|
| Department | Very influential | 4.09 | 11.11 | 4.32 | 2.20 |
| | Somewhat influential | 24.82 | 37.37 | 29.63 | 20.05 |
| | A little influential | 39.94 | 32.32 | 42.59 | 40.59 |
| | Not at all influential | 31.15 | 19.19 | 23.46 | 37.16 |
| Academic unit | Very influential | 2.22 | 4.00 | 3.09 | 1.47 |
| | Somewhat influential | 11.91 | 25.00 | 13.58 | 8.33 |
| | A little influential | 38.06 | 41.00 | 47.53 | 33.33 |
| | Not at all influential | 47.82 | 30.00 | 35.80 | 56.86 |
| Institution | Very influential | 2.24 | 4.12 | 3.18 | 1.47 |
| | Somewhat influential | 5.78 | 13.40 | 8.92 | 2.70 |
| | A little influential | 28.42 | 38.14 | 36.31 | 23.04 |
| | Not at all influential | 63.56 | 44.33 | 51.59 | 72.79 |

**Table 2.12** At my institution there is… (%)

| | | 1 Strongly agree | 2 | 3 | 4 | 5 Strongly disagree |
|---|---|---|---|---|---|---|
| … a strong emphasis on the institution's mission | Totals | 24.40 | 19.64 | 33.10 | 11.92 | 10.94 |
| | Full time | 26.47 | 24.51 | 28.43 | 10.78 | 9.80 |
| | Semi-full time | 25.44 | 22.49 | 30.18 | 11.24 | 10.65 |
| | Part time | 23.53 | 17.42 | 35.29 | 12.44 | 11.31 |
| … good communication between management and academics | Totals | 13.32 | 21.60 | 32.26 | 16.55 | 16.27 |
| | Full time | 15.69 | 24.51 | 30.39 | 17.65 | 11.76 |
| | Semi-full time | 16.37 | 23.39 | 30.41 | 17.54 | 12.28 |
| | Part time | 11.59 | 20.23 | 33.41 | 15.91 | 18.86 |
| … a top-down management style | Totals | 23.25 | 21.15 | 29.83 | 16.81 | 8.96 |
| | Full time | 19.61 | 21.57 | 29.41 | 17.65 | 11.76 |
| | Semi-full time | 23.98 | 22.22 | 26.32 | 15.20 | 12.28 |
| | Part time | 23.81 | 20.63 | 31.29 | 17.23 | 7.03 |

A positive relation exists between the more time devoted to academic tasks and the level of agreement about the statement of a strong emphasis on the institution's mission and good communication between academics and management. In addition, the higher the level of "time devoted to academic tasks," the lower the perception of the existence of a top-down management style.

## 2.5 Discussion and Conclusions

During 2008, we commemorated 90 years of the Cordoba reform, a movement that marked the history of the Argentinean and Latin American universities through a renewed institutional participation, the updating of programs, and with the university opening up to new sectors. However, today the university is facing a weakening of those institutional channels of democratic governance and participation (Fernández Lamarra et al. 2010).

The new rules applied since 1990 combine with the problems related to the precarious working conditions for faculty as a consequence of unplanned enrollment growth, have resulted in a system that is characterized by its low number of tenured teachers and a majority of part-time teachers.

When asked to rank their activities, a majority of faculty incline toward research. Research appears as the key for evaluating faculty in all processes to which Argentine faculty presently are submitted, whether in order to obtain subsidies, to accede to a position, or to stand out from their peers at the moment of being selected as a project evaluator, a peer reviewer, or member of a faculty committee. Faculty members who recently began their career are those who seem to show the greatest predisposition and interest to adapt to these criteria. In addition to the reasonable preference of full-time faculty for research, a significant group of part-time faculty – who hold a position which supposedly is oriented to teaching – also chooses research as the preferred academic activity.

Faculty are more closely affiliated to "discipline" than either their "institution" or their "department." This preference is in line with previous assertions, in so far as the external incentives of academic recognition foster activities linked to the respective disciplinary fields – publications, attendance at events, participation in committees, etc. – more than the institution and the department. Yet even with some of the attacks on university autonomy, academics in our country are very satisfied with their job, do not feel greatly pressured, do not foresee important changes in the short term and would recommend to young people the initiation of an academic career.

Focusing on institutional involvement, faculty considers managerial executive levels have the authority to take important decisions, despite the fact that the statutes set those issues as collegial body responsibilities. Teachers perceive themselves as having little influence on university and academic unit matters, a perception that increases when one considers the majority of part-time teachers. Only a small group of full timers show a greater level of institutional involvement. However, the indifference when one considers some key aspects of university governance and management seems to confirm this general trend.

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# Chapter 3
# Brazil: Diverse Experiences in Institutional Governance in the Public and Private Sectors

**Elizabeth Balbachevsky and Simon Schwartzman**

Brazil, like many other countries in Latin America, was taken by surprise by the new demands and changes posed by globalization. In the past, import-substitution industrialization produced a strong inner-oriented culture among Brazilian elites and society at large. In contrast, the last decade of the twentieth century saw the stability of this major framework challenged in a dramatic manner. The opening of the economy, a successful monetary stabilization program, a strong privatization program, and a new regulatory framework created a new macroeconomic environment.

This chapter aims to outline how Brazilian higher education is faring under this new scenario. The main objective of the chapter is to investigate the institutions' internal environment, that is, how power is distributed inside institutions and the main traits of its inner decision-making processes. We will use this analysis to highlight the main challenges Brazilian higher education faces in dealing with a changing environment.

Brazilian higher education is known by its diversity, in both its public sector and its much larger private sector. This chapter will highlight these differences, establishing connections between this diversity and the ways institutions build-up their internal decision-making processes. We will do this study taking into consideration how this process is perceived by the central actors in all higher education institutions – the academic staff.

The empirical materials for this analysis are the data from three national surveys on the Brazilian Academic Profession, one of them conducted in 1989 (with support of Carnegie Foundation), another in 2003 (with support of Ford Foundation), and the last one in 2007 (with support of FAPESP – State of São Paulo Science Foundation), and some in-depth interviews made in 2006, with support of the

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Fulbright Council under the Program New Century Scholars. All these surveys used representative samples of Brazilian academics teaching in institutions granting bachelor degrees. No restrictions were made regarding the kind of contract the academic holds with her/his institution. In Brazil, most academics in private institutions hold a part-time appointment, while their counterparts in the public sector usually hold a full-time appointment and tend to work in just one institution. Nevertheless, since the private sector accounts for 72% of all enrollments at the undergraduate level, it would not make sense to exclude academics with part-time contracts from our samples. Besides, for most of the academics working in the private sector, teaching in higher education represents his/her most relevant work commitment, even if they teach at more than one institution. The only major difference between the samples is the inclusion of a small stratum of academics working at federal research institutes in the 2007 sample. While the number of Federal research institutes in Brazil is small, they do play a relevant, even if minor, role both as sites for sound basic research and as settings for high quality graduate education.

The chapter is divided into five sections. The first section presents the historical evolution of Brazilian higher education. The main objective here is to trace how diversity took root in the Brazilian experience and to depict the main changes in the regulatory environment of Brazilian higher education. The second section proposes a classification for the diverse institutions present in the Brazilian higher education landscape, and provides clues about how this diversity is translated into the different ways academics organize and shape internal decision-making processes. The third section explores how power is distributed among actors within institutions. Finally, the last two sections explore how these differences matter for understanding the way these institutions are managed and the alternatives open to each kind of Brazilian institution.

## 3.1 Brazilian Higher Education: An Overview of Its Historical Background

The most relevant traits of Brazilian modern higher education date from the 1930s. The 1931 University legislation adopted the multi-college university as the desirable institutional model, where HE institutions were supposed to combine a Faculty of Philosophy, Science, and Humanities with professional colleges, most often Law, Medicine, and Engineering (for an overview of Brazilian educational policies in this period, see Schwartzman 1992). The 1931 University Law and legislation reinforced the accepted belief that the main role of higher education was to provide training and certification for the established professions. At the core of this law was the principle that in granting degrees, higher education institutions acted on behalf of the state, extending legally binding professional credentials. Thus, one of the Reform's main concerns was to assure that all students would be exposed to the same basic training and curricula.

At the federal level, this principle entailed building an elaborated system of bureaucratic controls and regulations supported by a strong bureaucracy linked to the newly

created Ministry of Education. A National Council of Education, appointed by the Minister of Education, was in charge of the supervision and control of the country's educational policies and HE institutions. For each profession, a Federal Regulatory Council was created. The most relevant regulatory bodies created in 1931 are still in place and have been enlarged by many other federal initiatives. The combined activities of all these bodies created a labyrinth of laws, decrees, and regulations[1].

### *3.1.1 The 1968 Reform*

The second major reform of Brazilian higher education took place in 1968, when the federal government, at the time under military rule, enacted a bill seeking to reorganize the higher education system following the North American model. The reform replaced the old chair system with the department model; proposed a division of the old Faculties of Philosophy and Science into specialized Institutes, giving autonomy to different fields in science; proposed full-time contracts for faculty; regulated graduate programs and substituted the conventional sequential course by the credit system[2]. With this reform the ideal of a unitary higher education system, exclusively constituted by public, tuition-free, research-oriented universities, took root in the minds of the political leadership. This idealistic goal has had a lasting impact on the beliefs that guide public decisions on higher education in Brazil.

From the beginning, the 1968 Reform faced great obstacles. First came the negative overall political climate marked by strong resistance directed against the military government[3]. A second source of resistance came from inside the higher education system. This was led by the chair holders in the more traditional schools of Law and Medicine (Klein 1992). Even so, the crucial aspects of the reform were successfully implemented in the public sector in the 1970s. Federal and state investments in public HE institutions grew and most of the funds were used for new buildings, extending full-time contracts to almost everyone, creating research facilities, and improving graduate programs. Estimates show that the Federal government's budget for universities between 1972 and 1986 grew by 540% (Schwartzman 1993; Velloso 1987; de Castro and Schwartzman 2005).

The 1968 Reform was enacted amid an explosive increase in the demand for higher education. In 1960, 95,000 students were enrolled in undergraduate courses. Ten years later, this number had risen to 425,000 and by 1975 to more than one million. This massive growth was not taken into consideration by the reform. In the public

[1]For instance, from 1996 to 2007, the federal government has enacted 2,297 laws, regulations, and decrees. Most of the norms are intended to regulate small details of day-to-day life of HE institution. http://www.prolei.inep.gov.br/pesquisar.do?anoInicial=1996&anoFinal=2007&indInicial=120&indFinal=129&Mais=false&ManterDelimitador=29&descricao=&tipoDocumento=

[2]For an overview of the 1968 Reform, see Klein (1992) and Durhan (1998).

[3]One relevant source of resistance against the 1968 reform was the fact that the first reform proposals were drafted by a high level committee with participation of specialists from the US supported by a Brazil–US cooperation treaty (MEC-USAID Cooperation Treaty).

sector, entrance examinations and *numerus clausus* was, and still are, used to limit the demand. To face this scenario, Government relaxed the constraints on the private sector. The growth of the private sector from the 1970s was achieved mostly by an increase in the number of for-profit, teaching oriented, non-university schools and colleges. Thus, it comes as no surprise that private higher education in Brazil was (and still is) regarded with contempt by most public stakeholders. From the point of view of the Ministry's bureaucratic bodies, the private sector was a deformity that defaced the elegant uniformity proposed by the Reform. From this perspective, the private sector was tolerated but placed under strong controls.

Likewise, graduate education in Brazil since the end of the 1960s grew at an explosive rate. Enrollments in graduate programs rose from almost 0 at the beginning of the 1960s to more than 40,000 at the end of the 1989s. Today there are almost 80,000 students enrolled at this level. The growth of graduate education was a result of the combined efforts from S&T public agencies and the Ministry of Education. The agencies regarded graduate education as a tool for strengthening the scientific elite which in turn was regarded as necessary for the country's economic development. The Ministry of Education had as its goal the education and training of academic staff in public institutions. Since the early 1970s, and in contrast to developments at the undergraduate level, the Government and the academic community have made a decisive effort to assure quality at this level. At that time, the Fundação Coordenação de Aperfeiçoamento de Pessoal de Nível Superior (CAPES), the Ministry of Education agency in charge of the graduate education, created a sophisticated peer review evaluation process that has successfully connected performance with support[4].

### *3.1.2 Changes in the 1990s and 2000s*

The new economic and social environment created by the opening of the Brazilian economy in the early 1990s created new pressures on the higher education system. Changes in society's perceptions about higher education took two major directions: an increasing demand for quality control, especially at the undergraduate level, and pressure to open the science system to a more demand-driven orientation.

From 1994 to 2003, the Brazilian government was led by President Fernando Henrique Cardoso. Cardoso's response to these new demands followed the general lines the literature usually acknowledges as standard reforms for higher education in the context of globalization (Enders 2001, 2004; Scott 2003; Goedegebuure et al. 1993). Once again, the government allowed the private sector to expand to match the growing pressure for access to higher education. At the same time, the government adopted new approaches designed to steer institutions from both the private

[4]For an overview of Brazilian graduate education, see Balbachevsky (2004).

and public sectors toward better performance in undergraduate education and to strengthen the interface between higher education and the productive sector.

In 1997, the Brazilian government enacted a new Education Act [Lei de Diretrizes e Bases da Educação (LDB)]. For the first time, the Act explicitly accepted the diversity inside Brazilian higher education and recognized the existence of institutions primarily devoted to undergraduate teaching. It also acknowledged a shorter "technological" degree, to be granted after completing a 2-year program focusing on mastering specific competencies[5]. The new Education Act also granted expanded autonomy to universities, while at the same time increasing pressures to raise their academic profiles. According to LDB, in order to be accredited (and, for the first time, re-accredited every 5 years) as a University, the institution should provide graduate education with a minimal performance, as evaluated by CAPES, and a career path for its academic staff. Henceforth, the Ministry expected at least one third of a university's academic staff to have a Masters or higher degree. These reforms achieved some important results. Recruiting policies in all institutions were improved as the qualification threshold was raised. All in all, these new developments tended to create a more competitive environment for the higher education system (Sampaio 2000).

The election of Luis Ignacio Lula da Silva as president, in 2003, weakened the process outlined above. His party, PT (Partido dos Trabalhadores, the Workers Party) has strong links with social movements and the unions, particularly those in the public service. Thus, Lula's higher education policy proposals have been strongly based on the demands made by public university teacher's and employee's unions. One of the most salient components of Lula's higher education policy is the outspoken aversion to initiatives that have any resemblance to privatization. From the point of view of unions in the public sector, privatization is related to three different issues which they strongly oppose: charging tuitions in public institutions, external assessment, and allowing the universities to raise and manage money independently. Since Lula's election, a myriad of decisions and regulations have forced public universities to be more dependent on public money and less accountable to external stakeholders.

The most relevant steps taken by the new government in higher education are related to the issues of social inclusion and minority access. Paradoxically, at the end of his first year, the government launched a program called "University for All," which exchanged fiscal benefits for tuition exemption for low income and minority students in the private sector. Ironically, for a government opposed to privatization, this program extended for the first time tax exemption to private institutions. Public universities were also encouraged to implement quota programs for students coming from public high schools, which generally have poor standards, and to minorities. More recently, the government launched a program that increases the amount of money available to federal universities as long as they are successful in implementing initiatives aimed at increasing undergraduate enrollment.

[5]Not surprisingly, this new modality of tertiary education is offered by private institutions and is flourishing in the area of business studies.

Regarding the private sector, Lula's policy has a permanent *leit-motif*: to push strict control and restrictions. One instrument, dating back several decades, has been to require high academic standards of teaching-oriented and tuition-dependent institutions. These standards include full time staff with doctoral degrees and some evidence of research activity inside the institution. The assumption is that teaching quality could only be assured if linked to research and a full-time, highly qualified professoriate. But the effects tend to be the opposite. These policies have had an adverse impact on the process of differentiation in the private sector. In the new policy environment, the institution that fares best is the one that maximizes its gains in scale, enlarging the number of undergraduate tuitions in order to face the extra-costs created by the new exigencies imposed by the Government. Thus, it comes as no surprise that the private sector in recent years experienced a strong movement toward concentration. As a result, many small local institutions have been taken over by larger for-profit corporations.

## 3.2 Institutional Environment: The Sources of Diversity

As noted earlier, since the implementation of the 1968 Reform, the Brazilian higher education system has been under strong pressure to diversify. By the late 1970s, its profile already showed traits of a highly diverse and sharply stratified system: a public, tuition-free network of universities at the top, protected from massification by strong, selective entrance examinations at the undergraduate level, and a large number of private low quality, tuition-paying institutions at the bottom.

Nevertheless, even among the public universities, one can find sharp differences. One distinct strata is composed of those few universities that have succeeded in establishing a strong graduate level, which we will call public research universities. The most distinctive trait of the research universities in Brazil is the concentration on graduate education. None of these institutions has less than 30% of their enrollments at the graduate level. Their academic staff have a high academic profile. More than 70% of academics in these universities have full-time contracts and more that 60% have a doctoral degree. In some of them, the proportion of doctoral degree holders reaches more than 90%. These universities are responsible for most of the high quality basic research conducted in Brazil. In 2006 only 26 universities had this profile. Even so, they perform a decisive role, both as high quality research sites and also as doctoral granting institutions. These research universities and a small number of federal research institutes owned by the Brazilian Ministry of Science and Technology account for more than 70% of all doctoral degrees granted by the country in 2007.

[6]The great majority of Brazilian public institutions are universities. There are a small number of technical colleges, but they were not included since they do not grant bachelor degrees.

The other public universities[6] are mostly oriented toward the undergraduate level. They offer good quality contracts, usually full-time with small teaching loads, but have more difficulty in attracting academics with a high academic profile. These universities have not only a smaller proportion of Ph.D. holders on staff (50% or less), but also inside each institution these academics tend to be concentrated in a small number of academic units. The Brazilian literature used to label these units as "Isles of competence" – ilhas de competência (Oliveira 1984). In these small dynamic sites, graduate education develops and research takes roots. These research-oriented sites are specially motivated by the regional relevance of their research agenda (Coutinho et al. 2003). We label these institutions public regional universities.

The private sector, on the other hand, has experienced extreme stratification in the two last decades, with the growth of a segment of prestigious, elite private institutions catering to the needs of students from the richest and better educated families. Some of these institutions are catholic and other denominational Universities, but there are also a number of lay elite institutions, particularly in the fields of economics and management. Beside them, there are a large number of institutions operating in a mass market, where the price charged for education is the most relevant differential. We label these institutions private mass oriented institutions. This sub-sector also experienced a strong consolidation movement in the last 10 years. As a result, while most private institutions are still small colleges scattered all around the country, there are a growing number of large private for-profit universities. Even so, being confined to a kind of "commodity-like" market, these universities have an academic environment almost as poor as the one found at the small private colleges, with few incentives for academic staff development.

As one would expect, academic life and routines are very distinct if one considers the different types of institutions described above. While teaching at the undergraduate level is a shared responsibility, teaching at the graduate level is a more selective activity (see Table 3.1). At research universities, undergraduate lectures

**Table 3.1** Teaching responsibilities at all levels by type of institution (2007)

| | Type of institution | | | | | |
|---|---|---|---|---|---|---|
| Teaching responsibilities | Public research institutes % | Public research universities % | Public regional universities % | Private elite institutions % | Private mass institutions % | Total % |
| Only graduate education | 53.8 | 1.6 | 0.7 | 5.5 | .2 | 3.2 |
| Doctoral, master's and undergraduate | 20.5 | 42.5 | 15.9 | 16.5 | 1.9 | 14.9 |
| Master's and undergraduate | 10.3 | 9.8 | 20.9 | 14.0 | 4.9 | 11.1 |
| Undergraduate only | 15.4 | 46.1 | 62.5 | 64.0 | 92.9 | 70.8 |
| Total (100%) | 39 | 193 | 277 | 164 | 468 | 1,141 |

Source: FAPESP/CAP project, Brazil (2007)

**Table 3.2** Personal preference between research and teaching by type of institution (2007)

| Regarding your own preferences, do your interests lie primarily in teaching or in research? | Type of institution | | | | | |
|---|---|---|---|---|---|---|
| | Public research institutes % | Public research universities % | Public regional universities % | Private elite institutions % | Private mass institutions % | Total % |
| Primarily in teaching | 0.0 | 2.6 | 6.1 | 9.9 | 12.3 | 8.4 |
| In both, but leaning toward teaching | 10.2 | 35.1 | 42.2 | 40.4 | 49.5 | 42.4 |
| In both, but leaning toward research | 46.9 | 55.2 | 45.2 | 43.9 | 34.7 | 42.4 |
| Primarily in research | 42.9 | 7.2 | 6.5 | 5.8 | 3.5 | 6.8 |
| Total (100%) | 49 | 194 | 294 | 171 | 487 | 1,195 |

Source: FAPESP/CAP project, Brazil (2007)

combine with teaching responsibilities at master and doctoral programs. At public regional universities, 62.5% of the academics have their reaching responsibilities confined at the undergraduate level. Among those that teach at the graduate level, teaching at master's degree programs is the most common experience, although 16% of these academics have also some experience teaching in doctoral programs. The profile of the academics employed at private elite institutions resembles the one just described for the public regional universities. A majority of the academics at the private elite institutions teach only at the undergraduate level (64%), while another 14% teach also at master program's and another 16% have teaching responsibilities at undergraduate, master's, and doctoral levels. Academics from the private mass-oriented institutions have their teaching responsibilities restricted to the undergraduate level. On the other hand, teaching exclusively at the graduate level is a rare experience, except for those employed as researchers at public research institutes.

While teaching at the undergraduate level tends to be a common experience, research, as a fully developed role, is less usual. In fact, although many academics in Brazil regard research as a desirable activity (see Table 3.2), and many reported having done some research in the last 2 years, very few could be considered fully professionalized in their role as researcher.

To fulfill their role as researcher, academics should be able to bring research findings to the attention of a wider audience, which, means usually to publish these findings in a prestigious journal (Fulton and Trow 1975). In Brazil, researchers should also have the skills and experience to compete for external support for their research activities, since it is not usual for public HE institutions to set aside their own resources for research. The 1997 Education Act requires some indication of research activity before a private institution can achieve university status. Since then, many private institutions have set aside funds to support academics' research.

**Table 3.3** Degree of commitment with the research activity by type of institution (2007)

| Degree of commitment with research | Type of institution | | | | | |
|---|---|---|---|---|---|---|
| | Public research institutes % | Public research universities % | Public regional universities % | Private elite institutions % | Private mass institutions % | Total % |
| Full researcher with international connections | 55.1 | 29.9 | 11.8 | 15.8 | 2.3 | 13.3 |
| Full researcher with only domestic connections | 14.3 | 24.4 | 15.5 | 9.4 | 4.9 | 11.8 |
| Doing research without support | 22.4 | 31.0 | 44.6 | 33.3 | 37.4 | 36.9 |
| Doing research without publishing | 4.1 | 8.6 | 11.1 | 13.5 | 16.4 | 12.9 |
| Not active as a researcher | 4.1 | 6.1 | 16.9 | 28.1 | 39.0 | 25.2 |
| Total (100%) | 49 | 197 | 296 | 171 | 487 | 1,200 |

Source: FAPESP/CAP project, Brazil (2007)

However, these resources, usually stay under the discretionary control of the institution's authorities, and are not accessible according to the usual academic practices of peer review.

Table 3.3 ranks the research activity among the Brazilian academics from a non-active through a fully professionalized researcher (one that performs research, publishes, and is able to secure external support) and has international connections. Within these extremes, we can identify academics performing research without external support and who do not publish their results; academics doing research and publishing but who cannot secure external support; and academics doing research, publishing, and who have access to external funds but are unable to actively connect with the international community of peers.

The role of researcher is only fully performed by the majority of academics in research institutes and research universities (see Table 3.3). In research institutes, most academics have international connections, but, in research universities, only 29.9% do so. In regional universities, only 27.3% of the academics can be classified as full researchers, most of them, however, without international ties, while 11.1% do research without publishing, and 16.9% report no research activity.

The profile for the private elite institutions in this dimension is very similar to the one for the public regional universities, and the proportion of academics not active as researchers is larger at 28.1%. At the private mass-oriented institutions, the number of fully professionalized researchers is almost non-existent, while the number of fully inactive researchers rises to 39%, while another 53.8% of these academics either do research without publishing or, if publishing, cannot secure external support for their projects.

**Table 3.4** Distribution of time (Hours per week) on different academic activities by type of institution

| | | Hours per week spent on teaching | Hours per week spent on research | Hours per week spent on services | Hours per week spent on administration | Hours per week spent on other academic activities | Hours per week spent on all academic activities |
|---|---|---|---|---|---|---|---|
| Public research institutes | Mean | 9.7 | 22.5 | .7 | 6.1 | 2.9 | 42.0 |
| | *N* | 47 | 47 | 47 | 47 | 47 | 47 |
| | Std. deviation | 7.7 | 11.1 | 1.9 | 6.8 | 3.7 | 12.8 |
| | Skewness | .7 | –.2 | 3.2 | 2.1 | 1.1 | –.7 |
| Public research universities | Mean | 16.7 | 12.6 | 2.5 | 5.4 | 3.1 | 40.5 |
| | *N* | 190 | 190 | 190 | 190 | 190 | 190 |
| | Std. deviation | 8.3 | 8.8 | 5.0 | 5.9 | 4.0 | 12.0 |
| | Skewness | 1.2 | 1.4 | 2.8 | 2.2 | 1.5 | –.0 |
| Public regional universities | Mean | 18.9 | 11.6 | 1.9 | 5.4 | 2.5 | 40.5 |
| | *N* | 290 | 290 | 290 | 290 | 290 | 290 |
| | Std. deviation | 11.3 | 9.1 | 4.8 | 7.5 | 4.8 | 14.1 |
| | Skewness | .9 | 1.1 | 3.8 | 2.3 | 3.2 | –.0 |
| Private elite institutions | Mean | 18.3 | 10.0 | 2.9 | 5.0 | 2.3 | 38.7 |
| | *N* | 166 | 166 | 166 | 166 | 166 | 166 |
| | Std. deviation | 11.6 | 9.8 | 7.9 | 8.3 | 4.9 | 16.4 |
| | Skewness | .9 | 1.5 | 3.8 | 2.3 | 3.8 | –.3 |
| Private mass institutions | Mean | 20.8 | 5.6 | 2.4 | 3.7 | 2.2 | 34.8 |
| | *N* | 479 | 479 | 479 | 479 | 479 | 479 |
| | Std. deviation | 12.2 | 6.6 | 6.3 | 7.2 | 5.2 | 17.1 |
| | Skewness | .8 | 1.5 | 3.6 | 2.6 | 3.7 | .2 |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Total | Mean | 18.9 | 9.5 | 2.3 | 4.7 | 2.4 | 38.0 |
| | *N* | 1,172 | 1,172 | 1,172 | 1,172 | 1,172 | 1,172 |
| | Std. deviation | 11.4 | 9.2 | 5.9 | 7.3 | 4.8 | 15.6 |
| | Skewness | .9 | 1.3 | 3.8 | 2.4 | 3.3 | –.0 |
| ANOVA | *F* | 13.12 | 66.05 | 1.71 | 3.85 | 1.23 | 9.04 |
| | Sig. | .0 | .0 | .1 | .0 | .2 | .0 |
| | Eta squared | .04 | .1 | .0 | .01 | .0 | .03 |

Source: FAPESP/CAP project, Brazil (2007)

The different levels of involvement in research and graduate education among academics at each type of institution are mirrored by the different patterns of distribution of working time (see Table 3.4). As expected, the most relevant differences are on the commitment of time to research-related activities[7]. The more the institution is oriented toward research, the more time is spent on research. The type of institution explains 18% of the variance found for this dimension. The differences on the distribution of time on teaching-related activities[8] are not so large, but follow a similar pattern. The more the institution is oriented toward undergraduate education, the larger is the span of time academics commit to teaching-related activities. Service, administrative duties, and other academic activities play minor roles for most academics and absorb only a small amount of time in all institutions.

Relevant differences are present in terms of the total time spent on all academic-related activities. In research institutes academics spend an average of 42.0 h per week on academic tasks, compared with 40.5 h for academics in public universities (both research and regional universities). In the private sector, the length of time committed to academic activities is shorter (38.8 h. for elite and 34.9 h for mass oriented institutions).

## 3.3 Patterns of Organization and Management of the Academic Institutions in Brazil

The developments described above have had a lasting impact on the way higher education institutions are organized and managed in Brazil. First, the departmental model, introduced in Brazil by the 1968 reform is well developed and recognized by the academic staff in the public sector. This tends to be the reference for the academics employed by the elite private institutions as well. Nevertheless, in the mass-oriented private sector, the department as the smallest relevant academic unit is not recognized. For most academics employed at these institutions, the relevant academic unit is the undergraduate program where he/she teaches. Another alternative locus of decision-making inside these institutions is the field where she/he teaches.

As explained by an academic from this sub-sector interviewed in 2006:

> If you teach a specialized subject – one that is specific to one undergraduate program like *Marketing*, for instance – you are attached to an undergraduate program and your work is supervised by the Program's head – the Program coordinator. Now, if you teach a subject that is more generic, and have responsibilities at different undergraduate programs – like Mathematics or Sociology – then you are attached to a subject area and your work is supervised by the head of subject area, the area's coordinator. (Balbachevsky 2007)

[7]This item includes reading literature, writing, conducting experiments, fieldwork.

[8]This item includes preparation of instructional materials and lesson plans, classroom instruction, advising students, reading, and evaluating student work.

**Table 3.5** Smallest academic unit inside the institution by institutional setting (2003)

| | | Type of institution | | | | |
|---|---|---|---|---|---|---|
| | | Public research universities % | Public regional universities % | Private elite institutions % | Private mass institutions % | Total % |
| Smallest academic unit | Department | 76.1 | 68.8 | 75.6 | 23.4 | 50.8 |
| | Undergraduate program | 4.3 | 18.8 | 11.0 | 34.6 | 22.3 |
| | Teaching subject | 19.7 | 12.3 | 13.4 | 42.0 | 26.9 |
| Total (100%) | | 188 | 276 | 82 | 431 | 977 |

Source: Ford Foundation/NUPES (2003) – The Brazilian academic profession

**Table 3.6** Decision space of institutional authorities and faculty in different institutional settings

| Type of institution | | Institutional authorities' decision space | Faculty's decision space |
|---|---|---|---|
| Public research universities | Mean | 5.2 | 4.2 |
| | *N* | 197 | 197 |
| | Std. deviation | 3.0 | 3.1 |
| Other public institutions | Mean | 6.0 | 3.5 |
| | *N* | 296 | 296 |
| | Std. deviation | 3.1 | 2.9 |
| Elite private institutions | Mean | 7.6 | 2.7 |
| | *N* | 171 | 171 |
| | Std. deviation | 3.0 | 2.7 |
| Mass private institutions | Mean | 9.0 | 1.2 |
| | *N* | 487 | 487 |
| | Std. deviation | 2.3 | 1.8 |
| Research institutes | Mean | 3.9 | 4.4 |
| | *N* | 49 | 49 |
| | Std. deviation | 2.8 | 2.7 |
| Total | Mean | 7.2 | 2.6 |
| | *N* | 1,200 | 1,200 |
| | Std. deviation | 3.2 | 2.8 |
| ANOVA | *F* | 104.14 | 69.45 |
| | Sig. | 0.0 | 0.0 |
| | Eta squared | 0.2 | 0.1 |

Source: FAPESP/CAP project, Brazil (2007)

This is what we also found in 2003, when we asked which was the smallest academic unit inside the institution (see Table 3.5).

While most academics in the public sector and elite private institutions tend to recognize the Department authority, at the mass private institutions two units are discernible: the undergraduate teaching program and the teaching area. This

difference is not trivial as it is strongly related to the perception of how power is distributed inside the institution. In the 2007 survey we presented a list of 11 different decision areas. The respondents were asked to identify who is the actor with most influence over each decision. Table 3.6 shows the average number of times institutional authorities (either at institutional level or at the academic unity level) were nominated the key actor and the average number of times faculty (either as individuals or as members of committees) were identified as the actor with primary influence. As one can see, there is a strong association between the academic's institutional setting and the answer to these questions.

Institutional authorities are always perceived as strong players. On average, these authorities are perceived to be the principal actor in 7 out of 11 decision areas. Nevertheless, there are great variations relating to different institutional settings. In research institutes these authorities are primary in only four decision areas. At research universities and regional universities institutional authorities are perceived to be primary in five and six decision areas, respectively. The distribution of power inside the private sector definitely favors institutional authorities. This actor is perceived as having the primary influence in 8 out of the 11 decision areas inside the elite private institutions and in 9 decision areas among academics employed at the mass private institutions.

On the other hand, when one looks at the decision space of academics, the pattern is opposite: academics have more room for autonomous decisions inside the research institutes where they are perceived as the decisive instance in 5 out of 11 decision areas and at research universities where they are perceived as the primary actor in 4 decision areas. In the regional universities and the elite private institutions, academics have less autonomy, being the central actor in only 3 out of 11 decision areas. But it is inside the mass private institutions where faculty is perceived to have the least influence. Faculty was perceived to be the key actor only in 1 out of 11 decision areas.

The pattern described above is not new in Brazilian Higher Education. The first survey on the Brazilian academic profession in 1992, already detected a much stronger degree of centralization inside the private sector, especially at the mass-oriented institutions. In 1992, when using a scale to measure the degree of centralization[9] (see Table 3.7), academics from the mass private sector tended to report a strong degree of centralization in all decision-areas explored by that survey. In second place were the academics from elite private institutions. Academics from the public sector tended to depict a much more decentralized decision-making process. Nevertheless, academics from public research universities tended to see

[9]In the 1992 survey academics were asked to measure the degree of centralization in seven decision areas, using a scale ranging from 1 to 5, where 1 means "decision entirely centralized" (decisions under sole control of institution's authorities), and 5 "decision entirely decentralized" (decisions under sole control of academics).

**Table 3.7** Degree of centralization of the decision-making process inside institutions – 1992

| Type of institution | | Selecting university's authorities | Choosing new faculty | Faculty promotion and tenure |
|---|---|---|---|---|
| Public research universities | Mean | 2.7 | 3.3 | 2.8 |
| | *N* | 242 | 236 | 237 |
| | Std. deviation | 1.3 | 1.4 | 1.4 |
| Public regional universities | Mean | 3.6 | 3.9 | 3.1 |
| | *N* | 398 | 393 | 389 |
| | Std. deviation | 1.3 | 1.3 | 1.4 |
| Private elite institutions | Mean | 3.1 | 3.7 | 3.1 |
| | *N* | 87 | 87 | 85 |
| | Std. deviation | 1.3 | 1.3 | 1.2 |
| Private mass institutions | Mean | 2.0 | 2.6 | 1.8 |
| | *N* | 200 | 206 | 182 |
| | Std. deviation | 1.4 | 1.3 | 1.1 |
| Total | Mean | 3.0 | 3.4 | 2.7 |
| | *N* | 927 | 922 | 893 |
| | Std. deviation | 1.5 | 1.4 | 1.4 |

| Type of institution | | Budget priorities | Determining teaching load | Admission standards for undergraduate students | Approving new academic programs |
|---|---|---|---|---|---|
| Public research universities | Mean | 1.6 | 3.5 | 2.2 | 1.9 |
| | *N* | 233 | 247 | 195 | 204 |
| | Std. deviation | .9 | 1.4 | 1.4 | 1.2 |
| Public regional Universities | Mean | 1.6 | 3.8 | 2.1 | 2.0 |
| | *N* | 383 | 402 | 359 | 337 |
| | Std. deviation | 1.0 | 1.2 | 1.4 | 1.2 |
| Private elite institutions | Mean | 1.7 | 3.6 | 2.1 | 2.3 |
| | *N* | 82 | 86 | 78 | 72 |
| | Std. deviation | .9 | 1.2 | 1.1 | 1.2 |
| Private mass institutions | Mean | 1.2 | 3.0 | 1.8 | 1.5 |
| | *N* | 198 | 205 | 184 | 176 |
| | Std. deviation | .6 | 1.5 | 1.2 | 1.0 |
| Total | Mean | 1.5 | 3.5 | 2.1 | 1.9 |
| | *N* | 896 | 940 | 816 | 789 |
| | Std. deviation | .9 | 1.4 | 1.3 | 1.2 |

Source: Carnegie Foundation/NUPES (1992) – The Brazilian Academic Profession
Scale: 1 "decision entirely centralized" (decisions under sole control of institution's authorities) to 5 "decision entirely decentralized" (decisions under sole control of academics)

the decision-making process inside their institution as more centralized than the academics from the regional universities.

To deepen our analysis of governance we focused on the areas where different institutional actors were perceived to be the main decision-makers. In order to

highlight the pattern of responses given by our interviewees, depending on the type of institution where he/she works, we analyzed the pattern of associations for each question using the adjusted residuals calculated for each cross-table. These statistics provides a cell by cell comparison between the expected and observed frequencies. As such, this procedure allows us to analyze the pattern of association between different alternative answers considering each decision area explored by the questionnaire[10] (see Table 3.8).

We can observe striking differences in the overall environment between the types of institutional setting. Considering first the decisions closer to daily academic life – staff, teaching, and research – public research universities have the most inner-oriented profile, showing strong associations between decisions in these areas and the collegial and discretionary authority of faculty. Research institutes display a very similar pattern, with the only exception regarding decisions about the appointment of new faculty. Here there is a significant association between this setting and choosing government as the key actor for the final decision. Inside the other public institutions, the pattern described above is mitigated by the presence of governmental authority in three decision areas: academic staff appointments; faculty promotion and tenure; and teaching load. While in this institutional setting academics tend to be aware of the governmental interest in the decisions regarding the teaching-related activities, decisions regarding research are not perceived as being under the same constraints. Here, decisions are significantly associated with faculty's interest.

The decision-making pattern in the private sector reveals a strong contrast. Institutional authorities at both the smaller academic units and at the institutional level, play a more relevant role in shaping the final decision in all aspects of the organization of the academic routine. The most important distinction between elite- and mass-oriented institutions is the more autonomous role played by the intermediary bodies of management in the former setting. In fact, among academics from elite private institutions, unit managers are significantly associated with decisions regarding selection of new faculty, teaching and research evaluation, and setting the institution's research priorities. In the case of academics from the mass-oriented private institutions, all these decision areas, except hiring new faculty are associated with the central authorities.

When we turn to the more strategic decision-making areas such as selecting key administrators, determining budget priorities, setting admission standards for undergraduate students, approving new academic programs, or establishing international linkages; one finds more awareness of the presence of external stakeholders at public institutions. For public research universities, external stakeholders, mostly

[10] The adjusted residual for each cell is defined as: $\frac{(e - o)}{\sqrt{e.(1 - \text{row proportion})(1 - \text{column proportion})}}$

Where e is the expected frequency when the variables are independent and o is the observed frequency. The values of the adjusted residuals vary from $-\alpha$ to $+\alpha$, but in the interval of $\pm 1.96$ the adjusted residual's significance is at least 0.05, which means that the probability of error in assuming an association between the values of the two variables is at least 5%.

**Table 3.8** Positive significant adjusted residuals observed between decision areas and type of institutions

| | Faculty | | Teaching | | Research | |
|---|---|---|---|---|---|---|
| | Choosing new faculty | Promotion and or tenure | Teaching load | Evaluation | Priorities | Evaluation |
| Research institutes | Government | Faculty committees | Faculty committees<br>Individual faculty | Faculty committees | Faculty as individuals | – |
| Public research universities | Faculty committees | Faculty committees | Faculty committees<br>Individual faculty | Faculty committees | Faculty as individuals | Faculty committees.<br>Faculty as individuals |
| Public regional universities | Government<br>Faculty committees | Government<br>Faculty committees | Government | Faculty committees | Faculty committees | – |
| Private elite institutions | Academic unit managers | – | – | Institutional managers | Academic unit managers | Academic unit managers |
| Private mass institutions | Academic unit managers | Institutional managers<br>Academic unit managers | Academic unit managers | Institutional managers | Institutional managers | Institutional managers<br>Academic unit managers |

| | Strategic institutional decisions | | | | |
|---|---|---|---|---|---|
| | Selecting key administrators | Budget priorities | Undergraduate admission standards | New academic programs | International linkages |
| Research institutes | Government | Institutional managers | Faculty committees | Faculty committees | Individual faculty |
| Public research universities | Government<br>Faculty committees<br>Individual faculty | Government<br>Faculty committees | Government<br>Individual faculty | Individual faculty | Faculty committees<br>Individual faculty |
| Public regional universities | Academic unit managers<br>Individual faculty students | Government<br>Faculty committees | Government<br>Faculty committees | Faculty committees | – |
| Private elite institutions | Institutional managers | – | Academic unit managers | – | Academic unit managers |
| Private mass institutions | Academic unit managers | Institutional managers | Institutional managers<br>Academic unit managers | Institutional managers | Institutional managers |

Source: FAPESP/CAP project, Brazil (2007)

the government is associated with decisions regarding selecting key administrators, budget priorities, and setting admission standards for undergraduate students. Nevertheless, collegial authority and academics as individuals are also regarded as relevant in these areas. Among academics from the other public institutions there is only one critical difference: the way the process of choosing academic authorities is perceived. Inside these institutions, this process is not significantly associated with external stakeholders. Instead, it is perceived as an inside decision, with individual students and academics playing a major role.

Decisions related to the process of setting new academic programs and establishing international linkages, on the other hand, are regarded as purely internal to the academic community in all public institutions. At research institutes, government is the sole actor associated with decisions related with appointment of key institution wide authorities. For all other decision areas, academic committees and faculty as individuals are the actors with primary influence.

We can also observe relevant differences in the pattern of associations in these institution-wide decision areas for the private sector. In this sector, the initiatives are significantly associated with the institution's managers. Once again, intermediate managers, linked to the academic unit, have more autonomy for decision-making inside elite private institutions, while at the mass-oriented private institutions; strategic decisions are associated with the central authorities.

The data presented here provide relevant clues regarding the way different institutional settings are organized and the distribution of power. Inside research-oriented public institutions, in both research universities and research institutes, academic committees are perceived as relevant actors in many decision areas and thus collegiality tends to be the most relevant form of power. What is more important, these instances are central for decisions regarding the academic's promotion. At the regional public institutions, the interests of external stakeholders are more visible but collegial power and faculty as individuals are perceived as primary influences in decisions regarding the academic's daily life and in an institution's wider strategic decision areas. One area in particular presents a very peculiar pattern of decision-making. Academics working in these institutions perceived the process of choosing institutional authorities as a product of internal deliberation with participation of students and individual faculty. This pattern of responses may reflect the importance, in these settings, of the belief that choosing university authorities should be a decision to be taken internally, without intrusion by any external actor. This decision should be the result of one-man-one-vote internal elections with participation of academics of all ranks, students, and non-academic staff. While most public research universities also adopt electoral procedures for Rectors, the pattern of responses shows that in more research-oriented environments the academics, organized in collegiate bodies, are perceived as having the main influence over this process.

In the private sector, one finds a more hierarchical pattern, with less autonomy for academic initiatives and an enlarged space for management and central authority decisions. Intermediate managers are more active in elite-oriented institutions while central authorities seem to concentrate more power in mass-oriented institutions.

This pattern is congruent with the hypothesis that elite-oriented private institutions tend to decentralize up to a certain point the decision-making process in order to offer more differentiated undergraduate programs and explore opportunities created by academic's entrepreneurship. Mass-oriented institutions, on the other hand, tend to adopt a strongly centralized decision-making process, which is compatible with their approach to the higher education market. They offer more undifferentiated undergraduate programs to a less demanding public. In this market, the institutional comparative advantage comes more from strong controls over expenses than providing a richer and competitive academic environment (Balbachevsky and Albuquerque 2007).

Finally, comparing the public and private sectors regarding decisions concerning an institution's research orientation, one finds a very clear pattern: the more oriented the institution is toward graduate education and research, the more decisions related to this area tend to be left in the hands of the faculty. Decisions in this area are perceived as strategic for private institutions, especially inside mass-oriented institutions. But here is where research is less institutionalized and tends to show poor standards of quality regarding the number of papers actually published and the level of financial support (Balbachevsky 2005).

**Table 3.9** Relevance of strategic goals for personnel decisions or for allocation of resources inside the institution – frequencies of positive answers by type of institution

| | Performance based | Evaluation based | Number of students | Number of graduates | Quality of research |
|---|---|---|---|---|---|
| Research institutes (%) | 37.2 | 34.1 | 2.5 | 5.3 | 58.1 |
| Research universities (%) | 27.7 | 26.5 | 29.3 | 14.0 | 26.8 |
| Regional universities (%) | 26.8 | 22.9 | 23.7 | 11.6 | 24.9 |
| Private elite institutions (%) | 43.8 | 40.9 | 36.9 | 10.7 | 41.1 |
| Private mass institutions (%) | 26.9 | 29.9 | 46.9 | 19.6 | 25.1 |

| | Teaching quality | Research's practical relevance | Outside experience | Faculty entrepreneurship |
|---|---|---|---|---|
| Research institutes (%) | 31.8 | 40.9 | 16.3 | 21.4 |
| Research universities (%) | 23.3 | 16.1 | 10.9 | 11.8 |
| Regional universities (%) | 24.4 | 17.9 | 19.5 | 15.4 |
| Private elite institutions (%) | 52.3 | 36.5 | 35.1 | 34.2 |
| Private mass institutions (%) | 47.1 | 37.2 | 41.9 | 21.9 |

Source: FAPESP/CAP project, Brazil (2007)
Chi-square tests for all tables significant for $\alpha < .000$

## 3.4 Strategic Decisions Inside Institutions

These differences in institutional design make some settings more active regarding strategic planning, i.e., the use of clear, performance-based criteria for institution wide resource allocation, and personnel decisions. Table 3.9 provides relevant clues to the way academics perceive the institution's orientations regarding this dimension. The question used in the 2007 survey explored to extent – from the point of view of the academics – his/her institution uses different strategic goals as criteria for personnel decisions and for allocation of resources. Table 3.9 computes the proportion of positive answers ("much" or "very much") considering each dimension explored in the questionnaire.

This table shows that strategic planning is not a recognizable issue inside the public sector. Among academics from this sector, less than 30% agreed with the idea that decisions at their institution are constrained by any of the parameters explored in the interview. For all public settings, personnel decisions are perceived as negatively associated with teaching quality, practical relevance of work, external experience, and faculty entrepreneurship. What is more surprising, quality of research is not perceived as a relevant criteria for personnel decisions even at the more research-oriented public universities. Only inside research institutes is this issue perceived as a relevant criterion for personnel decisions.

Strategic planning is much more visible in private institutions. What is more, institutional goals tend to be reflected in the criteria selected by each kind of institution. Thus, inside elite institutions, funding allocation for different academic units is associated with evaluation and performance, while personnel decisions are influenced by academics' research quality and relevance, teaching quality, and entrepreneurship. Inside mass-oriented institutions, academic units are funded based on the number of students enrolled and the number of students that graduate. While personnel decisions consider academic's teaching quality, research practical relevance, and experience outside of academia.

## 3.5 Concluding Remarks

The portrait depicted above provides some insight into the bases for diversity inside Brazilian higher education. Different institutional settings show very distinctive patterns of institutional design. In the public sector one finds arrangements more similar with the classical form described by Clark (1983). Institutions have a polycentric structure, with "many cells of specialization side by side and loosely connected at the operational level with only a small number of higher levels of coordination" (Clark 1983, p. 17). They are heavy at the bottom and the opportunities for coordination are few, which leaves little room for the imposition of decisions over the governance of basic academic units.

Nevertheless, the institutional environment is different in research-intensive and graduate-oriented public universities versus the undergraduate-oriented institutions.

In the former settings, collegiate arrangements tend to be perceived as more active in the internal decision-making process, and the arrangements exert influence in many decision areas. At the latter settings, collegiate arrangements are less prevalent. In many decision areas they are surpassed by more personal ways by which faculty as individuals express their interests, alongside other internal constituencies.

The private sector, on the other hand, shows a more business-like institutional design, with a relatively clear chain of command radiating downward from the central authorities to the academic body. As said before, at elite-oriented private institutions the intermediate management bodies tend to be more active and have more autonomy. At the mass-oriented institutions, decisions tend to rest on the hands of the institution's central authorities.

This diversity of institutional settings creates different challenges when one considers the institutional capabilities to adapt to a more unstable environment created by the changes put in place by globalization. As analyzed in another paper Balbachevsky (2000) concludes that until recently Brazilian higher education has been an environment mostly closed to external pressures. Competition from abroad is weak and the same can be said regarding the internationalization of the Brazilian academic market. Internally, higher education is strongly segmented, and until recently private education represented no real threat to the public sector. Public institutions are preserved from direct competition both by privileged access to the government's programs and initiatives and by a benevolent approach from the official bodies in charge of evaluation. In this protected environment, old-fashioned patterns of institutional design have room to survive. This is clearly the case in Brazilian public institutions. But, as environments change, new challenges confront the system. How these institutions will respond to a more unstable and less protected environment is an open question.

For the private sector, the challenges are on the opposite side: how to open the internal decision-making process in order to make it more bottom-up-oriented, so that the institution can fully utilize the talents and competences embodied by academics? This challenge is crucial if the institution wants to be prepared to face the new environment and explore the opportunities it offers. In the new scenario created by globalization, academic entrepreneurship is a decisive tool. A centralized approach prevents the institution from being aware of the entire range of alternatives for initiatives created by the changes in the environment. But in order to incorporate academic entrepreneurship, there is also the need for a more flexible decision-making process, with stronger two-way channels of communication. Currently, this is the weakest point of management in the Brazilian private higher education sector.

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# Chapter 4
# México: A Portrait of a Managed Profession

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Academics, no matter how discipline-oriented they might be, work in higher education institutions (HEIs), and this influences their work (Clark 1987). It is only natural, then, to consider the governance and management of HEIs as an important factor for understanding and improving faculty work. Following the 1992 Carnegie International Academic Profession Survey carried out in México (Gil-Antón 1996), this chapter will explore some key aspects of the governance and management in Mexican HEIs based on the findings of the *2007 Changing Academic Profession (CAP) Survey* (Galaz-Fontes et al. 2009).[1] Although faculty's perceptions do not dispassionately reflect the "reality" of an institution's practices, putting together the views expressed by each academic allows the construction of the perspective of the faculty, which for all practical matters constitutes "their" reality.

The chapter is organized in seven sections. Section 1 presents a general picture of Mexican higher education, including the main public policies driving its recent development and that of the academic profession. After Sect. 2, which briefly

[1] The data used for this report was obtained by the Network of Researchers on Academics, with the financial support of the Undersecretariat of Higher Education and the Universidad Autónoma de Baja California. Additionally, the National Association of Universities and Higher Education Institutions was critical in facilitating institutional collaboration with the project.

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describes the methodology of the 2007 Mexican CAP Survey, Section 3 presents data bearing on academic orientation, on the activities performed and on the way academics perceive their working conditions. Section 4 deals with decision-making and faculty influence within their institutions, while Section 5 touches on how academics see the way their institutions approach various management tasks. Section 6 elaborates on institutional affiliation, career appreciation, and job satisfaction. Finally Section 7 summarizes the information presented, discusses several issues in need of further study, and presents some practical considerations for the improvement of the governance and management of Mexican HEIs.

## 4.1 Mexican Higher Education

With a history going back to the mid-sixteenth century, contemporary Mexican higher education emerges during the second half of the past century. To provide a picture of it this section is divided into three parts: recent developments and current state; institutional governance and management; and, finally, the principal recent higher education public policies identifiable as the central drivers of change at the system, institutional, and faculty levels.

### *4.1.1 The Mexican Higher Education System: Recent Developments and Current State*

Mexican higher education has changed considerably since the 1960s. While in 1960 there were 78 HEIs, an enrollment of around 78,800 students at the bachelor's level, and approximately 10,800 faculty positions, of which full-time contracts were practically non-existent, in 2004 the corresponding figures were 2,047 institutions, around 2,384,900 students pursuing a bachelor's degree, and about 251,700 faculty positions, of which nearly 28% were full-time (Galaz-Fontes et al. 2007).

Although there is no agreed classification system (Grediaga-Kuri et al. 2003), HEIs are *de facto* differentiated (e.g., ANUIES 2006). Mexican HEIs are usually classified into public and private institutions and, after that, alternative classifications are used. In this study we have grouped Mexican HEIs into five types that differ on control, disciplinary focus, program level attended, and research involvement (see Table 4.1).

Mexican higher education was subject, after the early 1980s, to public policies arising from the transformation of a benevolent state into one in which public funding, particularly since around 1990, has been increasingly contingent upon institutional performance and evaluation (Mendoza-Rojas 2002). At the same time, and while public policies tried to increase enrollment, improve quality and make higher education more socially relevant (Rubio-Oca 2006b), a renewed expansion and diversification of higher education took place. The new policies allowed the federal government to regain control of public higher education

**Table 4.1** Main characteristics of Mexican higher education institutions

| Institutional type | Control | Disciplinary focus | Program level | Research involvement |
|---|---|---|---|---|
| Public research centers | Public | Specialized | Graduate, mostly doctorate | Very high |
| Public federal institutions | Public | All disciplines | Undergraduate, graduate (both master's and doctorate) | High |
| Public state institutions | Public | All disciplines | Undergraduate, graduate (mostly master's) | Moderate |
| Public technological institutions | Public | Engineering | Undergraduate, graduate (mostly master's) | Little |
| Private institutions | Private | All disciplines | Undergraduate, graduate (mostly master's) | Moderate |

(Navarro 2005) and, despite its discourse on institutional autonomy, currently micromanages public HEIs to a significant extent (López-Zárate and Casillas 2005).

### *4.1.2 Institutional Governance in Mexican Higher Education Institutions*

Associated with the above typology of Mexican HEIs, it is possible to identify three groups of institutions according to their governance patterns: (1) federal and state autonomous institutions; (2) institutions dependant on governmental offices (public federal and technological institutions) and, finally, (3) private institutions.

In the first group, autonomous HEIs are constitutionally entitled to govern themselves. Three decades ago they had financial, administrative, and academic autonomy. Nowadays, however, budget spending is closely scrutinized, and public programs impose both administrative and academic stipulations on many institutional activities. In general, collegiality is more prevalent in federal than in state autonomous institutions. In these institutions the academic decision-making structure functions regularly, although its impact on institutionally important matters is not always as it should be.

In the second group, institutions depend directly on a governmental agency, be it at the federal or at state level. In both cases, there is usually some formal collegial activity but key decisions are usually taken directly by those agencies from which authority derives. Faculty who work in public technological institutions are usually members of the same teachers' union operating in the public sector at the K-12 level, a situation that usually works against collegiality. However, public research centers are characterized by considerable academic participation.

Finally, elite private institutions usually have collegial bodies that address academic issues. However, such bodies seldom influence the direction of the institution. Non-elite private institutions or residual-demand-absorbing private HEIs, on the other hand, are usually managed like a business in which faculty are treated like poorly paid and badly treated blue-collar industrial workers (Gil-Antón 2008).

### 4.1.3 Higher Education Public Policies: Drivers of Change in the Academic Profession

In a context of less funding for public programs, increasing enrollments, performance-based public policies, and an increased expectation of relevance, the Mexican academic profession has changed in line with higher education (Brennan 2006). However, it has been largely reactive to change, rather than proactive (Metzger 1987; Gil-Antón 1997).

At the institutional level, the Integral Program for Institutional Strengthening (*Programa Integral de Fortalecimiento Institucional,* PIFI), with its emphasis on improving academic capacity (profile and research performance of the faculty) and competitiveness (accredited academic programs), was enacted in 2001 (Rubio-Oca 2006a). At the same time, PIFI also encouraged institutions to improve their administrative procedures, and use public funds in an efficient way, promoting an evaluation culture that has emphasized transparency, accountability, and fostered structural re-organization in public HEIs. Despite the impressive changes officially associated with this program, it is not clear that it has had a general positive impact on educational processes and administrative procedures (Díaz-Barriga et al. 2008; Porter 2003).

At the faculty level, the Program for the Improvement of the Professoriate (*Programa para el Mejoramiento del Profesorado, PROMEP)* (Urbano-Vidales et al. 2006) was designed in 1996 to increase the number of highly trained full-time (FT) faculty in public HEIs. Currently it is directed at increasing the number of FT faculty with a "desirable profile" (an academic with a graduate degree involved, in a "balanced manner," in teaching, tutoring, research, and academic management). To this end it has (i) promoted more demanding hiring policies and provided scholarships to in-service FT faculty for undertaking graduate work, (ii) created a recognition system by which faculty with a "desirable profile" receive financial support, and (iii) fostered academic collaboration by funding groups of academics according to their "level of consolidation." While in 1998, about 8% of all FT faculty in public state universities held a Ph.D., by 2006 such proportion had risen to 22% (SEP 2006). There is a concern, however, about the quality of the graduate programs in which current professors obtain higher degrees, the institutional conditions under which they work, and finally, the impact these efforts have had on the quality of teaching and research (Gil Antón 2000). On the other hand, despite the financial convenience of being part of a "consolidated academic body," many faculty members perceive the corresponding policy to be an imposition, feeling forced to simulate the existence of an academic body in order to qualify for receiving funds.

Finally, since the early 1990s, federal policies have created faculty salary supplements based on research productivity and teaching quality (Kent-Serna 1993). A major concern with this strategy, however, is that income from merit pay systems, including membership in the National Researchers System (*Sistema Nacional de Investigadores, SNI*), might represent as much as 60% of the total income of a FT Ph.D. academic member of such a small "elite" (Gil-Antón 2002). Other debated

issues include the general perception that these systems favor research over teaching, have serious technical problems, and have tended to promote simulation (Cordero-Arroyo et al. 2003).

## 4.2 Methodology of the 2007 Mexican CAP Survey

Members of the Network of Researchers on Academics (Red de Investigadores sobre Académicos, RDISA) translated, adapted, and piloted the international questionnaire used. The network also contributed to the definition of the criteria under which faculty were sampled. On the basis of the 2005 911 Formats,[2] 2,029 HEIs, and 93,009 full- and half-time (FT/HT) academics were identified. As stipulated by the CAP Project, teacher education, 2-year institutions, and institutions with less than 20 FT/HT faculty were excluded. In this manner, 379 HEIs and 79,389 FT/HT faculty members constituted the institutional and faculty universe for the study (see Table 4.2). Private institutions included in the study consisted mainly of elite private institutions (Muñoz-Izquierdo et al. 2004).

In proportion to the number of faculty working within each type of institution, a sample of 101 HEIs was drawn in the first stage of a two-stage sampling design (Abraham et al. 2002). With support from the National Association of Universities and Higher Education Institutions (*Asociación Nacional de Universidades e Instituciones de Educación Superior, ANUIES*), faculty lists were obtained from each sampled institution and a final faculty sample of 2,826 academics was generated (see Annex on CAP Survey Methodology). These academics were then asked, by Network members or trained interviewers, to answer a printed or electronic version of the study questionnaire. The questionnaire was administered from October 2007 to May 2008. While 2,114 questionnaires were recovered, 1,973 (93.3%) were

**Table 4.2** Institutional and faculty universe for the Mexican CAP survey, 2007

| | 4-years and graduate HEIs with at least 20 FT/HT faculty | | | |
|---|---|---|---|---|
| | Institutions | | Faculty | |
| Type of institution | *N* | % | *N* | % |
| Public research centers | 34 | 8.9 | 4,229 | 5.3 |
| Public federal institutions | 14 | 3.7 | 19,102 | 24.1 |
| Public state institutions | 53 | 14.0 | 31,062 | 39.1 |
| Public technological institutions | 136 | 35.9 | 12,666 | 16.0 |
| Private institutions | 142 | 37.5 | 12,330 | 15.5 |
| Total | 379 | 99.9 | 79,389 | 100 |

[2] The 911 Formats are a set of mandatory annually collected questionnaires jointly managed by the Secretariat of Public Education and the National Association of Universities and Higher Education Institutions.

**Table 4.3** Institutional and faculty designed and obtained samples for the Mexican CAP survey, 2007

| | Designed sample of 4-years and graduate HEI with at least 20 FT/HT faculty | | | | Obtained sample of 4-years and graduate HEI with at least 20 FT/HT faculty | | | |
|---|---|---|---|---|---|---|---|---|
| | Institutions | | Faculty | | Institutions | | Faculty | |
| Type of institution | *N* | % | *N* | % | *N* | % | *N* | % |
| Public research centers | 6 | 5.9 | 143 | 5.1 | 5 | 6.2 | 133 | 6.7 |
| Public federal institutions | 14 | 13.9 | 710 | 25.1 | 9 | 11.1 | 384 | 19.5 |
| Public state institutions | 45 | 44.6 | 1,101 | 39 | 40 | 49.4 | 965 | 48.9 |
| Public technological institutions | 18 | 17.8 | 432 | 15.3 | 15 | 18.5 | 257 | 13.0 |
| Private institutions | 18 | 17.8 | 439 | 15.5 | 12 | 14.8 | 234 | 11.9 |
| Total | 101 | 100 | 2,826 | 100 | 81 | 100 | 1,973 | 100 |

usable, for an effective response rate of 69.8% (see Table 4.3). Cases were weighted to guarantee that the distribution of academics by type of institution in the sample was equivalent to that in the universe.

## 4.3 Academic Work and Working Conditions

In this section, data are presented on Mexican faculty's academic orientation, the time invested in different activities, and their perception of their working conditions.

### *4.3.1 Academic Orientation*

Teaching and research are central activities in academic work. Braxton (1996) has highlighted the tension between these activities, but other authors, inspired by the Boyer Report (1990), have proposed a more inclusive definition of academic work (Paulsen 2001). Teaching/research orientation or academic preference is related to the way academics conceive their work, as well as to the type of institution where they engage in it.

In general, CAP survey results indicated that 55.5% of Mexican FT academics prefer teaching (primarily or both, but leaning toward teaching) over research. Globally, academic preferences have not changed much during the last 15 years, as the percentage of FT faculty in the 1992 Carnegie Survey that preferred teaching was 59.1%. On the other hand, while 44.5% of the 2007 surveyed faculty reported a combined preference for research, exclusive research preference was only 6.9%,

something to be concerned about at a time in which the economy relies so heavily on knowledge production and application.

While gender differences were generally low, academic orientation was clearly differentiated by type of institution. Almost all academics in public research centers preferred research over teaching (96.5%), followed by faculty in public federal institutions (54.1%). Academics in the other three types of institutions were more teaching-oriented: 76.6% of those in public technological institutions, 69.8% in private institutions, and 56.5% in public state institutions. The highest degree earned by the respondent also made a difference, as the lower the highest degree reported, the higher the percentage of faculty that preferred teaching over research. So, 81.4% of faculty whose highest degree was a bachelor's degree preferred teaching, while only 20.8% of those holding a doctorate preferred it.

### *4.3.2 Time Spent on Professional Activities*

According to the survey, teaching is the central activity of Mexican FT faculty, as they reported, out of a median number of hours worked per week of 43.0, a median of 20.0 h per week in classroom teaching and other activities related to it. Teaching was followed by research and administration (including collegial life), as half of the faculty surveyed reported devoting at least 8.0 and 5.0 h per week, respectively, to these activities.

The 2007 Mexican CAP results, when compared to the 1992 Carnegie results, indicated that FT faculty have increased their involvement in teaching (medians of 20 vs. 16 h per week). At the same time, there was a decrease in the time devoted to research, as the median hours spent on research decreased from 10 to 8 hours per week from 1992 to 2007. Finally, while in 1992 half the faculty spent at least 3 h per week on activities related to service, in 2007 only 18.0% reported such involvement in these activities. This is particularly troublesome given the greater expectation of relevance for academic work.

Academic orientation and hours spent on teaching and research followed the same pattern of variation in relation to type of institution. Research-oriented faculty were located at the institutions where the median hours spent on research were higher, particularly in public research centers, whose faculty reported a considerably higher median (20.4 h) than faculty in public federal and state institutions (12.0 and 8.0 h). At the same time, teaching oriented professors were located at institutions (public technological and private) where the median hours on teaching were higher (29.0 and 24.0 h). Regarding time on administrative and collegial tasks, faculty in private institutions reported spending the largest amount of time in those activities (median of 7.0 h per week).

There was also a strong relationship between highest degree and the median number of hours invested on teaching and research. Faculty holding a doctorate or postdoctoral degree reported lower median hours involved in teaching (16 and 13 h per week) and a higher median devoted to research (15 and 20 h per week),

than those holding, at the most, a master's or a bachelor's degree (24 and 25 h per week teaching, and 5 and 2 h per week on research). Although type of institution and highest degree each have a unique contribution to the variation in both academic orientation and use of time, no doubt there is also a joint impact of these variables, as highest degree varies considerably by type of institution.

### *4.3.3 Working Conditions*

Working conditions constitute an important factor influencing the way academics see the governance and management of their institutions. They are organized into three groups: those general to academic work, those more closely related to teaching and research, and, finally, other relevant conditions.

In the first place, middling proportions of academics rated computer equipment, library services, faculty offices, and telecommunications as good/excellent (48.0%, 48.5%, 44.5%, and 48.5%). Secretarial support, on the other hand, was considered good or excellent by a lower proportion of the surveyed faculty (34.9%). When considering type of institution, more than 50% of the faculty in public research centers and private institutions reported that the previous conditions were good/excellent. For public research centers this situation reflects the state support for engaging intensively in research, while for private institutions this might be related to the imperative that they have to have a good infrastructure in order to attract students. The lowest percentages regarding all the working conditions mentioned were found amongst faculty working in public technological institutions.

In relation to working conditions more directly related to teaching, faculty perspectives were similar and middling in relation to classrooms and teaching technology (48.0% and 43.2% reported them to be good/excellent), but low with respect to laboratories, personnel support for teaching and funding for teaching (37.3%, 24.4% and 18.6%). Faculty in private institutions and public research centers were, again, more positive than academics in other institutions, with their opinion being similar on the working conditions considered. Once more, faculty in public technological institutions gave the lowest ratings on almost all of the issues considered.

The opinion of Mexican faculty was, overall, consistently low in relation to research equipment and tools, personnel support, and research funds (32.8%, 19.0%, and 15.3% of all faculty reported such aspects to be good/excellent). As expected, faculty in public research centers reported a more favorable, though not always high, opinion in the mentioned aspects (64.4%, 42.7%, and 29.9% reported them to be good/excellent). Faculty in private institutions, although less positive about their research infrastructure, reported an opinion second only to those in public research centers. Again, faculty in public technological institutions reported a lower quality in all aspects considered.

Regarding the way in which faculty perceive support for actions stimulating links between the institution and society, and academic mobility – both national and international, ratings were generally low, with only 18.3%, 20.9%, and 19.7% of all faculty reporting that such support was good/excellent. Considering the type of institution,

faculty in private institutions reported a good/excellent support for societal links more highly (35.9%), while faculty in public research centers saw more support for academic mobility, both national and international (40.8% and 42.0%). Once again, faculty in public technological institutions gave the lowest rating to these issues.

All in all, then, Mexican faculty reported moderate to less than appropriate working conditions, which vary significantly according to academic function and type of institution. While teaching infrastructure was viewed as appropriate, particularly in private institutions, support aspects were regarded less enthusiastically. Research conditions, on the other hand, were seen as poor by the faculty as a whole, although faculty in public research centers and, to some extent, those in private institutions, reported a more positive perspective. It is clear, however, that faculty in public technological institutions perceive their working conditions less positively. Federal and state public institutions were somewhere in between these two extremes.

Notwithstanding these findings, working conditions in general were seen as having improved or very much improved since the beginning of their academic careers by a regular percentage of all surveyed faculty (44.7%). While there were no differences when the data were disaggregated by gender, type of institution did make a difference. So, while 51.8% and 49.9% of faculty in public state and private institutions saw working conditions as having improved, only 26.6% of academics in public research centers reported this. Positioned between these, 36.6% and 38.1% of the faculty in public federal and public technological institutions reported an improvement. Finally, there were some differences according to respondents' highest degree. While 43.7% and 49.9% of faculty with a bachelor's and master's highest degree reported that working conditions in HEIs have improved since the beginning of their academic career, 37.9% and 33.0% of the faculty with doctorate and postdoctoral highest degrees reported the same. Thus, things appear to have evened-up somehow for faculty in public state and private institutions and, at the same time, for faculty not having a doctorate. Of course, these perceptions may have been influenced by different expectations.

## 4.4 Decision-Making and Faculty Influence

In the next three sub-sections we present how Mexican academics perceive several aspects of institutional decision-making, their opinions on the role of various actors in the selection of key institutional administrators and, finally, their views on their level of influence on institutional academic policy formulation.

### *4.4.1 Decision-Making in Academic Appointments and Promotion*

As Table 4.4 shows, Mexican faculty in general *do not* perceive strongly that the appointment and promotion of academics is related to the traditional criteria of research and teaching quality, as only 36.0% and 34.2% of them agreed/strongly

**Table 4.4** Percentages of faculty that agreed/strongly agreed with statements that various criteria are used in academic appointment, promotion and recruitment ($N_T = 1{,}973$)

| | Institution emphasis when making personnel decisions: | | | |
|---|---|---|---|---|
| | Teaching quality | Research quality | Practical relevance, applicability of work | Work experience outside of academia (recruitment) |
| All faculty | 34.2 | 36.0 | 28.2 | 24.7 |
| Gender | | | | |
| Male | 33.6 | 34.2 | 27.8 | 23.6 |
| Female | 35.3 | 39.4 | 28.9 | 26.6 |
| Type of institution | | | | |
| Public research centers | 29.4 | 59.6 | 22.1 | 18.7 |
| Public federal institutions | 33.3 | 45.7 | 27.1 | 15.8 |
| Public state institutions | 32.0 | 31.8 | 27.7 | 25.0 |
| Public technological institutions | 27.3 | 23.1 | 20.9 | 18.4 |
| Private institutions | 52.1 | 36.4 | 42.5 | 45.7 |

agreed that their institution emphasized research and teaching quality when making personnel decisions. Additionally, practical relevance of the work previously undertaken by a colleague, or her external work experience, were also not seen as being emphasized when making personnel decisions or in recruiting new faculty (28.2% and 24.7% agreed/strongly agreed with the respective items). What, then, are the criteria Mexican faculty see as being emphasized by their institutions in making personnel decisions?

Despite this general picture, faculty's perception of the criteria used for personnel decisions varied across type of institution. More specifically, a larger percentage of faculty in private institutions, particularly than those in public technological institutions, reported that teaching quality was important in making personnel decisions (52.1% vs. 27.3%). Also, faculty in public research centers were more convinced that research quality was taken into account, especially when compared to those in public technological institutions (59.6% vs. 23.1%). Lastly, faculty in private institutions reported a stronger perception that practical issues and outside work experience were considered in making personnel decisions and recruitment (42.5% and 45.7%), especially when compared to those in public technological institutions (20.9% and 18.4%) (see Table 4.4).

Although respondents' discipline of highest degree did not make a great difference on the issues included in Table 4.4, research quality was signaled by a higher percentage of faculty in the physical and medical sciences, particularly when compared to faculty in business, social, and biological sciences (43.5% and 41.3% vs. 31.0%, 32.8%, and 32.8%). At the same time, larger percentages of law faculty reported that practical relevance was a criterion used in personnel decision, particularly when contrasted with life sciences' faculty (38.7% vs. 20.2%).

**Table 4.5** Percentages of faculty stating that a particular actor has the highest influence on various academic decisions ($N_T = 1{,}973$)

| Decision | *n* | Government, external stakeholders | Institutional governing boards | Institucional and academic unit managers | Individual faculty, committees | Students |
|---|---|---|---|---|---|---|
| Selection of new academics | 1,858 | 1.0 | 9.8 | 51.6 | 37.1 | 0.5 |
| Promotion and tenure decisions | 1,849 | 1.1 | 14.6 | 46.6 | 37.7 | 0.1 |
| Approval of new academic programs | 1,855 | 3.4 | 27.3 | 28.4 | 40.8 | 0.1 |
| Teaching evaluation | 1,838 | 1.4 | 9.4 | 33.7 | 28.4 | 27.1 |
| Specification of research lines | 1,825 | 3.3 | 12.0 | 31.8 | 52.6 | 0.3 |
| Research evaluation | 1,799 | 4.0 | 13.2 | 35.4 | 47.3 | 0.2 |

Table 4.5 presents data on faculty´s opinion regarding which of several actors have the highest influence on several academic decisions[3]. Academics' influence on the selection of new academics, the promotion and tenure processes, and teaching evaluation, is perceived to be smaller than the influence of institutional and academic unit managers. So, while 37.1% of respondents affirmed that academics exerted the highest influence in the selection of new faculty, 51.6% reported that the highest influence was exerted by institutional and academic unit managers. Similarly, while 37.7% of respondents reported that academics exerted the highest influence in promotion and tenure decisions, 46.6% reported that the highest influence was that of institutional and academic unit managers.

In relation to the approval of new academic programs, specification of research lines and research evaluation, faculty respondents reported that academics had a higher influence on these decisions than institutional and academic unit managers (40.8% vs. 28.4%, 52.6% vs. 31.8%, and 47.3% vs. 35.4%, respectively). However, non-negligible percentages of respondents answered that the most influential actors in these issues were institutional governing boards (27.3%, 12.0% and 13.2%, respectively) (see Table 4.5).

When disaggregating some of the previous data by type of institution, faculty working at public research centers and public federal institutions reported the highest percentages of respondents who identified academics as most influential in selecting new faculty (59.6% and 53.3%), promotion, and tenure decisions (61.2% and 60.5%),

[3] Due to the internal structure of Mexican HEIs, the "actors" involved in the analysis do not correspond exactly to those in the CAP questionnaire. The "institutional governing boards" category was added. On the other hand, academics' influence, both individually and by way of committees, has been aggregated.

and the approval of new academic programs (68.2% and 46.2%). In public state, public technological, and private institutions, faculty reported academics to be considerably less influential in all three decisions. Fewest faculty at private institutions reported that academics had the highest influence in these academic decisions.

On the other hand, while faculty in private institutions reported the highest percentage of respondents stating that institutional and academic unit managers have the primary influence on the specification of research lines (54.5%), faculty in the other institutional types reported academics as the most influential actor in this regard (58.5% on average, and 66.1% in public research centers), while only 26.8%, on average, reported that institutional and academic unit managers were the most influential actors in making such decisions. The same pattern occurred in relation to the evaluation of research: 52.5% of respondents working in private institutions stated that institutional and academic unit managers were the most influential actors in this regard, while in the other types of institutions an average of 30.2% affirmed this and, on average, 50.7% of respondents in non-private institutions expressed that such influence was exerted by academics (56.6% in public research centers), while 33.9% of faculty in private institutions expressed this same opinion. These results speak of an institutional diversity in the way in which several academic decisions are made in institutions that vary according to the type of control and, as well, to the degree of institutional focus on research activities.

Although students are the most directly involved in teaching, they were perceived by faculty as only the third most influential actor in evaluating teaching (27.1%), while institutional and academic unit managers and academics were reported to be more and equally influential (33.7% and 28.4%) (see Table 4.5).

Regarding other decisions usually considered more administrative, academics, as compared to institutional and academic unit managers, were identified by smaller proportions of respondents as the most influential actors. This is the case for determining budget priorities (6.6% vs. 54.3%), teaching loads (25.9% vs. 63.9%), admissions' criteria (24.6% vs. 46.1%), and the establishment of international linkages (14.3% vs. 44.2%). Although some of these decisions are somehow less academic-related than those discussed previously, HEIs could promote, and benefit from, participatory mechanisms.

### *4.4.2 Selection of Institutional Key Administrators, Faculty Influence on Institutional Policies*

As shown in Table 4.6, larger percentages of respondents stated that institutional governing boards are the most influential actors in selecting key administrators (34.0%). However, it is interesting that in autonomous public universities[4] – where in 92% of the cases the selection for the highest position (the president) is formally carried out by

[4] The large majority of public federal and state institutions are autonomous. While these institutions attend about 43.2% of student enrollment, 63.2% of respondents to the 2007 CAP Survey worked in them.

**Table 4.6** Percentages of faculty stating that a particular actor has the highest influence in selecting key administrators, global and by type of institution ($N_T = 1{,}973$)

| Type of institution | Government, external stakeholders | Institutional governing boards | Institucional and academic unit managers | Faculty committees, individually | Students |
|---|---|---|---|---|---|
| All faculty | 23.8 | 34.0 | 30.6 | 10.2 | 1.4 |
| Type of institution | | | | | |
| Public research centers | 51.4 | 22.9 | 13.8 | 11.9 | 0.0 |
| Public federal institutions | 18.9 | 40.8 | 28.5 | 11.8 | 0.0 |
| Public state institutions | 23.4 | 33.7 | 28.8 | 10.8 | 3.2 |
| Public technological institutions | 31.9 | 28.2 | 33.6 | 6.3 | 0.0 |
| Private institutions | 12.5 | 35.6 | 41.5 | 10.0 | 0.3 |

institutional governing boards or university councils (López-Zárate 2003) – high proportions of faculty reported influence by external stakeholders and by institutional and academic unit managers. Specifically, while in public federal and public state institutions, 40.8% and 33.7% of their respondents stated that institutional governing boards are the most influential actors in the appointment of key administrators, 18.9% and 23.4% of those same faculty asserted that the most influential actors were external to the institution. Such a state of affairs speaks, from the perspective of the faculty, of the lack of an absolute credibility of institutional governing boards in making such decisions, and therefore of their autonomy (see Table 4.6).

Analyzed by type of HEIs, Table 4.7 shows the perceptions of faculty surveyed of whether they have a personal influence in helping to determine academic policies at the level of their department, area, or similar unit; their school, faculty, institute, or similar unit; and their institution as a whole. Considering the proportions of faculty stating they had some or a lot of influence at each of the above organizational levels (66.0%, 47.0%, and 25.6%), Mexican faculty members reported a greater influence in the formulation of academic polices the closer they are to their basic unit of appointment. If we compare the results of the 2007 CAP and the 1992 Carnegie surveys, the same pattern of influence is observed in both. In the 1992 Carnegie Survey, the proportions of faculty asserting some or a lot of influence in formulating academic policies were 52.6%, 33.6%, and 17.9%, respectively at the department, school, and institutional level. In 2007, faculty in public federal institutions perceived the lowest influence in determining academic policies at the institutional level (20.5%), followed by public state and private institutions (25.6% and 25.8%). At the level of school or similar unit, the lower levels of influence were reported by academics in public technological and public federal institutions (37.0% and 38.8%).

In the case of public federal institutions, these results could be associated with the complexity and size of the institutions involved, which can create a large perceived distance between academics and institutional decision-making. In the case of public technological institutions, this might be due to their status as a large centralized subsystem of the Undersecretariat of Higher Education. In these two cases, size and

**Table 4.7** Reported influence over key academic policies by academics at different levels of institution, by type of institution (percentages) ($N_T = 1{,}973$)

| Type of institution and level of influence | None/little influence | Some/a lot of influence |
|---|---|---|
| All institutions | | |
| Department, area or similar unit | 34.0 | 66.0 |
| School, faculty, institute, or similar unit | 53.0 | 47.0 |
| Institution | 74.4 | 25.6 |
| Public research centers | | |
| Department, area, or similar unit | 30.8 | 69.2 |
| School, faculty, institute, or similar unit | 48.8 | 51.2 |
| Institution | 68.0 | 32.0 |
| Public federal institutions | | |
| Department, area, or similar unit | 35.6 | 64.4 |
| School, faculty, institute, or similar unit | 61.3 | 38.8 |
| Institution | 79.6 | 20.5 |
| Public state institutions | | |
| Department, area, or similar unit | 34.8 | 65.2 |
| School, faculty, institute, or similar unit | 47.4 | 52.6 |
| Institution | 74.5 | 25.6 |
| Public technological institutions | | |
| Department, area, or similar unit | 33.9 | 66.1 |
| School, faculty, institute, or similar unit | 63.0 | 37.0 |
| Institution | 69.1 | 30.8 |
| Private institutions | | |
| Department, area, or similar unit | 30.6 | 69.4 |
| School, faculty, institute, or similar unit | 46.7 | 53.3 |
| Institution | 74.3 | 25.8 |

complexity can be a limiting factor for academic participation in formulating policies, while, in the case of private institutions, their business orientation could be an important factor in determining the limited influence at the institutional level reported by academics.

Overall, the picture of Mexican faculty that emerges from the 2007 CAP Survey is one of an academic community with little power in key aspects of its professional activity. So, the above results speak of a "managed profession" (Rhoades 1998), more than of a profession able to self-regulate itself in fundamental aspects, such as the capacity to influence the academic career according to merit, and the content of teaching and research, which constitute its core activities.

## 4.5 Institutions' Management Approach and Practices

In this section, data are presented on the way surveyed faculty perceive their institutions are managed. The opinions of Mexican faculty regarding some management and administrative aspects of their institutions are shown in Table 4.8, disaggregated by type of HEI.

**Table 4.8** Percentages of academics that agreed/strongly agreed with statements related to institutional management ($N_T = 1{,}973$)

| | At my institution there is: | | | | |
|---|---|---|---|---|---|
| Type of institution | … A strong emphasis on the institution's mission | … Good communication between management and academics | … A top-down management style | … Collegiality in decision-making processes | … A cumbersome administrative process |
| All faculty | 61.6 | 38.7 | 54.6 | 41.0 | 45.4 |
| Type of institution | | | | | |
| Public research centers | 66.0 | 35.1 | 59.6 | 50.9 | 43.5 |
| Public federal institutions | 53.8 | 32.8 | 47.3 | 47.1 | 49.3 |
| Public state institutions | 60.7 | 42.1 | 54.8 | 41.7 | 41.8 |
| Public technological institutions | 46.4 | 25.1 | 54.0 | 26.7 | 49.7 |
| Private institutions | 88.6 | 53.2 | 62.6 | 41.3 | 45.5 |

Globally, 61.6% of the surveyed faculty agreed/strongly agreed that there existed a strong emphasis on their institution's mission. However, there seems to be a stronger sense of this in private institutions (88.6%). About 54.6% of surveyed academics considered there was a top-down management style in their institution. This perception was also somewhat larger in private institutions (62.6%), but smaller in federal public institutions (47.3%). On the other hand, 41.0% of the surveyed faculty thought there was collegiality in the decision-making processes, a relatively low percentage for such an important aspect of academia. Faculty working in public research centers and in public federal institutions were more likely to report collegiality (50.9% and 47.1%), probably reflecting the fact that these institutions had the highest proportion of their academic personnel with advanced training and more focused on research[5].

On the other hand, 38.7% of Mexican academics agreed/strongly agreed with the statement that there exists good communication between management and faculty. By type of institution, the perception of faculty in private institutions stands out on this issue (53.2%), while in the other institutional types a less positive view emerged. Related to the quality of management–faculty communication, 45.4% of all respondents agreed/strongly agreed with the assertion that there are cumbersome administrative processes in their institution (see Table 4.8).

[5] Public research centers and public federal institutions had 89.4% and 27.5%, respectively, of its full-time personnel in the National Researchers System, while the national average was around 20%.

**Table 4.9** Percentages of academics that agreed/strongly agreed with several management statements ($N_T = 1{,}973$)

| | At my institution there is: | | | | |
|---|---|---|---|---|---|
| Type of institution | … A strong performance orientation | … A supportive attitude of administrative staff toward teaching activities | … A supportive attitude of administrative staff toward research activities | …professional development for administrative, management duties for individual faculty. | A strong emphasis on the quality of process more than on indicators |
| All faculty | 45.8 | 40.4 | 34.4 | 31.4 | 32.5 |
| Type of institution | | | | | |
| Public research centers | 54.5 | 38.2 | 47.7 | 25.6 | 23.0 |
| Public federal institutions | 44.8 | 35.4 | 32.0 | 23.7 | 27.8 |
| Public state institutions | 45.5 | 42.7 | 36.0 | 33.8 | 33.1 |
| Public technological institutions | 34.3 | 26.6 | 22.3 | 26.7 | 30.2 |
| Private institutions | 56.3 | 56.2 | 40.8 | 43.4 | 43.8 |

Table 4.9 presents, by type of institution, the way academics reported support by administrative personnel, as well as their opinion in relation to other management issues in their institutions. At a global level, 40.4% of academics perceived a supportive attitude of administrative staff toward their teaching activities, but this attitude was more positive in private institutions (56.2%), something that can be seen as natural considering the dependence of such institutions on student enrollment to survive.

Complementing the above findings, 34.4% of the surveyed faculty considered that administrative staff had a supportive attitude toward their research activities. This opinion, although still low, stands out in public research centers (47.7%), something consistent with the mission of these institutions, which is fundamentally oriented to research and graduate teaching. Also important to the quality of how a HEI is managed is how it prepares its personnel to participate in managerial functions. In this respect, only 31.4% of respondents considered there was professional development for administrative/management duties for individual faculty in their institutions. On this issue, again, private institutions stood out, with 43.4% of its professors reporting such provision existed.

In relation to management models, 45.8% of academics agreed/strongly agreed with the assertion that a strong performance orientation exists in their institution. However, only 32.5% agreed/strongly agreed with the statement “there

exists (at my institution) a strong emphasis on the quality of the processes more than in the indicators."[6] The same pattern is observed in all types of HEI. These data suggest that academic communities perceive greater institutional effort in the attainment of performance indicators than in the quality of the activities that lead to such achievements. It would appear, then that institutions are more involved in constructing an image to reflect appropriately current public policy expectations, rather than paying attention to the underlying processes (see Table 4.9).

Other management aspects, some of which can be compared to the 1992 Carnegie Survey, are presented by type of institution in Table 4.10. On how faculty perceive the leadership of the top-level administrators in their HEIs, 41.3% of faculty in all institutions think that such officials exercise competent leadership, while in 1992 the corresponding figure was 30.4%. Since 1992 both the internal and external environments to which HEIs must respond have become more complex. At the same time, working conditions are reported as having improved by a considerable percentage of the surveyed faculty (44.7%) and, on the other hand, there has been an important income recovery for FT faculty since that time. These factors could explain, at least to some degree, the reported improvement in the view that faculty hold of the competency level of top-level administrators.

**Table 4.10** Percentages of academics that agreed/strongly agreed with statements related to governance and management aspects, by type of institution ($N_T = 1{,}973$)

| Type of institution | Top-level administrators are providing competent leadership | I am kept informed about what is going on at this institution | Lack of faculty involvement is a real problem | Students should have a stronger voice in determining policy that affects them | The administration supports academic freedom | Management and administrative certified processes are of high quality |
|---|---|---|---|---|---|---|
| All faculty | 41.3 | 34.9 | 46.4 | 37.4 | 76.0 | 48.5 |
| Type of institution | | | | | | |
| Public research centers | 41.7 | 39.6 | 44.7 | 27.9 | 79.4 | 46.5 |
| Public federal institutions | 39.1 | 33.6 | 49.0 | 40.0 | 74.7 | 35.0 |
| Public state institutions | 42.5 | 34.2 | 46.3 | 41.2 | 77.4 | 52.3 |
| Public technological institutions | 28.8 | 22.0 | 51.3 | 39.9 | 71.4 | 42.3 |
| Private institutions | 54.3 | 50.0 | 38.0 | 24.0 | 77.4 | 63.8 |

[6] This item was included in the Mexican questionnaire considering its potential relevance as a general appreciation of the way faculty perceives the impact of current public policies.

While 54.3% of the faculty in private institutions considered that their top-level administrators provided competent leadership, in public technological institutions only 28.8% of its academics agreed with this. The extent to which faculty perceive, they are kept informed about what is going on in their institution has not changed. In 1992, 35.0% of all faculty reported they were informed and, in 2007, 34.9% thought the same. Also, while in private institutions, 50.0% of academics thought they were being informed of what was going on at their institution, fewer faculty working in other types of institution perceived this to be the case. On the involvement of academics in institutional matters, there is an interesting change in that, in 1992, 69.2% of all faculty considered the lack of faculty involvement was a real problem, while in 2007, 46.4% stated the same. Looking at the type of institution, 51.3% of the faculty in public technological institutions considered the lack of involvement of faculty to be a problem, while in private institutions 38.0% perceived the same. On whether the administration supports academic freedom, the proportion of Mexican faculty agreeing has increased substantially from 1992 (45.5% agreed/strongly agreed), while in 2007, 76.0% thought the same. By type of institution, there are relatively small differences in 2007 (see Table 4.10). Given other findings reported above (faculty influence on promotion and tenure decisions, for example), it would indeed be interesting to explore the ways in which "academic freedom" is interpreted by the survey respondents.

As part of federal policies for the improvement of quality and accountability in HEIs (Rubio-Oca 2006b), Mexican institutions have subjected their administrative processes to certification by international standards (ISO 9000, etc.). Interestingly, only 48.5% of Mexican faculty perceived that administrative processes certified in their institutions were of quality.[7] In private institutions 63.8% of the faculty recognized that the certified administrative processes in their institution were of quality; while in public federal institutions only 35.0% of respondents perceived this to be the case. Doubtless, this is an important difference in the perception of the impact that these certification practices have in the actual processes that take place in HEIs (see Table 4.10), and it would be important to study it further.

As has been described, management–faculty communication has not improved when data from the 1992 Carnegie and the 2007 CAP surveys are compared. However, faculty non-involvement in institutional matters is perceived to be less of a problem than in 1992 and, at the same time, support for academic freedom coming from management is reported to have increased substantially. These perceptions, coupled with the fact that relatively few faculty believe they have some influence on the important decisions made by their institutions, appear to strengthen a tendency to consider participation as less and less relevant, especially in an environment of constant performance evaluation and its association with schemes of economic retribution, where deciding how to "invest" time becomes a matter of "life or death" for the academic in his or her career and earnings capacity. Thus, participation becomes a romantic idea, and fewer faculty consider it worthwhile to become involved in institutional issues.

[7] Item only included in the Mexican questionnaire.

## 4.6 Institutional Affiliation, Career Appreciation, and Job Satisfaction

Table 4.11 presents data on a proxy measure of commitment: importance of affiliation to academic discipline, academic unit, and institution. The Table conveys that affiliation, as measured by the proportion of faculty recording a "very important" response – the highest alternative in a five-point Likert scale – is high in all three instances, but that it increases from academic unit (64.9%) to institution (76.4%) and then to discipline (83.5%). When considering type of institution, faculty in private institutions reported the highest affiliation at all three levels (71.5%, 80.4%, and 89.7%), while academics in public research centers expressed the lowest affiliation levels in relation to academic unit and institution, and one of the lowest with respect to discipline (54.0%, 65.9%, and 81.4%). When responses are disaggregated by highest degree, faculty with degrees up to master's level reported higher levels of affiliation for their academic unit and their institution, than faculty with doctorates and, particularly, postdoctoral degrees (i.e., 81.1% vs. 53.5% for institutional affiliation for faculty with bachelor's and postdoctoral degrees).

What is the general attitude of Mexican academics to their profession and job? Table 4.12 shows that 85.4% of all faculty surveyed disagreed/strongly disagreed with the statement: "if I had it to do over again, I would not become an academic." While there are no major differences by gender, faculty in public research centers reported the highest disagreement with this statement (90.5%), particularly when compared to faculty located in private and public technological institutions (79.8% and 82.1%). In the same direction, 75.1% of all faculty surveyed disagreed/strongly disagreed with the statement "this is a poor time for any young person to begin an academic career in my field." While no differences were found according to gender, fewer faculty in public research centers and public federal institutions disagreed with this statement (67.9% and 65.7%), and faculty in public state institutions could

**Table 4.11** Percentages of academics that reported that their affiliation to their academic discipline, academic unit (department, school, etc.), and institution was very important ($N_T$ = 1,973)

| | Academic discipline | Academic unit | Institution |
|---|---|---|---|
| All faculty | 83.5 | 64.9 | 76.4 |
| Type of institution | | | |
| Public research centers | 81.4 | 54.0 | 65.9 |
| Public federal institutions | 80.3 | 60.2 | 76.9 |
| Public state institutions | 82.9 | 66.6 | 77.2 |
| Public technological institutions | 83.6 | 64.4 | 73.6 |
| Private institutions | 89.7 | 71.5 | 80.4 |
| Highest degree | | | |
| Up to Bachelor's | 81.3 | 69.6 | 81.1 |
| Up to Master's | 85.9 | 69.7 | 81.1 |
| Doctorate | 81.2 | 56.0 | 67.4 |
| Postdoctorate | 80.6 | 41.9 | 53.5 |

be said to be the more optimistic, as 79.4% disagreed/ strongly disagreed with it. Faculty with lower degrees, such as a bachelor's, reported a more enthusiastic perspective on this issue than academics with doctorates and postdoctoral degrees (77.8% vs. 68.5 and 59.1%).

Finally, Table 4.12 shows that 52.4% of all faculty disagreed/strongly disagreed with the statement "my job is a source of considerable personal strain." A somewhat larger percentage of male, when compared to female, faculty disagreed/ strongly disagreed with the statement (55.1% vs. 48.5%). Fewer faculty in public technological institutions reported being stressed, particularly when compared to public research centers and public federal institutions (58.6% vs. 42.7%, and 48.3%). As far as highest degree goes, Table 4.12 shows that the higher the earned degree, the higher the strain reported, from 60.1% of respondents with a bachelor's at one end of the scale, to 42.6% for respondents with a doctorate who disagreed/ strongly disagreed with this statement.

A question about overall satisfaction aimed to give each respondent the opportunity to sum up their views of their current job. As in other studies of Mexican faculty (e.g., Galaz-Fontes 2002; Padilla-González et al. 2008), when the high and

**Table 4.12** Percentages of academics that disagreed/strongly disagreed with statements having to do with their the decision to become an academic and the tension found in their work, and that reported high/very high levels of satisfaction with their job overall ($N_T = 1{,}973$)

| | This is a bad moment for any young person to begin an academic career in my field | If I had to do it over again, I would not become an academic | My job is a source of considerable personal strain | High/very high overall job satisfaction |
|---|---|---|---|---|
| All faculty | 75.1 | 85.4 | 52.4 | 87.0 |
| Gender | | | | |
| Male | 74.1 | 84.8 | 55.1 | 87.8 |
| Female | 76.7 | 87.4 | 48.5 | 85.9 |
| Type of institution | | | | |
| Public research centers | 67.9 | 90.5 | 42.7 | 82.2 |
| Public federal institutions | 65.7 | 85.5 | 48.3 | 89.3 |
| Public state institutions | 79.4 | 88.1 | 53.7 | 86.9 |
| Public technological institutions | 78.3 | 82.1 | 58.6 | 87.1 |
| Private institutions | 76.7 | 79.8 | 52.1 | 85.6 |
| Highest degree | | | | |
| Up to Bachelor's | 77.8 | 84.4 | 60.1 | 87.3 |
| Up to master's | 79.2 | 85.9 | 53.2 | 88.4 |
| Doctorate | 68.5 | 86.4 | 46.0 | 86.7 |
| Postdoctorate | 59.1 | 82.3 | 42.6 | 73.1 |

very high categories are added, the proportion of satisfied faculty is very large (87.0%), with very small differences relating to gender. There was a tendency for faculty in public research centers to be less satisfied than faculty in public federal institutions (82.2% vs. 89.3%), and for fewer faculty with postdoctoral degrees to report overall high/very high job satisfaction than faculty with lesser degrees (73.1% vs. 87.3%, 88.4%, and 86.7% for faculty with doctorates, bachelor's, master's, and doctorates, respectively) (see Table 4.12).

Despite some differences in job satisfaction, the data presented show that Mexican faculty appreciate positively their job and career. However, faculty working in different institutional settings perceived their profession and job differently. So, for example, faculty in public research centers appeared highly motivated in their job, felt they had a true vocation for it but, at the same time, they were under strain the most and not so enthusiastic about a young person beginning an academic career at this time. Faculty in public technological institutions, were also highly motivated in their job, were under strain the least, thought that this was not a bad moment to begin an academic career but, at the same time, agreed the least with the idea of becoming an academic, if they had it to do over again. Faculty in private institutions were also highly motivated about their work, found their job a strain, agreed that this was not a bad moment to start an academic career but they were, as with faculty in public technological institutions, less sure about becoming an academic once again. Faculty in federal and state public institutions were both highly motivated about their job and regularly stressed by their position, and most would become an academic again. However, faculty in state public institutions were considerably more optimistic about beginning an academic career at this time.

There might be aspects that faculty do not value positively – working conditions and work climate, to mention two general areas – but apparently these are balanced by other dimensions of the position, including the very important one of having a job in the context of a difficult job market, in which "good" posts are not as common as people, particularly those with higher education training, would like.

## 4.7 Issues Facing Mexican Higher Education Governance and Management

The purpose of this chapter has been to explore the way Mexican academics see the governance and management of the HEIs in which they work. After presenting the relevant data from the survey, what are some of the issues at play in this area of Mexican higher education? Are there avenues of action to be recommended? In this final section such issues will be briefly discussed.

First, while academics report that their institutions largely support academic freedom, implying that they enjoy a considerable autonomy in their teaching and research activities, they report less influence in aspects that are related to the functioning of the institution as a whole. According to the data presented academics

see themselves as less influential in matters of new academic programs, the academic career within their institution and the appointment of high-level institutional officials. Congruent with this interpretation, faculty see themselves as more influential at the departmental level and considerably less influential at the institutional level. Interestingly, academics report a stronger affiliation to their institution than to their academic unit. Given the above participation and influence asymmetries, is it appropriate to have meaningful faculty participation at all these levels? What other actors or entities should participate in decision-making? What should be the framework for such participation? What is the relation between the formal regulations and the actual procedures that take place? What form should that relation take? The issue of legitimacy is one that also needs to be considered, as there appears to be a significant distance between what is officially proclaimed and what actually happens.

Second, respondents reported, in general, a low level of influence on issues having to do with the academic career (e.g., the selection of new members and promotion and tenure decisions). However, faculty working in public research centers and public federal institutions reported a significant level of influence on such issues. In general, public institutions have in place formal procedures that should allow such influence to take place, but such procedures apparently do not function as designed. Given that few respondents perceived that personnel decisions were based on the quality of teaching and/or research (except for research criteria in public research centers, and for teaching criteria in private institutions), it is reasonable to assume that extra-academic factors are in play. From a professional perspective there should be a greater academic participation in matters having to do with the academic career, but beyond such recommendation, there is a need of a broader reflection on the academic profession itself, including the analysis of the academic career dynamics as they operate today.

Third, as higher education management has incorporated the language of institutional mission and performance, many academics see managers' concern for measures and indices outpacing their concern for the quality of the processes that underlie the numbers that, in the context of recent public policies, the financing agencies require and their institutions work so hard to include in their reports. Academics see the actual management style in their institutions as top-down (although less so in public federal institutions), and declare that management–faculty communication is relatively low (although less so in private institutions). This situation should invite HEIs to involve faculty in the management of those institutional aspects in which they are expected to have a legitimate say, and improve management communication. On the other hand, we might be shortly confronting undesired consequences as a by-product of the implementation of public policies that stress indicators over processes. Such a situation demands serious evaluation of both the intended and unintended consequences of the public policies that have been implemented during the last two decades.

Fourth, although Mexican faculty report a gradual improvement in working conditions in comparison to when they first entered the profession, they nevertheless see working conditions, including administrative support, at a reasonable level for

teaching but less so for research, especially support personnel and funds. In addition, academics frequently report the existence of cumbersome administrative processes. So, it is not only management style and communication which must be analyzed closely, but also the actual effectiveness and efficiency of HEIs' management. Is academic work really the center of attention of the administration on a day-to-day basis? How are the different parts of the institution's administration functioning?

Fifth, Mexican faculty reported that institutional and academic unit managers exert at the most a modest degree of competent leadership, although it has improved since the 1992 study. Given that the vast majority of institutional and academic unit managers come from academe, such a view is consistent with the perception of low levels of professional development opportunities available to faculty who take up administrative duties. Institutional leaders able to promote wider participation, obtain larger resources, and support academic work more effectively would be more competent, and this is precisely what professional development activities for aspiring administrators should target. A system-wide effort should be initiated in this area.

Sixth, at this moment the concern of Mexican academics about the lack of participation in the life of HEIs is less noticeable compared with the findings obtained in the 1992 Carnegie Survey. This might suggest, among other things, that, (i) this is an issue on its way to being resolved – a potential product of the implementation of certain public policies, or (ii) that participation is not currently a theme of interest to academics because of other demands they have, such as for example, the constant dynamic of evaluation associated with activities that generate additional income. This situation could discourage academics' interest in institutional and professional areas. It is every man or woman for themselves but, paradoxically, ultimately everyone, including HEIs could be affected negatively.

Finally, about half the academics surveyed reported that their job was not a source of considerable strain, but much more, three quarters or more, affirmed that they positively appreciate their academic career. Even more, almost nine out of ten reported a high/very high overall job satisfaction. This last figure has been a recurring finding in studies of Mexican faculty (Galaz-Fontes 2002; Padilla-González et al. 2008). To what extent, however, can teaching and research be carried out with high quality under the governance and management conditions that Mexican academics report in their institutions? Teaching and research will not stop and we will not see academics walk out on their institutions. The economic situation is not an easy one and Mexican faculty report having a vocation for their profession. So, they will stay. However, the danger is that their commitment will diminish under current conditions and, moreover, some of them will become so self-centered that they will see their job *exclusively* as a way for obtaining the necessary income to maintain their standard of living, willing to provide whatever the authorities demand in exchange for it, even if this is counterproductive in the long run. To avoid this, it is necessary to improve the management and governance of the institutions in which Mexican academics work and, to no small degree, faculty need to assume a more assertive and responsible role as members of a profession still in the making.

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# Chapter 5
# Malaysia: Perspectives of University Governance and Management within the Academic Profession

**Norzaini Azman, Morshidi Sirat, and Muhammad Jantan**

The role of universities in Malaysia has evolved over the past 20 years, becoming increasingly significant with the emergence of the knowledge-based economy. Higher education and universities are generally considered critical to the economic and social futures of countries, even more so in the case of a developing country like Malaysia. In the current knowledge-based economy, demands for the pursuit of knowledge and innovation as well as a highly educated and specialized people have made university education highly important and a priority for the Malaysian government (Ninth Malaysia Plan 2006–2010, 2006; Ministry of Higher Education Malaysia, 2007). Responding to globalization and technological and demographic changes in developing countries, Malaysian universities must develop appropriate models that will serve the future.

This chapter begins by reviewing the structure of the Malaysian university system and its governance to set the context. This is followed by a brief description of the CAP project in Malaysia and some data on academic and work conditions for the academics in the universities. This chapter then proceeds by examining selected data on the management and governance of universities. The trends and issues on institutional governance and management form the background for discussing the Malaysian academic profession within the university system.

## 5.1 The Context

The development of Malaysian universities has been associated with many changes since the 1950s (Zailan, 2007). The changes are meant to implement specific government policy for education in general. Central to the Malaysian education policy is the relating of universities to the needs of the economy and society. Allied to this

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is the need for expansion of universities, privatization of universities, enhancement of competitiveness and improvements in efficiency.

Prior to the 1980s, higher education in Malaysia was primarily provided by the public sector. Although the private sector was very active in the field of education, its involvement in the provision of university education was restricted. In other words, providers of university education in Malaysia before the mid 1980s had not diversified, but the late 1980s saw a trend towards diversification in the provision of higher education. Foreign universities and colleges actively collaborated with local partners in offering academic and technical programs in Malaysia. By the early 1990s, the private sector was taking on an increasingly important role in the provision of university education in the Malaysian higher education system.

With the intensification of globalization and the internationalization of higher education, the Malaysian higher education system faced challenges in coping with the demands for transnational higher education. Thus, educational reforms governing both public and private higher education in Malaysia were carried out in 1996. The Education Act 1996, Private Higher Educational Act 1996, National Council on Higher Education Act 1996, National Accreditation Board Act 1996 and the Universities and University Colleges (Amendment) Act 1996 were timely as these reforms provided the necessary regulatory framework for the liberalization and privatization of higher education on a larger scale to meet Malaysia's national development objectives.

### *5.1.1 The Malaysian University System*

Since 2000, Malaysia has continued to expand the public university system while encouraging private higher education to meet the nation's growing demand. There are presently 20 public universities and 11 private universities, both for-profit and non-profit. The federal government through the Ministry of Higher Education (MOHE) has begun to exert significant pressures on the public universities to reorganize their activities and priorities with the explicit aims of increasing access and participation, increasing research output and quality, achieving critical mass for expertise in selected areas (notably, science and technology) and to improve the international ranking and reputation of Malaysian universities. Consequently in 2006, under the Ninth Malaysia Plan 2006–2010, four premier universities were selected to be conferred the status of "Research University" by the Malaysian government through its Ministry of Higher Education. Their main functions are to generate intellectual capital and new knowledge and to advance technology.

The private universities in Malaysia are owned by established and financially sound corporations, which offer study courses ranging from diploma to post-graduate levels. Some have also been listed in the Bursa Malaysia (Malaysian Stock Exchange). As of 2007, Malaysia had 11 local private universities, and four branch campuses of reputable foreign universities. Private universities have been vested

with the right to award their own degrees at all levels, and foreign universities provide programs and degrees identical to those offered at the host university.

### *5.1.2 The University Governance System*

The Universities and University Colleges Act of 1971 is the legislative framework that has defined the governance of public universities in Malaysia. It vests the government with full authority over student enrollments, staff appointments, educational programs and financing. While the 20 public universities are diverse, having been established at different times, each with its own missions and goals, most share common governance characteristics. In addition, these public institutions rely wholly on government funding and are part of the civil service structure. As the institutions grew in size and structure, administrative expediency necessitated the standardization of rules and procedures, both at the ministry and university levels.

With the impact of massification of higher education, pressures on university governance have manifested themselves in many forms, such as an increase in bureaucratization, in particular the introduction of corporate culture and quality assurance regulations, which have subsequently imposed greater demands on academics to perform non-academic roles within and outside the institutions.

The Universities and University Colleges Act of 1971 was amended in 1995 to realign the governance of universities with the new forms and demands. In 1995, five of the older public universities were corporatized. The corporatization exercise allowed universities to enter into business ventures with the aim of generating their own funding. Therefore, corporatization enables academics to become involved in income generation through consultancy activities. Furthermore, corporatization coupled with the increasing complexity and bureaucracy at both the Ministry's and the institutional levels has also meant that more academics are now taking on a greater number of administrative roles.

A fairly similar hierarchical pattern reflecting a top down, line management approach is evident in the administrative structures of both public and private universities. The hierarchy of academic administration ranges from Vice-Chancellor/Presidents at the university-wide level, assisted by Deputy Vice-Chancellor/Deputy Presidents, Pro Vice Chancellors, and Registrar and Bursar, and at the level of particular faculties and schools, Deans and Heads of Departments.

### *5.1.3 The Malaysian University Academic Population*

The Malaysian university system employs 13,551 academics on full time appointments. Most are employed in the public universities while approximately 9.4% of the academic population works in the private universities. The academics are also

distributed unevenly among the academic disciplines. The proportion of academics in the social/business and humanities faculties is higher in the public universities. In contrast, the private universities show a higher proportion of academics in the engineering faculties.

Full time academics in Malaysian universities hold one of four academic ranks: lecturer, senior lecturer, associate professor and professor. The Malaysian academic population has a relatively bottom-heavy structure in terms of the academic ranks (Table 5.1); nearly three-quarters (74.2%) of academics are of lecturer and senior lecturer status.

## 5.2 The Survey Methodology Used in Malaysia

The International project uses a self-administered survey instrument. The perceptions of the academics are presumed to reflect the real circumstances of their working lives and institutions. The questionnaire was translated into Bahasa Malaysia (or Malay), the national language, using the back-to-back translation technique. It was pilot tested in one of the public higher education institutions and slightly revised to provide minor clarifications; the issues raised involved primarily the time taken to complete the questionnaire. This however was inevitable due to the wide coverage of the study. In order to minimize measurement bias across countries, the Malaysian research team has maintained a high level of standardization in terms of question order, question wording, response options, reference periods and layout and formal design.

Data regarding the number of university academics classified by academic rank and discipline were gathered from the Ministry of Higher Education. A total of 13,546 academics form the target population of the study. These data form the basis for the sample of the study. As required by the CAP research procedures, a systematic random sampling technique process was used to obtain a representative sample.

In the Malaysian study the survey instrument was delivered by hand to each participant. Table 5.2 indicates the profiles of the academic respondents. The survey was distributed to 4,115 full-time academic staff stratified by level (four positions) and discipline (five disciplines). Participants were chosen from 17 public universities and nine private universities. The final sample included questionnaires returned by 1,130 academic staff (effective return rate of 27.5%). As can be seen in Table 5.2, 52.3% of the respondents were male and 47.7% were female. Of all the respondents, 58.5% were employed at the level of lecturer and 17.6% at the level of senior lecturer. The highest represented fields were Engineering (26.9%), Science and Computer Science (15.3%), and Business and Economics (11.5%).

Respondents from the Research Institutes are not included in the following analysis.

**Table 5.1** Academicians in Malaysian universities (2007)

| | Medical | | | Engineering | | | Science/agriculture | | | Social/business/humanities | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Institution | Professor | Associate professor | Lecturer | Professor | Associate professor | Lecturer | Professor | Associate professor | Lecturer | Professor | Associate professor | Lecturer | Total |
| Public | 215 | 318 | 1,240 | 194 | 463 | 2,153 | 343 | 799 | 2,619 | 246 | 586 | 3,206 | 12,382 |
| Private | 41 | 48 | 117 | 26 | 81 | 380 | 6 | 65 | 81 | 7 | 53 | 264 | 1,169 |

Source: Ministry of Higher Education (2007b)

**Table 5.2** Respondents' profile

| | | Academic rank | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Gender | Institution type | Professor | % | Associate professor | % | Senior lecturer | % | Lecturer | % | Others | % | Total |
| Male | Public | 40 | 10.3 | 74 | 19.0 | 58 | 14.9 | 218 | 55.9 | 0 | 0.0 | 390 |
| | Private | 11 | 5.9 | 33 | 17.8 | 47 | 25.4 | 94 | 50.8 | 0 | 0.0 | 185 |
| | Research institute | 6 | 37.5 | 7 | 43.8 | 1 | 6.3 | 2 | 12.5 | 0 | 0.0 | 16 |
| | Total male | 57 | 9.6 | 114 | 19.3 | 106 | 17.9 | 314 | 53.1 | 0 | 0 | 591 |
| Female | Public | 18 | 4.5 | 63 | 15.9 | 61 | 15.4 | 252 | 63.6 | 2 | 0.5 | 396 |
| | Private | 2 | 1.5 | 3 | 2.3 | 32 | 24.6 | 93 | 71.5 | 0 | 0.0 | 130 |
| | Research institute | 4 | 30.8 | 7 | 53.8 | 0 | 0.0 | 2 | 15.4 | 0 | 0.0 | 13 |
| | Total female | 24 | 4.5 | 73 | 13.4 | 93 | 17.3 | 347 | 64.4 | 2 | 0.4 | 539 |

## 5.3 Academic Work

Respondents were asked to indicate their preferences for teaching and research. 46.8% of all respondents reported that they are interested in both teaching and research but leaning towards teaching and 42.2% reported that they are interested in both but leaning towards research. This seems to indicate that the ideal combination of both teaching and research in their professional work is valued highly by most academics and only a minority of academics sees their interests primarily either in teaching (8.5%) or in research (2.5%) only. The primacy of teaching is, underlined however, by the fact that clearly more scholars expressed their interest leaning toward teaching (Table 5.3).

Table 5.4 shows the hours Malaysian academics report spending per week on professional activities during both the semester time and the semester break. Malaysian academics in general seem to have an imbalance among hours spent at their different tasks. Most academics devote between 10 and 15 h per week to teaching obligations during semester time and 4–8 h during semester break. It seems that administrative tasks lie more heavily on the shoulders of the associate professors and the senior lecturers in the public universities (10 h per week). At the same time, the associate professors in the public universities in particular seem to be spending a high proportion of their time on research (10 h per week during semester time and 20 h during semester break). The professors report not only spending a lower proportion of their time on research compared to the other ranks but they also report spending the lowest proportion of their overall time budget on administration.

In most universities, the criteria for academic appointment and promotions decisions have been formulated by individual faculty. In the CAP survey, respondents were asked their perceptions of the extent to which each item in a list of criteria had been emphasized in their academic appointments and promotion decisions. The findings in Table 5.5 reveal that the respondents manifested rather low levels of agreement that personnel decisions were based on research quality (38.8%) and practical relevance (37.1%). The professors from the private universities in particular stressed the importance of recruiting faculty based on practical relevance, teaching quality as well as work experience outside academia. The academics from the private universities, more than their counterparts, seemed to believe strongly that recruiting faculty on the basis of work experience, and making personnel decisions based on teaching quality and practical relevance were very much emphasized by their institutions.

Research quality (Table 5.6) was more often judged by academics from medical faculty (70.8%) to be more emphasized in personnel decisions than by academics

**Table 5.3** Preference for teaching and research

| Interests lie primarily in teaching or in research | Frequency | Percent (%) |
|---|---|---|
| Primarily in teaching | 94 | 8.5 |
| In both, but leaning towards teaching | 520 | 46.8 |
| In both, but leaning towards research | 468 | 42.2 |
| Primarily in research | 28 | 2.5 |
| Total | 1,110 | 100 |

**Table 5.4** Total hours spent per week on professional activities

| Hours spent on professional activities (median) | Type of institution | Professor | Associate professor | Senior lecturer | Lecturer |
|---|---|---|---|---|---|
| Teaching (preparation of instructional materials and lesson plans, classroom instruction, advising students, reading and evaluating student work) – Hours per week when classes are in session | Public | 15 | 15 | 15 | 15 |
| | Private | 10 | 12 | 12 | 10 |
| Teaching (preparation of instructional materials and lesson plans, classroom instruction, advising students, reading and evaluating student work) – Hours per week when classes are not in session | Public | 5 | 8 | 5 | 6 |
| | Private | 5 | 6 | 4 | 5 |
| Research (reading literature, writing, conducting experiments, fieldwork) – Hours per week when classes are in session | Public | 6 | 10 | 5 | 5 |
| | Private | 5 | 6 | 4 | 3 |
| Research (reading literature, writing, conducting experiments, fieldwork) – Hours per week when classes are not in session | Public | 9 | 20 | 10 | 8 |
| | Private | 5 | 10 | 6 | 4 |
| Service (services to clients and/or patients, unpaid consulting, public or voluntary services) – Hours per week when classes are in session | Public | 4 | 2.5 | 2 | 2 |
| | Private | 2 | 2 | 2 | 2 |
| Service (services to clients and/or patients, unpaid consulting, public or voluntary services) – Hours per week when classes are not in session | Public | 4 | 4 | 4 | 2.5 |
| | Private | 2 | 2 | 2 | 2 |
| Administration (committees, department meetings, paperwork) – Hours per week when classes are in session | Public | 5 | 10 | 10 | 5 |
| | Private | 4 | 5 | 5 | 2 |
| Administration (committees, department meetings, paperwork) – Hours per week when classes are not in session | Public | 6 | 10 | 10 | 5 |
| | Private | 5 | 3 | 3 | 2 |
| Other academic activities (professional activities not clearly attributed to any of the categories above) – Hours per week when classes are in session | Public | 5 | 4.5 | 3 | 3 |
| | Private | 4 | 2 | 1 | 2 |
| Other academic activities (professional activities not clearly attributed to any of the categories above) – Hours per week when classes are not in session | Public | 10 | 5 | 5 | 4 |
| | Private | 5 | 2 | 2 | 2 |

**Table 5.5** Academics' perceptions of criteria emphasized in academic appointments and promotion (%)

| Emphasis: very much and much | Total sample | Type of institution | Professor | Associate professor | Senior lecturer | Lecturer | Average total |
|---|---|---|---|---|---|---|---|
| Personnel decision based on research quality | 38.8 | Public | 42.9 | 41.7 | 32.7 | 43.2 | 40.1 |
| | | Private | 58.3 | 32.4 | 27.4 | 32.0 | 37.5 |
| Personnel decision based on teaching quality | 46.9 | Public | 41.1 | 40.1 | 37.8 | 47.4 | 41.6 |
| | | Private | 69.3 | 45.7 | 48.6 | 45.2 | 52.2 |
| Personnel decision based on practical relevance | 37.1 | Public | 32.1 | 36.2 | 28.8 | 39.6 | 34.2 |
| | | Private | 63.6 | 20.0 | 38.4 | 38.1 | 40.0 |
| Recruitment of faculty with work experience outside academia | 43.8 | Public | 26.8 | 34.9 | 31.6 | 40.4 | 33.4 |
| | | Private | 76.9 | 53.0 | 48.7 | 38.4 | 54.3 |

**Table 5.6** Academics' perceptions of criteria emphasized in academic appointments and promotion by faculty (%)

| | Medical | Engineering | Science | Social science/arts |
|---|---|---|---|---|
| Personnel decision based on research quality | 70.8 | 43.0 | 43.9 | 35.6 |
| Personnel decision based on teaching quality | 40.4 | 46.1 | 48.8 | 42.5 |
| Personnel decision based on practical relevance | 39.2 | 39.9 | 39.5 | 32.5 |
| Recruitment of faculty with work experience outside academia | 35.8 | 43.0 | 40.1 | 38.8 |

in the social science faculties (35.6%). It was observed that more academics in the science faculties believed that practical relevance is highly emphasized in personnel decisions by their institution compared to academics in the social science faculties. This finding is probably due to the nature of disciplines in the sciences which requires a high level of practical skills. All the faculties believed that recruitment of faculty with work experience outside academia is the least emphasized in recruitment and promotion practices.

## 5.4 Conditions of Work

Respondents were asked to rate the quality of a range of university facilities comprising those directly related to instructional work (classrooms, technology, library, teaching support), those related to research work (laboratories, research equipment,

research support, research funding), and those related to other matters (computer facilities, office space, secretarial support, telecommunications).

Table 5.7 presents the findings on the academics' evaluation of support systems for the total sample and by institution type. With regards to facilities related to instructional work, between 40% and 50% of the respondents rated the facilities (classroom, technology for teaching and library facilities and services) as good or excellent. However, their rating on teaching support staff is rather low (27.2%). Notably, the academics from the private universities (except for library facilities and services) generally gave better marks than did their public counterparts.

Academics' ratings of the research facilities are in contrast to those of instructional facilities. Generally, both the public and private academics rated facilities such as research support staff, research funding and research equipment as inadequate (Table 5.8). Only 34.7% rated their laboratories as good or excellent. Most academics also felt that research funding was insufficient with only 23.2% indicating that they perceive the provision of research funding as very good or excellent while only 17.6% evaluated their research support staff as very good or excellent.

On the other hand, the academics reported that they enjoyed comparatively good support in terms of other types of facilities, with 54.4% evaluating their computer facilities as very good or excellent. Office space and telecommunications were considered as very good and excellent by roughly half of the respondents, while secretarial support was generally considered poor (Table 5.9). Generally, the

**Table 5.7** Evaluation of facilities related to instructional work

| Instructional work | Total sample (good or excellent %) | Type of institution | Good or excellent % |
|---|---|---|---|
| Classroom | 43.4 | Public | 41.8 |
| | | Private | 58.2 |
| Technology for teaching | 45.9 | Public | 42.7 |
| | | Private | 57.3 |
| Teaching support staff | 27.2 | Public | 26.3 |
| | | Private | 73.7 |
| Library facilities and services | 50.9 | Public | 54.3 |
| | | Private | 45.7 |

**Table 5.8** Academics' evaluation of facilities related to research work

| Research work | Total sample (good or excellent %) | Types of institution | Good or excellent % |
|---|---|---|---|
| Laboratories | 34.7 | Public | 32.6 |
| | | Private | 40.0 |
| Research support staff | 17.6 | Public | 18.7 |
| | | Private | 17.6 |
| Research funding | 23.2 | Public | 24.3 |
| | | Private | 20.3 |
| Research equipment | 23.0 | Public | 25.0 |
| | | Private | 18.2 |

**Table 5.9** Academics' evaluation of other facilities

| Other facilities | Total sample (good or excellent %) | Type of institution | Good or excellent % |
|---|---|---|---|
| Computer facilities | 54.4 | Public | 54.4 |
| | | Private | 54.2 |
| Office space | 47.6 | Public | 48.6 |
| | | Private | 44.4 |
| Secretarial support | 21.1 | Public | 24.3 |
| | | Private | 22.0 |
| Telecommunications | 55.1 | Public | 53.9 |
| | | Private | 58.0 |

academics were more critical when it came to secretarial support, teaching support and research support staff, indicating that the provision of support in both public and private universities still targets hard resources rather than human capital.

## 5.5 Beliefs About Decision-Making

Respondents were asked to identify the principal decision maker for various decisions ranging from the allocation of human resources (administrators and faculty) to financing, teaching and research. The six principal decision makers identified (from the lowest to highest in the organizational hierarchy) were: (1) students; (2) individual faculty; (3) faculty committees; (4) academic units managers (deans, head of departments); (5) institutional managers – top management (VC, DVCs), and (6) government or external stakeholders. The measure is ordinal in nature with the lower number representing the higher level in the hierarchy. Table 5.10 provides the distribution to indicate academics' beliefs about the possessor of power for the various decisions.

Respondents judged Dean/Department Heads to be most influential in a number of work-related decisions: choosing new faculty (53%), evaluating teaching (50%) and evaluating research (37%). Institutional managers are considered to have primary influence on faculty promotion and tenure decisions (50%) and decisions to approve new academic programs (45%). Students and individual faculty were judged to play a minimal role in the process of decision-making. In fact, students only play a significant role in evaluating teaching (17%). Faculty committees play a moderate role in evaluating research (28%). Interestingly, the decision-making power of the government or external stakeholders is considered minimal except in approving new academic programs and selecting key administrators.

Some conclusions can be inferred from Table 5.11 on perceived power behind decisions that are less academic in nature. Most decisions are still vested with the top management and the heads of departments/units. As expected, institutional managers are perceived as having the primary influence on selecting key administrators

**Table 5.10** Beliefs about decision-making in professional work

| Sources of power (percentage) | | | | | | |
|---|---|---|---|---|---|---|
| Decision affecting work | (1) | (2) | (3) | (4) | (5) | (6) |
| Choosing new faculty | 3 | 30 | 54 | 10 | 3 | – |
| Making faculty promotion and tenure decisions | 3 | 50 | 39 | 7 | 1 | – |
| Approving new academic programs | 19 | 45 | 20 | 13 | 1 | 2 |
| Evaluating teaching | 2 | 7 | 50 | 18 | 6 | 17 |
| Evaluating research | 2 | 25 | 37 | 28 | 5 | 3 |
| Total | | | | | | |

(1) Government or external stakeholders; (2) institutional managers (VC, DVC, etc.); (3) academic unit managers (dean, head of department); (4) faculty committee; (5) individual committee; (6) Students

**Table 5.11** Academics' beliefs about decision-making in other activities

| Possessors of power (%) | | | | | | |
|---|---|---|---|---|---|---|
| Decisions which are somewhat less academic in nature | (1) | (2) | (3) | (4) | (5) | (6) |
| Selecting key administrators | 23 | 52 | 19 | 3 | 2 | 1 |
| Determining budget priorities | 6 | 47 | 38 | 6 | 2 | 1 |
| Determining the overall teaching load of faculty | 2 | 7 | 68 | 16 | 6 | 1 |
| Setting admission standards for undergraduates students | 8 | 30 | 39 | 18 | 2 | 3 |
| Setting internal research priorities | 3 | 24 | 45 | 18 | 9 | 1 |
| Establishing international linkages | 5 | 58 | 22 | 7 | 6 | 2 |
| Total n | 47 | 218 | 231 | 68 | 27 | 9 |

(1) Government or external stakeholders; (2) institutional managers (VC, DVC, etc.); (3) academic unit managers (dean, head of department); (4) faculty committee; (5) individual committee; (6) student

(52%), determining budget priorities (47%), and establishing international linkages (58%). The Deans/Head of Departments are the most influential in determining the overall teaching load of the faculty (68%), setting admission standards for undergraduate students (39%) and setting internal research priorities (45%).Thus, major decision-making activities are seen to be centralized at the institutional level while some of the decision-making appears to devolve to the faculty or departmental levels.

### *5.5.1 Who Is Influential?*

Respondents were asked the degree of influence they have at the three levels of organizational hierarchy, namely at the departmental, faculty and the institutional levels. Table 5.12 summarizes the findings. That data reveals that the academics'

**Table 5.12** Perceived degree of influence

| | Level of organizational hierarchy | | |
|---|---|---|---|
| Degree of respondent's influence (%) | Departmental | Faculty | Institution |
| Very influential | 9.6 | 6.4 | 1.8 |
| Somewhat influential | 37.9 | 25.7 | 12.4 |
| A little influential | 38.7 | 40.7 | 33.9 |
| Not at all influential | 13.7 | 27.2 | 51.9 |

Note: 1 = very influential; 2 = somewhat influential; 3 = a little influential; 4 = not influential at all

**Table 5.13** Perceived degree of influence by university type and academic rank

| Degree of influence of academic (% of very influential and somewhat influential) | Total sample | Types of institution | Professor | Associate professor | Senior lecturer | Lecturer | Total average |
|---|---|---|---|---|---|---|---|
| At the level of the department or similar unit | 52.0 | Public | 59.7 | 57.8 | 48.2 | 31.7 | 49.4 |
| | | Private | 77.0 | 51.3 | 44.2 | 45.7 | 54.6 |
| At the level of the faculty, school or similar unit | 38.0 | Public | 48.3 | 36.3 | 30.5 | 19.1 | 33.6 |
| | | Private | 77.0 | 37.8 | 26.0 | 28.9 | 42.4 |
| At the institutional level | 18.4 | Public | 25.8 | 11.1 | 4.3 | 7.3 | 12.1 |
| | | Private | 61.5 | 13.5 | 12.2 | 11.1 | 24.6 |

feel that their influence is limited to the departmental level. The academics reported that they feel either very influential or somewhat influential (47.5%) at shaping key academic policies. More than half (51.9%) perceive, however, that they have minimal influence at the institutional level.

As expected, the level of influence is perceived to decrease as the scope of the influence expands at higher levels of the organizational hierarchy, with most academics seeing themselves as having negligible influence at the institutional level.

In terms of the extent of influence of the academics in the private and public institutions, academics in the private universities feel themselves to be more influential compared to those in the public universities. The more senior ranked academics in the public universities perceive themselves to be more influential in the management of their institutions since influential administrative posts are more likely to be held by professors or associate professors. The analysis of differences is reflected in Table 5.13.

The table provides support for the proposition that individual academics see their level of influence diminish significantly at increasingly higher levels of the organizational hierarchy. In both public and private universities, the professors seem to perceive themselves as having greater influence than their other junior ranked colleagues. In fact, the lecturers, senior lecturers and associate professors report seeing themselves as having no influence whatsoever at the faculty and institutional levels in both the public and private universities.

## 5.6 Views on Institution's Approach and Management Performance

The findings on how the academics perceive the management style and approach are summarized in Table 5.14. The results for each of the items indicate there is agreement that all the items are exhibited in each of the institutions, with a strong emphasis on the institutional mission (74.4%), top-down management style (59.3%) and a strong orientation towards performance (55.9%). Collegiality in decision-making is not very apparent with respect to management style (38.2%). Generally, mission and performance orientation; and bureaucratic administrative style seem to be more emphasized by the managers than administrative support towards research and professional development.

Table 5.15 shows that by far, there seems to be a higher proportion of respondents from the public universities than those from the private universities agreeing or strongly agreeing with most of the items. Respondents from all the four ranks of academics in the public universities seem to agree or strongly agree that the management places a strong emphasis on the institution's missions. A higher proportion of the professors from the public universities seem to agree or strongly agree with all the statements than do the lower ranking academics. The majority of the professors from the public universities report that there is collegiality in decision-making (50%) and good communication between management and academics (59.6%), but surprisingly also perceive their institution's management style as top-down (62.5%). Similarly, the professors from the private universities perceive their institution's management style as top-down (69.3%) but further report a lack of collegiality in decision-making in their institutions (38.5%). Surprisingly, there is very little difference between the public and private universities in terms of strong emphasis on institutional mission, strong performance orientation and top-down management style. Table 5.15 summarizes the results

**Table 5.14** Academics' views on management style and approach

| Managerial practices (%) | Strongly agree and agree | Neutral | Disagree |
|---|---|---|---|
| Institutional mission | 74.4 | 18.8 | 6.8 |
| Good communication between management and academics | 46.8 | 35.0 | 18.2 |
| Top-down management style | 59.3 | 31.3 | 8.50 |
| Collegiality in decision-making | 38.2 | 42.5 | 19.3 |
| Strong performance orientation | 55.9 | 31.7 | 12.4 |
| Cumbersome administrative process | 41.5 | 39.5 | 19 |
| Supportive attitude of administrative staff towards teaching activities | 43.8 | 35.8 | 20.4 |
| Supportive attitude of administrative staff towards research activities | 35.6 | 39.1 | 25.3 |
| Professional development for administrative/management duties for individual faculty | 39.5 | 43.5 | 17 |

**Table 5.15** Views on management style and approach by university type and academic rank (%)

| Strongly agree and agree on: | Type of institution | Professor | Associate professor | Senior lecturer | Lecturer | Total average |
|---|---|---|---|---|---|---|
| Strong emphasis on Institutional mission | Public | 76.8 | 80.4 | 74.4 | 77.0 | 77.2 |
| | Private | 77.0 | 69.4 | 73.4 | 64.3 | 71.0 |
| Good communication between management and academics | Public | 59.6 | 47.7 | 50.5 | 49.8 | 51.9 |
| | Private | 30.8 | 41.7 | 51.9 | 33.0 | 39.4 |
| Top-down management style | Public | 62.5 | 59.7 | 62.6 | 58.4 | 60.8 |
| | Private | 69.3 | 66.7 | 68.4 | 59.5 | 66.0 |
| Collegiality in decision-making | Public | 50.0 | 35.6 | 40.0 | 42.8 | 42.1 |
| | Private | 38.5 | 34.3 | 27.0 | 28.7 | 32.1 |
| Strong performance orientation | Public | 59.6 | 52.2 | 57.2 | 58.3 | 56.8 |
| | Private | 53.9 | 55.6 | 53.2 | 53.5 | 54.1 |
| Cumbersome administrative process | Public | 50.0 | 42.4 | 40.0 | 38.5 | 42.7 |
| | Private | 30.8 | 41.6 | 53.3 | 43.2 | 42.2 |
| Supportive attitude of administrative staff towards teaching activities | Public | 57.9 | 41.0 | 43.6 | 44.7 | 46.8 |
| | Private | 38.5 | 38.9 | 48.7 | 38.1 | 41.1 |
| Supportive attitude of administrative staff towards research activities | Public | 54.4 | 29.1 | 35.4 | 38.6 | 39.4 |
| | Private | 38.5 | 34.3 | 35.6 | 28.9 | 34.3 |
| Professional development for administrative/ management duties for individual faculty | Public | 46.5 | 32.1 | 35.9 | 42.7 | 39.3 |
| | Private | 46.2 | 38.9 | 37.3 | 37.4 | 40.0 |

**Table 5.16** Academics' perceptions of institutional administration

| Items | Strongly agree and agree (%) |
|---|---|
| Top level administrators provide competent leadership | 48.3 |
| Kept community well informed of what's happening | 41.8 |
| Faculty less involved in real problem | 41.1 |
| Students given stronger voice in determining policy | 37.7 |
| Administration supports academic freedom | 40.0 |

of the differences between public and private universities on issues related to management style and approach.

Respondents were also asked to define the characteristics of their institutional administrations (Table 5.16). On the whole, the respondents rated most of the items in the neutral region (neither exceptionally good nor very bad). The academics appear rather reserved in making judgments about their administrators. The respondents exhibit the same levels of perceptions of their top management as revealed by the neutral levels. The highest percentage of agreement, 48.3%

**Table 5.17** Perceptions on institutional administration by university type and academic ranks (%)

| Items: strongly agree and agree | Type of institution | Professor | Associate professor | Senior lecturer | Lecturer | Total average |
|---|---|---|---|---|---|---|
| Top-level administrators provide competent leadership | Public | 47.4 | 43.7 | 47.5 | 49.2 | 47.0 |
| | Private | 53.9 | 44.4 | 44.9 | 53.5 | 49.2 |
| Kept community well-informed of what's happening | Public | 43.9 | 44.9 | 36.1 | 43.4 | 42.1 |
| | Private | 53.9 | 33.3 | 43.6 | 40.0 | 42.7 |
| Faculty less involved in real problem | Public | 41.8 | 43.6 | 47.4 | 42.9 | 44.0 |
| | Private | 30.8 | 33.3 | 35.9 | 35.7 | 34.0 |
| Students given stronger voice in determining policy | Public | 49.1 | 45.9 | 42.0 | 35.3 | 43.1 |
| | Private | 46.2 | 19.4 | 29.5 | 37.3 | 25.7 |
| Administration supports academic freedom | Public | 42.6 | 39.7 | 41.5 | 40.6 | 41.1 |
| | Private | 61.5 | 38.9 | 40.3 | 36.4 | 44.3 |

was for the item: "top level administrators provide competent leadership" and 37.7% was for the item: "students should be given a stronger voice in determining policy".

It is then necessary to know the difference in perceptions of administration by institution type. Analysis of differences in the perceptions of management in the two types of educational institutions as well as by academic ranks is given in Table 5.17.

The academics at both the public and private institutions do not seem to have positive perceptions of their top management. In general, the academics in public universities rather than those in private universities tend to perceive that their faculty and students are involved in the management of their universities. There are, however, no major differences in the academics' perceptions of administration except for student involvement in determining policy. On the whole, the different academic ranks do not vary greatly in their perceptions of the management of the universities. The respondents tend to take a neutral stance in their perceptions regarding leadership and involvement of faculty and students in the governance of the institutions.

## 5.7 Overall Outcomes

### *5.7.1 Affiliation*

Table 5.18 shows the proportion of respondents who rated the importance of affiliation in descending order: academic discipline, department and institution. By and large, Malaysian academics consider themselves more strongly affiliated to their

**Table 5.18** Affiliation – percentage of important or very important

| Perceived as very important and important | Total sample | Type of institution | Professor | Associate professor | Senior lecturer | Lecturer | Total average |
|---|---|---|---|---|---|---|---|
| Academic discipline | 92.9 | Public | 94.7 | 98.5 | 96.7 | 97.5 | 96.9 |
| | | Private | 84.6 | 91.7 | 96.0 | 91.9 | 91.1 |
| Department | 77.7 | Public | 82.2 | 91.9 | 89.0 | 91.5 | 88.7 |
| | | Private | 84.7 | 69.5 | 78.7 | 80.5 | 78.4 |
| Institution | 82.8 | Public | 86.2 | 95.6 | 88.8 | 91.2 | 90.5 |
| | | Private | 84.6 | 77.1 | 76.0 | 72.1 | 77.5 |

discipline (92.9%) than to their department (77.7%) or their institution (82.8%). These results show that the high identification of academics with their discipline is a national phenomenon intrinsic to all academics in all fields and ranks. Despite slightly low affiliation of academics to the institutions in Malaysia, there remains however, low mobility rate among the academics. Not many academics have considered changing their job or moving to another institution.

In comparison, the academics at public universities consider themselves more strongly affiliated to their institutions than do their colleagues at the private universities. The institutional affiliation expressed by the academics at Malaysian public universities turns out to be similar to that expressed by academics at public universities in Germany, the USA and Japan. This reflects the disciplinary and thematic specialization as well as the more favorable tenure conditions of civil servants at the public universities in Malaysia.

### *5.7.2 Academic Satisfaction*

The CAP survey also asked respondents' views on issues related to academic satisfaction with various aspects of their job choice and situation such as the statements provided in Table 5.19.

The proportion of academics who regret their job choice is relatively small (10%). There is a fairly strong disagreement with the statement 'this is a poor time for any young person to begin an academic career' (10.8%) and also a relatively low score on the statement that the current job is a source of considerable personal strain (18.8.%). The difference according to rank is more pronounced in the associate professor and senior lecturer groups in the public universities and in the professor group in the private universities (where a higher percentage indicate that they would have chosen another profession if they could do it all over again). On the whole, despite the more challenging work and being subjected to increased pressure in accountability, only a small proportion of Malaysian academics regret their choice of career.

**Table 5.19** Views on job choice and job situation (%)

| Perceived as strongly agree and agree | Total | Type of institution | Professor | Associate professor | Senior lecturer | Lecturer | Total average |
|---|---|---|---|---|---|---|---|
| This is a poor time for any young person to begin an academic career in my field | 10.8 | Public | 11.5 | 7.5 | 13.3 | 14.3 | 11.7 |
| | | Private | 23.1 | 2.7 | 8.1 | 8.2 | 10.5 |
| If I had to do it over again, I would not become an academic | 10.0 | Public | 5.7 | 11.9 | 11.2 | 9.5 | 9.6 |
| | | Private | 15.4 | 10.8 | 10.5 | 12.5 | 12.3 |
| My job is a source of considerable personal strain | 18.8 | Public | 18.9 | 20.1 | 17.4 | 18.9 | 18.8 |
| | | Private | 15.4 | 16.2 | 18.4 | 25.7 | 18.9 |

### *5.7.3 Job Satisfaction*

Overall, Malaysian academics appear to be rather satisfied with their current job (63.8%) (Table 5.20). The professors and associate professors in both the public and private universities express a higher degree of satisfaction with their overall professional situation than do the lower academic ranks.

Overall satisfaction with the current job is lower in the public universities compared to the private universities. Most noteworthy, a lower proportion of the senior lecturers and lecturers express satisfaction with their current job. Job satisfaction is clearly highest in the professor's group in the private universities (92.3%).

### *5.7.4 Overall Working Conditions*

Academics' assessment of their working conditions reveals a somewhat positive feeling about the working climate in the universities. More than half of the academics (56.6%) are of the opinion that working conditions in Malaysian universities have improved since the start of their career. A striking finding is visible in a comparison between working conditions in higher education and research institutes. Only 36.5% of the academics perceive their working conditions in the research institutes to have improved. This result may appear to be related to the research facilities provided by Malaysian universities. As indicated earlier, the academics are more critical when it comes to research funding and research support staff (Table 5.21).

**Table 5.20** Overall job satisfaction (%)

| Job satisfaction rated as very high and high | Total sample | Type of institution | Professor | Associate professor | Senior lecturer | Lecturer | Total average |
|---|---|---|---|---|---|---|---|
| Overall satisfaction with current job | 63.8 | Public | 73.7 | 70.6 | 65.2 | 63.8 | 68.3 |
| | | Private | 92.3 | 86.5 | 66.6 | 56.8 | 75.6 |

**Table 5.21** Overall working conditions

| Overall working condition much and very much improved | Total sample | Type of institution | Professor | Associate professor | Senior lecturer | Lecturer | Total average |
|---|---|---|---|---|---|---|---|
| Working condition in higher education | 56.6 | Public | 60.3 | 57.1 | 56.0 | 56.3 | 57.4 |
| | | Private | 53.9 | 56.1 | 61.8 | 50.3 | 55.7 |
| Working condition in research institutes | 36.5 | Public | 48.8 | 38.3 | 35.8 | 37.3 | 40.1 |
| | | Private | 33.3 | 36.2 | 32.9 | 29.5 | 40.1 |

## 5.8 Discussions on Management and Governance Issues

The overall analysis of the perceptions of Malaysian academics indicates that they agree on a number of factors in determining the performance of the universities. While it is observed that there are no cases of strong positive agreement or disagreement, the academics probably choose to be neutral because of several driving forces or trends based on the current scenario and/or the expected future scenarios in higher education of the country.

Thus, there is little indication of any critical problem with decision-making structures or with the devolution of decision-making within the institutions. A good deal of the decision-making appears to be devolved to the faculty or departmental levels. The majority of the respondents agree it is the academic staff, i.e., Heads of Department who determine matters associated with teaching and research. These results support those of research in higher education management (Boyer et al. 1994; de Boer and Goedegebuure 1995), which shows that it is the academics who still determine the direction of the primary higher education processes of teaching and research. These studies conclude that management reflects the continuing domination of professional expertise where teaching and learning are concerned. As with the present Malaysian study, the evidence does not suggest that strong institutional management threatens academic control of teaching and research.

When respondents were asked to reflect on issues of managerial style and approach, some common concerns emerged. The academics generally reported that

they were satisfied with the leadership provided by top level administrators at their universities. They agreed that the leadership style of the top administrators was focused on institutional mission and oriented towards performance. However, the data also revealed that the major decisions are mainly decided by the top management and therefore are top-down. These findings underscore the existence of a more hierarchical governance structure at most higher education institutions.

Evidently, this is a rather disturbing trend that affects management style. The more rapidly the Malaysian higher education system expands, the more difficult it becomes to implement a more collegial and informal pattern of decision-making. Since mission and performance orientation and bureaucratic administrative style emerge as the major trends of management style, many academics seem to perceive the top administration of their institution to be less supportive of research and teaching causing them to be unhappy and unsure of how to cope with the more hierarchical and rigid governance structure.

There is considerable similarity in the perceptions of academics relating to leadership as well in their perceptions of how institutions go about involving academics and students in management. Generally, the academics appear to be satisfied with the competence and leadership provided by top level administrators at their universities. This is in contrast to the results of a comparative study by Altbach and Lewis (1995) which reported that, with the exception of Japan, professors in the 13 countries participating in the Carnegie Foundation's International Survey of the Academic Profession expressed dissatisfaction with and doubt about the quality of the leadership provided by the top level administrators in their universities.

In addition, the present study found the majority of the academics are moderately convinced that they are informed about what is happening and about the administration's support of academic freedom. Nonetheless, the academics report that they are less involved in problems and therefore, less influential in helping to shape policies at the institutional level. These findings are similar to the results obtained in the study by Altbach and Lewis (1995). As Malaysian universities expand, with many becoming large and more complex, management becomes more bureaucratic and regulated as more decisions and policy making processes are taken over by the top management from the academics (Lee 2004). This has slowly diminished the academics' traditional autonomy and influence in the governance of their own institutions. It is predicted that the prevalence of the bureaucratic and corporate culture in Malaysian universities may erode the academic tradition of the professorate even further in the future.

As argued earlier in the chapter, with the establishment of the Ministry of Higher Education (MOHE), a series of reforms have been implemented through the Higher Education Strategic Plan which includes the revision of the role of the government from direct control and management of universities to indirect control through regulating and providing policy guidance, coordination, monitoring and evaluation. In addition, Malaysian universities are increasingly subjected to external pressures to achieve greater accountability for their performance. The Ministry remains in strong control over the universities and continues to demand more accountability and increased productivity from the academics. Thus far, the supervisory role taken

on by the Ministry of Higher Education has led to the introduction of quality standards and performance measurement systems such as the Malaysian Quality Assurance and Research Performance Indicators. In addition, academics in the public universities are considered as civil servants and therefore are subjected to the regulations and salary structure of the civil service. Suffice it to say, the strong coordinating role of the state and the influence of the market ideology have resulted in a hybrid of bureaucratic and corporate culture in the academy.

In the Malaysian context, the private universities are managed in a style similar to the management style of any business entity because they are primarily profit driven enterprises. This is in line with the objectives of the setting up private institutions based on market demand. Therefore, the academic programs are designed based on demand and at low management cost. The public universities, in contrast, were established to fulfill the government's social responsibilities. Public universities are expected to help meet the needs for the nation's workforce in driving economic activities. Therefore, the management style and practices of the public universities differ extensively from those of the private universities since profit is not the ultimate desired outcome. Nevertheless, in making sure that graduates meet the needs of industrial requirements for employability, the academic programs must be continuously improved to attract the best students, and at the same time, public universities must also consider implementing management practices based on corporate management. Thus, it is interesting to compare the management practices of private and public universities especially when the latter are in the state of transition from public management to corporate management.

On the whole, close examination of the Malaysian data indicates only minor differences in the management and governance between public and private universities due to regulations set by MOHE. However, it is obvious that for both the public and the private universities, all the managerial decisions are highly dependent on how the resources are distributed, and the power rests more with the institutional managers. It is also clear from the data analysis that teaching is definitely considered a central activity within the private universities and much effort appears to be directed to its support. The private universities also rely on relevant practical experience in their personnel decisions. This is evident from the fact that the recruitment of academics by private universities is based on working experience in addition to academic qualifications.

The views and perceptions of different ranks of academics may also be influenced by the changing trends in higher education, such as the high competitiveness for promotion, students' and other stakeholders' expectations, technological advancement, and changes in higher education at the international level. With the rapid expansion of the Malaysian higher education system, the roles and responsibilities of academics have drastically changed over the years. The changing roles and responsibilities and the high expectations of academics will have significant effects on the managerial practices and governance of the universities. Differences in the views and perceptions of different academic ranks especially between the professors and the junior academics provide some indication of the changes that have taken place in the academic environment. Further, given the hier-

archical nature of the Malaysian academic institution, it does reflect a different scope of activities and responsibilities which may or may not affect the academics' views of the governance and management of universities.

Changes in the global and national contexts do not occur uniformly across all sectors of the society. In the Malaysian context, the changes in the economy from an agricultural to a manufacturing base and more recently to a more high-tech knowledge-based economy have resulted in different demands on the various faculties that are traditionally found in the university. It is reflected in the bias towards science and technology in the newly set-up universities, be they public or private. Previously, the emphasis on manufacturing and industrialization had resulted in the setting up of engineering faculties at new universities. However, in the Ninth Malaysia Plan, the emphasis on agriculture has caused the setting up of agricultural related fields and biotechnology to be given priority. The changes in priority of disciplines warrant new or modified managerial practices. On this basis, comparisons of management issues across the different faculties should reflect some new trends.

On the issues of governance and management, differences among academic fields are small probably reflecting the similar ways in which faculties are managed. The apparent differences based on academic disciplines are evident in terms of the extent of influence, where differences can be seen at the departmental level. In this case, the medical and engineering faculties seem to be relatively more influential whereas the social sciences are found to be least influential.

## 5.9 Conclusion and Implications

As with any transition, changes in higher education management have presented challenges to academics. These challenges are evident within the roles, functions and duties required of the academics as well as in the relationship between the higher education sector with the government and private sectors. Within the institutions, the main challenge centers on the collegial versus managerial approach to running the university. In terms of external relations, the challenge involves institutional and academic autonomy versus new forms of government control and policies. Attempts to locate university management and governance within the broader context of government policies and practices and market forces are still limited. Nonetheless, the results of the CAP study indicate that Malaysian academics are generally satisfied with the management of their universities and are seemingly not resistant to change. There are, however, areas of which academics are quite critical. These involve aspects of leadership qualities and decision-making processes.

The problems associated with management style and leadership have many facets. In part, the decentralized administration and bureaucratic administrative style are the result of the pressures of deregulation and market competition as well as government demands for increased accountability and performance measurement. Also there is a fairly clear indication in Malaysian universities that executive management priorities and practices take precedence over collegial decision-making. The results of the CAP study show that the trend is towards central management.

It is therefore clear that the role of the central institutional administration is an important component in Malaysian higher education governance and management.

The implications for university management and institutional leaders are self-evident. If academics are to be encouraged to express higher levels of job satisfaction, attention must be paid to the management and governance climate in which they work. Introducing collegial decision-making practices that support appropriate levels of participation in decision-making would be a good start. In nurturing an intellectual climate in the universities, a sense of community acknowledgement, clarity of institutional mission and faculty–institutional manager relations are all important aspects of management.

In conclusion, Malaysian universities are now placed in a much more highly competitive environment and considerable pressure has been placed on universities to strengthen institutional management practices. Greater professionalism in management is increasingly regarded as necessary to enable Malaysian higher education institutions to respond effectively to a rapidly changing environment, as stipulated in the National Higher Education Strategic Plan (2007). The university management has to consider more effective strategies in order to maintain a competitive edge. Despite the rapid challenges in management style and processes, academics in Malaysia seem to have a favorable view of their management. There is evidence from this study to indicate that the higher education management paradigm is acceptable to the academics concerned.

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# Chapter 6
# South Africa: Recklessly Incapacitated by a Fifth Column – The Academic Profession Facing Institutional Governance

**Charl Wolhuter, Philip Higgs, Leonie Higgs, and Isaac Ntshoe**

## 6.1 Introduction

Worldwide, the academic profession finds itself at the receiving end of dramatic change. South Africa is no exception to the world pattern; in fact, South African academics are probably more forcefully struck by change than their counterparts elsewhere (see Wolhuter et al. 2008). One aspect of this change is the onslaught on the power-base, i.e., the autonomy and freedom of the academic profession – until not long ago untouchable. This onslaught comes from at least three sets of forces outside the walls of the university, namely from society and government (both of which claim more say in the affairs of universities) and the changing structure of knowledge; and two forces within the walls of the university – from the bottom, students, who, in the national and international process of democratization, demand more say and power, and from the top, institutional governance, which, in times when universities are being transformed into business enterprises, are usurping more and more power. It is on this last growing source of authority over the academic profession, which this chapter focuses. The well-being of an entire higher education system depends on how its core – the academic profession – is finding, and functioning in, their professional environment.

The aim of this research is to determine how the South African academic profession is experiencing the changed institutional administrations. The chapter commences with a brief outline of the national context and the research method. The academic work of academics is presented to complete the framework. Then the focus shifts to each of the following aspects of academics' relationship with institutional governance: conditions of work, beliefs about decision-making, loci of influence, views on institutions' approaches and management performance,

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drivers, and final outcomes of all these. In conclusion, current issues facing the system are identified.

## 6.2 Higher Education Context

The first university in South Africa was the University of Good Hope, founded in 1873 under the auspices of the then British colonial administration. This university later (1916) became the University of Cape Town. This was followed by the University of the Witwatersrand (1922) (English medium, as with the University of Cape Town), the University of Natal (1949, English medium), Rhodes University (1951, English medium), the University of Stellenbosch (1916, Dutch, later Afrikaans medium), the University of Pretoria (1930, Afrikaans medium), the University of the Orange Free State (1950, Afrikaans medium), Potchefstroom University (1951, Afrikaans medium), the University of South Africa (1951, a distance education institution, dual medium: Afrikaans and English), the University of Port Elizabeth (1965, dual medium: Afrikaans and English), and the Rand Afrikaans University (1967, Afrikaans medium). All these institutions strongly and visibly bore the mark of their British (more particularly Scottish) lineage.

The above institutions were meant to cater for the White population. In the second half of the twentieth century, ten universities for the Black population were established (Welch et al. 2004). Thus, in the South African higher education landscape, two major fault lines could be distinguished: one dividing the historically White universities from the historically Black universities and the second dividing the historically White universities in English-medium and Afrikaans-medium universities. Finally, by the turn of the twentieth century, the Technikons (which were also historically Black and historically White), i.e., institutions of advanced technical education, were upgraded to become Universities of Technology (Wolhuter 2009). So a third fault line running through the South African higher education landscape is the one dividing the universities (academic education) from the Universities of Technology (technical education). Being modeled after the British universities of the colonial motherland, these higher education institutions gave a liberal arts education (Wolhuter 2009: 361–362), and historically had the aura of being ivory towers – cut off from society – a feature not even the Technikons could succeed in escaping fully.

For a long period, South African academics and universities enjoyed a measure of autonomy probably unparalleled elsewhere in the world (Wolhuter and Higgs 2006). Apart from applying pressure to conform to the government's segregation policies, pre-1994 governments did not interfere with the affairs of universities. This applied to both the white and the Black universities of the time, and also to the Technikons. Even the renowned British comparativist Edmund King – an outspoken critic of pre-1994 policies – lauded the autonomy enjoyed by South African universities (King 1979). This changed rapidly after 1990 because of two factors. Higher education was harnessed to create a newly envisioned society, and second

**Table 6.1** Distribution of South African students among various fields

| Field | Percentage of students |
|---|---|
| Education | 13 |
| Humanities and arts | 5 |
| Social sciences, business, and law | 53 |
| Science | 10 |
| Engineering, manufacturing, and construction | 10 |
| Agriculture | 2 |
| Wealth and welfare | 5 |
| Services | 2 |

Source: UNESCO (2009)

the world-wide neo-liberal economic revolution meant that academic freedom was eroded as universities were increasingly run on business principles such as accountability, profitability, a culture of auditing, and quality control. A government which, in return for providing funds to universities, claims increasing accountability has created a battery of prescriptions which universities must carry out. The *Higher Education Act (Act 101 of 1997)* gave the Minister of education sweeping powers over institutions in the higher education sector, including universities (*see* Republic of South Africa 1997). This represented a radical break with the past. In the pre-1994 political dispensation, South African universities, apart from governmental measures and pressures to ensure racial segregation, enjoyed a level of autonomy, probably unparalleled elsewhere in the world (*see* Bundy 2005). Another Act which curtailed academic freedom was the *South African Qualifications Act (Act 58 of 1995)* which created the South African Qualifications Framework, and which compelled universities to get accreditation for all programs offered by a university from the South African Qualifications Authority (see Republic of South Africa 1995). Under the auspices of the Council of Higher Education, a Higher Education Quality Committee was established that evaluates procedures and mechanisms that institutions have put in place to ensure quality (Gravett and Geyser 2004: 13). For the implementation of all these, a secondary round of bureaucracy was created inside universities (Vale and Jacklin 2009: 5).

Government policy on the equalization of educational opportunities brought a sharp increase in student numbers, from 567,645 in 1999 to 737,471 in 2005 (Department of Education 2007) to 783,900 in 2008; and the projection for 2011 is 836,810 (Gower and Pretorius 2009). The distribution of students among the various academic fields is presented in Table 6.1.

## 6.3 Research Method

During 2007/2008, the authors solicited permission from each of the 24 universities in South Africa to conduct this research. A student assistant was appointed at each university to go around academics' offices and ask them to complete the

CAP questionnaire, and to collect completed questionnaires a few days later. The authors managed to collect 700 completed questionnaires. Of the respondents who did disclose their gender, 51.7% were males and 48.3% were females (0.44% declined to disclose their gender). As this comes close to the national aggregate gender breakdown of the South African academic profession (50.3% male, UNESCO 2007), it is an indication that the sample could be regarded as representative, at least of gender.

As South Africa was subjected to an international academic boycott at the time of the Carnegie International Study of the Academic Profession in 1992 (*see* Altbach 1996), the country did not participate. However, the Carnegie Study questionnaire was applied to a representative sample of the South African academic profession during 2002 (Wolhuter et al. 2006). As the results of the Carnegie Survey, juxtaposed to those of the CAP survey, provide a good indication of trends in the South African academic profession, the results of the 2002 Carnegie Study will be drawn upon in this chapter.

The results were studied in aggregate, and also broken down by academic field and by age group. The results were not disaggregated by gender, as a thorough analysis of the Carnegie results has revealed that the South African academic profession is one of the most androgynous academic professions in the world (Higgs et al. 2004). This includes their relations with institutional governance. On responses to a series of questions,[1] the Mann–Whitney test could find no statistically significant differences (significance level 95%) between male and female respondents (Higgs et al. 2004: 204–285). Consequently, in this research, responses were not analyzed by gender.

[1]– At this institution, where are the following decisions usually made? (answering scale 1: centralized, i.e., top management – 5: controlled by faculty):

- Selecting key administrators
- Choosing new faculty
- Making faculty promotion and faculty decisions
- Determining budget priorities
- Determining the overall teaching load of faculty
- Setting admission standards for under-graduate students
- Approving new academic programs

– How influential are you personally, in helping to shape key academic policies? (answer scale: 1: very influential – 4: not influential at all)

- At the level of department or similar unit
- At the level of faculty, school, or similar unit
- At institutional level

Do you agree with the following statements about the amount of control you have in designing your courses and your research projects? (1: agree – 3: neutral – 5: disagree):

– At this institution, I am fully free to determine the content of the courses I teach.
– Can focus my research on any topic of special interest to me.

On the other hand, analysis of CAP data did point to differences between academics of different disciplines as well as between academics of different age groups. Concerning the first, following the widespread phenomenon that academics in Schools/Faculties of Education are held in lower esteem by their colleagues in other Schools/Faculties, Van der Walt et al. (2010a) have investigated differences between academics attached to Schools of Education and academics attached to other Schools and have found statistically significant differences. While South African academics in general have been hard hit by a battery of prescriptions emanating from both government and university governance (as will be explained below), academics in the field of Education appear to have been particularly targeted. South African education is in the white waters of political transformation, where government is vigorously reconstructing education, and teacher education as part of that. The teacher educator profession (i.e., academics working in the field of Education) are currently regulated by not fewer than 13 Acts of Parliament and several other policy documents suggest that they are working under relatively heavy statutory constraints.

Likewise, research (De Wet et al. 2010) has indicated that South African academics from different life phases do experience the profession significantly differently. Bearing in mind that, in South Africa, the typical academic commences his/her academic career in his/her late 20s, in this chapter, academics have been divided into three groups: an early career phase group (ages 20–39 years), a mid-career phase (ages 40–55 years), and a late career phase (age over 55 years). This distinction have been employed by De Wet et al. (2010) as it is a classification commonly used in Developmental Psychology (see Craig 1983; Gerdes et al. 1981) and also because De Wet et al. (2010) wanted their research to link to previously published research by Pienaar and Bester (2006) on career phases of South African academics. Pienaar and Bester (2006) have used this classification.

## 6.4 Academic Work

South African academics are crossing the bridge from the traditional (historical) mission of South African universities, which was primarily to teach, i.e., to train high-level human resources for a developing economy to a new environment which ties governmental funding of universities to their research output and the need to provide knowledge to guide the societal transformation. This put academics under increasing pressure to conduct research and to publish. The frequency distribution of responses on where respondents' preferences lie on the teaching–research continuum is presented in Table 6.2.

They appear to straddle the teaching–research spectrum, with the center of gravity slightly on the teaching side, off the mid-point. This is probably due to historical inertia (especially with respect to the older age group) and the fact that many junior academics have not yet attained their doctorates, and are therefore not yet trained as researchers: The middle-career phase group is slightly less teaching-dominant,

**Table 6.2** Frequency distribution of South African academics' views of interest on the teaching–research continuum

| Location of interest | Frequency % (of responses) | Total |
|---|---|---|
| Primarily in teaching | 18.16 | Predominantly in teaching 53.60 |
| In both but leaning toward teaching | 35.44 | |
| In both but leaning toward research | 36.79 | Predominantly in research 46.40 |
| Primarily in research | 9.61 | |

**Table 6.3** Academics of various career phases' stated preference on the teaching–research continuum

| | Average response and standard deviation on rank-order scale<br>1: primarily in teaching 2: both teaching and research, but more toward teaching 3: both teaching and research, but more toward research 4: primarily in research | |
|---|---|---|
| Career phase | Average | Standard deviation |
| 20–39 years | 2.37 | 0.87 |
| 40–55 years | 2.43 | 0.87 |
| Older than 55 years | 2.27 | 0.92 |

**Table 6.4** Mean times spend by academics on various professional activities

| Hours per week when classes are in session | Hours per week when classes are *not* in session | Activity |
|---|---|---|
| 21.42 | 13.34 | Teaching (preparation, instruction, advising students, reading, and evaluating student work) |
| 10.51 | 17.17 | Research |
| 4.96 | 5.91 | Service (services to clients/patients, unpaid consulting, public, or voluntary services) |
| 8.69 | 9.13 | Administration |
| 5.32 | 6.36 | Other |

although not enough so as to make a statistically significant (ANOVA test) difference with the other two groups.

Academics in the various career stages in terms of their location on the teaching–research continuum are presented in Table 6.3. Academics of all three career phase groups are more interested in teaching than in research. Academics in the mid-career phase are closer to the research pole than the other two groups, though not enough so as to make a significant difference.

What is striking when we examine the hours which academics spend on various professional activities (teaching, research, service, administration, and other (See Table 6.4) is the large amount of time which academics spend on administration and, second, the low level of community involvement (indicated by the small amount of

**Table 6.5** Respondents' perceptions of criteria used in academic recruitment and promotion

| Question | Percentage distribution of responses on five-point scale | | | | |
|---|---|---|---|---|---|
| To what extent does your institution emphasize the following practices? | Very much 1 | 2 | 3 | 4 | Not at all 5 |
| Considering the research quality when making personnel decisions | 10 | 30 | 34 | 13 | 13 |
| Considering the teaching quality when making personnel decisions | 7 | 24 | 31 | 21 | 17 |
| Considering the practical relevance/applicability when making personnel decisions | 5 | 20 | 39 | 22 | 14 |
| Recruiting faculty who have work experience outside academe | 5 | 21 | 37 | 23 | 14 |

time spent on service activities). The amount of time they spend on administrative duties is clear evidence of the effect of managerialism. As with the case of the teaching–research preferences, the absence of community involvement might also be the lingering presence of "ivory tower" institution – cut off from society and with academics being unhindered in their pursuit of truth – as the model of the ideal university in the minds of academics.

According to academics, recruiting and promotion criteria at their institutions is a mirror-image opposite of academics' own teaching–research interests (see Table 6.5). While managers want to have their institutions positioned favorably in the national as well as international competition between universities in a time of global neo-liberal economics (where research output is a very important factor in university rankings), especially junior and aged academics are (as explained above) still trapped in the conceptualization of academics as being primarily teachers. When academic appointments and decisions regarding the promotion of academic staff are made, research activities weigh heavier than teaching quality. Regarding institutions' recruiting and promotion policies, the center of gravity lies just off the center point of the teaching–research continuum, on the research side, whereas academics' self-professed interests lie on the teaching side. Neither practical relevance/applicability nor work experience outside academe are pivotal factors in decisions.

## 6.5 Conditions of Work

They seem to be mildly satisfied with teaching classrooms, technology for teaching, and laboratories (see Table 6.6). With teaching support staff, however, they seem mildly dissatisfied. The reasons for this might be that South African universities,

**Table 6.6** South African academics' rating of facilities, resources, or personnel supporting their work

| | Percentage distribution of responses | | |
|---|---|---|---|
| Activity/resource/personnel | Good | Average | Poor |
| Classrooms | 41 | 33 | 26 |
| Technology for teaching | 41 | 32 | 17 |
| Laboratories | 37 | 35 | 28 |
| Teaching support staff | 30 | 27 | 43 |

Percentages of responses

**Table 6.7** Academics of various career stages' evaluation of teaching facilities, resources, and support

| | Average evaluation on five-point scale 1: excellent – 3: average – 5: poor | | |
|---|---|---|---|
| Activity/resource/personnel | Group 20–39 years | Group 40–55 years | Group older than 55 years |
| Classrooms | 2.79 | 2.91 | 2.93 |
| Technology for teaching | 2.81 | 2.92 | 2.88 |
| Laboratories | 2.85 | 2.97 | 3.15 |
| Teaching support staff | 3.08 | 3.35 | 3.25 |

being historically conceived as primarily teaching institutions and academics primarily teachers; offer no teaching support or at best poor teaching support, consisting of postgraduate students with no teaching experience.

When we examine academics in the various career phases, their satisfication seems to decrease with age (See Table 6.7). This might be an indication of work burn-out which set in, during the course of a long academic career.

The majority of respondents seem to be satisfied with research equipment and instruments, computer facilities, library facilities and services, office space, and telecommunications (See Table 6.8). A substantial minority, however, regard research support staff and research funding as poor. The reasons for this cannot be ascertained from CAP data, and further research in this regard would be valuable.

Academics of Faculties/Schools of Education versus academics from other fields' ratings are presented in Table 6.9.

With the exception of research funding, academics at Schools/Faculties of Education rate facilities, resources, and support more favorably than their peers from other fields. This might be ascribed to the fact that Faculties/Schools of Education invariably recruit their academic staff either from the ranks of primary and secondary teachers, or from postgraduate students who had envisaged a career as a school teacher, both categories using primary and secondary schools as their point of reference when evaluating facilities at universities.

**Table 6.8** South African academics' rating of facilities, resources, or personnel supporting their research

| | Percentage distribution of responses | | |
|---|---|---|---|
| Activity/resource/personnel | Good | Average | Poor |
| Research equipment and instruments | 39 | 34 | 27 |
| Computer facilities | 61 | 25 | 14 |
| Library facilities and services | 71 | 17 | 12 |
| Academics' office space | 59 | 23 | 18 |
| Telecommunications (Internet, networks, and telephones) | 71 | 19 | 10 |
| Research support staff | 27 | 29 | 44 |
| Research funding | 31 | 32 | 37 |

**Table 6.9** Academics of Faculties/Schools of Education versus academics from other fields' ratings of research facilities, resources, and support

| | Average evaluation on five-point scale 1: excellent – 3: average – 5: poor | |
|---|---|---|
| Activity/resource/personnel | Academics from education | Academics from other fields |
| Research equipment and instruments | 2.66 | 2.96 |
| Computer facilities | 2.12 | 2.42 |
| Library facilities and services | 1.89 | 2.22 |
| Academics' office space | 2.22 | 2.55 |
| Telecommunications (Internet, networks, and telephones) | 1.90 | 2.24 |
| Research support staff | 3.32 | 3.38 |
| Research funding | 3.18 | 3.11 |

## 6.6 Beliefs About Decision-Making

Respondents were asked, which actor has the primary influence on 11 different type of decision (see Table 6.10). The data portray a powerless profession, in the clutches of an array of other decision takers, with institutional managers possessing an extraordinary amount of power. In all but three of the areas of decision-making included in the table, institutional managers drew the highest frequency of responses. Even the other three – determining the teaching load of academic staff, evaluating teaching, and setting internal research priorities – are not taking on a collegial-democratic approach, but seem to be strongly controlled by academic unit managers.

### *6.6.1 Who Is Influential?*

Given the loci of decision-making, as portrayed above, it could be expected that the academic profession does not feel very powerful. Respondents were asked

**Table 6.10** Responses to the question: "At your institution, which actor has the primary influence on each of the following decisions?"

| | Frequency distribution of responses (percentages) | | | | | |
|---|---|---|---|---|---|---|
| Decision | Government or external shareholders | Institutional managers | Academic unit managers | Faculty committees/ boards | Individual members of academic staff | Students |
| Choosing new academic staff | 2 | 40 | 26 | 24 | 8 | 0 |
| Making academic staff promotion and tenure decisions | 1 | 46 | 23 | 26 | 4 | 0 |
| Determining the teaching load of academic staff | 2 | 21 | 41 | 17 | 19 | 0 |
| Setting admission criteria for undergraduate students | 5 | 38 | 20 | 25 | 12 | 0 |
| Approving new academic programs | 13 | 33 | 20 | 28 | 6 | 0 |
| Evaluating teaching | 4 | 18 | 32 | 19 | 17 | 11 |
| Setting internal research priorities | 1 | 25 | 27 | 24 | 23 | 0 |
| Establishing international linkages | 2 | 42 | 18 | 11 | 27 | 0 |
| Selecting key administrators | 8 | 62 | 12 | 13 | 5 | 0 |
| Determining budget priorities | 4 | 58 | 21 | 12 | 5 | 0 |

how influential they were in helping to shape key academic policies at each of the three levels of department (or similar unit), faculty/school/similar unit, and at institutional level, and to place their responses on the following four-point Likert scale: 1: very influential, 2: somewhat influential, 3: a little influential, and 4: not at all influential. The frequency distribution of responses is presented in Table 6.11.

While most academics feel somewhat (though not very) influential at department level, the majority feel a little or not at all influential at institutional and at faculty level. A substantial minority, however, feel somewhat influential at institutional and faculty levels.

Average answers to these questions, compared to average answers in the Carnegie Investigation 8 years ago, are presented in Table 6.12. At departmental and faculty levels, academics feel less influential than they did at the time of the Carnegie Investigation, 6 years ago.

**Table 6.11** Responses to the question: "How influential are *you*, personally, in helping to shape key academic policies?"

| | Frequency distribution of responses on a four-point Likert scale (percentages) | | | |
|---|---|---|---|---|
| | 1 | 2 | 3 | 4 |
| | Very influential | Somewhat influential | A little influential | Not at all influential |
| At the level of department or similar unit | 9 | 64 | 12 | 15 |
| At the level of faculty, school, or similar unit | 4 | 42 | 27 | 27 |
| At institutional level | 2 | 46 | 24 | 28 |

**Table 6.12** Responses to the question: "How influential are *you*, personally, in helping to shape key academic policies?"

| | Response on a four-point Likert scale<br>1: very influential – 2: somewhat influential – 3: a little influential – 4: not at all influential | |
|---|---|---|
| | Mean response in CAP survey (2008) | Mean response in Carnegie-Investigation (2002) |
| At the level of department or similar unit | 2.31 | 2.12 |
| At the level of faculty, school or similar unit | 2.87 | 2.65 |
| At the institutional level | 3.49 | 3.73 |

**Table 6.13** Responses by age group to the question: "How influential are *you,* personally, in helping to shape key academic policies?"

| | Average responses on a four-point Likert scale 1: very influential – 2: somewhat influential – 3: a little influential – 4: not at all influential | | |
|---|---|---|---|
| | Age group 20–39 years | Age group 40–55 years | Age group Older than 55 years |
| At the level of department or similar unit | 2.63 | 2.43 | 2.53 |
| At the level of faculty, school or similar unit | 3.19 | 3.06 | 3.19 |
| At the institutional level | 3.87 | 3.82 | 3.79 |

**Table 6.14** Respondents by field to the question: "How influential are *you* personally, in helping to shape key academic policies?"

| | Average responses on a four-point Likert scale 1: very influential – 2: somewhat influential – 3: a little influential – 4: not at all influential | |
|---|---|---|
| | Academics from education | Academic from other fields |
| At departmental level | 2.49 | 2.19 |
| At faculty level | 2.90 | 2.90 |
| At institutional level | 3.31 | 3.59 |

Average responses to these questions for the different age groups, in the 2008 survey, are presented in Table 6.13. At none of the three levels do any of the age groups feel very influential. At departmental level and at faculty/school level academics feel a little influential and at institutional level not at all influential. Of the three age groups the youngest feels the least influential, at all levels.

The breakdown per field (academics in teacher education versus those in other fields) is presented in Table 6.14. The table reveals that academics of Faculties/Schools of Education feel they had less influence at departmental level; than their counterparts in other fields. This could be linked to the fact that with the restructuring of education and teacher education in South Africa, strongly driven by national government, academics attached to Schools/Faculties of Education feel the prescriptions from central government much more strongly than their counterparts in other academic fields (see Van der Walt et al. 2010b).

## 6.7 Views on Institution's Approach and Management Performance

Respondents were asked to express their views on their institutions' management and administrative styles and performance. Their responses are presented in Table 6.15.

**Table 6.15** South African academics' views on institutions' management and administrative styles and performance

| | Frequency distribution of responses (percentages) | | |
|---|---|---|---|
| Statement | Agree | Neutral | Disagree |
| At my institution there is … | | | |
| A strong emphasis on the institution's mission | 64 | 25 | 11 |
| Good communication between management and academics | 22 | 26 | 52 |
| A top-down management style | 69 | 19 | 12 |
| Collegiality in decision-making processes | 20 | 36 | 44 |
| A strong performance orientation | 52 | 28 | 20 |
| A cumbersome administrative process | 62 | 26 | 12 |
| A supportive attitude of administrative staff toward teaching activities | 30 | 28 | 42 |
| A supportive attitude of administrative staff toward research activities | 27 | 31 | 42 |
| Professional development for administrative/management duties for individual academic staff members | 29 | 28 | 33 |
| Views on the following statements | | | |
| Top-level administrators are providing competent leadership | 28 | 28 | 44 |
| I am kept informed about what is going on at this institution | 35 | 31 | 34 |
| Lack of faculty involvement is a real problem | 33 | 37 | 30 |
| Students should have a stronger voice in determining policy effects them | 34 | 33 | 34 |
| The administration supports academic freedom | 26 | 34 | 40 |

Academics in the various career phases' experience of institutional governance are presented in Table 6.16. While some of the age-groups do experience their relationship with institutional governance as positive, the middle-age group seems to be the most strained in these relations. Being the section of the academic profession at the crest of their careers, this dissatisfaction among the middle-age group is particularly disturbing.

The responses by academics attached to Faculty of Education, versus the responses to academics from other fields are presented in Table 6.17. Academics at schools of education have a less negative (though still not positive) experience of institutional governance. To return to a comment made earlier, this too might be related to academics at Schools/Faculties of Education taking working conditions at primary and secondary schools as their datum line.

Academics do not have a high regard for institutional management and administration. The CAP results show that they do not find their institutional management and administration to be providing competent leadership, communicating well with academics, or being supportive of academics' teaching and research endeavor, and they regard their institution as having a top-down management style.

**Table 6.16** South African academics of various career phases' responses to questions pertaining to institutional governance

| | Mean answers on a five-point semantic differential scale 1: strongly agree – 3: neutral – 5: strongly disagree | | |
|---|---|---|---|
| Statement: At my institution… | Age group 20–39 years | Age group 40–55 years | Age group older than 55 years |
| There is good communication between management and academics | 3.41 | 3.59 | 3.54 |
| A top-down management style | 2.12 | 2.02 | 2.10 |
| Collegiality in decision-making processes | 3.21 | 3.49 | 3.51 |
| Top-level administrators are providing competent leadership | 3.11 | 3.41 | 3.41 |
| I am kept informed about what is going on | 2.83 | 3.12 | 3.19 |
| Administration supports academic freedom | 3.20 | 3.41 | 3.25 |

**Table 6.17** South African academics of various academic fields' responses to questions relating to relations with management

| | Mean answers on a five-point semantic differential scale 1: strongly agree – 3: neutral – 5: strongly disagree | |
|---|---|---|
| Question: At my institution… | Academics at faculties of education | Academics at other units |
| There is good communication between management and academics | 3.16 | 3.70 |
| There is a top-down management style | 2.25 | 1.99 |
| Top-level management is providing competent leadership | 2.89 | 3.52 |
| I am kept informed about what is going on at my institution | 2.71 | 3.24 |
| The administration supports academic freedom | 3.07 | 3.39 |

## 6.8 Drivers

The drivers of the changes which the South African academic professions are experiencing in relation to institutional governance are to be found in the imperatives of the national context, in particular, in the place and role assigned to higher education in the post-1994 societal reconstruction project.

Besides enjoying a high degree of autonomy (as outlined above), South African universities traditionally were very "ivory tower" institutions. Disciplines were studied within watertight, mutually isolated departments, which were the basic units

of the academic enterprise. Academics were confined within these departments, and very much isolated from academics in other departments and from the realities of the outside world. Van den Berg (1983, as cited by Steinberg 1987:16) lamented that the Education sciences, as traditionally practiced at South African universities, were regarded as a self-contained discipline, removed from the social, economic, and political realities of society. Although the Education Sciences represent an extreme example, Van den Berg's statement is an apt description of much of South African academe two decades ago.

This was to change. In the post-1994 era, South Africa has been following the trend throughout Africa, where it has been common practice during the post-colonial period to curtail university autonomy, as governments harnessed universities to achieve their (governmental) objectives (Warner 2004). Second, the global neo-liberal economic revolution which commenced during the 1980s in Western Europe and which spread during the 1990s to the countries of the South, also affected South Africa. As elsewhere, the principles of this order (marketization, profitability, etc.) were carried into virtually every sphere of society, including education, and higher education in particular. This meant that the state, as the main provider of funding for higher education institutions, assumed an even bigger say in the running of universities. For the academic profession, this meant a persistent denudation of academic autonomy as business principles such as accountability, quality control, managerialism, and profitability were applied to the running of universities. This change resulted in university management and administrations increasingly directing, dictating, and controlling the professional lives of academics as explained above in the depiction of the higher education context.

## 6.9 Overall Outcomes

Respondents were asked to indicate how important each of the following kinds of affiliation was to them: affiliation with their academic discipline/field, affiliation with their department at their institution, and affiliation with their institution. The results are presented in Table 6.18.

Respondents' affiliation with their academic discipline/field is very important to them. Their affiliation with their institutional department and their institution are also important to them, although not as important as their affiliation with their academic department/field.

**Table 6.18** Importance of various affiliations to academics

| Question: Indicate the degree to which each of the following affiliations is important to you | Percentage distribution of responses | | |
|---|---|---|---|
| | Important | Neutral | Not important |
| My academic discipline/field | 94 | 5 | 1 |
| My department (at this institution) | 75 | 17 | 8 |
| My institution | 59 | 24 | 17 |

**Table 6.19** South African academic's job satisfaction

| Question: | Percentage distribution of responses | | |
|---|---|---|---|
| | High | Neutral | Low |
| How would you rate your overall satisfaction with your current job? | 52 | 29 | 19 |
| | Agree | Neutral | Disagree |
| My job is a source of considerable strain | 35 | 28 | 37 |
| If I had to do it all over again, I would not become an academic | 23 | 6 | 61 |
| This is a poor time for any young person to begin an academic career in my field | 25 | 17 | 58 |
| | Improved | Neutral | Deteriorated |
| Since you have started your career, have the overall conditions in higher education improved or declined? | 24 | 31 | 45 |

**Table 6.20** Academics' job satisfaction: Carnegie versus CAP responses

| Question: | Mean response on five-point Likert scale: 1: very high– 3: neutral – 5: very low | |
|---|---|---|
| | CAP survey (2008) | Carnegie survey (2002): |
| How would you state your overall satisfaction with your current job? | 2.63 | 2.60 |
| | Mean response on five-point semantic differential scale: 1: strongly agree – 3: neutral – 5: strongly disagree | |
| | CAP survey (2008) | Carnegie survey (2002): |
| My job is a source of considerable strain | 3.04 | 3.15 |
| | Question in positive: I would become an academic | |
| If I had to do it all over again, I would not become an academic | 3.64 | 3.80 |
| This is a poor time for any young person to begin an academic career in my field | 3.53 | 3.56 |

Respondents were also asked how satisfied they were with their jobs, as a whole and with certain aspects of their jobs. The results are presented in Table 6.19.

Where the same question was asked in the Carnegie Investigation, comparable data is given in Table 6.20. Academics are – surprisingly, in view of their perceptions of institutional governance and management – satisfied with their jobs, albeit moderately so. Also, their levels of satisfaction have not changed much since the Carnegie Study of 2002.

Academics of different career phases' responses to questions pertaining to job satisfaction are presented in Table 6.21. The answers point to a moderate (not high) level of job satisfaction. The lowest levels of job satisfaction lie with the middle career phase group. As already stated, these representing the group of academics at the crest of their academic careers, makes it particularly disturbing.

**Table 6.21** South African academics of various career phases' job satisfaction

| | Age group 20–39 years | Age group 40–55 years | Age group older than 55 years |
|---|---|---|---|
| Question**:** | Average answer on five-point scale 1: very high – 3: neutral – 5: very low | | |
| How would you rate your overall satisfaction with your current job? | 2.54 | 2.67 | 2.64 |
| | Average answer on 5 point scale 1: very much improved – 5: very much deteriorated | | |
| Since you have started your career, have the overall working conditions in higher education improved or declined? | 3.17 | 3.44 | 3.43 |
| | Average answer on five-point scale 1: strongly agree – 3: neutral – 5: strongly disagree | | |
| My job is a source of considerable personal strain | 3.38 | 2.99 | 2.91 |
| If I had to do it all over again, I would not become an academic | 3.89 | 3.56 | 3.68 |
| This is a poor time for any young person to begin an academic career in any field | 3.72 | 3.58 | 3.40 |

## 6.10 Current Issues Facing the System

The picture emerging from this study is one of the South African academic professions very much strained in their relations with institutional governance and its attendant administration. They do not feel very influential at their institutions, even at the departmental level. They view institutional management and administration as being incompetent, characterized by a top-down style, and not very supportive of academic freedom or of academics' teaching and research activities.

It could surely be granted that academics can only perform their (teaching and research) function within an atmosphere of academic freedom, and with the aid of a competent, efficient, and well-oiled administrative machinery. Likewise, it could be accepted that the global neo-liberal economic system is here to stay. Then the challenge is to harness the principles of the neo-liberal economic order in place to indeed create an efficient administrative-aim and administrative-support base for academics, but on the other hand also to keep the neo-liberal economic order and its excesses in academe sufficiently at bay so that the principle of academic freedom is not violated.

Academics in Faculties of Education who arguably have had to face a bigger avalanche of prescriptions and violations of academic freedom than academics from any other field, as could be expected, feel less in control of their immediate (departmental) environment. Yet these have not resulted in lower (compared to academics in other fields) levels of job satisfaction.

Two concerns emanate from the research. First is that academics in the early career phases (ages 20–39) experience being closed-in (cf. e.g., responses to perceived influence at departmental level), which is worrying in view of their roles as researchers and the fact that this phase is typically the most creative in a person's career. Second is that academics in the mid-career phase (ages 40–55 years) show the lowest levels of job satisfaction, which is cause for concern as these years are typically the most productive in a person's career.

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# Part II
# Mature Higher Education Systems

# Chapter 7
# Australia: The Changing Academic Profession – An enCAPsulation

**Hamish Coates, Ian R. Dobson, Leo Goedegebuure, and V. Lynn Meek**

## 7.1 Introduction

The Australian university sector of the twenty-first century is radically different from the one that preceded it. The last two decades, in particular, have seen radical changes. From the perspective of the student-side of the university equation, marked system growth, the introduction of at least partial fees for domestic students, and the inclusion of a huge number of foreign full-cost fee-paying students in the expanded student body have perhaps been the most spectacular changes. From a staff perspective, there has also been rapid growth in numbers, but the increase in teaching staff numbers has been at rates much lower than those for either research-only academics or non-academic staff (Dobson 2010). All but a few would argue that the key players in any teaching enterprise are the teachers themselves, but in the Australian academy, it is not certain that employment arrangements have kept pace with the other changes the sector has been experiencing.

As with other nations, the 2007 *Changing Academic Profession* (CAP) survey provides a ready source of information to test academic opinions, and how they have changed over time. This chapter provides background and context on the Australian system and reviews recent expansion and policy change. An analysis of CAP results then explores the characteristics of academics, conditions of work, and a selection of management and leadership arrangements. Suggestions are made, by way of conclusion, on what these insights mean for the medium-term future of Australian higher education.

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## 7.2 Context and Background

Australia is a relatively new nation and its university sector is young when compared with those in Europe and North America. Its first universities were established when "Australia" was still a set of British colonies; the inauguration of Australia as a nation did not occur until, January 1 1901. The Universities of Sydney and Melbourne were established in the 1850s in the then colonies of New South Wales and Victoria, respectively. The Universities of Adelaide (1874) and Tasmania (1889) were also established during this colonial period. Adelaide became the first university given the authority to grant degrees to women, in 1880. Universities were established in the remaining states of Queensland and Western Australia and they enrolled their first students in 1911 and 1913 (ABS 1988, Ch 10).

The "model" followed by Australia's universities was distinctly British. In fact, it has been suggested that the early universities were established "to recreate the social order and the institutions of the *Mother Country*" (DEET 1993, p. 1), rather than as a response to student demand. It has been argued that Australia's early universities "were created to resemble English universities…[but the] colonial setting meant that …[they] acquired some of the features of Scottish rather than English universities" (DEET 1993, p. 2).

One way of looking at the history of Australian higher education is to consider the distribution of overall higher education funding between governments, students and other sources of funds. A change in the proportions from these three sources provides an interesting perspective on the development of the sector. In 1910, for example, income from government grants represented a smaller portion of total university income than that provided by way of student fees, and public donations were described as "substantial" (Stanley 1992).

This distribution changed gradually and by 1939, 45% of total funding came from governments (predominantly from the states), with 32% being sourced from student fees and 23% from other sources. Student fees were abolished from the end of 1973, so their proportion of the total was almost zero for several years from 1974. However, student fees (in one form or another) were progressively re-introduced from 1979, when foreign students were charged part-cost fees via the Overseas Student Charge, followed by a major push from 1986, the year in which foreign students were first charged full-cost fees (Smart and Ang 1993). These developments spawned Australia's huge higher education "export" on which the sector is now financially dependent. As argued in rather circumspect fashion in the recent *Review of Australian Higher Education*, "It appears that many institutions use international student revenue to support services to domestic students and bolster research infrastructure… This suggests that funds available for teaching of domestic students and for research activities may be insufficient…" (Bradley et al. 2008, p. 93).

Domestic students were not to be immune from fees either. Since 1989, all but a few domestic students have paid fees of one type or another, with most undergraduates paying (substantial) partial fees via an income-contingent loan scheme called "HECS", an acronym for *Higher Education Contribution Charge*.

These developments have been well documented elsewhere. See, for example, Dobson (1997), Dobson (2001), Harman (2002). By 2007, the proportionate distribution of university funding between sources was 44.5, 37.9, and 17.6% for government, student, and other sources, respectively (DEEWR 2009). In 2007, the total income of Australian universities from all sources was $17.3 billion, which at time of writing in the middle of May 2010 represented approximately £10.4 billion, €12.2 billion, and US$15.5 billion. Australian higher education is much closer to being a "private" sector now than ever in its past, and the steady decline in government grants per student (Kniest 2007) has increased universities' reliance on student fees as a source of income.

Another issue arises from the fact that there has been a radical change to the distribution of government funding between federal (Commonwealth) and state treasuries. Australia is a federation of six states and two territories, and education is a state/territory responsibility under the Constitution. Within the sums of funding coming from government sources, the bulk of government funding came from state governments until World War II, but the Commonwealth government's proportion increased steadily thereafter until 1974, when the Commonwealth accepted full responsibility for funding (see DEET 1993, p. 1ff). State (and local) governments now provide very little university funding. In 2007, this level of government provided 4% of total university income.

The year 1989 represents a "natural" point for analyzing change in Australian higher education. This was the first year of the so-called "Dawkins reforms," through which the then education minister sought to increase the opportunity for university attendance among people previously "excluded" from higher education (Dawkins 1988). These reforms are perhaps best remembered because of the reintroduction of tuition fees for domestic students ("HECS," as mentioned above), dismantling the binary system, institutional mergers, and changes in the way research was funded.

Creating a unitary system and institutional mergers meant the end to the *colleges of advanced education*, institutions that had been created primarily from teacher training colleges and technical colleges a couple of decades earlier. Government statistics for 1988 list 44 colleges of advanced education and 19 universities (DEET 1988, Table 3). These institutions transmogrified into 35 universities in a relatively short period, through a combination of mergers and take-overs (Goedegebuure and Meek 1991). Few of the new institutions managed to avoid the considerable pressures to merge (Goedegebuure 1992).

Notwithstanding the Dawkins' concept of the "unified national system," universities are not all the same, and perhaps the biggest point of departure from the "average" university is the proportion of total research undertaken by a small number of them. The main point of analysis in this chapter is to compare responses to the CAP survey of academics at the major Australian research universities with those from other universities. Perhaps helpfully, universities organized themselves into several isomorphic coalitions in the 1990s. The groupings that exist today are the Australian Technology Network (ATN), the Innovative Research Universities (IRU), and the Group of Eight (Go8). Of these groups, the one that is "most

different" is the Go8, because of its relative strength in research. On its website, the Go8 describes itself in these terms:

> The Group of Eight (Go8) is a coalition of leading Australian universities, intensive in research and comprehensive in general and professional education…. The group has been operating as an informal network of vice-chancellors since 1994. It was formally incorporated in September 1999 (Go8 2009).

The Go8 is clearly *the* research bloc in Australian higher education, and in essence is comprised of the sandstone pre-Dawkins research universities, comparable to the Russell Group in the UK. In 2007, the Go8 enrolled 27% of the total student population, but had 50% of research higher degree students (DEEWR 2008a). Go8 academics represented 40% of all teaching academic staff (DEEWR 2008b), but they generated 52% of publications (Universities Australia 2009). Go8 universities employ about 70% of the sector's "research-only" academic and support staff (DEEWR 2008b). Most importantly, however, research funding is the major divider of the Go8 from "the rest." In 2007, Go8 universities earned 69% of research funding (all sources) and 75% of the funding from the prestigious national competitive grants through the Australian Research Council (ARC) and the National Health and Medical Research Council (NHMRC) (Universities Australia 2009).

## 7.3 Expansion and Change in Australian Higher Education

The Australian higher education sector in 2010 is radically different from the one just 20 or so years earlier when the original Carnegie academic profession survey was carried out. This hampers straightforward comparisons with the 1992 survey data, given that the institutional landscape has changed dramatically. A further complication is that the group identified as "research universities" in the 1992 Carnegie study is not identical to the Go8 as it currently exists. The 1992 group was comprised of seven institutions of which one was not part of the Go8 (Sheehan et al. 1996, p. 10). It is these two factors that prevent us making longitudinal comparisons in this chapter.

The two major changes over the past few years worth elaborating on (in terms of the context within which the CAP survey has been undertaken), have been the radical growth in the sector, and the fact that universities' response to this increase in students has been to appoint casual and other short-term contract staff (Coates et al. 2009b).

Student numbers increased from about 441,000 to over 1,000,000 in the period from 1989 to 2007, an increase of something approaching 130%. The largest growth segment within that came from fee-paying overseas students, as mentioned earlier. Australia has become one of the major destinations for foreign university students after the USA and Britain. In Australia, foreign students' proportion of all enrollments increased from less that 6% in 1989 to over 26% in 2007. The current "higher education" sector comprises 37 multi-disciplinary "public" universities, a few single discipline public non-university higher education institutions, two

private universities and a myriad of small private providers, many of which can scarcely be described as "higher education." We mention these because they feature in government statistics and reports somewhat indiscriminately, along with traditional universities. Enrollments in this private part of the sector varied from 8 to 4,030 in 2007 (DEEWR 2008a).

Over the same period, the number of university teachers increased from about 25,000 to about 33,500, an increase of 33.7%. Of this increase, more than half were casual staff. The "casual" issue has two dimensions. First, from the point of view of the casual staff themselves, a large proportion would prefer to have less precarious employment (Junor 2004). From the perspective of tenured and other staff with contracts covering longer periods, there is increased "management" pressure in supervising casual teachers and allocating teaching to a much larger number of individuals (Lazarfeld-Jensen and Morgan 2009).

## 7.4 Research Approach

The Australian CAP survey involved 21 of Australia's 37 public universities and was conducted in the middle of 2007. As in other participating nations, it produced a representative database from which it is possible to analyze the nature of academic work in Australia, and academics' perceptions of it.

The target population for the survey were academic staff involved in academic activities, but, following the CAP sampling specifications, excluded adjunct, casual/sessional and honorary staff, and senior university executive staff, most of whom had been "academics" in their previous life [such as pro-, deputy and (full) vice-chancellors].

A total of 1,370 CAP survey responses were received, but most items had some degree of non-response. Table 7.1 summarizes the Australian sample according to discipline, seniority, and sex, all cross-tabulated against university bloc.

Comparing respondent numbers with the sector overall, the sample contained commensurate numbers in science, computing, engineering, agriculture, and architecture (sample 29%; population 31%) and in business, law, and economics (14%/14%). However, academic staff in humanities, arts, and education were under-represented (33%/39%), and in health they were over-represented (24%/16%).

Among CAP survey responses, 144 did not indicate their academic level. Among those that did respond, the most junior level (associate lecturers) was under-represented, accounting for 15% (19% of the sample). Equivalent figures for lecturers were 38% (33%), senior lecturers 25% (24%), associate professors 12.2% (12.1%), and professors 10.6% (11.3%).

This study has also considered gender-based differences, and the gender distribution of the sample that responded to the CAP survey was distributed 46%/54% between men and women, respectively. This differed slightly from the actual distribution sector-wide, which was 59%/41% for men and women, respectively (DEEWR 2008b, Calculated from Table 1.7).

**Table 7.1** CAP survey: The Australian sample

| | Go8 | Other | Total |
|---|---|---|---|
| Total respondents no. | 583 | 787 | 1,370 |
| Total respondents % | 42.6 | 57.4 | 100.0 |
| Discipline (of department/unit) % | | | |
| Art, humanities, and education | 33.9 | 33.2 | 33.5 |
| Business, economics, and law | 13.0 | 14.4 | 13.8 |
| Medicine/health | 22.4 | 25.6 | 24.2 |
| Science, engineering, and agriculture | 30.7 | 26.9 | 28.5 |
| Total | 100.0 | 100.0 | 100.0 |
| *N* | 469 | 633 | 1,102 |
| No response | 114 | 154 | 268 |
| Seniority % | | | |
| Senior positions | | | |
| Professor | 12.3 | 9.3 | 10.6 |
| Associate professor | 12.9 | 11.6 | 12.2 |
| Sub-total | 25.2 | 21 | 22.8 |
| Junior positions | | | |
| Senior lecturer | 21.9 | 27.1 | 24.9 |
| Lecturer | 34.2 | 40.1 | 37.6 |
| Associate lecturer | 18.7 | 11.9 | 14.8 |
| Sub-total | 74.8 | 79 | 77.2 |
| Total | 100 | 100 | 100 |
| *N* | 520 | 706 | 1,226 |
| No response | 63 | 81 | 144 |
| Sex % | | | |
| Male | 46.9 | 44.8 | 45.7 |
| Female | 53.1 | 55.2 | 54.3 |
| Total | 100 | 100 | 100 |
| *N* | 437 | 634 | 1,071 |
| No response | 146 | 153 | 299 |

More detail on the sampling methodology and distribution can be obtained by referring to Coates et al. (2009a)

## 7.5 The Go8 Compared

Go8 universities stand out from the rest of the sector in their performance in research. Does this carry over into the attitudes of academic staff?

One way to test for differences is to examine academic staff and their preference for teaching over research, or vice versa. Table 7.2 shows that having an interest primarily in teaching is a minority preference in the Australian system, but that it is even a weaker trait in Go8 universities. Whereas 20.6% of Go8 academics had an interest primarily in teaching, or a leaning toward teaching, the figure for other universities was 37.8%. The table also shows the much stronger focus on research in Go8 universities. Of those responding to this question, 79.5% of Go8 academics had a leaning toward research, compared with 62.2% of academics from other universities. To a certain extent, this is self-fulfilling. Typically, universities employ

**Table 7.2** Preference for teaching and/or research by university bloc

| | Primarily in teaching | Both teaching and research leaning towards teaching | Both teaching and research leaning towards research | Primarily in research | Total (%) | Total (*N*) |
|---|---|---|---|---|---|---|
| Group of eight | 5.0 | 15.6 | 41.5 | 38.0 | 100.0 | 482 |
| Other universities | 8.4 | 29.4 | 39.7 | 22.5 | 100.0 | 640 |
| Total | 7.0 | 23.4 | 40.5 | 29.1 | 100.0 | |
| *N* | 78 | 263 | 454 | 327 | – | 1122 |

core academic staff to undertake both teaching and research. These "teaching and research" academics then win research council (and other) grants, and then employ other academic staff to work on specific research projects and/or "buy out" their teaching duties.

Another way to isolate differences between what academic staff actually do is to examine the distribution of their work hours, during teaching periods and at other times of the year. Over all, there would appear to be little difference in hours worked. Almost 95% of Go8 academics worked 21 hours or more during term time, compared with 93.8% of academics from other universities. In part, this is a reflection of the fact that some academic staff have on-going appointments for less than a full-time load ("fractional full-time" appointments).

Table 7.3 examines the distribution of working hours during teaching and non-teaching periods. In term time, Go8 academics (on average) spend fewer hours on teaching or teaching preparation than their colleagues from other universities do. Of Go8 academics, 8.7% spent no time on teaching-related activities and 28% spent between 1 and 10 hours on teaching and related activities. These proportions should be compared with 3.9% and 22.9% of academics from other universities. At the other end of the scale, 26.8% of Go8 academics and 34.9% of academics from other universities spent 21 hours or more on teaching-related activities during teaching periods. Similar proportions of academics from both types of university spent 11–20 hours per week on teaching (36.4% and 38.4% for Go8 and other universities, respectively).

The patterns for research during term time are different. Among Go8 academics, 7.2% spent no time on research, and 39.5% spent between 1 and 10 hours on research, compared with 8.9% and 55.8% of academics from other universities. At the higher end of the scale, 28.6% of Go8 academics, compared with 13.2% of academics from other universities spent 21 hours or more on research and related activities.

The disparities between Go8 and other universities based on the proportions of time spent on service, administration, and "other" activities, are much lower. Around 97% of staff from both university types spent 10 or fewer hours on "service" activities during term time, with many spending no hours on "service." Fewer staff spent no time at all on administration (10.2% and 6.2% of Go8 and other universities, respectively), and around 69% of academics from both university types spent between 1 and 10 hours on administration. Of those staffs that were unable to define their activities within teaching, research, service, and administration, about one-third spent no hours on such activities, and about two-thirds spent between 1 and 10 hours.

**Table 7.3** Hours spent on activities during teaching and non-teaching periods by university bloc

| | 0 hour (%) | 1–10 hours (%) | 11–20 hours (%) | >21 hours (%) | Total (%) |
|---|---|---|---|---|---|
| Teaching periods | | | | | |
| Teaching and teaching related | | | | | |
| Go8 | 8.7 | 28.0 | 36.4 | 26.8 | 100.0 |
| Other | 3.9 | 22.9 | 38.4 | 34.9 | 100.0 |
| Research and research related | | | | | |
| Go8 | 7.2 | 39.5 | 24.7 | 28.6 | 100.0 |
| Other | 8.9 | 55.8 | 22.1 | 13.2 | 100.0 |
| Service | | | | | |
| Go8 | 43.1 | 52.7 | 3.3 | 0.9 | 100.0 |
| Other | 45.0 | 52.3 | 1.9 | 0.8 | 100.0 |
| Administration | | | | | |
| Go8 | 10.2 | 69.0 | 16.9 | 3.9 | 100.0 |
| Other | 6.2 | 68.8 | 17.8 | 7.2 | 100.0 |
| Other | | | | | |
| Go8 | 33.4 | 65.4 | 1.2 | 0.0 | 100.0 |
| Other | 32.2 | 65.1 | 2.1 | 0.6 | 100.0 |
| Non-teaching periods | | | | | |
| Teaching and teaching related | | | | | |
| Go8 | 39.5 | 49.5 | 8.8 | 2.2 | 100.0 |
| Other | 25.0 | 49.5 | 19.6 | 5.9 | 100.0 |
| Research and research related | | | | | |
| Go8 | 3.4 | 12.9 | 22.0 | 61.7 | 100.0 |
| Other | 4.7 | 28.6 | 32.1 | 34.6 | 100.0 |
| Service | | | | | |
| Go8 | 46.8 | 48.3 | 4.1 | 0.7 | 100.0 |
| Other | 44.2 | 53.2 | 1.8 | 0.8 | 100.0 |
| Administration | | | | | |
| Go8 | 13.4 | 69.3 | 12.7 | 4.6 | 100.0 |
| Other | 8.2 | 63.8 | 18.6 | 9.4 | 100.0 |
| Other | | | | | |
| Go8 | 27.6 | 70.0 | 2.2 | 0.2 | 100.0 |
| Other | 25.0 | 70.3 | 3.5 | 1.2 | 100.0 |

As one might expect, non-teaching periods provide an opportunity for academics to increase their participation in other activities. However, the proportion of time academics spent on service, administration and other activities increased little. The substitution occurs between teaching and research. Outside teaching periods, staff at both Go8 and other universities spent fewer hours on teaching-related activities and more hours on research. The proportion of Go8 academics that spent 21 or more hours on research increased from 28.6% to 61.7%. The equivalent figures for other universities were 13.2% and 34.6%, respectively. Therefore, the general situation is that a higher proportion of Go8 staff undertakes research during both teaching and non-teaching periods. This is probably not a surprise, but it is *the* most differentiating factor in Australian higher education (Goedegebuure et al. 2009).

## 7.6 Conditions of Work

So far, we have been able to establish that Go8 universities differ from other universities by virtue of their academic staff and the involvement of those academics in research. Considering facilities and support for teaching, we found that there was little difference between Go8 and other universities with respect to academic staff perceptions about classrooms, teaching support, and technology for teaching (see Table 7.4). For *classrooms*, 45.8% of Go8 academics and 48.3% of academics from other universities found them to be "excellent" or "good." The respective figures for *teaching support* were 29.4% and 27.4%. For *technology for teaching*, the result was 53.4% for Go8 universities and 50.2% for academics from other universities. Opinions differed on *libraries*, however, with 82.1% of Go8 academics rating their libraries excellent or good, compared with 69.4% from other universities.

As far as perceptions about working conditions for research are concerned, Go8 academics tended to be more complimentary than their colleagues from other universities (see Table 7.5). The gaps between the two were greatest for *research funding* (31.5% of Go8 academics described it as excellent or good, compared with 15.6% of academics from other universities) and *research equipment* (51.7% compared with 33.6%). The gap was less pronounced for *laboratories* (45.5% compared with 37.1%) and *research support* (28.9% compared with 23.0%).

Table 7.6 summarizes CAP respondents' perceptions of aspects of their general working conditions. Go8 academics were also more satisfied than their colleagues from other universities on matters relating to IT facilities. Table 7.6 shows that 70.7% of Go8 academics rated *ICT* in general as excellent or good, compared with

**Table 7.4** Perceptions of academic staff – teaching-related items

| | Go8 | Other | All |
|---|---|---|---|
| Classrooms | 45.8 | 48.3 | 47.2 |
| Technology for teaching | 53.4 | 50.2 | 51.6 |
| Teaching support | 29.4 | 27.4 | 28.2 |
| Library facilities and services | 82.1 | 69.4 | 74.8 |

Percentage of respondents who rated conditions "excellent" or "good" by university bloc

**Table 7.5** Perceptions of academic staff – research-related items

| | Go8 | Other | All |
|---|---|---|---|
| Laboratories | 45.5 | 37.1 | 40.7 |
| Research support | 28.9 | 23.0 | 25.5 |
| Research funding | 31.5 | 15.6 | 22.5 |
| Research equipment | 51.7 | 33.6 | 41.6 |

Percentage of respondents who rated conditions "excellent" or "good" by university bloc

**Table 7.6** Perceptions of academic staff – general working conditions

| | Go8 | Other | All |
|---|---|---|---|
| Personal office space | 58.8 | 64.2 | 61.9 |
| Secretarial support | 27.2 | 27.2 | 27.2 |
| ICT | 70.7 | 63.7 | 66.7 |
| Computer facilities | 64.6 | 59.5 | 61.7 |

Percentage of respondents who rated conditions "excellent" or "good" by university bloc

63.7% of academics from other universities. For *computer facilities*, the results were 64.6% and 59.5%, respectively. For *secretarial support*, 27.2% of academics from both types of university rated them as excellent or good. However, academics from Go8 universities were less enamored of their *personal office space*: 58.8% rated it as excellent or good, compared with 64.2% of academics from other universities. To what extent this is related to the age of the buildings remains an open question, but clearly most Go8 universities largely have older buildings than the other universities.

## 7.7 Who Decides What?

One of the questions in the CAP survey sought academics' opinions on which actors had the primary influence on a range of decisions. Comparative results between Go8 and other universities produced a consistent pattern: academics from Go8 universities saw primary decision-making as coming from academic unit managers and faculty committees, whereas those from other universities perceived more influence coming from institutional managers (see Table 7.7).

The role of institutional managers was perceived as being greatest in *choosing key administrators*. Overall 65.3% of Australian academics saw institutional managers to have the primary role in this area, an average of the perceptions of Go8 academics (57.9%), and 70.8% of academics from other universities. Institutional managers were also perceived as having the major role in determining budget priorities, but there was a gap of more than 20% between Go8 universities and other universities. Academics from Go8 universities saw academic managers and faculty committees as having a greater role.

Academics' perception of decision-making was that neither government and other external stakeholders, nor students had much influence over university decision-making. In the case of students, the perception was that their influence over decision-making did not extend beyond the *evaluation of teaching*. More Go8 academics than academics from other universities thought that students had the primary influence on teacher evaluation: 21.6% compared with 16.3%.

Nor did respondents to the CAP survey see themselves as being influential in most areas of decision-making. The principal exception to this observation was in decisions relating to *establishing international links*. Among Go8 academics,

**Table 7.7** Perceptions of academic staff about decision-making by university bloc

| Decision/university bloc | Government or external stakeholders | Institutional managers | Academic unit managers | Faculty committees/ boards | Individual academics | Students | Total |
|---|---|---|---|---|---|---|---|
| Choosing key administrators (%) | | | | | | | |
| Go8 universities | 1.3 | 57.9 | 18.1 | 17.0 | 5.8 | – | 100.0 |
| Other universities | 2.7 | 70.8 | 11.6 | 11.4 | 3.6 | – | 100.0 |
| Academic staff selection (%) | | | | | | | |
| Go8 universities | 0.0 | 20.0 | 29.0 | 43.8 | 7.2 | – | 100.0 |
| Other universities | 0.6 | 30.1 | 32.5 | 28.0 | 8.8 | – | 100.0 |
| Promotion/tenure (%) | | | | | | | |
| Go8 universities | 0.0 | 24.6 | 14.1 | 56.4 | 4.9 | – | 100.0 |
| Other universities | 0.2 | 40.0 | 17.3 | 38.9 | 3.5 | – | 100.0 |
| Determining budget priorities (%) | | | | | | | |
| Go8 universities | 1.8 | 43.8 | 26.5 | 19.8 | 8.0 | – | 100.0 |
| Other universities | 1.9 | 64.3 | 16.2 | 12.8 | 4.8 | – | 100.0 |
| Determining teaching load (%) | | | | | | | |
| Go8 universities | 0.5 | 14.7 | 40.3 | 29.6 | 14.9 | – | 100.0 |
| Other universities | 0.6 | 26.4 | 41.2 | 19.3 | 12.5 | – | 100.0 |
| Setting undergraduate admission standards (%) | | | | | | | |
| Go8 universities | 4.3 | 44.3 | 13.0 | 29.7 | 8.6 | – | 100.0 |
| Other universities | 5.5 | 49.2 | 17.9 | 20.5 | 7.0 | – | 100.0 |
| Approving new academic programmes (%) | | | | | | | |
| Go8 Universities | 0.3 | 31.8 | 13.5 | 48.8 | 5.6 | – | 100.0 |

(continued)

**Table 7.7** (continued)

| Decision/university bloc | Government or external stakeholders | Institutional managers | Academic unit managers | Faculty committees/ boards | Individual academics | Students | Total |
|---|---|---|---|---|---|---|---|
| Other Universities | 2.4 | 45.3 | 12.7 | 36.9 | 2.6 | – | 100.0% |
| Evaluating teaching (%) | | | | | | | |
| Go8 Universities | 0.8 | 21.4 | 18.2 | 21.6 | 16.4 | 21.6 | 100.0 |
| Other Universities | 1.1 | 31.1 | 22.3 | 16.1 | 12.9 | 16.3 | 100.0 |
| Setting internal research priorities (%) | | | | | | | |
| Go8 Universities | 1.6 | 19.7 | 19.7 | 24.7 | 34.2 | 0.0 | 100.0 |
| Other Universities | 1.3 | 45.6 | 19.7 | 17.8 | 15.3 | 0.2 | 100.0 |
| Evaluating research (%) | | | | | | | |
| Go8 Universities | 10.0 | 23.5 | 17.6 | 23.8 | 25.1 | 0.0 | 100.0 |
| Other Universities | 9.4 | 38.7 | 19.1 | 19.1 | 13.7 | 0.0 | 100.0 |
| Establishing international linkages (%) | | | | | | | |
| Go8 Universities | 2.1 | 21.3 | 13.2 | 10.3 | 53.2 | 0.0 | 100.0 |
| Other Universities | 1.0 | 39.5 | 17.5 | 8.0 | 33.8 | 0.2 | 100.0 |

53.2% thought that individual academics had the primary role, rather more than academics from other universities (33.8%). Academics from other universities saw institutional managers as having a much greater role in establishing international links: 39.5% compared with 21.3% for Go8 universities.

Academic *staff selection* and *academic promotion and tenure* are perceived as falling within the academic purview overall, but to a lesser extent by academics from other universities. Among Go8 academics, 43.8% thought that faculty committees had the primary role in academic selection, with a further 29.0% believing that academic unit managers had such a role. Equivalent figures for non-Go8 universities were 28.0% and 32.5%, respectively. For promotion and tenure, 56.4% of Go8 academics and 38.9% of academics from other universities thought that faculty committees had the primary role. Institutional managers were still seen as having a major role in academic appointment and promotion/tenure, particularly by staff from non-Go8 universities. Whereas 20.0% of Go8 academics thought that institutional managers had the primary role in academic appointments, the proportion of academics from other universities was 30.1%. For promotion and tenure matters, the equivalent figures were 24.6% and 40.0%.

Decisions on *undergraduate admission standards* were also seen as falling under the influence of institutional managers, but as noted for other decision, this was the opinion of a lower proportion of Go8 academics. Whereas 44.3% of Go8 academics saw institutional managers as being the primary decision maker in this area, this was the perception of 49.2% of academics from other universities.

Approving new academic programs was seen largely as an "academic" responsibility, but institutional managers were also perceived as having a considerable role. A much higher proportion of academics from Go8 universities saw faculty committees as the primary decision-maker here: 48.8% compared with 36.9% of academics from other universities.

Differences between these two university groups are also apparent in research-related areas. In both "setting research priorities" and "evaluating research," Go8 academics perceived about twice the role for individual academics than did their colleagues from other universities. Respective proportions for setting research priorities were 34.2% and 15.3% for Go8 and other universities. For evaluating research, the equivalent figures were 25.1% and 13.7%. Go8 academics perceived a much lower influence on these research-related matters by institutional managers. For setting research priorities, 19.7% of Go8 academics thought that institutional managers had the primary influence, a quite modest figure when compared with the 45.6% of non-Go8 academics. For research evaluation, the respective figures were 23.5% and 38.7%.

Overall, when examined according to university bloc, it would seem that academics from non-Go8 universities perceived a much more centralized-style of decision-making. In all decision areas from the CAP survey, a larger proportion of academics from non-Go8 universities saw institutional managers as having the primary role. Academic staff at non-Go8 universities perceived institutional managers to be the primary decision-influencer in all decisions other than appointing academic staff. Even for these decisions, institutional managers were a close second to academic managers. From the point of view of Go8 academics, the perception

was that only in decisions relating to appointing key administrators, determining budgets and undergraduate admissions standards did institutional managers have the primary influence. The perceived heavy influence of institutional managers on research-related activities is perhaps the hardest to understand, but perhaps the lower proportion of academic staff engaging in research in non-Go8 universities, as noted above, can explain it.

## 7.8 Who Is Influential?

Notwithstanding the considerable variation between perceptions of academic staff over matters relating to teaching, research and working conditions, such discrepancies do not exist with respect to who has influence. As shown in Table 7.8, at the top end, 10.4% of CAP respondents from Go8 universities felt they were very influential at the department level, as did 4.0% at the faculty level and 2.1% at the institutional level. The equivalent figures for academics from other than Go8 universities were 11.3%, 4.5%, and 2.6%, respectively.

At the other end of the scale, similar proportions from both university types felt that they were not at all influential, the results indicating about 20% at the department level, 40% at the faculty level, and 57% at the institution level.

## 7.9 Institutions' Management Performance

Where the attitude of academics to management performance is concerned, in many areas there is little difference in attitude between academic staff whether they are in a Go8 university or not, as outlined in Table 7.9. In the context of the questions asked of respondents, for some questions "strongly agree" indicates approval, but for other variables, "strongly agree" might relate to agreeing with something

**Table 7.8** Perceptions of academic staff: How influential are you, personally, in helping to shape key academic policies? By university bloc

| | At the departmental level (%) | | | At the faculty level (%) | | | At the institution level (%) | | |
|---|---|---|---|---|---|---|---|---|---|
| | Go8 | Other | Total | Go8 | Other | Total | Go8 | Other | Total |
| Very influential | 10.4 | 11.3 | 10.9 | 4.0 | 4.5 | 4.3 | 2.1 | 2.6 | 2.4 |
| Somewhat influential | 27.3 | 28.9 | 28.2 | 14.7 | 16.0 | 15.5 | 9.7 | 5.8 | 7.4 |
| A little influential | 36.1 | 33.9 | 34.8 | 34.0 | 31.2 | 32.3 | 20.4 | 22.3 | 21.5 |
| Not at all influential | 19.5 | 20.7 | 20.2 | 39.8 | 40.5 | 40.2 | 56.0 | 57.7 | 57.0 |
| N/A | 6.7 | 5.3 | 5.8 | 7.5 | 7.8 | 7.7 | 11.8 | 11.7 | 11.7 |
| Total | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 |
| *N* | 374 | 551 | 925 | 374 | 551 | 925 | 373 | 548 | 921 |

**Table 7.9** Perceptions of academic staff on management performance by university bloc (1)

| | *N* | Agree or strongly agree (%) | Neither agree nor disagree (%) | Disagree or strongly disagree (%) | Total (%) |
|---|---|---|---|---|---|
| Emphasis on mission | | | | | |
| Go8 | 372 | 56.7 | 25.0 | 18.3 | 100.0 |
| Other | 547 | 55.8 | 28.7 | 15.5 | 100.0 |
| Good communication | | | | | |
| Go8 | 372 | 29.6 | 28.0 | 42.5 | 100.0 |
| Other | 547 | 30.3 | 29.8 | 39.9 | 100.0 |
| Top-down management | | | | | |
| Go8 | 369 | 57.7 | 24.4 | 17.9 | 100.0 |
| Other | 541 | 55.6 | 25.7 | 18.7 | 100.0 |
| Collegiality in decision making | | | | | |
| Go8 | 368 | 28.5 | 31.3 | 40.2 | 100.0 |
| Other | 542 | 31.0 | 31.7 | 37.3 | 100.0 |
| Strong performance orientation | | | | | |
| Go8 | 371 | 49.1 | 30.7 | 20.2 | 100.0 |
| Other | 547 | 43.3 | 32.4 | 24.3 | 100.0 |
| Cumbersome administrative processes | | | | | |
| Go8 | 372 | 61.6 | 23.1 | 15.3 | 100.0 |
| Other | 542 | 61.8 | 22.5 | 15.7 | 100.0 |
| Administration is supportive of teaching | | | | | |
| Go8 | 366 | 42.1 | 26.8 | 31.1 | 100.0 |
| Other | 538 | 32.9 | 34.6 | 32.5 | 100.0 |
| Administration is supportive of research | | | | | |
| Go8 | 363 | 30.0 | 32.5 | 37.5 | 100.0 |
| Other | 535 | 26.5 | 33.5 | 40.0 | 100.0 |
| PD available for admin/mgt for academics | | | | | |
| Go8 | 362 | 22.9 | 31.5 | 45.6 | 100.0 |
| Other | 536 | 23.3 | 31.7 | 45.0 | 100.0 |

negative. In addition, the data indicate a considerable amount of "fence-sitting", in that for all the variables, between a quarter and one-third of academics neither agreed nor disagreed.

Overall, Australian academic staff were most critical of:

- Communication between management and academics (42.5% of Go8 academics were critical; 39.9% of academics from other institutions)
- Top-down management (57.7% and 55.6%, respectively)
- The perception of little collegiality in decision-making processes (40.2% and 37.3%, respectively)
- The perceived cumbersome nature of administrative processes (61.6% and 61.8%, respectively)
- The perception of too little support for research (37.5% and 40.0%, respectively)
- The lack of availability of professional development in administration and management for academic staff (45.6% and 45.0% respectively)

**Table 7.10** Perceptions of academic staff on management performance by university bloc (2)

| | Top-level administrators provide competent leadership | | I am kept informed about what is going on at this institution | | Lack of academic involvement is a problem | | The administration supports academic freedom | |
|---|---|---|---|---|---|---|---|---|
| | Go8 | Other | Go8 | Other | Go8 | Other | Go8 | Other |
| Agree or strongly agree (%) | 32.8 | 32.8 | 48.5 | 47.4 | 37.2 | 37.4 | 30.0 | 32.0 |
| Neither agree nor disagree (%) | 29.6 | 33.9 | 22.8 | 27.2 | 34.0 | 35.2 | 37.8 | 37.4 |
| Disagree or strongly disagree (%) | 37.6 | 33.2 | 28.7 | 25.4 | 28.8 | 27.4 | 32.2 | 30.6 |
| Total (%) | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 |
| *N* | 372 | 545 | 373 | 551 | 368 | 548 | 370 | 543 |

In none of these were there marked differences between academics from Go8 or other universities. “Cumbersome nature of administrative processes” would appear to be the variable to annoy academics most across the board.

Academics were generally supportive of universities’ emphasis on mission (for which there was little difference between Go8 and other universities) and strong performance orientation for which there was a considerable difference, with more agreement from Go8 academics.

Table 7.10 summarizes other aspects of Australian academics’ responses to questions relating to management performance. There was also little disagreement between academics, whether from Go8 or other universities, with respect to management performance. Many academics agreed or strongly agreed that they were kept informed (48.5% of Go8 academics and 47.4 of other academics), but for such a measure, perhaps it could be argued that this is not a good result. An average of about 25% neither agreed nor disagreed that they were kept informed.

Two of the three other questions on management, that is, that there was competent leadership, and that the administration-supported academic freedom produced a result whereby responses were evenly distributed, with about one-third of academics agreeing, disagreeing, or neither of these. The final question related to *the lack of academic involvement is a problem*. Just over 37% of respondents agreed or strongly agreed with this statement, whether they were academics from a Go8 or other university, but perhaps this is a negative indictment of universities. Another 34–35% neither agreed nor disagreed with the statement.

If only one-third of academic staff members agree or strongly agree that universities are competently led, is it a negative indication because two-thirds did not support this view? Should university leadership hope for a more enthusiastic result?

## 7.10 Working Conditions

This section considers a number of issues relating to working conditions and the perceptions of academic staff on how they might have changed over time.

First, Table 7.11 reports on academic staff and their perceptions of the importance of their affiliations. Most Australian academics feel a strong or a very strong affiliation with their discipline, and there is little difference in response between academics from Go8 and other universities. Fewer academics report their affiliation to their department to be weaker than their affiliation to their discipline. About two-thirds of academics reported a strong or very strong affiliation to their department, compared to almost 90% with a strong or very strong affiliation to their discipline. The institutional affiliation is the weakest of the three, with about half of academics reporting a strong or very strong affiliation to their university. The gap between responses from academics at Go8 universities is slightly greater.

Academic staff members were asked a number of questions about their career, as summarized in Table 7.12. There was little difference in responses from academics from Go8 or other universities. About 46% of the respondents believed that now was not a good time for a young person to embark on an academic career. However, only 23.0% of Go8 academics and 19.8% of academics from other universities agreed or strongly agreed with the proposition that they would not pursue an academic career again.

Academics across the board agreed or strongly agreed that their academic career was a cause of considerable personal strain to them. Over half of academics responding to this question were of that opinion.

Table 7.13 summarizes the responses to a direct question about job satisfaction. Nearly two-thirds of academics from Go8 universities reported that their current job provided them with high or very high job satisfaction. The proportion of academics from other universities to report these high satisfaction levels was slightly lower, at 61.5%. Those less-satisfied academics from other universities did not

**Table 7.11** Perceptions of academic staff: Importance of affiliation – percentage of academics reporting high or very high affiliation, by university bloc

| | Go8 | Other | Total |
|---|---|---|---|
| My academic discipline/field | 87.5 | 89.6 | 88.7 |
| My department (at this institution) | 66.2 | 67.2 | 66.8 |
| My institution | 53.4 | 48.3 | 50.5 |

**Table 7.12** Perceptions of academic staff: Views about career, by university bloc

| "I agree or strongly agree that…" (%) | Go8 | Other | Total |
|---|---|---|---|
| This is a poor time for any young person to begin an academic career in my field | 46.5 | 45.5 | 45.9 |
| If I had it to do over again, I would not become an academic | 23.0 | 19.8 | 21.2 |
| My job is a source of considerable personal strain | 50.6 | 50.6 | 50.6 |

**Table 7.13** Perceptions of academic staff: Overall satisfaction with current job by university bloc

| | Go8 | Other | Total |
|---|---|---|---|
| High or very high (%) | 65.7 | 61.5 | 63.3 |
| Neither high nor low (%) | 27.1 | 30.2 | 28.9 |
| Low or very low (%) | 7.2 | 8.3 | 7.8 |
| Total (%) | 100.0 | 100.0 | 100.0 |

**Table 7.14** Perceptions of academic staff: perceived changes in working conditions, by university bloc

| | Go8 | Other | Total |
|---|---|---|---|
| Improved or very much improved (%) | 9.4 | 7.8 | 8.5 |
| Neither improved nor deteriorated (%) | 30.3 | 25.4 | 27.5 |
| Deteriorated or very much deteriorated (%) | 60.3 | 66.7 | 64.0 |
| Total (%) | 100.0 | 100.0 | 100.0 |

report low or very low job satisfaction, however. Rather, they placed themselves in the middle category, expressing neither satisfaction nor dissatisfaction.

Table 7.14 presents what should be worrying information for senior university managers and the Australian government. Two-thirds of academics from non-Go8 universities, and about 60% of those from the Go8 bloc believe that their working conditions have deteriorated or have very much deteriorated compared to what they were. About 30% of Go8 academics and 25.4% of academics from other universities believe that conditions have not changed. Only 9.4% and 7.8% of academics from Go8 and other universities, respectively, think that things have improved.

## 7.11 Plus ça change, plus c'est la même chose

We said before that the contemporary university scene has changed a lot. When the Carnegie study was undertaken in 1992, the so-called Dawkins reforms were relatively new, but of course, even if these reforms were the biggest change in their career faced by many academics, these were early days. Since then, there has been the explosion in student numbers, particularly of international students, and the need for more to be done with less. These factors have led to a scramble for casual teaching staff to provide a short-term solution in line with universities' need for "flexibility". Australia has failed to match the move toward mass participation with a proportionate increase in academic staff numbers. Recent government targets for growth are very ambitious, and in order to prevent any decline in quality, appropriate expansion in academic staff numbers or a radical re-engineering of teaching approaches will be required.

Go8 academics' perception is that conditions have not deteriorated as much as their colleagues from other universities believe, and more of them reported a

higher rate of overall satisfaction. This is reflected in the responses to the CAP questionnaire, and similar to Watson (2010) comments about UK academics, Australian staff appear rather satisfied with their immediate work environment and colleagues. But as one moves beyond local collegial groupings, opinions about conditions appear to deteriorate rapidly.

Generally, all Australian universities have experienced a decline in real funding from government sources in recent years and Australia is the only OECD country to have done so (OECD 2008). At the same time, stronger management practices reflecting the wider New Public Management movement have been introduced in order to cope with the strains of expansion and the need to diversify funding sources away from sole dependence on the public weal. In some respects, Australian universities have been remarkably successful in coping with the new realities facing higher education – particularly with respect to increased graduate and research output despite financial stringency. How long this can last is questionable.

In the coming years, Australian universities will face a global competition in recruiting the best and brightest into their academic ranks. Demography alone will work against Australian universities with the massive exodus of older academics through retirement in the next decade or so. How will the younger generation judge the attractiveness of the academic profession after assessing such factors as workload, management practices, research support and opportunity, tenure, and so on? As Hugo (2008, p. 45) states:

> … never before has there been so much competition for Australia's "brightest and best" PhD graduates. Academic labor markets are now fully internationalized, so Australian graduates can look beyond Australia for better-resourced and better-paid research and teaching positions, while the private and public sectors are offering a much wider range of opportunities to PhD graduates, Moreover, the attrition of academics is selective. It will be felt at different times, at different levels of intensity in different universities, and especially in different fields of academic activity. It will not only be a substantial numerical loss but also a massive selective loss of accumulated experience and high performance in research and teaching.

These findings have implications for academic work in Australia over the next decade. Without a serious investment in workforce development by institutions or government, the nature of academic work is likely to look very different from what it did in the early 1990s.

To respond to demand, higher education institutions will increasingly draw on casual academic labor from outside the system (Edwards 2010) and internationally (Coates et al. 2009a). These people will bring awareness and links with other industries, but will lead to a more porous academic workforce that is less committed to a career as an academic. So far, casualization of the workforce has changed the characteristics of the personnel, but over time, this doubtless will be reflected in the nature of academic work itself. Without the motive or capacity to invest in medium-to-long-term research, what academics do will invariably become more transitory and potentially superficial in nature.

This environment has an impact on how universities and the growing number of other institutions are managed and led. The CAP results suggest that academics

already feel relatively disenfranchized in the academy. Finding ways to direct this workforce coherently in increasingly more commercial environments, while keeping faith with public good rationales, is likely to become increasingly complex. Reducing the intrinsic motivators will likely need to be balanced by more explicit forms of workforce development and management. Balancing collegiate and corporate tensions with the expectations of the community will is a growing mandate for Australia's higher education leaders.

As mentioned above, the Commonwealth government is now in the process of implementing selected recommendations from the Bradley review of higher education. The current Labor government, which came to power in 2007, has been talking about an education revolution in Australia. However, there has yet to be much movement beyond talk. There are promises of some increase in funding and the introductions of policies that have the potential to improve substantially material conditions within the sector, such as the full funding of the cost of research. The sector has also benefited from substantial financial injections into capital works projects as part of the government's stimulus package in response to the global financial crises. At the same time, the government expects the sector to increase rapidly the number of graduates it produces, to improve retention rates, to enhance access of equity groups, to tie funding to performance indicators, to become more responsive to student demand, and to assess more rigorously standards in the context of a new and potentially draconian regulatory framework. Whether this will lead to revolution or the continued stagnation of the sector remains to be seen. What is surprising, however, is that given the opinions about their institutions and working conditions that there has been no wide spread revolt by Australian academics – at least not yet.

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# Chapter 8
# Canada: Perspectives on Governance and Management

**Amy Scott Metcalfe, Donald Fisher, Kjell Rubenson, Iain Snee, Yves Gingras, and Glen A. Jones**

## 8.1 Introduction

As Clark (1997) observes, the universities of the world have entered an age of endless turmoil. With an inability to respond to the ever increasing demand for higher education, Canadian higher education, in Clark's words, cannot expect to return to an old stage of steady state nor achieve a new stage of equilibrium. The intent of this chapter is to lay the groundwork for understanding the academic profession's role in Canada during a time of fundamental shifts in the relationship between capital and labor and between the public and private spheres. As with all modern institutions in capitalist democracies, universities are involved in an exercise of mutual legitimation, as academics attempt to balance elements of *bildung* against the structural force of commodification. When trying to understand the operation of social forces in and through a university system it is useful to divide the life of the system into its "external" and "internal" components (Clark 1983), or expressed differently, the division between demand (for education, specialist training, research services of various kinds) and response (by the university system and individual institutions). These divisions help to focus attention on changes in university culture and the contents of the "intellectual field" (Bourdieu 1969; Ringer 1992).

In this chapter we examine the perceptions of full-time university faculty in Canada with regard to aspects of governance (in response to Clark's external component) and management (the internal component). Survey data collected in 2007–2008 in conjunction with the international survey project, *The Changing Academic Profession* (CAP), will provide the basis for this discussion.

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## 8.2 Drivers Affecting Governance and Management in the Canadian Academy

In the last two decades, faculty labor has become increasingly influenced by external drivers (Deem et al. 2007), creating an environment of tension on many North American campuses between faculty and so-called managerial professionals (Rhoades 1998). Recently, O'Meara, Terosky, and Neumann (2009) have described faculty work as operating within an organizational "narrative of constraint," where "faculty are subject to unfair tenure systems, work expectations, mission creep, managerial reform, chilly climates, and a lack of support and mentoring" (p. 16). However, they note that, despite these constraints, faculty individually and collectively continue to "survive" in the academy, and the profession continues to be attractive to newcomers. Indeed, it is important to recognize that the "changing" academic profession is simultaneously experiencing shifts in institutional structures and group-member demographics. In other words, to understand the state of the academic profession we must both explore *what* has changed in terms of work practices and *who* we now are in terms of our backgrounds and lived experiences.

And yet, what we do and who we are as academic professionals are influenced by a variety of extra-mural political and economic drivers that affect our entry into the academy and its structures. At the international level, neoliberal discourses emerging from the Bretton Woods and other post-WWII organizations (such as the International Monetary Fund, the World Bank, and the Organisation for Economic Co-operation and Development) regarding the cultivation of a "new economy" through deregulation and privatization of the public sphere have influenced national fiscal policy in such a way as to alter postsecondary funding patterns (Peters 2002; Olssen and Peters 2005; Slaughter and Leslie 1997). Concomitant with a decrease in block subsidies to higher education has been the rise of accountability measures and performance criteria, as market-like models have permeated public sector management (Olssen and Peters 2005). In Canada as in other countries, competition for targeted funding has replaced equalization and subsidy, with the net effect of creating a postsecondary sector that is more stratified in terms of institutional type, more receptive to the governmental priorities that shape the funding councils, and more dependent on private sources of revenue such as student tuition (Fisher et al. 2009; Shanahan and Jones 2007).

Institutionally, the academic profession is challenged by shifts in hiring practices and workload expectations. Non-tenure-track appointments continue to rise in Canada and elsewhere, and limited-term appointments (full- and part-time) are more common than a decade ago (Finkelstein et al. 2009). Since the establishment of the Canadian Association of University Teachers (CAUT) in 1951, faculty associations and consortia of faculty associations have sought to protect academic autonomy and the tenure system, with new challenges to unionization and collective bargaining (Cameron 2008). Canadian universities have struggled with the mixed blessing of rising enrollments, which bring both social legitimacy to academic pursuits and rising credentialism among some consumerist students (Côté and Allahar 2007).

### 8.2.1 Classification of Canadian Universities

Unlike higher education systems in other countries, there is no standardized classification schema for institutions in Canada. As described below, each of Canada's ten provinces and three territories have unique and independent governance structures for higher education, creating a national system comprised of un-connected provincial/territorial systems. This creates some complications for understanding the postsecondary education sector, particularly with regard to the lack of structural commonalities among the sub-baccalaureate institutions. At the level of universities, it is commonly understood that being an institutional member of the Association of Universities and Colleges of Canada (AUCC) constitutes national recognition as a "university." It is important to note that the AUCC is a nongovernmental organization with no official federal authority; however in the absence of official, centralized control at the national level, the AUCC serves as a *de facto* accrediting body for Canadian universities.

Interestingly, the AUCC does not classify its member institutions, which numbered 95 at the end of 2009. Instead, common practice is to defer to the categories used by *Maclean's* magazine, which publishes an annual review and ranking of universities in Canada. The editorial staff at the magazine categorizes 47 Canadian universities into three classifications: primarily undergraduate, comprehensive, and medical doctoral. In addition to teaching, the universities are sites of research activity, albeit at varying levels of intensity, a characteristic that sets universities apart from other forms of postsecondary education in Canada. The primarily undergraduate universities provide few if any graduate programs. In contrast, the comprehensive universities combine teaching with a higher level of research activity, and have a broad range of graduate programs. The medical doctoral universities are even more research intensive, with many PhD programs and also medical schools. Although more than half of the AUCC member institutions are not classified by *Maclean's*, these remaining institutions are small (with several serving less than 1,000 students), and could probably be considered amongst the primarily undergraduate institutions. However inconsistent and problematic it is to be reliant upon a commercial publisher and a membership organization for describing the higher education system in Canada, this lack of an official designation of university status is characteristic of the country's decentralized nature, which is described in more detail in the next section.

### 8.2.2 Drivers Affecting Higher Education Governance in Canada

Canada is a federation, and the Canadian Constitution delegates responsibility for education to the Canadian provinces. While the federal government plays a major role in a number of policy areas that have a significant impact on universities, such

as research and student financial assistance (Fisher et al. 2007), the provinces have legislative and regulatory authority over higher education, and there are substantial differences in system arrangements, funding mechanisms, and governance structures by province (Fisher et al. 2009; Shanahan and Jones 2007).

Each university operates under a unique provincial Act that establishes the institution as a private, not-for-profit corporation. The Act creates the institution as a legal entity, describes the objectives of the university, and defines the governance structure of the university. Almost all publicly funded universities have a bicameral governance structure with authority over administrative and financial issues assigned to a governing board, and authority for academic matters assigned to a senate. These governance arrangements were reformed in the late 1960s and early 1970s to allow for greater faculty and student participation in internal governance arrangements. The majority of governing board members are external (with most appointed by government or elected by alumni) though all governing boards include faculty and student members. The vast majority of senate members are from internal constituencies (faculty, academic administrators, students, and, at some universities, administrative staff). Studies of academic senates and the perceptions of senate members have raised important questions concerning the effectiveness and role of these academic governing bodies in terms of their engagement in key financial and strategic issues. Faculty may participate on committees and councils at various levels of the institution, but they may not perceive that this participation influences the mission and direction of the university (Jones 2002).

Universities have the authority to hire employees and determine the terms and conditions of employment. In legal terms, professors are employees of the university and their salaries, benefits, and job security are a function of a contractual relationship with the institution. The faculty at most universities established faculty associations as a collegial forum for advancing their collective interests in discussion with the university administration.

Beginning in the mid-1970s, concerns over job security, administrative discretion in tenure and promotion processes, and salaries led a number of university faculty associations to seek certification as labor unions under provincial labor law. Within a decade, the majority of full-time university faculty were unionized (Tudivor 1999). The number of unionized faculty associations has gradually increased since the 1980s. Even at institutions where faculty have not unionized, there is frequently a negotiated contractual agreement in place between the faculty association and the university that governs tenure, promotion and appointment procedures, and some other conditions of employment (Anderson and Jones 1998). While faculty associations represent the collective interests of full-time faculty (and usually librarians and sometimes part-time faculty), there has been an increasing trend toward the organization of other academic workers into separate unionized bargaining units, including part-time sessional instructors and teaching assistants (Jones 2002). There has been an increasing division of labor as academic work is performed by individuals in a range of employment categories, and at many universities the boundaries of these categories are prescribed by collective agreements

that define bargaining units in terms of the characteristics of an employment category (Jones 2007).

In summary, higher education policy in Canada is largely a provincial responsibility, and each province has developed distinctive mechanisms for coordinating and regulating the higher education sector. Most universities operate under unique institution-specific legislative acts as autonomous not-for-profit corporations, but most universities are also "public" in that they obtain operating support from their provincial government. Each university has a unique governance structure. Faculty members sit on both boards and senates at all public universities, and, in addition, most institutional faculty associations are unionized and faculty interests are represented through collective bargaining with university management. While there has been considerable research on these structural arrangements for faculty participation in governance (Jones 2002), there has been little research on faculty perceptions of university governance.

### *8.2.3 Drivers Affecting Higher Education Management in Canada*

University acts of incorporation create the position of president (or rector or principal) as the university's senior officer, a role that the Association of Universities and Colleges of Canada has long described as the university's "Chief Executive Officer." The president is appointed by the university governing board on the recommendation of a search committee that includes faculty and student representation, or, in the case of several Francophone universities, by consultative election from within the university community (Jones 2002).

There has been relatively little research on higher education management in Canada, but most of the studies conclude there is considerable variation by institution in terms of central administrative structures and the degree to which decision-making is centralized in the senior administration, or decentralized to faculties and departments (Hardy 1996). In the context of collective bargaining, department heads or chairs are categorized as members of the bargaining unit and their role and selection process is frequently described in the collective agreement, while deans and more senior academic administrators are regarded as "management" (Boyko and Jones 2010).

While there are clearly variations in arrangements and practices by institution, some studies have suggested that changes in government policy associated with the development of new accountability mechanisms, funding arrangements, and strategic research initiatives are shifting power relationships within universities by strengthening management authority and devaluing (or ignoring) collegial processes (Boyko and Jones 2010). There has been little research on faculty perceptions of university management structures and if they perceive any changes in power and influence within their institutions.

### 8.2.4 *Drivers of the Management of Academic Research in Canada*

Since the creation of the National Research Council in 1916 to the end of the 1970s, academic research was essentially driven by grants given through the peer review committees of the Granting Councils analyzing incoming untargeted and self-generated research projects from academics (Gingras 1991). Strategic and targeted research programs emerged by the end of the 1970s as a response to the new context generated by the end of the Thirty Glorious years of growth (1945–1975) and the emergence of the energy crises of 1973 and 1979. Until the mid-1990s these programs were still often defined by the disciplinary funding councils: the Social Sciences and Humanities Research Council (SSHRC), Natural Sciences and Engineering Research Council (NSERC), and the Medical Research Council that has been transformed into the Canadian Institutes of Health Research (CIHR). In each of the so-called tri-councils, the respective boards of governors created strategic programs devoted to what they saw as important new research avenues responding to new or important social needs (Dalpé and Gingras 1990).

Important changes happened by the end of the 1990s, as successive federal governments created a series of new organizations to which they gave specific and targeted moneys outside the control of these granting agencies. Hence, Genome Canada, the Canada Foundation for Innovation and the Canada Research Chair Programs are structures that are not controlled by the boards of the three granting councils and which get their budgets directly from the Federal government. In addition to these new organizations, the targeted nature of most of the new government investments is channeled to specific programs that, though administered by the granting councils are in fact decided outside their boards (for the case of the Network of Centers of Excellence [NCE], see Fisher et al. 2001, and Atkinson-Grosjean 2006). Hence a program like the Initiative on the New Economy (INE) was created by the Ministry and then administered by SSHRC. All these actions largely diminished the autonomy of the granting councils to fix their own objectives based on the needs and priorities as perceived by the researchers.

Another characteristic of the new research environment since the end of the 1980s is the larger role played by research done in collaboration with industry, especially in fields like biomedical research but also in the natural sciences and engineering (Lebeau et al. 2008). Finally, the growth of research budgets awarded to research councils being lower than the growth in the number of academic researchers, the success rate has been declining since the beginning of the 2000s as the new generation of scholars is much more research-oriented than the generation of the 1960s and also more pressed by their institutions to get grants.

Given these contexts, one would expect older scholars to perceive this new environment as more stressful and threatening, more “pragmatic” and less open to “pure” research than younger scholars who were often already trained in an environment in which links with industry exist and are taken for granted. The new

professoriate may also be more open to ideas of goal-oriented or more pragmatic research agendas (Gemme and Gingras 2006, 2008).

## 8.3 The Canadian CAP Survey

The CAP project aimed to revisit some of the themes explored by the First International Survey of the Academic Profession, conducted in 1992 by the Carnegie Foundation for the Advancement of Teaching, which involved 14 countries (see Altbach 1996). Canada was not represented in the 1992 Carnegie study, making the 2007 CAP study the first time that many of the questions used in the international project had been asked of Canadian faculty. Thus, although the Canadian CAP project has not resulted in a dataset that can be compared with the 1992 Carnegie survey, it has provided an opportunity to assess the academic profession in Canada. A detailed description of the research design and methods for the international and Canadian CAP surveys can be found in earlier publications (Locke and Teichler 2007; Metcalfe 2008), and a general description of the project is found at the start of this volume. Below is a summary of the data and method used to create the survey.

In Canada, there are three main types of higher education institution: institutes, colleges, and universities. Although most universities in Canada are public, we did not exclude private universities from the sample. As the international CAP project's focus was on universities, we did not include colleges or institutes in the sample, although they would be ideal for a follow-up Canadian survey in the future. University–colleges, a newer institutional type in Canada, were also not included as they were inconsistently named and categorized due to their transitional character. Theological institutions and seminaries were also not included. Although mentioned in the international CAP design strategy, research institutes were not included, as there is no reliable list of these organizations in Canada, nor is there a list of individual researchers who work within them.

A two-stage cluster sample was created (see Table 8.1) at the level of institutions and at the level of individuals. At the institutional level, the target population of universities was sorted by type of institution (Medical/Doctoral, Comprehensive, and Primarily Undergraduate). From this list, a random sample of institutions was created. The institutional sample consisted of 18 institutions: four Medical/Doctoral, six Comprehensive, and eight Primarily Undergraduate. Each of Canada's ten provinces was represented by at least one institution.

For each of the 18 universities in the sample, full-time faculty with the titles of Professor, Associate Professor, and Assistant Professor were included in the individual-level cluster sample. Other academic staffs with titles such as Instructor, Lecturer, Research Associate, as well as Clinical Faculty were not included in the Canadian CAP Gross sample. Administrative faculty such as Deans and Vice Presidents were not included. Only full-time university faculty were surveyed. At the end of October 2007, all potential participants (6,693) were sent a bilingual

**Table 8.1** Canadian CAP survey sampling framework

| | Gross sample[a] | | | | Net sample | | | | Returned sample | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Institutions | | | | Institutions | | | | Institutions | | | |
| | | | Faculty | | | | Faculty | | | | Faculty | |
| University type | (#) | (%) | (#) | (%) | (#) | (%) | (#) | (%) | (#) | (%) | (#) | (%) |
| Medical doctoral | 15 | 31.9 | 18,840 | 59.7 | 4 | 22.2 | 2,245 | 33.5 | 4 | 22.2 | 442 | 38.4 |
| Comprehensive | 11 | 23.4 | 7,806 | 24.7 | 6 | 33.3 | 3,109 | 46.5 | 6 | 33.3 | 501 | 43.5 |
| Undergraduate | 21 | 44.7 | 4,908 | 15.6 | 8 | 44.4 | 1,339 | 20.0 | 8 | 44.4 | 209 | 18.1 |
| | 47 | 100.0 | 31,554 | 100.0 | 18 | 100.0 | 6,693 | 100.0 | 18 | 100.0 | 1,152 | 100.0 |

[a]Source: CAUT Almanac, 2007

e-mail invitation message with an embedded link to a web-based survey. Participant anonymity was assured through the use of a Personal Identification Number (PIN) and the use of a third-party research service at the University of British Columbia that administered the survey and housed the secured data onsite. The PIN allowed participants to save their answers and log back into the survey at a later time to finish the questionnaire. Two reminder messages were sent to non-responders in November and December. The survey was closed in mid-December, 2007. Another phase of the survey was initiated in April 2008 to capture more responses, and the survey was finally closed in May 2008 having obtained 1,152 valid returns for a response rate of 17.21%. This sample closely mirrors the demographic characteristics of full-time university faculty in Canada, as shown in Table 8.2.

The sample includes full-time faculty from Doctoral-Medical, Comprehensive, and Primarily Undergraduate universities in nearly the same ratio as the Canadian university population. Female faculty, however, were somewhat over-represented in the sample at 40.9% when compared to the actual percentage of female faculty in the population (32.7%). Citizenship status of the respondents in the sample was close to that of the faculty in the general Canadian university population. Similarly, in terms of groups of disciplines, the CAP sample corresponds to the distribution of faculty in Canada as a whole (Table 8.3).

## 8.4 Academic Work and Conditions

### *8.4.1 Beliefs About Decision-Making*

Several questions on the CAP survey pertained to the management and governance of academic work. We report here the Canadian responses to several items related to external and internal influence on academic work; personal influence in academic decision-making; the locus of evaluation for teaching, research, and service; perceptions of institutional characteristics pertaining to mission, leadership, funding, and other factors; and perceptions about funding relative to research functions.

Survey respondents were asked, "At your institution, which actor has the primary influence on each of the following decisions?" Table 8.4 reports the percentage distribution of these responses that follow a predictable pattern across the six groups.

Government or external stakeholders were reported as being the least influential actors for the decisions mentioned in the item. A similar lack of influence was reported for students except on the evaluation of teaching, where they were perceived to have the most influence (42.6%). Individual faculty were not seen as influential except in setting internal research priorities (35.2%) and establishing international linkages (44%). On this latter item, institutional managers were also perceived as being influential (37%). Institutional managers were thought to be the most influential group when it came to selecting key administrators (47.9%) and

**Table 8.2** Demographics of full-time Canadian University faculty

| Characteristics | Faculty in Canada, 2005–2006[a] (%) | (%) | (%) | (%) | CDN CAP (%) | CDN CAP (%) | CDN CAP (%) | CDN CAP (%) | CDN CAP (%) |
|---|---|---|---|---|---|---|---|---|---|
| Male | 67.3 | | | | 59.1 | | | | |
| Female | 32.7 | | | | 40.9 | | | | |
| White | | 84.2 | | | | 85.0 | | | |
| Visible minority | | 15.8 | | | | 15.0 | | | |
| Canadian citizen at birth | | | 59.0 | | | | 68.1 | | |
| Canadian citizen (in 2007) | | | 86.8 | | | | | 89.5 | |
| Assistant professor | | | | 28.0 | | | | | 28.7 |
| Associate professor | | | | 32.0 | | | | | 35.3 |
| Full professor | | | | 34.0 | | | | | 36.0 |
| Other teaching title | | | | 6.0 | | | | | 0.0 |
| | 100.0 | 100.0 | | 100.0 | 100.0 | 100.0 | | | 100.0 |
| *N*= | 38,298 | 38,298 | 38,298 | 38,298 | 982 | 1,008 | 955 | 797 | 1,152 |

[a]Source: CAUT Almanac, 2007

**Table 8.3** Canadian University faculty by discipline

| Canada[a] | | Canadian CAP | |
|---|---|---|---|
| (*N* = 38,298) | (%) | (*N* = 1,092) | (%) |
| Education | 7.0 | Teacher training and education science | 7.9 |
| Fine and applied arts | 4.0 | | |
| Humanities and related | 15.0 | Humanities and arts | 15.7 |
| | | Social and behavioral sciences | 15.9 |
| | | Business and administration, economics | 9.8 |
| Social sciences and related | 27.0 | Law | 2.5 |
| | | Agriculture | 1.0 |
| Agricultural and biological sciences (excluding health professions) | 7.0 | Life sciences | 5.7 |
| Engineering and applied sciences | 9.0 | Engineering, manufacturing, construction, and architecture | 7.1 |
| Health professions/occupations | 16.0 | Medical sciences, health related sciences, social services | 14.6 |
| Mathematics, physical sciences | 13.0 | Physical sciences, mathematics, computer sciences | 13.4 |
| Not reported | 1.0 | Other/not applicable | 6.5 |
| | 99.0 | | 100.1 |

[a]Source: CAUT Almanac, 2007

**Table 8.4** At your institution, who has primary influence on decisions?

| Type of decision | Gov't or external stake-holders (%) | Inst'l mgrs (%) | Academic unit mgrs (%) | Faculty comm or boards (%) | Ind. faculty (%) | Students (%) | *N*= |
|---|---|---|---|---|---|---|---|
| Selecting key administrators | 4.7 | 47.9 | 12.3 | 29.6 | 5.3 | 0.2 | 939 |
| Choosing new faculty | 0.1 | 3.5 | 10.5 | 77.0 | 8.9 | 0.0 | 970 |
| Faculty promotion and tenure decisions | 0.3 | 11.6 | 18.1 | 66.0 | 4.0 | 0.0 | 968 |
| Determining budget priorities | 3.4 | 60.2 | 30.4 | 5.6 | 0.5 | 0.0 | 955 |
| Determining the overall teaching load of faculty | 0.3 | 28.4 | 51.4 | 16.5 | 3.5 | 0.0 | 954 |
| Setting admission standards for U/G students | 1.5 | 40.4 | 21.3 | 34.6 | 2.1 | 0.1 | 952 |
| Approving new academic programs | 7.3 | 36.5 | 16.7 | 38.2 | 1.3 | 0.0 | 957 |
| Evaluating teaching | 0.1 | 10.0 | 23.9 | 19.2 | 4.3 | 42.6 | 961 |
| Setting internal research priorities | 2.0 | 26.8 | 18.9 | 17.0 | 35.2 | 0.1 | 924 |
| Evaluating research | 7.9 | 12.7 | 21.3 | 38.2 | 19.8 | 0.2 | 916 |
| Establishing international linkages | 1.2 | 37.0 | 12.3 | 5.2 | 44.0 | 0.2 | 916 |

**Table 8.5** How influential are you in shaping key academic policies?

| Department academic policies | Very or somewhat influential (%) | A little or not at all influential (%) |
|---|---|---|
| Assistant professor | 55.1 | 44.9 |
| Associate professor | 61.6 | 38.4 |
| Full professor | 75.6 | 24.4 |
| Faculty or school academic policies | | |
| Assistant professor | 15.0 | 85.0 |
| Associate professor | 30.5 | 69.5 |
| Full professor | 48.8 | 51.2 |
| Institution academic policies | | |
| Assistant professor | 3.2 | 96.8 |
| Associate professor | 10.8 | 89.2 |
| Full professor | 25.7 | 74.4 |

determining budget priorities (60.2%). This group were perceived to be influential when it came to setting admission standards for undergraduate students (40.4%) and approving new academic programs (36.5%). As one might expect, faculty committees and boards were also considered to be influential on the latter item (38.2%). A large majority of our respondents concluded that faculty committees and boards were influential when it came to choosing new faculty (77%) and making faculty promotion and tenure decisions (66%). Similarly, the highest proportion of our respondents perceived this group to be influential at evaluating research (38.2%). Finally, while academic unit managers were thought to be influential by a sizeable minority on most items, it was only when it came to determining the overall teaching load of faculty that a majority of respondents (51.4%) regarded them as having a primary influence.

In terms of personal influence in helping shape key academic policies, faculty reported they were the most influential in their departments, relative to other administrative levels (faculty or school and institution). When we cross-tabulated the responses to this question with academic rank, we found a consistent pattern (Table 8.5). At each policy-making level, a larger proportion of faculty judged that they were "very or somewhat influential" the higher the rank. The perceived lack of influence by Full Professors at the Faculty or School (51.2%) and institutional level (74.4%) was intriguing, given the predominance of a bi-cameral mode of governance in Canadian universities. We therefore cross-tabulated the personal influence on Institutional academic policies for Full Professors with institutional type (Table 8.6). Again we found a consistent pattern, as the proportion of Full Professors who perceived themselves to be influential was inversely related to the size of the institution. The highest proportion was recorded for Full Professors in Primarily Undergraduate universities (39.2%) and the lowest proportion in Medical/Doctoral universities (16.8%).

**Table 8.6** How influential are full professors?

| Institution academic policies | Very or somewhat influential (%) | A little or not at all influential (%) |
|---|---|---|
| Medical/doctoral university | 16.8 | 83.2 |
| Comprehensive university | 28.9 | 71.1 |
| Primarily undergraduate university | 39.2 | 60.8 |

**Table 8.7** Who regularly evaluates your…

| By whom is your teaching, research, and service regularly evaluated? | Teaching (%) | Research (%) | Service (%) |
|---|---|---|---|
| Your peers in your department or unit | 39.7 | 45.4 | 45.1 |
| The head of your department or unit | 61.2 | 54.0 | 60.3 |
| Members of other departments or units at this institution | 11.8 | 16.7 | 13.3 |
| Senior administrative staff at this institution | 28.9 | 32.2 | 30.8 |
| Your students | 88.2 | 2.3 | 3.3 |
| External reviewers | 8.7 | 57.1 | 8.9 |
| Yourself (formal self-assessment) | 38.6 | 34.8 | 29.4 |
| No one at or outside my institution | 2.8 | 4.6 | 9.8 |

The locus of evaluation varied at different institutional levels. A majority of respondents judged that regular evaluations of teaching, research, and service took place in departments and were conducted by department heads (see Table 8.7).

Teaching was seen as being regularly evaluated by students (88.2%) to a greater degree than other institutional actors, which corresponds with the influence of students over teaching evaluations as mentioned above. The research function was reported to be most regularly evaluated by external reviewers (57.1%), although "peers in your department or unit" (45.4%) and department heads (54.0%) were perceived to be regular evaluators of research. A majority likewise perceived department heads as the ones who evaluate "service" (60.3%).

### *8.4.2 Institutional Culture and Management Style*

The CAP survey asked faculty whether they agreed or disagreed with a variety of statements relating to institutional culture. One of these questions (see Tables 8.8–8.10) began with the phrase, "At my institution there is…" and then asked survey participants to indicate their level of agreement or disagreement on a five-point scale.

As seen in Table 8.8, faculty responded that they strongly disagreed or disagreed with the statements that there is "good communication between management and academics" (38.4%) and that there is "professional development for administrative/management duties for individual faculty" (36.2%). However the

**Table 8.8** At my institution there is…

| | Strongly agree or agree (%) | Neither agree nor disagree (%) | Strongly disagree or disagree (%) |
|---|---|---|---|
| *General milieu* | | | |
| … good communication between management and academics | 29.0 | 32.6 | 38.4 |
| … collegiality in decision-making processes | 38.2 | 33.6 | 28.2 |
| … professional dev. for admin./ mgmt. duties for faculty | 30.9 | 32.9 | 36.2 |
| *Challenges* | | | |
| … a top-down management style | 53.1 | 25.5 | 21.4 |
| … a strong performance orientation | 48.6 | 31.0 | 20.5 |
| … a cumbersome administrative process | 63.9 | 24.7 | 11.4 |
| *Opportunities* | | | |
| … a supportive attitude of admin. staff toward teaching | 48.3 | 26.2 | 25.5 |
| … a supportive attitude of admin. staff toward research | 46.2 | 24.3 | 29.5 |
| … a strong emphasis on the institution's mission | 50.6 | 30.3 | 19.2 |

**Table 8.9** At my institution there is…

| | Strongly agree or agree (%) | Neither agree nor disagree (%) | Strongly disagree or disagree (%) |
|---|---|---|---|
| … a top-down management style (All responses by institutional type) | | | |
| Medical/doctoral university | 59.4 | 23.2 | 17.4 |
| Comprehensive university | 44.3 | 27.8 | 27.8 |
| Primarily undergraduate university | 61.6 | 24.3 | 14.1 |
| Comparison (aggregate responses) | | | |
| … a top-down management style | 53.1 | 25.5 | 21.4 |

**Table 8.10** At my institution there is…

| | Neither agree nor disagree (%) | Neither agree nor disagree (%) | Strongly disagree or disagree (%) |
|---|---|---|---|
| … a cumbersome administrative process (all responses by institutional type) | | | |
| Medical/doctoral university | 68.9 | 22.6 | 8.5 |
| Comprehensive university | 62.1 | 25.2 | 12.7 |
| Primarily undergraduate university | 58.0 | 27.8 | 14.2 |
| Comparison (aggregate responses) | | | |
| … a cumbersome administrative process | 63.9 | 24.7 | 11.4 |

responses to these last two items were spread somewhat evenly among the spectrum of agreement–disagreement, as was their responses to the statement that there is "collegiality in decision-making processes" (38.2% strongly agreeing or agreeing, 33.6% neither agreeing nor disagreeing, and 28.2% strongly disagreeing or disagreeing).

Respondents were largely consistent across a series of items that we have labeled "Challenges" (see Table 8.8). The majority strongly agreed or agreed that at their respective institutions there is "a top-down management style" (53.1%), "a strong performance orientation" (48.6%), and "a cumbersome administrative process" (63.9%).

Another consistent pattern emerges for the items that we labeled "Opportunities." Approximately half of the respondents strongly agreed or agreed with the statements that there is a "supportive attitude of administrative staff toward teaching" (48.3%) and "research" (46.2%), and there is "a strong emphasis on the institution's mission" (50.6%).

We were intrigued by the two "Challenges" items that spoke to problems in how our universities are managed and administered. We therefore cross-tabulated the two items with institutional type (Tables 8.9 and 8.10). The proportion of respondents who strongly agreed or agreed with the statement that "a top-down management style" existed in their institutions was above the aggregate (53.1%) for faculty in Medical/Doctoral (59.4%) and Primarily Undergraduate (61.6%) universities. At the same time the proportion of respondents working in Comprehensive universities (44.3%) was below the aggregate rate.

The response pattern to the item "a cumbersome administrative process" was consistent with our expectation that the proportion of faculty who strongly agreed or agreed with this statement would be higher the larger and more complex the institution. The proportion of respondents working in Medical/Doctoral universities was thus higher than the aggregate response rate, while the proportions for faculty working in Comprehensive and Primarily Undergraduate universities was slightly below this rate.

While a majority of faculty members in the Canadian CAP survey felt that there is a top-down management style at their institutions as reported above, they were split in their responses relating to whether or not they felt that "top-level administrators are providing competent leadership" (see Table 8.11). They were also nearly evenly split on their responses to the statement that "lack of faculty involvement is a real problem" with slightly more strongly agreeing or agreeing (39%). Most respondents agreed they were "kept informed about what is going on" at their institutions (45.5% strongly agreeing or agreeing), and that their administration "supports academic freedom" (60.9%). Interestingly, most respondents indicated they disagreed or strongly disagreed that "students should have a stronger voice in determining policy that affects them" (41.3%).

Because a large majority of respondents confirmed the view that faculty in Canadian universities benefit from a degree of relative autonomy, we decided to cross-tabulate the "academic freedom" item with institutional type (see Table 8.12). As one might expect the proportion of faculty who strongly agreed or agreed with

**Table 8.11** Views on the following issues…

| Issues | Neither agree nor disagree (%) | Neither agree nor disagree (%) | Strongly disagree or disagree (%) |
|---|---|---|---|
| Top-level administrators are providing competent leadership | 38.2 | 23.7 | 38.0 |
| Lack of faculty involvement is a real problem | 38.9 | 28.3 | 32.8 |
| Students should have a stronger voice in relevant policy | 24.1 | 34.7 | 41.3 |
| I am kept informed about matters at this institution | 45.5 | 25.4 | 29.0 |
| The administration supports academic freedom | 60.9 | 24.6 | 14.5 |

**Table 8.12** Views on the following issues….

| The administration supports academic freedom (all responses by institutional type) | Strongly agree or agree (%) | Neither agree nor disagree (%) | Strongly disagree or disagree (%) |
|---|---|---|---|
| Medical/doctoral university | 60.4 | 24.1 | 15.5 |
| Comprehensive university | 63.5 | 22.9 | 13.6 |
| Primarily undergraduate university | 55.6 | 29.8 | 14.6 |
| Comparison (aggregate responses) | | | |
| The administration supports academic freedom | 60.9 | 24.6 | 14.5 |

this item is higher in Medical/Doctoral and Comprehensive universities where there is more emphasis on research.

### *8.4.3 Institutional Emphasis*

The CAP survey also contained a question that asked, "To what extent does your institution emphasize the following practices?" with ten descriptions of academic activities to be ranked on a five-point scale of "very much" to "not at all" (see Table 8.13).

This question generated the most "middle of the road" responses of the entire survey. The two areas where faculty concluded that their institutions "positively emphasized" certain behaviors was in relation to the statement "funding of departments substantially based on numbers of students" (70.5% responding "very much" or "a lot") and "considering the research quality when making personnel

**Table 8.13** Institution emphasis on practices…

| To what extent does your institution emphasize the following practices? | Very much or a lot (%) | Neither a lot or a little (%) | A little or not at all (%) |
|---|---|---|---|
| Performance based allocation of resources to academic units | 33.9 | 29.2 | 36.9 |
| Evaluation-based allocation of resources to academic units | 19.9 | 35.7 | 44.5 |
| Funding of departments substantially based on numbers of students | 70.5 | 17.2 | 12.3 |
| Funding of departments substantially based on numbers of graduates | 32.4 | 31.3 | 36.2 |
| Considering the research quality when making personnel decisions | 48.1 | 25.3 | 26.7 |
| Considering the teaching quality when making personnel decisions | 33.0 | 33.4 | 33.5 |
| Considering the practical relevance/ applicability of the work of colleagues when making personnel decisions | 18.3 | 36.2 | 45.6 |
| Recruiting faculty who have work experience outside of academia | 16.0 | 30.2 | 53.9 |
| Encouraging academics to adopt service activities/entrepreneurial activities outside the institution | 19.3 | 31.2 | 49.5 |
| Encouraging individuals, businesses, foundations etc., to contribute more to higher education | 43.3 | 31.8 | 24.9 |

decisions" (48.1% responding "very much" or "a lot"). Conversely, approximately half of the respondents reported their institutions placed little emphasis on "recruiting faculty who have work experience outside of academia" (53.9% responding "a little" or "not at all") and "encouraging academics to adopt service activities/entrepreneurial activities outside of the institution" (49.5% responding "a little" or "not at all").

In relation to funding and orientation of research (see Table 8.14), almost all the respondents agreed their research was conducted in "full compliance with ethical guidelines" (95.5%) while a majority agreed their institution emphasized "interdisciplinary research" (57.9%) and that "external sponsors or clients" had no influence over their research activities (55.3%). A majority disagreed that they had experienced since their first appointment an increase in "restrictions on the publication of results" resulting from either their publicly or privately funded research (63.3% and 57.3%, respectively). On the other hand, a large majority concluded that, since their first appointment, "the pressure to raise external funds had increased" (74.6%) and similarly, the majority agreed that "high expectations to increase research productivity" and for the production of "useful results and application" are "a threat to the quality of research" (72.1% and 60.7%, respectively). Finally, while the distribution was more even, 40% agreed their institution "emphasizes commercially oriented or applied research."

**Table 8.14** Views on the following…

| Questions | Strongly agree or agree (%) | Neither agree nor disagree (%) | Strongly disagree or disagree (%) |
|---|---|---|---|
| Restrictions on the publication of results from my publicly funded research have increased since my first appt. | 11.5 | 25.3 | 63.3 |
| Restrictions on the publication of results from my privately funded research have increased since my first appt. | 11.4 | 31.4 | 57.3 |
| External sponsors or clients have no influence over my research activities | 55.3 | 16.1 | 28.6 |
| The pressure to raise external research funds has increased since my first appointment | 74.6 | 14.8 | 10.6 |
| Interdisciplinary research is emphasized at my institution | 57.9 | 27.7 | 14.4 |
| Your institution emphasizes commercially oriented or applied research | 40.4 | 31.6 | 28.1 |
| Your research is conducted in full-compliance with ethical guidelines | 95.5 | 3.7 | 0.8 |
| Research funding should be concentrated (targeted) on the most productive researchers | 20.7 | 24.6 | 54.7 |
| High expectations to increase research productivity are a threat to the quality of research | 72.1 | 16.8 | 11.1 |
| High expectations of useful results and application are a threat to the quality of research | 60.7 | 18.9 | 20.4 |

## 8.5 Discussion of Findings

Overall, the response patterns recorded for the most part are predictable in terms of stratification by institutional type and rank. The perception of influence over decision-making and governance decreases with institutional size and, one might infer the bureaucratic management style that accompanies working in a large institution. Although lacking longitudinal information within the survey, these results suggest that faculty governance is eroding, at least at the institutional and faculty/school levels of authority. Full professors do not perceive themselves to be as influential as one might predict given the hierarchical structure. This conclusion tends to confirm the literature that documents how the role of Senates has diminished as

Canadian universities have become more corporate (Jones et al. 2004). These findings are consistent with other research that reports increasing centralization of decision-making and the view that even when faculty participate they have little influence on the mission or direction of the institution. Faculty within Comprehensive universities perceive themselves having more influence than we might predict. We are uncertain about what to infer from this, but it might well be related historically to the more democratic approach to governance that was adopted by a number of these institutions at their inception. One thinks of examples like York and Simon Fraser universities.

An explanation for the general perception that faculty were not influential might well be found in the double impact of the structural bifurcation of career lines between researchers and administrators that has occurred over the last two decades, as well as the increased emphasis and pressure placed on faculty to research and publish. The former factor is referred to elsewhere as the dichotomy between "faculty" and "management professionals." Our own results contain ample evidence of performance orientation that translates into increasing pressure to raise research funds and make research a central part of academic work. This could mean that faculty are increasingly content to leave governance to academic managers, particularly as their own time is more and more devoted to research.

The strong commitment to academic freedom is consistent with the tradition in Canada of emphasizing the public functions served by our universities and the assumption that, as institutions, they should quite properly be accorded high levels of relative autonomy. This also links to the idea that the academic profession is the "archetype" of professionalism. Alongside what might be regarded as a very positive aspect of academic culture in Canada, we found a clear and pronounced dissatisfaction with the way our universities are governed. A majority of faculty agreed their universities were characterized by a "cumbersome administrative process," a "top-down management style," and "poor communication" between management and themselves. Yet, in conclusion, our findings strongly suggest the academic profession in Canada is far from being in crisis.

One of the greatest difficulties in the interpretation of the findings presented above is the variation introduced into the sample by way of provincial differences in the governance of Canadian universities, but which are not evident due to the national-level design of the CAP survey. For example, a professor in the Social Sciences at a Medical/Doctoral university in the province of Ontario may have similar beliefs about research or teaching as another Social Sciences professor in a similar type of institution in Newfoundland, but the variation in provincial funding and infrastructure may present decidedly different opportunities and challenges from a governance and management perspective. Thus, in the same way that institutional type and career stage are found to be correlated with one's perception of the academic profession, provincial location may be another layer of influence that is important for the Canadian case, although this is not well understood in a national dataset like the CAP survey.

## 8.6 Conclusion

At the national level, Canadian higher education is loosely and informally governed. The federal government has the greatest control over the allocation of research funding and the setting of key research priorities, the authority over which are then delegated to the various national research councils. In this way, academic researchers are involved in the distribution of research funding but not the overall budget mechanisms for research. Governance is then more of a provincial issue.

The ten provincial governments and the territories are involved in the direct allocation of funding to Canada's universities, although their influence over academic matters is not perceived to be very strong by the survey respondents, as shown above. In general Canadian CAP respondents felt that their institutional administrations value academic freedom, which may also be reflected in the relationships between provincial governments and academic managers.

In the Canadian case, the topic of institutional management can be best understood at the level of institutional type. For universities, the three main types (Medical/Doctoral, Comprehensive, and Primarily Undergraduate) are structured for specific purposes in their role as part of a stratified, provincial higher education system. Interestingly, institutional managers were perceived to be the most influential actors in decisions that are also tied to provincial resources and strategic planning, such as those relating to the selection of key administrators, determining budget priories, and setting admission standards for undergraduate students. As such, it may be that the survey respondents see the institutional managers as somewhat reactive to provincial budget cycles but also able to make decisions independently of government mandate.

Faculty in the Canadian CAP survey labeled themselves as the most influential decision-makers as collective bodies (committees) in areas relating to core academic activities like choosing new faculty, promotion and tenure review, approving new academic programs, and evaluating research. At the individual faculty level, they saw themselves as being influential in setting internal research priorities and establishing international linkages. Academic unit managers, who are often faculty members in the role of department head, were seen as the most influential in determining the overall teaching load of faculty. Students were seen as the most influential in the evaluation of teaching.

The future of academic governance and institutional management in Canada may be influenced by the changing fiscal realities of postsecondary education. While the strength of faculty associations (unions) may be characteristic of the Canadian academic profession, their presence does not entail a similarly strong academic senate. In 2008, the Canadian Association for University Teachers (CAUT) struck an Ad Hoc Advisory Committee on Governance, to examine the role of academic senates and faculty involvement in key decisions at Canadian universities. The advisory committee found that many collective agreements contained language that limited the power of the academic senate, and they recommended that university faculty revisit these agreements to amend the wording to strengthen the role of faculty governance or at least clarify the power of senates in

relation to the office of the president and the institutional governing board (CAUT 2009). While it is important that faculty have retained control over the decision-making that pertains to teaching and research, a growing concern, as reflected in the CAP data presented above, is that the financial decisions of Canadian universities are removed from faculty review and may be increasingly an administrative responsibility.

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# Chapter 9
# The United Kingdom: Academic Retreat or Professional Renewal?

**William Locke and Alice Bennion**

## 9.1 Introduction

In comparative studies and in contrast to their counterparts in Europe and Asia, UK universities are perceived to be largely self-governing and protected from government intervention by a complex set of legal protections and intermediary "buffer" bodies. The nominal unification of the higher education system, when the previous public sector polytechnics became incorporated and were subsequently (from 1992) permitted to use the title "university," might seem to support this assumption. The universities of Oxford and Cambridge, with their colleges traditionally organized on the guild model and with large private and public endowments, are usually regarded as the apex of the system and exemplars of autonomous institutions, owned and governed by their members (Tapper and Salter 1992). But even these ancient universities have not been free from external intervention (Fulton 2002), and those institutions founded in the nineteenth and the first half of the twentieth centuries were required to appoint a majority of lay members onto their supreme governing body, the university Council (Moodie and Eustace 1974). There has only ever been one private university in the UK, although the "Royal Charters" granted to universities before unification of the system appeared to bestow quasi-private status.

On the face of it, universities are organizationally autonomous from the national governments of England, Scotland, Wales, and Northern Ireland – the four constituent nations of the UK. However, despite this organizational autonomy bolstered by increasing levels of private expenditure on higher education, the governments of the UK still exercise a considerable degree of influence over higher education institutions (HEIs). This is achieved through the allocation of funding and the conditions attached to this funding and the regulation and evaluation of their activities. A series of intermediary bodies, such as funding councils, research councils, the

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Quality Assurance Agency, the Office of the Independent Adjudicator and the Office for Fair Access (in England) – as well as the relevant government department or ministry – attempt to steer institutions in the direction of the administration's policies, although these policies are not always consistent with each other and can suddenly take a different course (Locke 2008).

HEIs in the UK are also highly differentiated by institutional origin, status, mission, historical wealth, resources, research activity and income, educational provision, and student characteristics. This differentiation between institutions influences how changes impact on individual HEIs and how much autonomy they can exercise in addressing government policy, the various markets they operate in, and their responses to other drivers such as demography, technology, and environmental changes. For heuristic purposes, we have distinguished five types of HEI: research-intensive (Russell Group) universities, other pre-1992 universities, post-1992 universities, post-2004 universities (most of which do not have the power to award research degrees), and HE colleges[1]. Table 9.1 shows the numbers and proportions of academics in each of these institutional types in the academic year of the CAP UK survey (2006/2007). Analysis of the UK survey data reveals differences that are strongly consistent with this categorization: HEI-type is more significantly correlated with differences in responses to the questionnaire than any other factor, including gender, age, subject, grade, and mode of employment.

University reputation and prestige are still largely associated with research – even for those former polytechnics that have sought to prove their new credentials as fully fledged universities (Locke 2004). However, the vertical stratification of institutions has endured and is annually reproduced in the league tables (university rankings) generated by the media. The concentration of research funding in particular institutions and disciplines has led to an increasing number of individuals, academic departments, and even universities effectively becoming teaching-only or, at least, no longer "research active." At the same time, the number of research-only academics has increased, although at a slower pace, and the vast majority of these are on fixed-term contracts associated with specific research projects. Those academics on

**Table 9.1** Numbers and proportions of academics, by institutional type

| Type of institution | Number of academics | Proportion of total population% | Proportion of population (excluding not known)% |
|---|---|---|---|
| Research-intensive universities | 56,555 | 33.3 | 33.7 |
| Other pre-1992 universities | 52,670 | 31.0 | 31.4 |
| Post-1992 universities | 47,000 | 27.6 | 28.0 |
| Post-2004 universities | 4,910 | 2.9 | 2.9 |
| HE colleges | 6,175 | 3.6 | 3.7 |
| Research institutes | 555 | 0.3 | 0.3 |
| Other/not known | 2,130 | 1.3 | - |
| Total | 169,995 | 100.0 | 100.0 |

Calculated from HESA (2008)

[1]However, we remain open to identifying different patterns of institution through further analysis of the CAP UK data.

contracts that require them to teach *and* research now represent little more than half of the total UK academic population.

Despite the organizational autonomy of universities in the UK, governments have sought to intervene in a range of governance and management issues in ways that have severely restricted HEIs' independence. In some respects these efforts are a result of a decline in the level of trust that the political classes and the general public extend to the professions as a whole in Britain since the 1970s (including teachers, physicians, the clergy, social workers, and accountants). These interventions were also responses to periodic reductions in government spending, increased demands for accountability for the use of public funds, and the growing trend for governments to tie educational policy to larger issues, such as economic performance and social inclusion. This increased role of government in the public sphere – notably through its intermediary organizations such as funding bodies and regulatory agencies – has come to be understood as the exercise of New Public Management (NPM) (Ferlie et al. 1996) and its particular managerialist variants in higher education (Deem et al. 2007). NPM is also part of an international trend toward the decentralization and deregulation of public services combined with strategies for promoting forms of institutional self-regulation that are strongly responsive to government priorities (King 2004).

Examples of central efforts to influence institutional governance and management include attempts to standardize the composition of governing bodies, the abolition of tenure for university faculty in 1988, the removal of academics' automatic entitlement to funded research time, the external quality assessment of institutions' and academic departments' research and teaching, the introduction of performance indicators, and the imposition of planning, auditing, and monitoring regimes. But, again, the extent to which these policies and practices have been effective in steering the academy is differentiated by institutional type and mediated by various factors, not least academics' responses, adaptations, and even resistance to them. A key factor may be whether university leaders and managers have themselves attempted to adapt external pressures in their efforts to reform their own institutions and their perceived success, or otherwise, in doing this.

In this chapter we report a range of findings from the UK CAP survey that are relevant to the governance and management of HEIs and seek to interpret them within the context of UK higher education, the drivers that are influencing institutions and the changes occurring within the academic profession itself. Before presenting the detailed findings, however, the following section provides a brief account of the CAP survey methods in the UK.

## 9.2 The UK Survey: Methodology

The generic CAP questionnaire was "translated" into the UK version which involved minor amendments to wording and grammar. Where UK-specific categorizations were required, for example occupational grade, the definitions of the UK Higher Education Statistics Agency (HESA) were used where possible, so as to facilitate

comparison with official verified data on the total population of academics in the UK. In the case of disciplines (i.e., subject of highest degree, current academic department, and subject taught), a matrix was developed to map how the UK categorization translated into both the disciplines used in the generic CAP questionnaire and the HESA categories. Three UK-specific questions were added to the generic questions:

- Where did you study for your degree(s)?
- What institutions did you attend during your secondary education?
- What is your ethnic origin?

The survey was accessed online only and individual academics were invited via their institutions or via the main academic union, the University and College Union, to respond during the spring and early summer of 2007. The higher education institutions were selected to maximize the prospects of achieving a representative sample, according to type, size, and location throughout the UK. The institutions were also asked to select samples that were representative of their academic staff in terms of age, gender, ethnic group, grade, subject, and whether they worked full- or part-time. The subset of the sample approached directly via the University and College Union was randomly selected. The gross sample included full- and part-time academic professionals who undertook teaching and/or research. A total of 1,667 responses were received. We cannot calculate accurately the gross sample size, and therefore the response rate with any great confidence, as a large proportion of the invitations were sent out by institutions and there was no means of recording how many were sent to – let alone received by – potential respondents. Suffice to say, our worst case estimate is a response rate of around 15%, which seems to be in line with other lengthy online questionnaires aimed at academics (Bryson and Barnes 2000).

Nine criteria were used to assess the representativeness of this net sample of 1,667, grouped under personal, professional, and institutional characteristics:

***Personal***

1. Gender
2. Ethnic origin
3. Age

***Professional***

4. Subject
5. Grade
6. Mode of work, i.e., full-/part-time

***Institutional***

7. Type (Research Intensive [Russell Group] University, Other pre-1992 University, post-1992 University, post-2004 University, HE College and Research Institute)
8. Size (over 2,000 academics; 500–2,000; under 500)
9. Location (UK nation, English region)

HESA definitions were used for all criteria except 7, 8, and 9, for which additional sub-sets were identified (as shown in brackets above) to assist with the

analysis of responses to the survey. In other words, the criteria match those used to define the sample. The responses were then weighted by subject, grade, and mode of work to produce a sample of 800 that is representative of the academic population in the UK according to professional criteria. The analysis in this chapter is based on the weighted UK sample of 800.

The chapter includes comparisons with data from the 1992 paper-based survey of 1,400 academics in England as part of the first International Survey of the Academic Profession (Fulton 1996a). The CAP questionnaire repeated 13 items from the earlier survey. Where the responses to these questions from the two surveys are compared, this chapter only considers the responses to the 2007 survey from those employed in HEIs in England, so as to ensure comparability.

The following sections present some of the detailed findings of the UK CAP survey that are relevant to the governance and management of HEIs, first by reviewing respondents' commitment to their main professional activities.

## 9.3 Academic Work

The median number of hours worked by UK academics when classes are in session appears to be lower than in most of the national surveys included in this book. This number appears to have dropped since the study was conducted in England in 1992, from 42 to 38 hours (see Table 9.2). While the number of hours spent on teaching appears reduced, that spent on activities described as *service* or *other academic activities* has increased. This may be the result of more accurate recording as much as an *actual* decrease in time spent on these activities (Locke and Bennion 2009). Increasingly, academics in the UK are being required to complete time allocation schedules in an attempt to provide their institutions with more information about the costs of different activities. This has meant that individuals are far more aware of how they spend, and account for, their time. Also, activities which may have been incorporated in a broad notion of "Teaching" in 1992 may now be disaggregated and included in the categories of "Service" or "Other academic activities" which are higher in the 2007 survey. The reduction in the number of hours spent on teaching seems to have been greater in post-1992 and 2004 universities and HE

**Table 9.2** Median hours per week on teaching, research, service, administration, and other academic activities, In session and not in session, 1992/2007

| | 1992 | | 2007 | |
|---|---|---|---|---|
| | In session | Not in session | In session | Not in session |
| Teaching | 20 | 5 | 15 | 6 |
| Research | 10 | 20 | 10 | 25 |
| Service | 2 | 2 | 4 | 4 |
| Administration | 8 | 5 | 5 | 5 |
| Other | 2 | 3 | 4 | 5 |
| Total | 42 | 35 | 38 | 45 |

colleges than pre-1992 universities, although respondents from these types of HEI spent more hours on teaching than their colleagues in the university sector in the 1992 survey (Locke 2008).

Time spent on "Research" when classes are not in session appears to have increased since 1992 which reflects the growing pressure on academics to produce high quality research outputs suitable for submission to the periodic UK Research Assessment Exercise. It also follows an increase in the number of research-only staff employed since 1992 and a growing emphasis on research for career progression within, and between, institutions. The changes differ according to type of institution, however, remaining largely static for respondents from pre-1992 universities, while increasing in the newer universities and colleges, especially during vacation times when classes are not in session (Locke 2008).

UK academics appear to be largely willing participants in this broad shift from teaching to research as it is reflected in their own preferences. The proportion of academics claiming a primary interest in research has increased in the 2007 survey (Table 9.3), and is the highest among all the national surveys reported here, while the percentage of those stating a primary interest in teaching or in both teaching and research has decreased.

The age of the respondent is an important factor in the weight that academics attach to research (see Table 9.4). The high percentage (63%) of under 30s interested primarily in research is a consequence of the predominance of contract researchers in the early stages of an academic career in the UK. Of those in the category "30 and under" and on fixed-term contracts, 71% stated they were primarily interested in research. No academics on fixed-term contracts in the age category "30 or under" stated they were primarily interested in teaching. This illustrates the structure of the academic profession in the UK and the common pathways to career progression.

**Table 9.3** Primary interest (%), 1992/2007

| | 1992 | 2007 |
|---|---|---|
| Primarily in teaching | 12 | 11 |
| In both, but leaning toward teaching | 32 | 28 |
| In both, but leaning toward research | 40 | 37 |
| Primarily in research | 15 | 24 |

**Table 9.4** Primary interest (%), by age, 2007

| | 30 and under (32)[a] | 31–40 (155) | 41–50 (167) | 51+ (198) | Total (552) |
|---|---|---|---|---|---|
| Primarily in teaching | 6 | 7 | 7 | 18 | 11 |
| In both, but leaning toward teaching | 16 | 10 | 47 | 32 | 38 |
| In both, but leaning toward research | 16 | 50 | 29 | 37 | 37 |
| Primarily in research | 63 | 34 | 17 | 13 | 24 |

[a] The figures in this row (and in subsequent tables) represent a proportion of the responses from the UK weighted 800 (but England only), and not the actual numbers of individual responses to the questions.

Again, this is indicated by the high percentage (50%) of 31–40 year old academics who regard their primary interest to be in both but leaning toward research. By mid-career, respondents are more evenly spread across the four options.

About a third (35%) of academics from Research Intensive universities are primarily interested in research. Only 3% are primarily interested in teaching (see Table 9.5). Institutions that have more recently become universities have a lower percentage of academics stating their primary interest in research. Although only small numbers of academics from HE colleges answered this question, it is still surprising to see such a high percentage stating research as their primary interest, given the low level of funding for research in non-university HEIs and, in England, their inability to award research degrees. But, perhaps, the most surprising finding is the similarity between respondents in other pre- and post-1992 universities, given the different history and missions of these types of HEI, with 40% in the former expressing at least a leaning toward teaching and 49% of those in ex-polytechnics reporting at least a leaning toward research.

Figure 9.1 provides a more pictorial representation of these data.

**Table 9.5** Primary interest (%), by institution type, 2007

| | Research intensive univ. (255) | Other pre-1992 univ. (277) | Post-1992 univ. (108) | Post-2004 univ. (19) | HE colleges (31) | All (692) |
|---|---|---|---|---|---|---|
| Primarily in teaching | 3 | 10 | 15 | 58 | 26 | 11 |
| In both, but leaning toward teaching | 21 | 30 | 36 | 16 | 23 | 36 |
| In both, but leaning toward research | 41 | 37 | 40 | 21 | 16 | 37 |
| Primarily in research | 35 | 23 | 9 | 5 | 36 | 24 |

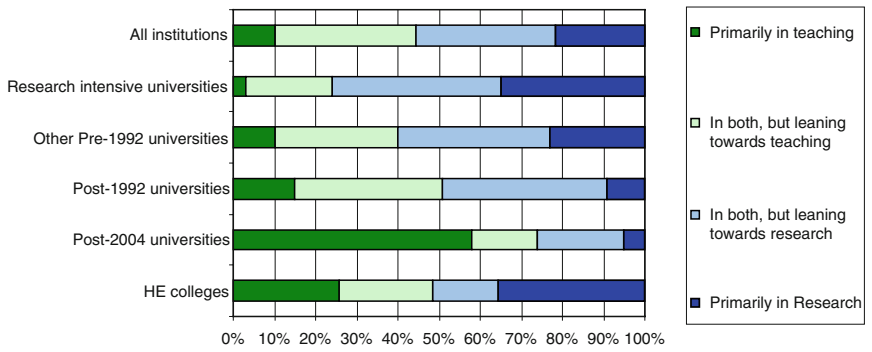


**Fig. 9.1** Primary interest, by institution type, 2007

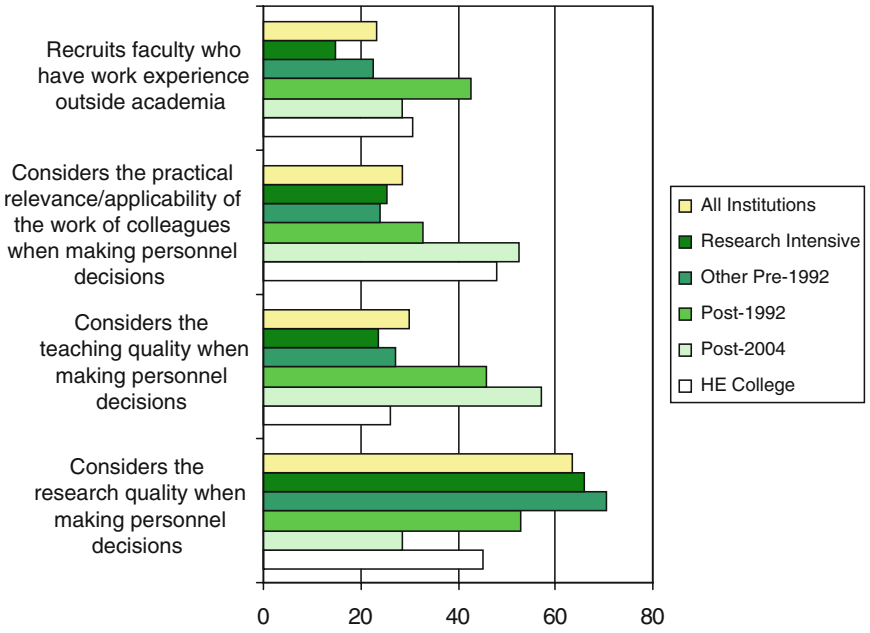


**Fig. 9.2** Institutional emphasis in personnel decisions, by institution type, 2007: percentages responding "very much" or "a fair amount"

Respondents were also asked about their institution's practices in making personnel decisions on recruitment and promotion and, in particular, how they took into account the quality of candidates' research and teaching. The responses are analyzed by institutional type in Fig. 9.2.

The predominance of research criteria in making personnel decisions is clear in all types of institutions except for post-2004 universities, where teaching quality and the practical relevance and applicability of the work of colleagues are thought to be key criteria by a majority of respondents. Of the countries covered in this book, only Hong Kong has a higher proportion of respondents than the UK reporting that their institution considers research quality when making personnel decisions. The UK also has the largest difference (33%) between those believing that their institution considers research quality important and those perceiving that teaching quality is regarded as important.

## 9.4 Support for Academic Work

Both the surveys in 1992 and 2007 sought evaluations of the facilities, resources, and personnel needed to support individual academic work. Figure 9.3 presents the findings from 2007 in order of the proportions judging each resource excellent or

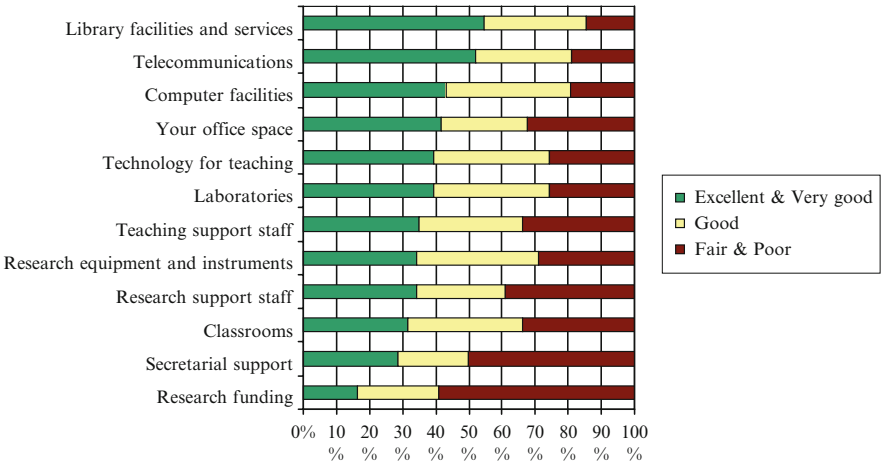


**Fig. 9.3** CAP 2007 survey – evaluation of facilities, resources, or personnel needed to support individual work

very good (the gray segment of each bar) – which is broadly inverse to those judging them poor or fair (the black segment).

Overall, libraries and telecommunications are viewed very positively and research funding and secretarial support are regarded by the majority as only fair or poor. Teaching resources – except for classrooms – are slightly better regarded than research facilities, but not by many. General facilities, such as computer facilities or office space, are viewed more positively than those resources or personnel dedicated to either teaching or research. Views of facilities, resources, and support personnel have generally improved since 1992, except for secretarial support. Table 9.6 disaggregates the 2007 responses by institutional type.

Respondents' evaluations suggest an overall decline since 1992 in support for individual academic work in pre-1992 universities, a general improvement in post-1992 universities and a mixed picture in HE colleges and institutions that have more recently become universities (Fulton 1996a). Academics working in post-2004 universities appear less satisfied than those in other types of HEI with the range of facilities, resources, and support personnel available to them at their own institutions. Interestingly, academics working in HE colleges rate research support staff and research funding more highly than those working in other types of institution, which accords with the high proportion of respondents from this type of institution reporting a primary interest in research.

When analyzed by category of staff, researchers appear the most satisfied with the facilities, resources, and personnel available to them, with professors second in most areas apart from library facilities, teaching support staff, and secretarial staff. Aside from library facilities and research support staff, a higher percentage of full-time than part-time staff rate the facilities, resources, and personnel at their institutions as excellent or very good.

**Table 9.6** CAP 2007 survey – evaluation of facilities, resources or personnel needed to support individual work

| | All institutions (800) | Research intensive (287) | Other pre-1992 (322) | Post-1992 (120) | Post-2004 (27) | HE college (37) |
|---|---|---|---|---|---|---|
| Library facilities and services | 55 | 62 | 52 | 56 | 27 | 48 |
| Telecommunications | 52 | 53 | 57 | 55 | 11 | 28 |
| Computer facilities | 43 | 51 | 44 | 37 | 10 | 24 |
| Your office space | 42 | 41 | 45 | 46 | 11 | 39 |
| Technology for teaching | 39 | 43 | 37 | 43 | 12 | 34 |
| Laboratories | 39 | 48 | 35 | 41 | 3 | 17 |
| Teaching support staff | 35 | 32 | 36 | 40 | 31 | 30 |
| Research equipment | 34 | 43 | 36 | 15 | 19 | 24 |
| Research support staff | 34 | 32 | 32 | 47 | 21 | 42 |
| Classrooms | 32 | 34 | 30 | 32 | 12 | 32 |
| Secretarial support | 29 | 32 | 31 | 23 | 5 | 18 |
| Research funding | 16 | 20 | 12 | 22 | 0 | 31 |

Percentages regarding them as excellent or very good, by institutional type

## 9.5 Beliefs About Decision-Making

Respondents were asked which party has the primary influence on a given series of decisions among: government or external stakeholders, institutional managers, academic unit managers, faculty committees/boards, individual faculty, and students. This question did not entirely match the 1992 survey, which asked how centralized ("controlled by top administrators") or decentralized ("controlled by faculty") decision-making was, although the seven original examples of decisions were all included in the 2007 survey along with four new examples. Table 9.7 summarizes the UK responses.

Among the countries included in this book, the UK is second only to Japan (63.9%) with 43.9% of respondents who regard faculty (committees/boards and individuals) as having primary influence over the range of decisions included in the survey. Generally, it appears, academics in the UK feel faculty influence has increased since 1992. However, when the relevant figures are disaggregated, it is clear that, apart from research and international linkages, the primary influence now lies with faculty *committees and boards* rather than *individuals*. Areas where academics do **not** exercise the primary influence include "Determining the overall teaching load of faculty," where academic unit managers appear to have most say, and "Selecting key administrators" and "Determining budget priorities," where institutional managers hold sway. Across the board, students were not regarded as the prime influence, even on "Evaluating teaching," except by those in HE Colleges (27%).

In the 1992 survey, only two of the seven decisions had been described by the universities and polytechnics as decentralized – "Determining the overall teaching

**Table 9.7** CAP 2007 survey – primary influence on decisions made, percentage

| | Government or external stakeholders | Institutional managers | Academic unit manager | Faculty committees/ boards | Individual faculty | Students |
|---|---|---|---|---|---|---|
| Selecting key administrators | 4 | 51 | 14 | 23 | 8 | 0 |
| Recruiting new academic and research staff | 1 | 17 | 29 | 31 | 22 | 0 |
| Making promotion decisions | 2 | 31 | 15 | 44 | 7 | 0 |
| Determining budget priorities | 3 | 54 | 16 | 20 | 6 | 0 |
| Determining the overall teaching load of faculty | 4 | 21 | 34 | 21 | 19 | 1 |
| Setting admission standards for undergraduate students | 4 | 29 | 16 | 37 | 14 | 0 |
| Approving new academic programs | 3 | 34 | 8 | 49 | 6 | 0 |
| Evaluating teaching | 6 | 13 | 15 | 29 | 22 | 16 |
| Setting internal research priorities | 2 | 23 | 21 | 23 | 32 | 0 |
| Evaluating research | 17 | 18 | 21 | 22 | 21 | 0 |
| Establishing international linkages | 0 | 24 | 18 | 8 | 49 | 0 |

load of faculty" and "Setting admission standards for undergraduate students." The respondents from the colleges had reported a very much more centralized decision-making process.

## 9.6 Personal Influence and Affiliation

According to the CAP survey, UK academics perceive themselves as having little personal influence in helping to shape key academic policies. Since 1992 there has been a considerable reduction in the percentage of UK respondents who feel they have personal influence at the department level (down from 60% to 33%), faculty level (down from 38% to 25%), or institutional level (down from 9% to just 6%). This is almost certainly related to their patterns of affiliation, as shown in Fig. 9.4.

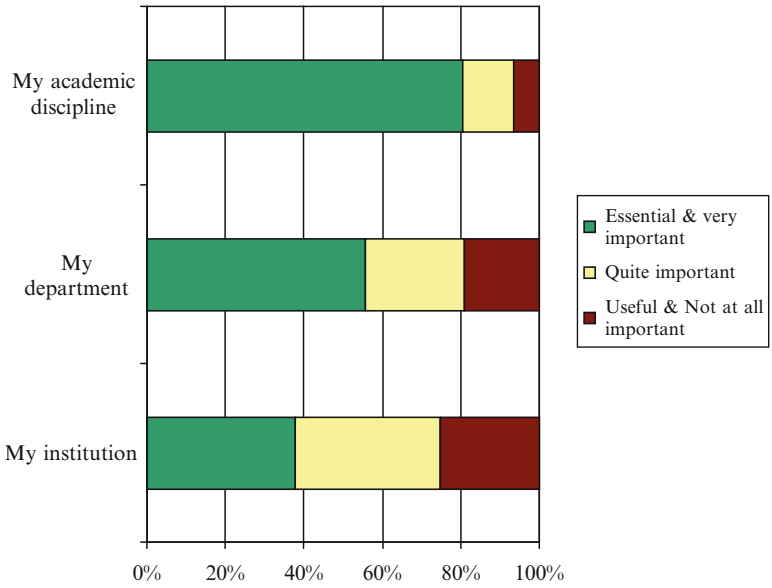


**Fig. 9.4** CAP 2007 survey – affiliation to academic discipline, department, and institution

**Table 9.8** CAP 2007 survey – affiliation to academic discipline, department and institution

| | All institutions | Research intensive | Other pre-1992 | Post-1992 | Post-2004 | HE college |
|---|---|---|---|---|---|---|
| My academic discipline | 81 | 83 | 81 | 86 | 47 | 69 |
| My department | 57 | 53 | 55 | 60 | 59 | 60 |
| My institution | 36 | 44 | 35 | 29 | 27 | 51 |

Percentage regarding them as essential and very important, by institutional type

Figure 9.4 shows a substantial majority of respondents who regard their academic discipline as essential or very important, but only a minority who rate their institution as such. Conversely, 25% rated their institution as merely useful (19%) or not at all important (6%), but only 7% think of their discipline in the same light. This confirms previous findings on primary commitments (Bryson and Barnes 2000; Henkel 2000).

Table 9.8 breaks down by institutional type those regarding their discipline, department, and institution as essential or very important. The proportion of respondents in the research-intensive and post-1992 universities who believe their academic discipline is essential or very important is slightly higher than the average for all institution types, but much lower in the post-2004 universities and HE colleges. Higher than average proportions of respondents from research-intensive universities and HE colleges regard their institutions as essential or very important.

A substantially lower proportion of respondents (27%) from post-2004 universities rate their institution as essential or very important, than the average for all types of institution.

Interestingly, younger, less experienced academics were far less affiliated to their departments (49%). This may be because the majority (73%) are on fixed-term contracts (and many of these are research-only) and are less likely to be engaged in departmental life (Bryson 2004). Of the younger, fixed-term respondents, only 29% claim that their department is essential or very important. Fifty one percent believe it is useful but not that important or not important at all.

These findings reflect the individualistic nature of much academic work and the nature of academics' training and early career circumstances. Initial professional accreditation is highly subject-specific and new recruits seek recognition from the disciplinary community beyond their current department and institutional location. Academics retain an expectation of relative autonomy in their work, especially in scholarship, research, and knowledge creation; but this may also be to some extent true of their teaching and service activities. Later in their career, departmental and institutional recognition and responsibilities may alter the balance of their affiliations and their sense of personal influence.

Given the increasingly corporate governance and strengthened management of most HEIs in the UK, it is likely that institutions are becoming more influential in academics' working lives. But that influence is not always viewed positively, as will be illustrated in the following section.

## 9.7 Views on the Institution's Approach and Management Performance

Respondents were asked about their views on the management of their own HEI. Figure 9.5 shows the percentages of those agreeing or strongly agreeing with a series of statements on this topic. By far the highest proportion of respondents from all types of HEI agree or strongly agree with the statements that there is: "A cumbersome administration process" (72%); "A top-down management style" (69%); "A strong performance orientation" (64%); and "A strong emphasis on the institution's mission" (60%).

The statements link to earlier findings concerning beliefs about primary influences on decision-making, suggesting a strengthening of management and administrative processes – of "centralization" in the terms of the 1992 survey – and the erosion of support, communication, and collegiality within the academy. Disaggregated by institutional type, the responses reveal a complex picture, as shown in Table 9.9.

Respondents from post-2004 universities are strongly in agreement that there is a cumbersome administrative process and a top-down management style in their institution. And yet 45% agree that there is "Collegiality in decision-making process" which is considerably more than those working in other types of institutions.

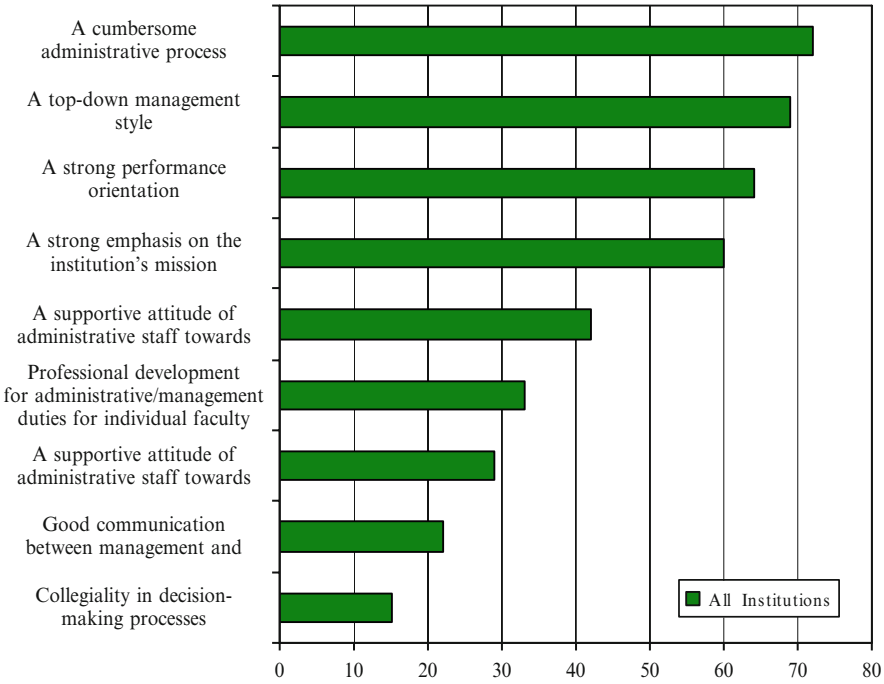


**Fig. 9.5** CAP 2007 survey – views on the management of own institution, percentage agreeing or strongly agreeing

**Table 9.9** CAP 2007 survey – views on the management of own institution, percentage agreeing or strongly agreeing, by institution

| | All institutions | Research intensive (287) | Other pre-1992 (322) | Post-1992 (120) | Post-2004 (27) | HE college (37) |
|---|---|---|---|---|---|---|
| A cumbersome administrative process | 72 | 62 | 77 | 76 | 97 | 74 |
| A top-down management style | 69 | 53 | 75 | 85 | 96 | 68 |
| A strong performance orientation | 64 | 68 | 68 | 51 | 46 | 62 |
| A strong emphasis on the institution's mission | 60 | 57 | 55 | 71 | 66 | 76 |
| A supportive attitude of administrative staff toward teaching activities | 42 | 39 | 49 | 39 | 16 | 27 |
| A supportive attitude of administrative staff toward research activities | 29 | 31 | 29 | 31 | 2 | 29 |

(continued)

**Table 9.9** (continued)

| | All institutions | Research intensive (287) | Other pre-1992 (322) | Post-1992 (120) | Post-2004 (27) | HE college (37) |
|---|---|---|---|---|---|---|
| Professional development for administrative/ management duties for individual faculty | 33 | 28 | 34 | 33 | 44 | 45 |
| Good communication between management and academics | 22 | 21 | 23 | 20 | 8 | 36 |
| Collegiality in decision-making processes | 15 | 15 | 17 | 11 | 45 | 17 |

Those in post-1992 universities are also more likely than respondents from pre-1992 universities (Research Intensive and Others) to agree there is a top-down management style in their institutions. This clearly reflects the different histories and organizational cultures of these institutions. Although fewer from research-intensive universities agree there is a top-down management style, respondents from all pre-1992 universities are more likely to agree there is a strong performance orientation. This is likely, in part, to be a response to the Research Assessment Exercise and institutions' increasingly strategic efforts to achieve high ratings in these periodic evaluations.

A high proportion of respondents from all institutions disagree or strongly disagree with some of these statements: "Good communication between management and academics" (51%); "Collegiality in decision-making processes" (45%); "A supportive attitude of administrative staff toward research activities" (30%); and "A supportive attitude of administrative staff toward teaching activities" (24%). Apart from confirming the generally critical attitudes to management in HEIs, these responses raise serious questions for institutions about management style and perceived levels of support for academic work.

Respondents were asked their views on the administration and faculty involvement in their own institution. Table 9.10 disaggregates by type of institution the responses of those agreeing or strongly agreeing with a series of statements.

Those agreeing with these statements are in the minority, although it is worth pointing out that two of the five statements are critical of the status quo. Less than a quarter of respondents agree or strongly agree that "Top-level administrators are providing competent leadership" (only 7% in post-2004 universities). The only statement with over a third of academics in agreement is "Lack of faculty involvement is a real problem," including 43% of those from research-intensive universities and 40% of those at post-2004 universities. Agreement with this statement is much lower (27%) among academics working in post-1992 institutions. Only 12% of

**Table 9.10** CAP 2007 survey – views on administration and faculty involvement, percentage agreeing or strongly agreeing, by institution type

| | All institutions | Research intensive (287) | Other pre-1992 (322) | Post-1992 (120) | Post-2004 (27) | HE college (37) |
|---|---|---|---|---|---|---|
| Lack of faculty involvement is a real problem | 37 | 43 | 35 | 27 | 40 | 33 |
| I am kept informed about what is going on at this institution | 34 | 35 | 34 | 31 | 12 | 58 |
| The administration supports academic freedom | 33 | 38 | 28 | 25 | 58 | 13 |
| Students should have a stronger voice in determining policy that affects them | 30 | 32 | 24 | 33 | 45 | 45 |
| Top-level administrators are providing competent leadership | 23 | 25 | 21 | 19 | 7 | 33 |

academics in post-2004 universities feel informed about what is going on in their institution. While only 30% of academics from all institutions feel that "Students should have a stronger voice in determining policy that affects them," the percentage of those in agreement is much higher in post-2004 universities and HE colleges (45%).

In the light of the findings reported in sections 9.3–9.7, the following section explores some of the drivers in UK higher education that are likely to be influencing academics' experiences of changes in governance and management.

## 9.8 Drivers

The UK CAP study findings indicate a set of external pressures on academics and their work that are becoming more intense and complex with the continuing expansion of higher education, the increasing demands laid on it by government, students, employers and others, and the relative reduction in public funding available per student and staff member. In particular, there are pressures on academics to attract research income and generate publications and citations in high status academic journals; to recruit, teach, and graduate an increasingly diverse range of students; and to maximize the commercial and reputational value of both these core activities.

The responses to the UK survey suggest these external pressures impact differently on particular types of institution, and in different ways on academics at various stages in their careers and with different kinds of contracts of employment. Of the core academic responsibilities, research has become the key for those individuals wishing to progress in their career, to achieve permanence and reach the higher professional grades. So, it is unsurprising that the facilities, resources, and personnel available to support individual academics in their research activity receives the most criticism (and least praise) in the CAP survey, especially in those newer universities struggling to become "research active," but without the resources to achieve this.

Institutions have had to respond to these increasing and intensifying external pressures in more rapid and flexible ways, including a streamlining of their decision-making process. They have strengthened their senior management teams, "slimmed-down" their committee structures and increasingly adopted corporate-style models of governance, with smaller councils/governing bodies that include fewer staff and student representatives (CUC 2004). In some, particularly post-1992, universities, governing bodies have begun to focus more on academic policy issues, seeing these as a fiduciary responsibility and as much a part of their role as financial and legal matters. Certainly, the role and influence of the academics' primary forum has diminished in many, if not most, universities, and is under threat even at the universities of Oxford and Cambridge (Lambert 2003). In a substantial minority of cases, there is barely a constructive relationship between the council/governing body and the senate/academic board, and the minutes of the latter may not even be seen by the former (Schofield 2009). Yet, according to the CAP respondents, responsibility for decision-making is still largely shared between institutional managers and faculty committees and boards, if not individual academics.

As a result of these developments, some research-intensive institutions have become more like post-1992 universities, with academic policy and strategic planning largely centralized, and resource management and support services devolved to the faculties and schools. Tight controls on expenditure, close regulation, and the expectation of compliance severely proscribe schools' autonomy so that any risks are carefully managed. The instruments of external evaluation, such as the Research Assessment Exercise (RAE), the QAA's Institutional Audit, and university rankings, are increasingly employed by senior management teams to achieve internal change, and have come to preoccupy academic managers and individual academics themselves (Locke 2011).

These changes may largely account for CAP respondents' ambiguity about their institutions and the demise of the academic department in their working lives. Indeed, for some academics, these developments offer new and attractive career paths. A new cadre of professional academic managers and leaders has emerged, who no longer regard management duties as an additional burden but, as in the post-1992 universities, see leadership of a school, research center, or faculty as a symbol of status, authority, and responsibility (Middlehurst 2004). Selected often for their achievements in research, they undertake training and professional development "on the job," often with the support of programs provided by national bodies, such as the Leadership Foundation for Higher Education (LFHE). In parallel, there

has been a growth in the numbers of staff in "non-academic" roles (i.e., not teaching and/or researching) in higher education institutions, now representing more than 50% of full- and part-time employees. Of these non-academic staff, many are administrators and support staff, but there has also been a substantial increase in the proportion of professionals – experts in quality assurance, finance, fund-raising, marketing and sales – and "para-academics" performing core academic roles such as student admissions, learning support, and assessment. These para-academics are beginning to exert influence on institutional decision-making (Fulton 2002).

Within this changing scene, some research studies have, however, found some resistance by individual academics to overt management, particularly where academic managers were perceived as being amateurish and not sufficiently consultative (e.g., Deem and Johnson 2003), or even as bullies (Newman 2009). Others have noted academics' personal frustrations over unnecessary bureaucracy and regulatory compliance (McNay 2008). The CAP survey has highlighted respondents' perceptions of a decline in personal influence and increased dissatisfaction with the management and administration of their institutions. However, it is unclear from these studies, and the CAP survey itself, whether most academics have completely disengaged from institutional governance and academic citizenship (Macfarlane 2005). Nor is it proven that academics are opposed, in principle, to managerialism as a mode of university governance (Kolsaker 2008). Before we address these broader issues, we report on academics' overall satisfaction with their current job and general perceptions of the academic career.

## 9.9 Overall Outcomes

In comparison with other countries included in this book, job satisfaction among UK academics appears to be low with only 44% of respondents describing their overall satisfaction with their current job as high or very high (see Table 9.11). Although the UK has the lowest rating among the countries considered here, 83% of UK participants rate their job satisfaction from medium to very high and only

**Table 9.11** CAP 2007 survey – overall job satisfaction, percentage by institution type

| | All institutions (709) | Research intensive (255) | Other pre-1992 (284) | Post-1992 (108) | Post-2004 (26) | HE college (34) |
|---|---|---|---|---|---|---|
| Very high – high satisfaction | 45 | 44 | 49 | 39 | 12 | 53 |
| Medium satisfaction | 39 | 35 | 35 | 48 | 85 | 29 |
| Low – very low satisfaction | 17 | 20 | 16 | 13 | 4 | 18 |

17% of respondents rate their job satisfaction as low or very low, a figure which has actually decreased since 1992. However, more respondents in 1992 rated their job satisfaction as high or very high (49%). Male academics appear more dissatisfied with their current situation, with 24% rating their overall satisfaction as low or very low compared with only 11% of females. Academics in older, pre-1992 universities seem to be more polarized than those in ex-polytechnics and colleges of higher education, with higher proportions of responses either side of the mid-point (Locke 2008).

Responses to statements on the academic career support these findings. Respondents from the UK are more likely than those from other countries to agree with assertions that: "This is a poor time for any young person to begin an academic career in my field," "If I had to do it over again, I would not become an academic," and "My job is a source of considerable personal strain." In line with the trend described above, male academics were more inclined to agree or strongly agree with these statements in 2007 as Table 9.12 below illustrates. Respondents in pre-1992 universities were less negative than those in other types of higher education institution.

The percentage of academics perceiving conditions in higher education to have improved since they joined the profession is relatively low (16%) in the UK when compared with the other countries included in this book. However, among *all* the CAP countries, there are several with similarly low or lower ratings, including Australia and Germany. Overall, 62% of UK academics perceive conditions to have deteriorated: 64% of male academics and 60% of female academics.

However, these findings on perceptions should be viewed in relation to the actual behavior of the academics surveyed. Respondents were asked: "Within the last 5 years, have you considered a major change in your job? If so, did you take concrete actions to make such a change?" Just under a quarter have not considered making any major changes. Of the remainder, the fewest (13%) have considered changing to a management position in their HEI, and even fewer (8%) have taken concrete action to achieve this. Thirty percent have considered an academic position in another UK institution and most of these (a quarter of all respondents) have taken action. Almost as many have considered an academic position in another country, but far fewer have actually done anything about this. A greater proportion (37%) have considered working outside HE but, again, fewer (11%) have taken action. So, despite fewer 2007 respondents expressing high satisfaction with their current job than in 1992 and with the overall UK ratings being low compared with

**Table 9.12** Attitudes to the academic career (2007)

| | Male | Female |
|---|---|---|
| This is a poor time for any young person to begin an academic career in my field | 55.6% | 44.8% |
| If I had to do it over again, I would not become an academic | 34.3% | 21.1% |
| My job is a source of considerable strain | 54.3% | 51.5% |

other nations in the study, only one in ten respondents have actually taken concrete action to find work outside higher education.

## 9.10 Current Issues Facing Higher Education Governance and Management in the UK

Much of the existing literature on the academic profession and institutional governance and management in the UK has been conducted within a thesis of loss, alienation, and retreat (Halsey 1992; Bryson 2000; Harley et al. 2004; Macfarlane 2006). In this discourse, academics have been proletarianized, their work industrialized, their autonomy eroded, and they, themselves have been de-skilled. The result, according to this discourse, is that the profession is demoralized and disaffected, and disengaged – or worse, excluded – from institutional decision-making. This, it is argued, has brought about a crisis in the governance and management of higher education institutions in which the collegial tradition of dualistic or shared decision-making between academics and other stakeholders has largely been replaced by managerialist corporatism. This "hollowing out" of collegiality, it is argued, presents a challenge to academic and professional identity and the moral authority of higher education itself.

Overall, the segment of the UK survey reported in this chapter might seem to lend support to this thesis, with relatively low levels of job satisfaction in comparison with other countries in the study and a decline since the 1992 survey, and sharp criticisms of institutional management and administration. There may be a number of explanations for these findings that relate to the timing of the two surveys: one at a time when hopes and aspirations for constructive change may have been high; the other in the wake of a long and bad tempered pay dispute.

However, there are more enduring and substantive reasons why the prevailing thesis of loss, alienation, and retreat is insufficient for explaining what is actually happening within the UK academic profession. The existing literature tends to be dominated by the perceptions of academics, with much less evidence of their actual behavior and actions. Despite the fact that the developments throughout higher education between the two surveys have been radical and far-reaching, academics have shown little effective opposition or even widespread dissent (Shattock 2001; Taylor 2006; Kolsaker 2008). There has been a "passive acceptance," "tacit approval," and even "positive support" for many of the changes. Some academics have welcomed the streamlining of committee structures, the speeding up of decision-making, and the professionalizing of management. In some institutions, this has allowed them to concentrate on teaching and/or research, and take advantage of new opportunities for engaging with external partners and accessing additional resources.

The dominant thesis about loss and alienation also tends to regard the academic profession as a homogenous entity and individual academics as rational actors,

performing a largely similar role and operating on the basis of a core of common – if seriously threatened – academic and collegial values. However, as the CAP findings suggest, there are differences of perception emerging from an increasingly segmented academic population, depending on: the type of institution in which the respondent is employed; their grade; their age; and the time they have spent in the profession; their gender; mode of work; and even subject discipline. Increasingly, the academic role itself is being fragmented. Those expected to both teach and research are now in the minority, and their responsibilities may range from simply teaching to also assessing students, leading courses, and designing the curriculum, or from basic research to also analyzing data, managing projects, and preparing research proposals. In some institutions, the research proposal process has been professionalized to the extent that there are separate institution- or faculty-wide units dedicated to gathering intelligence about sources of funding and ways of maximizing the success rate. With the growing use of educational technologies and managed learning environments, the processes of "facilitating learning" are being disaggregated and increasingly undertaken by multi-skilled teams in which each member specializes in one aspect.

These shifts in roles, values, perspectives, and expectations are unlikely to emerge within a discourse predominantly of loss, alienation, and retreat that harks back to a "golden age" of academic governance by a community of equals, even if this is an inaccurate representation of a hierarchical and exclusive past (Tapper and Salter 1992). New theories are needed that acknowledge differentiation within the academic profession and recognize a range of perspectives on the changing power relations, governance arrangements, and management structures in particular types of higher education institution. There will be those who are being marginalized by these developments (Marginson 2000), some who make compromises in order to reconcile their preconceptions of academia with their experiences of working in a corporatized university (Churchman 2006) and a few who internalize a managerialist ideology for their own career advancement (Deem and Brehony 2005). Indeed, academic values and identities are becoming an increasingly contested area which managers and decision-makers need to understand and address in crafting a vision for their institution (Winter 2009).

The segmentation of academic staff in the UK raises the issue of whether we can any longer speak of a single profession (Fulton 1996b; Williams 2008), and the differentiation of UK higher education institutions calls into question the existence of a homogeneous higher education system. These characteristics make the generalized analysis of governance and management in such institutions problematic. This chapter has aimed to show how the UK CAP survey results illustrate these distinctions and bring into question the discourse of academic loss, alienation, and retreat. It suggests that a more nuanced and differentiated approach is required if institutions and academics themselves are to achieve and sustain professional renewal. In particular, institutions seeking to differentiate themselves in the market will need to develop forms of governance and management that suit their particular mission and circumstances, rather than comply with government diktats.

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# Chapter 10
# The United States of America: Perspectives on Faculty Governance, 1992–2007

**Martin Finkelstein, Ming Ju, and William K. Cummings**

The period from the Second World War through the end of higher education's great expansion in the mid-1970s represents something of a watershed in the history of US faculty engagement and influence in the governance of colleges and universities. Haggerty and Works (1939) chronicled the widespread emergence of faculty governance committee structures at the majority of US campuses in the 1930s. The AAUP issued its Statement on Academic Freedom and Tenure in 1940 (AAUP 2006a) followed in 1958 by its Statement on the Governance of Colleges and Universities which laid down a prescriptive vision of "shared governance" (AAUP 2006b). Indeed, the 1960s and the 1970s saw the emergence of an entire literature on shared governance; as well as the emergence of collective bargaining as a legal framework buttressing the faculty role in governance.[1]

The American situation was both similar to, but also different from, dominant patterns in Western Europe. While ministries of education traditionally controlled the undergraduate curriculum and admissions in ways unknown in the USA, the faculty in Europe largely controlled graduate education, faculty appointments, but most importantly, the immediate conditions of their work. The recession of the 1980s, the concurrent ascension of conservative political rule on both sides of the Atlantic – reflected most cogently in Reagan and Thatcher – the fall of the Soviet Union and the apparent triumph of global capitalism ushered in an era of privatization and commoditization in higher education across the globe. The new credo argued that higher education was more an individual, private benefit than a social good and that, as such, ought to pay for itself rather than feed at the public trough (Gumport 1997).

[1] See, for example, Baldridge (1971), Baldridge et al. (1978) Birmbaum (1988).

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In light of the increasing size and criticality of the "industry," it increasingly required a managerial focus, subject to outside scrutiny. Public subsidy needed to be replaced by individual entrepreneurism on the part of the faculty. The general implications for colleges and universities was at once increasing decentralization and increasing accountability at the local level (Slaughter and Rhoades 2004).

In some sense, then, just as the golden age of faculty (shared) governance was achieving something of the full measure of its potential, a changing political and economic environment was sealing its doom. By the early 1990s, the baseline period of this analysis, the die had already been cast in the direction of increased managerialism, faculty prerogatives were perceived to be in retreat and the only question that remained was one of time horizon. Was this simply a swing of the pendulum to be "corrected" with the return of prosperity in the late 1990s and the dawn of the twenty-first century? Or, rather, was this a new era in university governance which represented the thorough penetration of the university by global capitalism that roughly parallels the penetration of industrial capitalism into the university at the turn of the twentieth century?

The analysis that follows is intended to provide a perspective on the period between the early 1990s and 2007 in the USA. Once we have reported our own findings, we will seek to contextualize them in two ways. First, we will compare them to those of the only two large-scale national studies of institutional governance in the USA in the past decade – the 2001 Survey on Higher Education Governance conducted by Gabriel Kaplan[2] as part of his doctoral dissertation at Harvard University (Kaplan 2002) and the 2002 survey conducted by William Tierney and James Minor at the Center for Higher Education Policy Analysis at the University of Southern California. Second, we will compare them to the concurrent findings reported in five other developed countries that participated in the 2007 Changing Academic Profession International Survey.

## 10.1 The Current Study

The current study is part of a 19 nation international survey of the academic profession that replicates in 2007 the first international survey conducted in 1992 by the Carnegie Foundation for the Advancement of Teaching (Altbach 1996). As such, it provides a unique window on changing faculty perceptions and self-reports over a largely ignored 15-year period.[3]

[2] The survey was sponsored jointly by Committee T of the American Association for University Professors and the American Conference of Academic Deans

[3] While other national surveys of faculty were conducted during this period in the US, most notably the National Center for Education Statistics 1993, 1999, and 2004 surveys, they did not address items related to faculty governance as the earlier Carnegie surveys had.

### *10.1.1 Dependent Variables*

The current study addressed five dimensions of governance as follows: first, faculty reports on their relative degree of commitment to their discipline, department, and university and the association of that commitment pattern to work activities. Second, faculty perceptions of working conditions at their institutions and changes therein between 1992 and 2007. Third, faculty perceptions of which internal or external stakeholders exercised primary influence over decisions on faculty and administrative appointments, budget priorities, and new academic programs. Fourth, faculty self-reports of the time they spent as individuals on governance and their perceptions of the influence they exercised as individuals on their academic departments, the larger academic units to which their departments belonged, and their institutions overall. Finally, their general perceptions of overall faculty engagement in governance at their institution as well as their perceptions of the competence of administrative leadership.

These dimensions of governance were selected for two basic reasons. First, and most immediately, they were dimensions that were addressed in both the 1992 and 2007 surveys, thus allowing for direct comparisons of responses over a 15-year period. Second, these dimensions represented areas that the authors deemed of key importance historically for assessing the faculty role. Over the past century, faculty in the USA have exercised a major shaping influence in the twin areas of faculty appointments and curriculum or academic programs. These are both viewed as "key" areas of faculty influence. It follows that any perceived changes in these two areas would be considered critical for establishing "change" or "stability" in their governance role. Historically, faculty have not exercised substantial authority in budget matters; so this is an area that promises less value as an indicator.[4] As a counterpoint to general perceptions of the faculty as a whole, we added as indicators faculty perceptions of their individual influence at three levels of campus organizational life as well as an empirical self-report on the time devoted to governance matters. This focus on the individual in contradistinction to the corporate faculty as a whole recognizes the duality emerging in the literature between faculty perceptions of their own situations versus those of their colleagues in general.[5] Finally, to these perceptions of the overall campus faculty role in these specific areas, we also add two other general indicators: their perceptions of faculty engagement in campus life overall and their perceptions of the competence of administrative leadership.

[4] Except in so far as we found in 2007 a significantly enhanced role in budget matters – a possibility that appeared on the face of it quite remote.

[5] See, for example, Schuster and Finkelstein (2006).

### *10.1.2 Data Sources*

The data to examine these aspects of governance and changes therein were collected from the 1992 Carnegie survey and the 2007 Changing Academic Profession survey data files for the US sample[6]; a word now by way of description of the two surveys.

The 1992 survey conducted by Philip Altbach and an international faculty team under the auspices of the Carnegie Foundation for the Advancement of Teaching was a 12-page paper survey that was mailed to a random sample of 7,588 faculty at 40 randomly selected 4-year colleges and universities, 12 of which were research universities. Responses were received from 3,588 faculty for a 46.5% response rate. The data file was weighted by gender, tenure status, and academic field to ensure broad generalizability to the general 4-year collegiate faculty population.[7]

In the 2007 Survey, the universe of 4-year colleges and universities in the USA was stratified by two characteristics: size/degree level and control. A total of 80 institutions were selected from among four strata (defined by large/graduate, small/undergraduate, public, and private). Using their faculty lists we determined the proportion of full-time faculty in the population in each of the four institutional strata. A random sample of faculty was selected within each institutional stratum so as to approximate their proportions in the population. This approach yielded a total sample of 5,772 faculty at 80 4-year colleges and universities across the USA.

The US team contracted with the Research Services Division of SPSS, Corp (the Statistical Package for the Social Sciences), to program and host the online American English version of the CAP survey. The survey link with an individually coded identifier was e-mailed to all 5,772 faculty, on October 3, 2007. A total of five reminders were sent out electronically between, October 15 and December 7, 2007. In March 2008, a paper version of the survey was mailed to approximately 1,000 of the non-respondents in an effort to capture additional responses from those who were unwilling to respond to an online survey. Ultimately, a total of 1,048 responses were received from faculty at 80 institutions for an effective response rate of 21.4%. Subsequent analysis showed that respondents differed modestly from the sample in institutional type (over-representing Ph.D. granting universities and under-representing liberal arts colleges), gender (women were slightly over-represented), and rank (slight over-representation of senior faculty). The data file was therefore weighted by institutional type, academic field, gender, and rank to ensure generalizability to the general faculty population.

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[6] The US datafile was made available by Professor William Cummings, George Washington University.

[7] For further details on technical aspects of the survey, see Altbach (1996).

## 10.2 The Nature of Academic Work

Burton Clark (1986), in his seminal study of *The Higher Education System*, reminded us that the core purposes of the academy are to create, apply, and disseminate knowledge. For this purpose, academics affiliate with different organizations. On the one hand, they seek employment in institutions of higher education and research institutes where they receive space, time, and support in exchange for their work as teachers and researchers. On the other hand, they become members of professional associations that sponsor conferences and journals where knowledge is exchanged, debated, and codified. Additionally academics may affiliate with private companies that facilitate their consulting work, they may join unions to protect their jobs and their working conditions, and they may join other organizations that promote social and political agendas. These various affiliations shape the viewpoints of academics.

Perhaps the most striking finding from the 2007 CAP survey is the strong sense of affiliation that US academics express toward their academic disciplines, but the moderate sense of affiliation they express toward their employing institutions. As indicated in Table 10.1, only six out of ten US academics indicated a strong or moderate sense of affiliation with their institution in 2007, down from nine out of ten in 1992. The 2007 proportion is among the lowest (six other countries are lower) for the 19 countries in the 2007 CAP study, and the decrease relative to 1992 is among the highest. We believe this finding is of particular importance in discussing the attractiveness of the American academy, and as we will illustrate this practice of disaffiliation is highly linked with recent managerial practice. Thus it will be the anchor for the analysis we report below.

While academics affiliate with many organizations, the majority of their time is spent in the service of the university or college that employs them, pursuing their teaching and research. Depending both on personal inclination and the expectations of the institution where they are employed, they may focus relatively greater effort on teaching, research, or service. To facilitate this work, academics are organized in core units such as departments, centers, and programs. Many of the essential decisions relating to academic work are made in these units. Additionally, for the coordination of those decisions that affect multiple units, more comprehensive bodies may be formed for the deliberation of academics, such as academic senates or councils.

Considering the different components of academic work, it can be argued that some components such as teaching, minimal research activity, and service are mandatory whereas other components such as administration, consulting, and other professional activity are largely voluntary. Table 10.2 focuses on the relation between the relative sense of institutional affiliation of faculty and the number of hours they devote to mandatory and voluntary work. Regardless of degree of institutional affiliation, the average time that faculty devote to the mandatory work of teaching is constant. However, the average time that faculty devotes to department and university administration decreases significantly with decreased sense of institutional affiliation; and the average time that faculty devote to service, self-employed consulting, and research increases substantially with decreased sense of institutional

**Table 10.1** Level of institutional identification, full-time faculty, 2007 and 1992 (in percent)

| Percent who say affiliation is very important or important | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Portugal | Italy | Germany | Finland | Norway | UK | USA | Canada | Japan | Korea | Hong Kong | China | Malaysia | Brazil | Mexico | Argentina |
| In 2007 | | | | | | | | | | | | | | | | |
| My academic discipline/field | 79 | 78 | 90 | 89 | 94 | 81 | 92 | 91 | 93 | 89 | 90 | 80 | 96 | 94 | 97 | 93 |
| My department (at this institution) | 57 | 59 | 51 | 72 | 70 | 56 | 78 | 68 | 69 | 89 | 72 | 73 | 87 | 72 | 90 | 83 |
| My institution | 66 | 57 | 51 | 68 | 54 | 38 | 61 | 59 | 63 | 74 | 60 | 68 | 87 | 79 | 93 | 86 |
| In 1992 | | | | | | | | | | | | | | | | |
| My academic discipline/field | | | 91 | | | 93 | 96 | | 96 | 99 | 93 | | | 99 | 98 | |
| My department (at this institution) | | | 52 | | | 66 | 89 | | 85 | 88 | 87 | | | 95 | 95 | |
| My institution | | | 34 | | | 84 | 90 | | 80 | 97 | 78 | | | 96 | 94 | |

**Table 10.2** Number of weekly hours devoted to different academic activities

By importance of institutional affiliation, full-time US faculty, 2007

| | Teaching | Research | Service | Administration | Self-employment | Other academic activities |
|---|---|---|---|---|---|---|
| Institutional affiliation is | | | | | | |
| Very important | 20.3 | 11 | 4.9 | 8.6 | 1.4 | 3 |
| Important | 21.6 | 12 | 4.1 | 7.8 | 0.9 | 2.8 |
| Neutral | 21.3 | 14 | 4.8 | 7.1 | 1.2 | 2.8 |
| Not so important | 23.3 | 12.9 | 5.1 | 5.5 | 1.2 | 2 |
| Not important | 21.2 | 13 | 4.3 | 5.4 | 3.3 | 2.2 |

affiliation. In sum, professors who feel less affiliation with the university devote less time to the voluntary side of institutional life and more time to their research and remunerative opportunities that are opened up by their status as academics. The decline in institutional affiliation has been accompanied by a decline in the involvement of academics in those voluntary activities that lead to a responsible academic voice in university governance and management.

An alternate interpretation is the local-cosmopolitan argument that some academics choose to emphasize the local combination of teaching and administration while others choose research and consulting; hence these choices cause disaffiliation rather than vice versa. However, in the 1992 Carnegie Survey of the International Academic Profession it was found that the academics who emphasized so-called cosmopolitan activities were as likely to express a strong affiliation with their institution as those who emphasized local activities. The difference was that the locals put fewer total hours into academic work than did the cosmopolitans. In the 2007 survey, the cosmopolitans continue to work longer hours, but they have reduced the time they devote to institutional governance, management, and administration.

### *10.2.1 Support for Academic Work*

To support the teaching and research work of the core units, the institutions that employ academics are engaged in a great variety of other tasks, including the selection of students, the provision of student housing, the construction and maintenance of classroom and research buildings, the provision of educational and research technology, the acquisition of library resources, and the management of finances.

Effective governance and management hopefully leads to steady improvement in the facilities, resources, and personnel necessary to carry out academic work. The CAP survey asked academics what they felt about different facets of their working conditions. Concerning most items the respondents were about equally divided between those who felt the conditions were excellent or good and those who felt they were in need of improvement. Interestingly telecommunications, classrooms, and the technology for teaching tended to get the highest ratings

whereas research equipment and support for research and teaching tended to get lower ratings. In the 1992 study, a similar question was asked. Comparing the recent findings with those for 1992, the academics in those countries with more advanced economies such as the USA, the UK, and Japan reported little improvement whereas academics in several of the emerging economies reported significant improvement (see Table 10.3). Overall, academics in Hong Kong gave the highest rating to their facilities, resources, and personnel.

Focusing on the US situation, it is noteworthy that a somewhat larger proportion of the faculty at private institutions perceived their facilities to be excellent or good. However, there was little difference within the private sector in the perceptions of faculty at research universities and those at non-research institutions.

## 10.3 Decision-Making in Academia

To accomplish the task of supporting academic work, additional more inclusive organizational units are likely to be formed including the offices of department chairs, deans, provosts, and presidents with their related staff. The appointees to these offices, while often having a background as an academic, are usually regarded as managers. Those at the department and decanal level are sometimes described as middle-level managers while those at the presidential and provost levels are considered senior-level managers. Finally, in state and national settings where governments play an important role in the provision and financial support of higher education, ministries or departments of education and state higher education boards may be established to coordinate the activities of higher educational institutions.

### *10.3.1 Faculty Perceptions of the Influence of Internal and External Stakeholders in Five Decision Areas*

The 1992 and 2007 surveys posed a similar set of questions providing respondents with a series of decision areas (faculty appointments, approving new academic programs, selecting top administrators, etc.) and asking them to rate the relative influence of key stakeholders in making those decisions. For purposes of simplicity, we focused on five decision categories that we believed were representative of the continuum of decisions from purely personnel and curricular (the typical domain of the faculty) to budgetary and administrator selection (traditionally outside the faculty's purview) and sought to compare the responses in 1992 to those in 2007 for three stakeholder groups: faculty (including individual faculty, faculty committee and senates/unions), middle managers (deans and department chairs), and central administration (including boards and external groups). The results are displayed in Table 10.4.

If we examine the results for the two areas of faculty personnel which have traditionally fallen within the purview of the faculty (choosing new faculty and

**Table 10.3** Percent rating facilities as excellent or very good in 2007 (17 countries), and in 1992 (8 countries), full-time faculty

| QB3:% who say the following are excellent or very good at their institution | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 2007 | PO | IT | DE | FI | NO | UK | USA | CA | JP | KR | HK | CH | MY | AU | BR | MX |
| Classrooms | 55 | 38 | 51 | 71 | 56 | 32 | 53 | 52 | 33 | 48 | 68 | 62 | 43 | 47 | 57 | 47 |
| Technology for teaching | 48 | 37 | 56 | 72 | 60 | 39 | 60 | 63 | 53 | 44 | 82 | 54 | 45 | 52 | 46 | 43 |
| Laboratories | 39 | 29 | 64 | 53 | 49 | 39 | 25 | 33 | 9 | 2 | 50 | 39 | 35 | 41 | 46 | 37 |
| Research equipment and instruments | 33 | 31 | 62 | 52 | 54 | 34 | 27 | 36 | 9 | 24 | 52 | 33 | 24 | 42 | 36 | 30 |
| Computer facilities | 44 | 45 | 72 | 71 | 77 | 43 | 61 | 57 | 37 | 40 | 76 | 46 | 55 | 62 | 52 | 47 |
| Library facilities and services | 47 | 54 | 56 | 75 | 74 | 55 | 57 | 66 | 39 | 43 | 82 | 47 | 50 | 75 | 51 | 46 |
| Your office space | 51 | 46 | 68 | 67 | 71 | 42 | 57 | 62 | 35 | 48 | 59 | 37 | 48 | 62 | 40 | 44 |
| Secretarial support | 29 | 35 | 50 | 53 | 30 | 28 | 41 | 44 | 16 | 19 | 47 | 28 | 22 | 27 | 47 | 35 |
| Telecommunications | 55 | 65 | 84 | 80 | 84 | 42 | 72 | 72 | 53 | 73 | 80 | 43 | 55 | 67 | 56 | 47 |
| Teaching support staff | 24 | 16 | 26 | 43 | 17 | 35 | 28 | 32 | 9 | 14 | 36 | 40 | 27 | 28 | 37 | 25 |
| Research support staff | 17 | 17 | 38 | 33 | 19 | 34 | 17 | 28 | 9 | 11 | 29 | 30 | 19 | 26 | 24 | 18 |
| Research funding | 16 | 8 | 34 | 20 | 24 | 17 | 16 | 23 | 18 | 14 | 30 | 18 | 24 | 23 | 18 | 14 |
| Average of first 8 in 2007 | 43 | 39 | 60 | 64 | 59 | 39 | 48 | 52 | 29 | 33 | 64 | 43 | 40 | 51 | 47 | 41 |

| Question B3: At this institution, how would your evaluate each of the following facilities, resources, or personnel you need | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1992 | DE | UK | USA | CAN | JP | KR | HK | CH | MY | AU | BRZ | MX |
| Classrooms | 43 | 31 | 55 | | 15 | 19 | 51 | | | 31 | 39 | 47 |
| Technology for teaching | 42 | 32 | 49 | | 14 | 9 | 60 | | | 35 | 21 | 32 |
| Laboratories | 48 | 32 | 54 | | 12 | 9 | 42 | | | 33 | 22 | 32 |
| Research equipment and instruments | 46 | 22 | 53 | | 14 | 7 | 38 | | | 28 | 15 | 22 |
| Computer facilities | 60 | 43 | 68 | | 25 | 13 | 69 | | | 53 | 25 | 43 |
| Library facilities and services | 53 | 39 | 62 | | 31 | 7 | 49 | | | 40 | 34 | 39 |
| Your office space | 37 | 34 | 45 | | 17 | 21 | 50 | | | 40 | 29 | 34 |
| Secretarial support | 44 | 33 | 44 | | 12 | 6 | 40 | | | 36 | 35 | 33 |
| Average of first 8 | 47 | 33 | 54 | | 18 | 11 | 50 | | | 37 | 27 | 35% |

**Table 10.4** Percent rating various decision makers as influential or very influential in five decision areas, 1992 and 2007, fulltime US faculty

Summary: At your institution, which actor has the primary influence on the following decisions? (% very influential and influential) 1992 vs. 2007

| | Central admin and external stakeholders | | Deans and chairs | | Faculty bodies | |
|---|---|---|---|---|---|---|
| | 1992 | 2007 | 1992 | 2007 | 1992 | 2007 |
| Selecting key administrators | 83.7 | 76.9 | 11.3 | 14.7 | 4.9 | 8.3 |
| Choosing new faculty | 17.6 | 5.6 | 19.8 | 33.0 | 62.5 | 61.4 |
| Making faculty promotion and tenure decisions | 31.9 | 18.3 | 30.9 | 30.5 | 37.2 | 51.1 |
| Determining budget priorities | 86.5 | 55.4 | 9.3 | 42.4 | 4.2 | 2.2 |
| Approving new academic programs | 47.4 | 47.7 | 27.6 | 16.6 | 25.0 | 35.6 |

Data Source: CAP international survey, 2009

making faculty promotion and tenure decisions), a clear pattern emerges. Between 1992 and 2007, central administration and external groups lost influence in these matters while deans/department chairs and faculty gained or retained their influence. According to these data, by 2007, the faculty had clearly consolidated its hold over faculty personnel decisions. At the other end of the decision spectrum, i.e., establishing budget priorities, a very different trend emerges. Central administrators and external groups lost influence between 1992 and 2007 while middle management (deans and department chairs) gained influence. While, central administration was perceived as retaining the major share of influence in budgetary matters (55.4% of respondents still saw them as the primary arbiters in matters of budget); it was however the deans who relative to the faculty gained influence during this period. In 1992, deans and faculty were perceived to be about equally ineffectual in budgetary matters (perceived as primary influencers by 4.2–9.3% of respondents). By 2007, the deans were perceived as primary influencers by more than two-fifths (only marginally below central administration). In the area of selection of administrators central administration retains its primary influence during this period. Neither deans nor faculty appear to have made any inroads in this area.

The key area of approving academic programs shows yet a different trend: the declining influence on the part of deans and department chairs, and steady or increasing influence on the part both of central administration and faculty bodies. That administrators continue to retain the highest share of influence in academic program approval suggests the key role of resources (budget) in the start-up of new programs. That the faculty have increased their influence may be attributable to two forces. The persistence in faculty efforts to exert their control over academic programs (an area traditionally the domain of the faculty) as well as the increasing entrepreneurial activity of faculty in the area of new academic program development through securing external, grant support.

In sum, the overall pattern is one of continued ascendance of central administration in matters of budget, administrative staffing, and new academic programs, the consolidation of faculty influence in the area of faculty personnel decisions, and the increasing influence of deans and department chairs (middle management), especially in budgetary matters.

### *10.3.2 Faculty Self-Reported Involvement and Influence in Governance*

The 1992 and 2007 surveys posed an identical set of questions asking respondents, first, the number of weekly hours they spent in committee work and governance (one of several areas that included teaching, research, etc.), and second, how influential they deemed themselves as individuals to be in decision-making at the level of their department, their school or college and at the level of their institution as a whole. Table 10.5 shows the mean number of weekly hours faculty reported spending on governance matters in 1992 and in 2007 as well as the proportion of respondents in each year that rated themselves as "very influential" at each of the three levels. A review of the data suggests minor or no change in the allocation of time to governance activities between 1992 and 2007. Almost 7 hours weekly in 1992 and about 7.5 hours in 2007 accounting for about one seventh of the nearly 50 hours weekly workload reported by faculty. Moreover, notwithstanding the allocation of effort, it suggests faculty do not consider themselves "very influential" at any level beyond the department. In 1992, just over one quarter self-reported themselves as "very influential" at the department level; and by 2007, that had risen to one third. Beyond their own department, however, a very slim minority reported themselves influential at the school or college level (although that proportion increased from 6.7% in 1992 to 10.4% in 2007) and almost none at the institutional level. Thus, despite an apparent uptick between 1992 and 2007, the pattern of perceived influence is quite modest. In the context of the analyses of the previous section on stakeholder influence, it would appear that the discernable modest increase in faculty influence is likely focused in the area of faculty appointments and promotion and, to a lesser extent, the launching of academic programs.

When we examine the 2007 data controlling for institutional type and academic field, an interesting and slightly counterintuitive pattern emerges. Faculty at research universities spend an average of half an hour more on governance activities weekly than other 4-year faculty, but on average are less likely to see themselves as very influential on departmental decision-making. This suggests that whatever increase we saw in the proportion of faculty reporting high departmental influence between 1992 and 2007 may be attributable to greater empowerment of the faculty outside the research university sector. Presumably as the buyer's market for faculty has allowed non-research institutions to hire ever larger numbers of doctorates from the top research universities, their stellar professional credentials require a greater measure of institutional recognition.

**Table 10.5** Mean weekly hours in administration and percent reporting they are "very influential" at three decision making levels in 1992 and 2007 (by institutional type and academic field), full-time US faculty

Summary: (A) Mean hours per week in administration; (B) Perceived personal influence at various levels (% "very influential"). 1992 vs. 2007

| | | | 2007 | | 2007 | |
|---|---|---|---|---|---|---|
| | 1992: All | 2007: All | Research inst. | Non-research inst. | Life, medical sciences | Other disciplines |
| Involvement in administration | 6.84 h | 7.55 h | 7.68 h | 7.32 h | 7.84 h | 7.49 h |
| Influential: at the level of department | 27.5 | 33.0 | 30.9 | 40.4 | 34.0 | 32.7 |
| Influential: at the level of faculty and school | 6.7 | 10.4 | 11.8 | 12.3 | 13.7 | 9.5 |
| Influential: at the institutional level | 2.1 | 3.2 | 3.2 | 5.0 | 4.3 | 2.9 |

Data source: CAP international survey, 2009

When we control for academic field, faculty in the life and medical sciences spend more time on governance and perceive themselves as more influential than faculty in other fields, especially beyond their own academic departments. We assume this pattern squares with the traditional influence on most US campuses of medical schools as large budget centers and as recipients of large federal research grants.

## 10.4 Perceptions of Administrative Competence and Faculty Engagement

The 1992 and 2007 surveys included several identical items asking respondents to register their level of agreement or disagreement with a series of statements about the "competence" of administrative leadership on their campus, the quality of faculty–administrative communication, and the level of engagement of the faculty in campus affairs. The percentage of faculty agreeing or "strongly" agreeing with each of the three focal statements in 1992 and 2007 are displayed in Table 10.6. The table shows about a 7% increase between 1992 and 2007 in the percentage of faculty agreeing that "administrative leadership is competent" and no change in the percentage agreeing that faculty are "kept informed about what is going on at this institution (just over two fifths)." Moreover, it shows a 13% drop in the percentage of faculty reporting that "lack of faculty involvement is a real problem here." While the majority of faculty in both 1992 and 2007 did not attest to administrative

**Table 10.6** Percent agreeing or strongly agreeing that administrators are competent, faculty are informed and engaged in 1992 and 2007 (by institutional type and academic field), full-time US faculty

Summary: Perception of administrative competence and faculty institutional engagement (% strongly agree and agree). 1992 vs. 2007

| | | | 2007 | | 2007 | |
|---|---|---|---|---|---|---|
| | 1992: All | 2007: All | Research inst. | Non-research inst. | Life, medical sciences | Other disciplines |
| Top level administrators are providing competent leadership | 37.9 | 45.3 | 42.0 | 43.1 | 51.4 | 43.3 |
| I am kept informed about what is going on at this institution | 41.6 | 42.8 | 40.2 | 45.9 | 46.7 | 41.5 |
| Lack of faculty involvement is real a problem here | 43.7 | 30.3 | 32.3 | 34.5 | 22.5 | 32.6 |

Data source: CAP international survey, 2009

competence or healthy communication between faculty and administrators, nonetheless the trend is clearly in the direction of stabilization or modest improvement.

When we control the 2007 data for institutional type we find there is virtually no difference between faculty in research universities and other 4-year institutions in perceptions of administrative competence, faculty involvement, and communication. When we add academic field, we find faculty in the life and medical sciences differ substantially from their colleagues in other fields. These faculty, who had perceived themselves in greater proportion as influential in decision-making, especially beyond their own department (v. supra), now report in higher proportions agreement that administrators are competent and faculty are informed. Thus, it would appear that, while inter-institutional difference may have attenuated between 1992 and 2007, those between academic fields – especially between the sciences and non-sciences – remain.

In summary, between 1992 and 2007, the locus of influence on faculty appointments and promotions moved away from central administrators and toward deans and faculty. Faculty consolidated their influence on faculty appointments and promotions and reported a modest uptick in their perceived influence, especially at the department level. Central administration maintained its influence on selecting administrators and on budgetary matters and on establishing new academic programs (albeit the latter shared with faculty). Deans increased their influence over budget priorities at the expense both of central administration and faculty; and faculty perceived no change or a modest increase in administrative competence and faculty institutional engagement.

In 2007, relatively modest differences were discernable by institutional type and academic field. At research universities, faculty appear to be losing ground vis-à-vis other 4-year institutions and deans and central administrators gaining ground. In the life/medical sciences faculty have retained their influence and what influence they have lost has been ceded to deans rather than central administration.

## 10.5 Contextualizing the CAP Governance Findings

### *10.5.1 The 2007 CAP Survey Compared to the 2001 Kaplan and the 2002 USC Survey*

How do the findings reported here compare with the results of other national studies of higher education governance in the USA? As we averred earlier, for all the wringing of hands, there has been precious little systematic investigation of academic governance in the past decade beyond the 2001 Survey of Higher Education Governance conducted by Gabriel Kaplan in his doctoral dissertation at Harvard University and the 2002 survey by USC's Center for Higher Education Policy Analysis (Tierney and Minor 2003). The Kaplan survey included responses from two subgroups – senior administrators and faculty leaders at 883 college and universities to a complex instrument probing questions of general organizational structure (composition and membership of governing board; central administrative structures; etc.), as well as structure and processes for faculty participation in governance at institutional and subunit levels. The USC survey included responses from 1,199 faculty, 400 faculty senate leaders, and 411 academic vice presidents at more than 700 4-year colleges and universities. For our purposes, three areas of these surveys provide relevant comparisons to the 2007 CAP survey. First, a series of questions in both surveys about the faculty role in decision-making in a series of specific areas, including faculty personnel; curriculum; budget; administrator appointments. Second, a question in the Kaplan survey about changes over the past 20 years (1981–2001) in the powers of specific groups on campus. Finally, a series of questions in both surveys on levels of faculty engagement in campus governance and the quality of faculty–administrative communication.

### *10.5.2 Faculty Role in Decision-Making*

In the 2001 Kaplan survey, senior administrators and faculty leaders were asked to rate the relative influence of faculty (vis-à-vis administrators) in several areas of governance including faculty appointments and promotions, curriculum, administrator selection, and budget. Specifically, the survey asked respondents to determine faculty influence on a continuum from faculty determination, at one extreme, to no

**Table 10.7** Level of faculty influence in selected decision areas, US administrative and faculty union leaders, 2001 (in percent)

| | Level of influence (high to low) | | | | |
|---|---|---|---|---|---|
| | Determination | Joint action | Consultation | Discussion | None |
| Decision area | Faculty authority and determination | Between faculty and administration | Administration consults with the faculty | Administration explains policies taken to faculty | No faculty participation |
| Appointment of full-time faculty | 14.09 | 58.26 | 24.44 | 2.37 | 0.82 |
| Tenure promotions for faculty | 12.72 | 57.80 | 26.43 | 1.48 | 1.58 |
| Decisions about the content of the curriculum | 62.79 | 30.54 | 5.34 | 0.88 | 0.41 |
| Setting degree requirements | 54.24 | 36.80 | 6.85 | 1.46 | 0.64 |
| Types of degrees offered | 22.70 | 53.63 | 17.95 | 4.18 | 1.51 |
| Appointment the academic dean | 2.82 | 29.84 | 53.58 | 8.89 | 4.70 |
| Appointment department chairs or heads | 15.94 | 37.89 | 36.23 | 6.26 | 3.67 |
| Short range budgetary planning | 2.01 | 15.88 | 38.68 | 30.81 | 12.64 |

Source: Kaplan (2002). Reprinted with permission.

**Table 10.8** Responses on perceived level of faculty influence organizes by position

| Percentage reporting substantial level of influence | | | |
|---|---|---|---|
| Venue | AVP | Chair | Faculty |
| Undergraduate curriculum | 96 | 84 | 85 |
| Tenure and promotion standards | 84 | 69 | 66 |
| Standards for evaluating teaching | 82 | 65 | 64 |
| Evaluation of the quality of academic programs | 71 | 55 | 56 |
| Undergraduate educational policy | 64 | 47 | 44 |
| Graduate educational policy | 63 | 52 | 44 |
| Standards for post-tenure review | 53 | 48 | 48 |
| Setting strategic priorities | 50 | 30 | 28 |
| Faculty-related personnel policies | 47 | 27 | 28 |
| Policies of intellectual property | 45 | 34 | 30 |
| Selection of the president and AVP | 42 | 28 | 22 |
| Setting budget priorities | 24 | 10 | 11 |
| Evaluation of the president and AVP | 21 | 17 | 15 |

Source: Tierney and Minor (2003). Reprinted with permission

faculty participation, at the other. In the middle were progressive alternatives including: joint faculty–administrative action; administration consults with faculty; and administration explains decisions to faculty. The data in Table 10.7 corroborate the strong faculty role in faculty appointments and promotion and in curriculum (less so in establishing degree programs); the diminished role in administrator selection and budget.

The 2002 USC survey asked faculty, faculty senate leaders, and chief academic officers to rate the level of faculty influence in 13 areas, ranging from undergraduate curriculum, through faculty appointments and promotion, to administrator selection and budget matters. Table 10.8 shows the percentage of all respondents rating faculty influence in each of the 13 areas as "substantial" by position. These results suggest much the same pattern of influence, although undergraduate curriculum, in particular, emerges as a bulwark of faculty influence (an area not specifically focused upon in other studies). Moreover, the results suggest that administrators uniformly perceive faculty influence as higher than do the faculty themselves.

Moreover, when respondents were asked to distinguish between the faculty's formal and informal authority, as in Table 10.9, a slightly more nuanced pattern emerges: while faculty do not indeed possess *formal* authority over administrator selection and setting budget priorities, there is nonetheless a perception that *informal* influence may not infrequently be exercised.

### *10.5.3 Trends in Governance Roles, 1981–2001*

Senior administrators and faculty leaders were asked how the allocation of governance power had changed over the past 20 years for various groups on campus. Their responses below suggest that deans and faculty bodies are the constituencies

**Table 10.9** Top three areas cited for different types of authority

| Nature of authority | Area | % Claiming types of authority |
|---|---|---|
| Formal authority | Undergraduate curriculum | 67 |
| | Tenure and promotion standards | 59 |
| | Standards for evaluating teaching | 50 |
| Informal authority | Selection of the president and AVP | 52 |
| | Setting strategic priorities | 59 |
| | Setting budget priorities | 53 |
| No authority | Evaluation of president | 41 |
| | Evaluation of AVP | 33 |
| | Setting budget priorities | 31 |

Source: Tierney and Minor (2003). Reprinted with permission

**Table 10.10** Percent reporting change in influence of various campus constituencies, US administrative and faculty union leaders, 2001

| Structure of governance: Has the institution changed the formal roles and authorized powers of these groups involved in governance? | | | |
|---|---|---|---|
| Group | More authority | No change | Less authority |
| Governing board | 21.41 | 74.26 | 4.33 |
| President | 21.30 | 74.40 | 4.31 |
| Deans and other heads of key divisions | 37.90 | 56.58 | 5.52 |
| Department chairs | 23.51 | 67.76 | 8.73 |
| Main governance bodies of the faculty | 35.46 | 56.52 | 8.02 |
| State coordinating board for higher education | 30.82 | 58.07 | 11.11 |

Data source: Kaplan (2002). Reprinted with permission.

that had gained the most governance power during the 20-year period (see Table 10.10). Nothing is suggested about the absolute magnitude of power held by these groups. Moreover, when asked about budgetary matters, in particular, the deans emerge as the most active and involved actors in the budgetary process (see Table 10.11). This confirms their key budgetary role as documented in the US CAP data.

### *10.5.4 Faculty Engagement and Faculty–Administrative Communication*

When the 2001 Kaplan survey asked faculty and administrative leaders to rate the level of governance involvement of faculty on a five-point scale (with "1" indicating that most faculty ignore governance and "5" indicating that many faculty take an interest and participate in governance), the mean rating across the 883 campuses was 3.3 increasing to 3.6 at private institutions and 3.75 at private undergraduate liberal arts colleges which suggested a modestly engaged (and certainly not a clearly disengaged) faculty.

**Table 10.11** Rated participation level in budgeting of various campus constituencies, US administrative and faculty union leaders, 2001 (in percent)

| How deeply and actively do the following parties participate in establishing budgets and making allocations across departments? | | | |
|---|---|---|---|
| Group | A great deal | Somewhat | Not at all |
| Governing board | 23.99 | 37.93 | 38.08 |
| President | 67.13 | 27.30 | 5.58 |
| Deans and other heads of key divisions | 81.02 | 18.04 | 0.94 |
| Department chairs | 28.91 | 58.56 | 12.53 |
| Faculty at department level | 4.78 | 48.38 | 46.84 |
| Faculty at institutional level | 8.82 | 46.73 | 44.45 |
| Students | 1.03 | 20.09 | 78.88 |

Source: Kaplan (2002). Reprinted with permission.

On matters of faculty–administrative communication, the 2001 Kaplan survey inquired into the "tenor" of faculty–administrative communication: 47% of the faculty leaders described it as "cooperative," 44% as "some conflict, but collegial" (while they rarely see eye to eye, they nonetheless work together), and less than 10% described it as "adversarial." The 2002 USC survey specifically asked whether the levels of communication and trust between faculty and administrators were "sufficient" (or insufficient) to permit shared governance to function. More than three-fourths of the faculty and nearly nine of ten administrators rated both trust and communication as sufficient. While not directly confirmatory of the CAP survey findings, these certainly are consistent with those findings of modest faculty engagement and basic support for administrative leadership.

### *10.5.5 The US CAP Survey Data in Comparative Perspective*

In an effort to further contextualize the US CAP governance data, we used the international dataset prepared by colleagues at Kassel University to compare our findings for the USA to the findings in five developed countries, including Canada, Australia, the UK, Germany, and Japan, each with historically strong academic systems. Table 10.12 compares faculty perceptions of the primary decision-maker in the five areas examined earlier across the six countries. The table suggests that the decisive role of US faculty in academic appointments and promotion is largely shared with colleagues in other developed countries, while their role in the selection of administrators, in establishing budget priorities and new academic programs tends to be less central than that of faculty in other developed countries.

Another perspective emerges when we compare the percentage of faculty in each nation who report that faculty have the primary influence in each decision area (see Table 10.13). In the area of their greatest perceived influence around faculty appointment and promotion (where about 50–60% report primary influence), the US faculty are about in the middle of the international distribution. While more influential than faculty in Australia and Germany (about two fifths report that faculty

**Table 10.12** Percent rating each campus constituency as influential or very influential in various decision areas, full-time faculty in six countries, 2007

| Summary: At your institution, which actor has the primary influence on the following decisions? (% very influential and influential) (international comparison) | | | | | | |
|---|---|---|---|---|---|---|
| | Australia | Canada | Germany | Japan | UK | USA |
| 5.1: Selecting key administrators | | | | | | |
| Faculty bodies | 18.5 | 34.7 | 24.1 | 43.8 | 29.0 | 8.3 |
| Central admin/ext stakeholders | 67.1 | 51.4 | 60.3 | 39.8 | 57.0 | 76.9 |
| Deans/chairs | 14.4 | 13.6 | 15.5 | 16.3 | 13.7 | 14.7 |
| 5.2: Choosing new faculty | | | | | | |
| Faculty bodies | 42.9 | 85.3 | 42.8 | 83.1 | 54.1 | 61.4 |
| Central admin/ext stakeholders | 26.4 | 3.5 | 35.6 | 9.1 | 16.4 | 5.6 |
| Deans/chairs | 30.8 | 11.2 | 21.6 | 7.8 | 29.1 | 33.0 |
| 5.3: Making faculty promotion and tenure decisions | | | | | | |
| Faculty bodies | 50.7 | 65.8 | 36.0 | 75.5 | 52.5 | 51.1 |
| Central admin/ext stakeholders | 33.3 | 12.5 | 27.7 | 16.4 | 30.5 | 18.3 |
| Deans/chairs | 16.0 | 21.6 | 36.3 | 8.0 | 16.7 | 30.5 |
| 5.4: Determining budget priorities | | | | | | |
| Faculty bodies | 22.3 | 6.9 | 13.3 | 35.6 | 29.5 | 2.2 |
| Central admin/ext stakeholders | 57.2 | 61.2 | 67.9 | 46.0 | 55.5 | 55.4 |
| Deans/chairs | 20.5 | 31.9 | 18.9 | 18.4 | 14.8 | 42.4 |
| 5.5: Approving new academic programs | | | | | | |
| Faculty bodies | 46.1 | 40.3 | 27.4 | 64.8 | 60.8 | 35.6 |
| Central admin/ext stakeholders | 41.1 | 43.2 | 53.9 | 18.3 | 29.2 | 47.7 |
| Deans/chairs | 12.8 | 16.5 | 18.8 | 16.8 | 10.1 | 16.6 |

Data source: CAP international survey, 2009

**Table 10.13** Percent reporting that faculty have primary influence in various decision areas, full-time faculty in six countries, 2007

| Percent who say the faculty has the primary influence on decisions (international comparison) | | | | | | |
|---|---|---|---|---|---|---|
| | Australia | Canada | Germany | Japan | UK | USA |
| Selecting key administrators | 18.5 | 34.7 | 24.1 | 43.8 | 29.3 | 8.3 |
| Choosing new faculty | 42.9 | 85.3 | 42.8 | 83.1 | 54.5 | 61.4 |
| Making faculty promotion and tenure decisions | 50.7 | 65.8 | 36.0 | 75.6 | 52.8 | 51.1 |
| Determining budget priorities | 22.3 | 6.9 | 13.3 | 35.6 | 29.7 | 2.2 |
| Determining the overall teaching load of faculty | 37.4 | 21.0 | N/A | 68.0 | 40.0 | 11.0 |
| Setting admission standards for undergraduates | 32.1 | 38.5 | 31.2 | 66.8 | 50.6 | 21.6 |
| Approving new academic programs | 46.1 | 40.3 | 27.4 | 64.9 | 60.8 | 35.6 |
| Evaluating teaching | 51.8 | 23.2 | 28.4 | 45.3 | 63.1 | 27.3 |
| Setting internal research priorities | 44.7 | 51.9 | 59.3 | 42.2 | 53.3 | 43.1 |
| Evaluating research | 39.7 | 56.9 | 36.5 | 41.5 | 42.0 | 53.1 |
| Establishing international linkages | 51.5 | 51.2 | 61.5 | 36.4 | 56.4 | 41.3 |
| Average of all above | | | | | | |

Data Source: CAP international survey, 2009

are the prime "deciders"), they are about on par with faculty in the UK, but not nearly as influential as faculty in Canada and Japan (where about 70–80% report primary influence). In the area of their lowest influence, selecting administrators and determining budgetary priorities, US faculty are at the bottom of the international distribution. They are slightly below Canada and Germany, but well below faculty in Australia, the UK, and Japan. Finally, in the area of new academic programs, US faculty rate themselves at the lower end of the international distribution. Just over a third of US faculty report a primary decision role here as compared to about two fifths faculty in Australia and Canada and about three fifths in UK and Japan. German faculty report slightly less influence than the USA.

When we examine weekly hours spent in governance/administration and faculty perceptions of their personal influence at the departmental, school/college, and institutional levels, US faculty are at about the middle in weekly time spent on governance matters (see Table 10.14). They report about 7.5 hours weekly as compared to nearly 9 hours and 9.5 hours in Germany and the UK, respectively. At the lower end, Germany and Japan reported 3.5 hours and 6.5 hours, respectively. In terms of perceived influence, however, American academics see themselves as more influential at most organizational levels than do academics in any other nation. Only Germany and Canada are on par at the departmental level with about two thirds reporting that they are very or somewhat influential. In no nation do a majority of faculty see themselves as influential beyond their own departments.

**Table 10.14** Involvement (weekly hours) and perceived influence (percent "very influential") at various decision making levels by academic field, full-time faculty in six countries, 2007

| Involvement (mean weekly hours) and perceived personal influence at various levels (% "very influential") (international comparison) | | | | | | |
|---|---|---|---|---|---|---|
| | Australia | Canada | Germany | Japan | UK | USA |
| 2.1 Involvement (h) | | | | | | |
| All | 8.82 | 7.89 | 3.46 | 6.77 | 9.49 | 7.57 |
| Life, med science | 9.62 | 8.18 | 2.13 | 5.26 | 9.39 | 7.84 |
| Other | 8.61 | 7.85 | 4.02 | 7.73 | 9.60 | 7.49 |
| 2.2 Influential: at the level of department | | | | | | |
| All | 14.9 | 20.1 | 22.3 | 7.3 | 12.5 | 33.0 |
| Life, med science | 13.7 | 16.2 | 16.6 | 4.9 | 10.2 | 34.0 |
| Other | 14.0 | 20.6 | 23.5 | 8.3 | 12.6 | 32.7 |
| 2.3 Influential: at the level of faculty and school | | | | | | |
| All | 3.7 | 6.1 | 5.9 | 4.2 | 5.5 | 10.4 |
| Life, med science | 2.7 | 6.1 | 3.4 | 2.3 | 5.1 | 13.7 |
| Other | 3.4 | 6.0 | 6.1 | 5.0 | 5.1 | 9.5 |
| 2.4 Influential: at the institutional level | | | | | | |
| All | 1.2 | 2.3 | 2.9 | 2.8 | 2.1 | 3.2 |
| Life, med science | 1.2 | 2.2 | 2.2 | 1.6 | 0.5 | 4.3 |
| Other | 1.1 | 2.3 | 2.9 | 2.8 | 2.8 | 2.9 |

Data source: CAP international survey, 2009

**Table 10.15** Percent agreeing or strongly agreeing that administrators are competent and faculty engaged by academic field, full-time faculty in six countries, 2007

| Perceptions of administrative competence and faculty institutional engagement (% agree or strongly agree) (international comparison) | | | | | | |
|---|---|---|---|---|---|---|
| | Australia | Canada | Germany | Japan | UK | USA |
| 4.1: Top level administrators are providing competent leadership | | | | | | |
| All | 32.0 | 39.3 | 31.2 | 54.7 | 24.8 | 45.3 |
| Life, med science | 27.6 | 40.9 | 25.0 | 54.5 | 27.0 | 51.4 |
| Other | 31.9 | 39.0 | 34.9 | 55.1 | 22.8 | 43.3 |
| 4.2: I am kept informed about what is going on at this institution | | | | | | |
| All | 41.5 | 45.2 | 48.9 | 30.1 | 37.9 | 42.8 |
| Life, med science | 41.5 | 50.3 | 42.9 | 32.4 | 37.3 | 46.7 |
| Other | 40.6 | 44.1 | 52.9 | 29.1 | 35.7 | 41.5 |
| 4.3: Lack of faculty involvement is really a problem here | | | | | | |
| All | 37.5 | 38.1 | 43.9 | 42.7 | 38.0 | 30.3 |
| Life, med science | 37.4 | 38.5 | 49.6 | 45.0 | 30.7 | 22.5 |
| Other | 37.5 | 38.3 | 40.7 | 41.7 | 41.0 | 32.6 |

Data source: CAP international survey, 2009

When we compare US faculty perceptions of administrative competence and faculty institutional engagement with those of colleagues in Australia, Canada, Germany, Japan, and the UK, American faculty, along with Japanese faculty, are the most likely to describe administrative leadership as competent (nearly half) as compared to one quarter to one third in other nations (see Table 10.15). Moreover, US faculty are among the most likely to report that they are kept informed about developments at their institution (two fifths) and the least likely to report that a lack of faculty involvement is "a real problem here" (about one third compared to two fifths elsewhere).

## 10.6 Summary and Conclusions

What emerges from this analysis is a largely stable portrait of campus governance in the USA over the past 15 years – one lent greater credence by the largely convergent findings of not one, but two, national surveys in the past decade (CAP and AAUP). While American faculty are hardly in charge of their institutions or even its academic programs and staffing (nor have they ever been!), in 2007 they report consolidating their influence in the area of faculty appointments and promotion/tenure – their historical sphere of influence – maintaining their slightly ebbing influence in the area of academic programs, and conceding (confirming) their limited role in budgetary matters and administrator selection. Yet it must be clear that the interpretation of the findings re: faculty influence on academic programs does require some nuance.

The 2001 AAUP survey shows a clear difference in perceived faculty influence as between general curriculum and degree requirements versus establishing new

degree programs. Within the context of the AAUP findings, the slightly declining influence of faculty in establishing new academic programs should not be interpreted as a general decline in their supervision of the college/university curricula, but rather a circumscription of that influence when new programs are being established and budgetary considerations are paramount. Similarly, we should understand that while faculty influence on academic appointments remains strong in the "filling" of faculty positions, there remains the matter of deciding whether or not to fill a vacant (or create a new) faculty position and, if it is to be filled, the type of appointment for which a prospective candidate would be eligible, i.e., a tenure eligible or limited term appointment. Our data probably say more about the faculty role in "filling" a position, than about the faculty role in deciding whether a position should be filled and, if so, by what kind of appointment. In this sense, these findings on the parameters of faculty influence and changes therein may be in and of themselves evidence of the intrusion of an increasingly managerial perspective.

Beyond these interpretive caveats, the data suggest that US faculty influence has tended to localize increasingly in their academic departments while declining slightly at the school/college or division level and, even more markedly, at the institutional level. Such self-perceptions of influence, of course, at whatever organizational level may be grossly exaggerated; a tribute more to an inflated sense of self-importance than real influence on concrete, specific decisions. When the AAUP survey analysts compared the perceptions of faculty leaders vs. senior administrators of faculty influence, they generally found that administrators rated faculty influence higher than the faculty did themselves, suggesting to the contrary, that faculty may actually underestimate their influence. That may, of course, be as much administrative myth as anything else; nonetheless, it does provide an interpretive rudder, suggesting that campus constituencies may underestimate their own influence and overestimate the influence of their "adversaries." Speaking of adversaries, it appears that faculty are, on the whole, more satisfied with the competence of administrative leadership now than in the past[8] and more sanguine about the engagement of their colleagues than earlier. The AAUP data seem to confirm a relatively stable state of affairs.

The most surprising finding about the spheres and levels of perceived US faculty influence is the relative lack of difference by institutional type. Historically, both institutional type (the distinctive character of the research university) and academic field (the natural and health sciences and the professions, on the one hand, and the humanities and the arts, on the other) have been major shaping influences on the American academic system. The CAP findings suggest that while disciplinary differences in faculty influence remain, those attributable to institutional type are barely discernible. Those differences seem to be muted in these data. In part, that may represent an institutional perspective, the increasing penetration of the research university model throughout the American system. This in effect minimizes inter-institutional differences by way of bolstering the fortunes and influence

[8] See the 1992 Carnegie Survey.

of faculty at non-research institutions. While that phenomenon may certainly be at work here, the data seem to suggest an actual decline in faculty influence at the research universities between 1992 and 2007. When this decline is combined with the bolstering of faculty in the non-research university sector we see a muting of historic inter-institutional differences in faculty power and authority.

In no small part, faculty influence at the research universities has been siphoned-off not by central administration or external stakeholders, but by the rising influence of academe's middle managers, namely deans and department chairs. The most important story in these analyses is the rise of middle management in modern higher education governance, especially in budgetary matters. Deans have increased their influence nearly across the board, but especially in budget matters. This has been especially prominent in the research university sector. We see the growing pattern of increased, albeit decentralized managerialism, illustrated most starkly among America's research universities.

Finally, when the governance role of American academics is placed in comparative perspective we find a clear break with the past. While we Americans have always assumed the academics staffing our higher education system are the most productive, best compensated, and most powerful in the world, the CAP data strongly suggests otherwise, at least in the matter of organizational power and influence. Japanese, German, and Canadian faculty appear to play a more prominent role in steering their institutions than Americans do; and academic managerialism may be more decentralized, but more prominent and decisive, here in the USA.

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# Chapter 11
# Germany: How Changing Governance and Management Affects the Views and Work of the Academic Profession

**Ulrich Teichler**

## 11.1 The Changing Context

In describing the German system of higher education, there is a tendency to refer to the "idea" of the university put forward by Wilhelm von Humboldt at the beginning of the nineteenth century. The concept of the "unity of teaching and research" is most frequently cited because it has spread throughout the world and, accordingly, contributed to the belief that professors at "real universities" are in charge of both teaching and research and that this link has a "cross-fertilization" effect both on the quality of teaching and research. The concept of "solitude and freedom" is reflected in the widespread claim that academic freedom in the pursuit of knowledge is the best way of guaranteeing high quality academic work and, possibly, of ultimately guaranteeing the social relevance of research and teaching. Finally, the concept of a "community of teachers and learners" has achieved less resonance world-wide and has undergone a broad range of re-interpretations.

The nineteenth century concepts of the university have an impact in various respects on German higher education in general, and the conditions of the academic profession in particular, at the beginning of the twenty-first century; and this impact may continue into the future. In other respects we note major changes. Thus, we often observe a debate in Germany about whether Humboldt is "dead" or still "alive" (cf., the overviews on German higher education in Teichler 1990, 2005; Kehm 1999; KMK 2003).

First, government tends to be viewed as providing the resources for higher education. Thus, it does not come as a surprise that most institutions of higher education even today are public institutions or, even if they have been transformed into foundations, have a quasi-public character. Professors, as a rule, are *civil servants*, even if their university is formally a foundation. It should be noted, however, that

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most junior academic staff in public higher education institutions are normal employees, i.e., similar to employees in the private sector, and the majority of them do not have a permanent contract.

Second, government has a mixed function vis-à-vis the universities. On the one hand, it is the "guardian angel" of academic freedom. After World War II, the freedom of research for university professors was even embedded into the Constitution of the Federal Republic. On the other hand, government has strong mechanisms of control of higher education. These were strongest in the administration of resources, the rules of access and admission and the *appointment of professors*. Until about 2000, higher education institutions in most German "Länder" had to present a list of the three possible candidates for a professorship to the government, and the government was free to appoint the first, second, or third candidate or even to send the list back to the university for reconsideration. Even after the right to choose one of the three candidates recommended by the department and the senate had been transferred to the university president, government still has to confirm the final candidate in order to appoint him or her as a civil servant, and it can refuse. In contrast, the employment of individual junior academic staff who are not "civil servants" is, traditionally, completely at the discretion of the individual higher education institution, albeit within detailed regulations – (cf., the overviews of higher education management in Germany in Turner 2001; Kehm and Lanzendorf 2006).

Third, a close link between research and teaching is most clearly guaranteed for university professors in Germany. Almost all of them have an identical *teaching load* of 8–9 h per week when classes are in session, and the university is obliged to provide some *basic funding for research*. However, junior staff paid by the university have a smaller teaching load in order to have time for the research needed to prepare for a senior academic career; moreover, many junior academics are paid through research grants and are only required to be active in the area of research. Some academics employed by universities have a larger teaching load, if a close link with research is not viewed as essential, e.g., teaching for languages. Professors at the Fachhochschulen, established in the 1970s as a response to the growth of student enrollment, have a teaching load more than twice that of university professors. They might do research voluntarily and some of them might be granted a reduction in their teaching load for research purposes. Finally, many public research institutes in Germany are organized as a separate sector, although researchers from the institutes might make arrangements with universities to teach part-time.

Fourth, there is a tradition in Germany of mandatory *career mobility* which is called "Hausberufungsverbot." Universities recruit professors from outside the institution; additionally, there is no internal promotion of professors from the lower to the upper professorial rank. Only if a professor from the lower rank receives an offer of a higher ranking professorship at another university, then his or her university might make a counteroffer which may eventually lead to internal promotion.

Analyses of the academic profession in Germany tend to identify three major areas of change in recent decades (cf., the overviews of the academic profession in Germany in Enders 2001, 2004; Janson et al. 2006; Teichler 2007). In fact, a comparison of the German responses to the 1992 Carnegie Study of the Academic

Profession and to the 2007 CAP Study can be regarded as a test of how significant these changes have actually been.

First, we note substantial changes in the *power of the academic profession* within German higher education. Until the 1960s, universities were characterized by the strong influence on decision-making by professors on the one hand and by government on the other hand, while the position of the university leadership was weak. In the 1970s and the 1980s, a participatory model prevailed in academic self-regulation, in which about half of the positions within committees were filled by junior academic staff, administrative and technical staff as well as students; concurrently, the power of the university leadership grew to some extent. Since the late 1990s, German higher education followed the trend, common to other countries, toward the "managerial university" with an increasingly powerful university leadership (and, in some cases, departmental leadership) and toward the "evaluative university" with a substantial rise in the assessment of activities in teaching and research. This made possible both greater self-reflection within the profession and the external control of academics. The details of the changes in governance and management of higher education cannot be described here because of the diversity and complexity of arrangements. The 16 "Länder" of the Federal Republic are predominantly in charge of higher education legislation as well as the supervision and funding of individual institutions of higher education, while the national (Federal) level has supplementary functions of coordination and funding.

Obviously, German higher education has moved somewhat cautiously toward an "evaluative" approach and the "managerial university" at a comparatively late stage. Most experts suggest that a bundle of factors might explain this. After the mixed results of the move toward the relatively radical model of the "participatory university" around 1970, there was no inclination to be in the vanguard of another administrative change. "Organisational quietness" ("Organisationsruhe") became a slogan in the 1980s. Moreover, considerable energy was absorbed in coping with a substantial increase in student numbers as a consequence of a temporary demographic bulk amidst moderate resource growth and, finally, the unification of Germany after the collapse of the Eastern European regimes kept all German higher education experts and key actors busy implementing a new integrated system predominantly following the model prevailing in the West. Obviously "managerialism" was viewed with mixed feelings, so that the actual implementation of the new managerial system might have had a less profound impact on higher education in Germany than in various other European countries.

Second, the *employment and work situation of junior academic staff* at German universities has been for a long time the subject of heated debates and repeated reforms (see the overviews in Enders and de Weert 2004; BMBF 2008; Burkhardt 2008; Kreckel 2008). Many observers describe the relationship between junior staff and professors as creating a sense of dependency and subordination to the powerful "ordinarius." Doctoral candidates were supervised by individual professors, while the majority of them were employed either in a university post or with the support of research funding. Mid-level staff with a doctoral degree often clearly felt subordinated to professors, although their title and official functions changed from

"assistant" to "assistant professor" and back again to "assistant." It remains to be seen whether recent moves toward the establishment of a "junior professor" will change the scene substantially. These were combined with a considerable proportion of junior staff being employed part-time and the majority short term, together with widespread uncertainty as a consequence of high junior staff–professorship ratio and mandatory institutional mobility. All of this resulted in junior academic staff of German universities surveyed in the Carnegie Study of 1992 expressing a higher degree of dissatisfaction than in the other countries surveyed.

Third, the daily work of academics has become more strongly steered in recent years. Various mechanisms of evaluation have spread since the mid-1990s. More recently, *the remuneration system* has been changed to include a *stronger emphasis on incentives*. In the past, salary scales dominated the scene with financial increments linked to age or years of service, so that full-time junior academic staff earned about 50–60% of what university professors earned, and lower ranking university professors as well as professors at Fachhochschulen earned about 80–85%. Only university professors could negotiate higher salaries if they were offered a professorship from another university or received an equivalent job offer from outside. Now, professors do not receive any increments for their years of service; rather, their achievements are assessed every 5 years, and their salary can be raised on the basis of the results of such assessments as well as for taking over specific functions and, as before, if they have been offered an attractive external position. However, this new system was only in force for a minority of those professors surveyed in 2007, because those already employed prior to the implementation of the new remuneration system could remain in the old system if they wished and, in the event, the majority did not transfer.

It should be added that Fachhochschulen do not award doctoral degrees and are not in charge of training junior academic personnel. Most academics employed there are professors.

Thus, the CAP study provides ample opportunity to examine whether German academics perceive and interpret their role differently from academics in other countries surveyed and whether those changes might be explained with the help of the assumed characteristics of German higher education named above (cf., the information provided on the characteristics of higher education in other countries in Kogan and Teichler 2007; Locke and Teichler 2007). In addition, a comparison of the 1992 and 2007 findings (see Boyer et al. 1994; Altbach 1996; Enders and Teichler 1995a, b; Teichler 1996) offers the chance to examine how much the recent contextual changes really have affected the perceptions and views of the academics themselves.

## 11.2 Basic Information About the Methods Employed

The German survey of the academic profession was undertaken from *January to July 2007* as part of the comparative international study, "The Changing Academic Profession." The questionnaire was sent to more than 5,000 regularly employed,

university-trained persons active in departments or special units in charge of teaching and/or research within *universities, public research institutes, fine arts colleges, and Fachhochschulen* (universities for applied sciences) in Germany. Altogether, 1,668 persons responded. By excluding persons not reached or informing us that they do not belong to the target group of the survey, we calculate a *response rate* of 32% – i.e., a rate above the average of the countries included in the following analysis.

The analysis is based on the responses from 324 university professors (including those from colleges of fine arts), 695 other academic staff at universities (junior staff, mature staff not promoted to professorial positions), and 215 academics from Fachhochschulen. The *academics employed at German public research institutes*, who had been surveyed in addition, are *not included* in the following analysis.

Germany was among the five advanced countries (in addition to Australia, England, Japan, and the United States) that *participated in both the 2007 survey and the 1992 Carnegie study*. In 1992, the German survey elicited about 2,800 responses, but achieved a response rate of only 27%. The increase in the response rate from 1992 to 2007 is remarkable, given the growth in survey fatigue in many countries. In contrast to 2007, East German universities were excluded from the 1992 survey, because the transformation of Eastern Germany toward similar modes of higher education to Western Germany had only just started at the time the survey was conducted.

The data presented in the remainder of this chapter are not identical with those from the initial comparative data set. Rather, they are taken from the comparative data set available since March 2010. They differ from the data set employed in most of the other chapters in this book in that they are weighted according to academic rank, current academic discipline, institutional type, and gender. This weighting was undertaken in order to counterbalance under and over-representations of sub-groups as a consequence of the non-representativeness of the sampling and/or the responses received.

In this chapter, the term "university" is employed in the way that prevails in Europe, i.e., to refer to institutions *in charge of both teaching and research in a more or less balanced way* (cf., the information on varied higher education systems in Teichler 2007). The term "other higher education institutions" refers to institutions – irrespective of their official titles – *primarily in charge of teaching*, in the German case the universities of applied sciences ("Fachhochschulen"). The term "professors" refers to senior academics on ranks similar to "full professors" and "associate professors" in the USA (i.e., not including "assistant professors" or "Junior-Professoren" in Germany), while "other academic staff" might comprise junior academic or other staff permanently not belonging to (e.g., "Akademische Räte," "Lektoren").

The German data and the comparative data are consistently divided in this chapter into *three groups: professors at universities, junior academic staff at universities, and professors at Fachhochschulen*. This choice was made, because these three groups differ substantially in terms of careers, employment, and work – in Germany possibly more than in some other countries. Junior staff at other higher education institutions (Fachhochschulen) are excluded because this group is very small and insignificant in the German higher education system.

The tables focus on German academics. However, a *comparison with eight other advanced countries* is often employed: Finland, Italy, Norway, and Portugal in addition to the four countries named above. "Advanced countries" are identified in the CAP study as those countries where promising junior academics are trained predominantly in the home country.

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## 11.3 Academic Work and Working Conditions

In order to understand the ways that academics perceive and assess the style of government and management they experience, a look at academics' work and working conditions is in order. On the one hand, we know that research at universities tends to be left to a great extent to the discretion of the individual scholar, while stronger forces of coordination are customary in teaching. On the other hand, one might assume that favorable working conditions are more likely to lead to a positive assessment of the nature of governance and management. Therefore, an overview will be provided on three aspects – the preferences for teaching and research, the allocation of time for teaching and research activities and the assessment of various aspects of working conditions – before we actually turn to academics' perceptions and assessment of governance and management.

### *11.3.1 Preferences for Teaching and Research*

The Humboldtian approach to universities is often interpreted as putting a strong emphasis on research. As German higher education is generally viewed as being clearly shaped by the Humboldtian "Idee" of the university, one could expect a comparatively high proportion of German university professors to describe their preferences as leaning strongly toward research. One should bear in mind, however, that this notion of Humboldt might be a misunderstanding. Wilhelm von Humboldt advocated the "unity of teaching and research," and many experts believe that this is reflected in today's German university by a relatively uniform system of 8–9 teaching hours per week for university professors with only very rare exceptions – a teaching load which suggests that professors are expected to spend about the same amount of time for research and teaching.

**Table 11.1** Preferences for teaching and research among academics at German higher education institutions 1992 and 2007 (percentages)

| | 2007 | | | 1992 | | |
|---|---|---|---|---|---|---|
| | Uni prof[a] | Uni jun[b] | FH prof[c] | Uni prof[a] | Uni jun[b] | FH all[d] |
| Primarily in teaching | 5 | 7 | 42 | 5 | 6 | 29 |
| In both, leaning toward teaching | 20 | 22 | 35 | 30 | 22 | 49 |
| In both, leaning toward research | 63 | 38 | 22 | 59 | 46 | 21 |
| Primarily in research | 12 | 33 | 1 | 7 | 26 | 1 |
| Total | 100 | 100 | 100 | 100 | 100 | 100 |

[a]Professors at universities
[b]Junior academic staff
[c]Professors at Fachhochschulen
[d]Professors and other academic staff at Fachhochschulen

Actually, as Table 11.1 shows, only 12% of German *university professors* surveyed in 2007 express a clear preference for research; this is a lower proportion than in the majority of advanced countries. In 1992, an even lower proportion of German university professors (7%) had expressed such a preference. One can certainly draw the conclusion that most German professors adhere to the idea of the "unity of teaching and research," albeit leaning more strongly toward research than teaching.

Almost three times as many *junior academics* at German universities (33%) state a preference for research than university professors. One has to bear in mind, first, that a substantial proportion of junior academics at universities are employed with the help of external research grants; second, most other junior academics have a lower teaching load than professors and are expected to reserve a substantial proportion of their working time on the preparation of their doctoral dissertation and "Habilitation." Such a clearly stronger emphasis on research on the part of the junior staff can also be observed in Finland and Norway, whereas the attitudes of senior and junior academics differ to a smaller extent in other advanced countries.

The 2007 survey, however, challenges the conventional wisdom in Germany that junior academics consistently have a strong emphasis on research up to being appointed to a professorial position or on terminating an academic career if they are not appointed to a professorial position. Rather, a substantial proportion of junior staff at German universities are employed for longer than the usual period needed for completing a doctoral dissertation or a Habilitation, and fewer of those employed for a longer period can concentrate more or less all of their time on research. Among those junior academics employed for a longer time, only half as many (about 20%) have a clear preference for research than those who are still within the typical period of preparation for a doctoral degree or a Habilitation (about 40%).

It does not come as a surprise to note that most *professors at German Fachhochschulen* express a preference for teaching (42%) or at least lean toward teaching (35%). For the teaching load of professors at Fachhochschulen is more than twice that of university professors and research at Fachhochschulen is not

viewed as a duty, but rather as an option. Most experts estimate that only about one tenth of German Fachhochschulen professors are very active in the domain of research. It is surprising, though, that the proportion of those with a clear preference for teaching is higher in 2007 than it had been in 1992, because, as will be shown below, the actual allocation of time has shifted somewhat toward research during the intervening period.

### *11.3.2 Allocation of Working Time*

The 1992 and 2007 international comparative surveys differ from most other surveys of the academic profession by asking respondents to estimate their *weekly number of hours* devoted to work separately for (a) "when classes are in session" and (b) "when classes are not in session." In comparing the result of these surveys with those studies in which respondents are only requested to estimate the number of working hours without such a distinction, we note that respondents to the latter tend to have in mind the periods of the year when classes are in session. As there is less time available for research when classes are in session, we have strong reason to believe that the 1992 and 2007 international surveys are more valid in identifying the proportions of time spent on teaching and research than other surveys in this area. In the following overview of the findings, we will present aggregate data on the overall weekly working time and the proportion of time spent on various purposes based on the assumption that academics spend about 60% of the academic year on work while classes are in session and 40% while classes are not in session.

Accordingly, *university professors* in Germany estimate in 2007, as Table 11.2 shows, that they work 54 h per week on average. Among advanced countries participating in the 2007 survey, this is the highest average number of hours reported. Germany is the only country that participated in both the 1992 and 2007 surveys where we note a clear increase of working hours since 1992 (51 h).

The average number of working hours reported by *junior staff* at German universities is 39 in 2007; this is below the average for advanced countries. Even taking into account that a substantial proportion of junior staff are employed part-time (31%), we note that university professors, according to their estimates, work more

**Table 11.2** Proportion of annual working time spent on teaching and research by academics at German higher education institutions 1992 and 2007 (percentages)[a]

| | 2007 | | | 1992 | | |
|---|---|---|---|---|---|---|
| | Uni prof | Uni jun | FH prof | Uni prof | Uni jun | FH all |
| Teaching | 26 | 20 | 50 | 34 | 21 | 60 |
| Research | 38 | 55 | 26 | 39 | 54 | 21 |
| Other activities | 36 | 25 | 24 | 27 | 25 | 19 |
| Total | 100 | 100 | 100 | 100 | 100 | 100 |

[a]Information on working hours while classes are in session are calculated as 60% and those while classes are not in session as 40% of the annual working time

than one third longer than a full-time German employee is expected to work as a rule, while junior academics only devote about one tenth more time to work than they are officially paid for. Actually, the average working hours of junior staff declined by 6 h from 1992 and 2007, of which only about 1 h can be attributed to an increase in part-time employment. This study does not provide any clear reason for that decline. It is worth mentioning in this context that the job satisfaction of junior academic staff at German universities has increased substantially during that period and that the ratings given to working conditions have improved as well. One might assume that a desire for a better "work–life balance" is in play.

*Professors at Fachhochschulen* report that they work 43 h weekly on average. This is more or less the average in the international comparison. Similar to junior staff at universities, academics at other institutions of higher education estimate that their working hours exceed those for a normal full-time job by about one tenth. In this context, it is worth pointing out that professors of both types of institution who have a preference for, and/or lean toward research spend more working hours on average than those having a preference for, and/or leaning toward, teaching.

In 2007, university professors in Germany spent slightly more time on *teaching and teaching-related activities* than on research when classes are in session. As they spend more than two and a half times as many hours on *research* than on teaching when classes are not in session, we conclude that the overall time devoted to research during the whole year is almost one and a half times as much as that devoted to teaching. This ratio is similar to that of university professors in Italy, Japan, and the USA, while the ratio is lower than in Australia, but higher than in the UK and the Northern European countries. In comparison to 1992, we note that the proportion of time devoted to research remained more or less constant (39% and 38%), while the time devoted to teaching and teaching-related activities substantially declined (from 34% to 26%) and the time devoted to other activities increased (from 27% to 36%).

Junior staff at German universities spend a substantially higher proportion of their working time on research (55%) and correspondingly a substantially lower proportion on teaching (20%). As a result, the figures for 2007 are quite similar to those in 1992. The proportion of time spent on teaching is not exceptional by international comparison, but clearly lower than in the UK, Portugal, Italy, and Australia.

In 2007, professors at German Fachhochschulen estimate that they spend 50% of their work time on teaching, 26% on research, and 24% on other tasks. The proportion spent on teaching is higher than their colleagues in other advanced countries. One should not overlook, however, the change over time: in 1992 professors at German Fachhochschulen reported that they spent as much as 60% of their time on teaching.

### *11.3.3 Assessment of Facilities and Resources for Work*

The academics at German universities surveyed rate telecommunication facilities most positively out of all facilities and resources for academic work. Also, computer

**Table 11.3** Assessment of institution's support for one's own work by academics at German higher education institutions 2007 (arithmetic mean)[a]

| | Uni prof | Uni jun | FH prof |
|---|---|---|---|
| Classrooms | 2.9 | 2.6 | 2.4 |
| Technology for teaching | 2.7 | 2.6 | 2.5 |
| Laboratories | 2.7 | 2.6 | 2.5 |
| Research equipment and instruments | 2.6 | 2.5 | 3.2 |
| Computer facilities | 2.3 | 2.3 | 2.1 |
| Library facilities and services | 2.7 | 2.6 | 2.6 |
| Your office space | 2.2 | 2.5 | 2.5 |
| Secretarial support | 2.8 | 2.8 | 3.5 |
| Telecommunication (Internet, networks and telephones) | 2.0 | 1.8 | 2.0 |
| Teaching support staff | 3.3 | 3.3 | 4.0 |
| Research support staff | 3.3 | 3.2 | 4.4 |
| Research funding | 3.6 | 3.4 | 4.2 |
| Count (*n*) | (148) | (831) | (85) |

[a] Scale of answers from 1 = excellent to 5 = poor

facilities and their own offices are viewed quite positively. All other facilities, as well as secretarial support, are slightly more often rated positively than negatively, while negative ratings are somewhat more frequent for academic staff support and research funding. As a result, the ratings by university professors, academic staff at universities, and professors at Fachhochschulen differ less than one might expect, as shown in Table 11.3.

The different ratings of the various facilities and resources are by and large similar to other countries: new technologies are assessed more positively than other facilities; and facilities in general more favorably than personnel and financial support. This might be illustrated by a comparison of the ratings of university professors in nine advanced countries as shown in Table 11.4. German university professors assess both facilities and resources clearly less positively than their colleagues in Finland and Norway, somewhat similarly on average to their colleagues in Portugal and the USA and better than those in Japan, Italy, and the UK. On individual items, German professors rate secretarial support, research facilities, and research staff support as relatively good. In contrast, they view library facilities and services as well as the technology for teaching less favorably than their colleagues in the majority of advanced countries included in the 2007 survey.

It is interesting to note that the academics surveyed in 2007 rate the facilities and resources by and large more favorably than the academics surveyed in 1992. This is worth noting because, in response to a retrospective question, many academics state that their working conditions had deteriorated since the start of their careers. We might assume that academics, hoping for better conditions than they actually have, tend to paint a "rosy" picture of the past.

**Table 11.4** Assessment of institution's support for one's own work by university professors in nine advanced countries 2007

| | Average (nine countries) | Relatively positive | On average | Relatively negative |
|---|---|---|---|---|
| Telecommunication | 2.1 | NO, FI | DE, USA, AU, PT, JP | IT, UK |
| Computer facilities | 2.4 | NO, FI | AU, USA, DE, PT | UK, IT, JP |
| Library facilities | 2.3 | AU, NO | FI, PT, USA, IT, JP | UK, DE |
| Your office space | 2.4 | FI, NO | DE, AU, USA, PT | IT, UK, JP |
| Technology for teaching | 2.5 | FI, USA | NO, AU, PT | DE, UK, IT, JP |
| Classrooms | 2.6 | FI, PT, USA | NO, AU | JP, DE, IT, UK |
| Research equipment and instruments | 2.8 | FI, AU, DE | USA, PT, NO | UK, JP, IT |
| Laboratories | 2.8 | FI, AU | DE, PT, UK, USA, NO, JP | IT |
| Secretarial support | 3.2 | FI, DE | USA, IT, PT | UK, AU, JP, NO |
| Teaching support staff | 3.2 | FI, UK, AU | USA, DE, PT | JP, NO, IT |
| Research support staff | 3.5 | FI, AU, DE, UK | USA, PT, JP | IT, NO |
| Research funding | 3.6 | AU, JP, USA | FI, DE, NO, PT | UK, IT |

## 11.4 Power and Decision-Making in Higher Education Institutions

### *11.4.1 Primary Influence in Major Areas of Decision-Making*

In 2007, the academics surveyed were asked which actors had been most influential in 11 areas of decision-making. In looking at the responses in advanced countries, we note the following pattern of perceptions:

- The institution-level actors (presidents, senates, etc.) are viewed as most influential in *selecting key administrators* as well in *determining budget priorities*.
- The *establishment of international linkages* might be either predominantly influenced by the institutional-level or by department-level actors.
- In most areas, the department level is crucial, where the committees at this level are mostly viewed as more crucial than the department heads. Only in the *determination of teaching* loads are department heads more frequently named as having the prime influence. The departmental committees are most frequently named in *choosing new faculty*, *approving new academic programs*, *setting admission standards*, and *making personnel decisions about those employed as academics* (e.g., promotion).
- Decision-making seems to be least similar across countries and least consistently perceived within countries on setting research priorities as well as the

evaluation of teaching and research. On *research priorities*, we can find a strong influence exerted by the individual scholar. On the *evaluation of teaching*, students come into play as well, although they are not seen as the dominant actor in any country.

German respondents frequently view decision-making at institutions of higher education in a similar way to scholars in other advanced countries. Two exceptions are worth mentioning. More German academics than their colleagues in most other advanced countries are convinced that individual academics have the strongest influence on research priorities. On personnel decisions about employed academics (i.e., promotion, etc.), German respondents rarely perceive a strong influence at the departmental level and more often report institutional level influence. It should be added that the German questionnaire did not ask about the teaching load of academics because, for university professors, this is determined by governmental regulations. Finally, it is worth noting that German respondents see the power of decision-making at the departmental level as often resting with the faculty meeting, while in various other countries the deans of faculty seem to have a stronger influence.

By and large, the responses to this question do not differ strikingly by the status of the respondents or by their type of institution. One difference turns out to be the biggest among respondents from German institutions of higher education: while the departmental level seems to have the strongest influence on the establishment of new study programs at universities, professors at Fachhochschulen perceive the strong influence of institution-level actors in this.

### *11.4.2 The Perceived Managerial Style*

On the managerial styles prevailing at their institutions of higher education, academics were asked, first (both in 1992 and 2007) to *rate their personal influence* on the smallest academic unit, at faculty level and at institutional level. Second, in 2007, they were asked to respond to a fairly long list of items characterizing managerial styles. In 1992, a substantially shorter list had been provided thus making an analysis of change over time more difficult.

Table 11.5 confirms – for the German respondents – two conventional wisdoms: first, individual influence is highest at the level of the smallest academic unit and is limited at higher institutional levels. Second, professors consider themselves considerably more influential than junior academic staff. It is interesting to note that university professors and professors from other institutions of higher education hardly differ in this respect.

Academics at German higher education institutions surveyed in 2007 consider themselves more influential than their predecessors in 1992. This is an extremely surprising finding because one tends to believe that the increased emphasis in recent years on a strong university management is likely to reinforce academics'

**Table 11.5** Personal influence on academic policies on the part of academics at German higher education institutions 1992 and 2007 (arithmetic mean)[a]

| | 2007 | | | 1992 | | |
|---|---|---|---|---|---|---|
| | Uni prof | Uni jun | FH prof | Uni prof | Uni jun | FH all |
| At the smallest academic unit | 1.6 | 2.6 | 1.8 | 1.9 | 3.0 | 2.3 |
| At the department/ faculty level | 2.3 | 3.5 | 2.1 | 2.6 | 3.7 | 2.3 |
| At the institutional level | 3.1 | 3.8 | 3.1 | 3.4 | 3.9 | 3.4 |

[a] Scale of responses from 1 = very influential to 4 = not at all influential

views that they are losing influence. In this respect, Germany is exceptional. In 1992, German respondents considered their influence to be lower than average among their colleagues in advanced countries. In 2007, German respondents rate their influence higher than their colleagues from all other countries; while the influence of academics at their institutions seems to have increased in Germany; it seems to have decreased in many other countries.

As already pointed out, a substantial list of items was included in the 2007 questionnaire to elicit academics' views of the managerial style prevailing at their institutions of higher education. From the point of view of the higher education researchers formulating the questionnaire, however, this list is viewed as short because there are many aspects of managerial style worth analyzing, while the overall length of the questionnaire has to be kept within bounds. Moreover, the list eventually presented in the questionnaire is bound to be a compromise among the scholars participating in this collaborative project and their different conceptual frameworks, as well as their nationally influenced experience. This notwithstanding, the author of this chapter views the list of items posed in the questionnaire to be very useful in establishing *four different concepts of management style* that actually shape higher education institutions in the view of respondents. These four concepts might be called:

- The academic university
- The managerial university
- The collegial university
- The supportive university

An "academic university" is conceived here as an institution of higher education in which individual academics have a strong personal influence on decision-making. This is measured in the aforementioned question about personal influence at three institutional levels.

The "managerial university" is represented by the following items:

- A strong performance orientation
- A strong emphasis on the institution's mission
- A top-down management style

The "collegial university" – i.e., the collegiality of the various actors within higher education institutions – is addressed in the following items:

- Students should have a stronger say in determining policy that affects them (in reverse scale order)
- I am kept informed about what is going on at this institution
- Collegiality in decision-making processes
- Good communication between management and academics
- Lack of faculty involvement is a real problem (in reverse scale order)

Finally, the "supportive university" is represented in the following items:

- The administration supports academic freedom
- A supportive attitude of administrative staff toward teaching activities
- A supportive attitude of administrative staff toward research activities
- Professional development for administrative/management duties for individual faculty
- A cumbersome administrative process (in reverse scale order)

In focusing the analysis on the university professors and addressing first the individual items, we note that university professors in Germany – in comparison to other advanced countries – emphasize strongly:

- All three items representing the "academic university"
- In addition only one item of the "collegial university," i.e., "I am kept informed about what is going on at this institution"

In contrast, professors at German universities relatively seldom underscore the following features of management:

- In relation to the "managerial university": "a strong emphasis on the institution's mission" and "a top-down management style"
- In relation to the "collegial university": the voice of students in decision-making
- In relation to the "supportive university": support for the professional development of academics

In summing up the individual items relating to the four concepts of management style – see Table 11.6 – we note that professors at German universities are among those who often view their institutions of higher education as an "academic university" and among those who do not perceive their institution to be a "managerial university." In relation to the "collegial university" and "supportive university," the statements by university professors in Germany are on average neither supportive nor clearly in disagreement.

If we sum up the various statements of university professors, we note striking *differences by country*:

- US universities are perceived to combine the management, service, and academic orientations
- Finnish universities are perceived as both management-oriented and collegial

**Table 11.6** Perception of the institution's management style by university professors in advanced countries in 2007

| Management style | + | ~ | – |
|---|---|---|---|
| The academic university | DE, USA | FI, IT, PT, AU | NO, JP, UK |
| The managerial university | FI, AU, UK, USA | JP | DE, NO, IT, PT |
| The supportive university | JP, USA | DE, FI, NO, AU, UK, USA | PT |
| The collegial university | FI, NO | DE, IT, PT, AU, JP, USA | UK |

- Australian universities are characterized as managerial universities
- Universities in the UK are viewed as strongly management-oriented, while the academic and collegial orientations are weak
- Japan is viewed to have a strong managerial emphasis in universities and a low academic orientation
- Universities in Norway seem to be characterized by a strong collegial emphasis, but a low emphasis on management as well as a low academic orientation
- German universities, as already pointed out, are viewed as "academic universities" with a low emphasis on the "managerial university"
- Italian universities are portrayed as not being "managerial universities"
- Portuguese universities are described as having a low managerial emphasis and also not adhering to the concept of a "supportive university"

In comparing these findings to the responses to a slightly different question posed in 1992, we certainly see an overall move toward the "managerial university." But this trend is by no means consistent across all countries, and Germany seems to be an exception in this respect; one observes some moves toward a managerial university in Germany, but not a complete take over by managerial power.

## 11.5 Academics' Identification and Satisfaction

Academics are a professional group which is perceived to be characterized by a high degree of intrinsic motivation. As the substance of their work differs by discipline, it does not come as a surprise to find that academics consider their affiliation to their discipline as more important for them than their institutional affiliation. The 1992 survey has shown, however, that there are substantial differences by country in terms of academics' affiliation with their institutional environment. At that time, German respondents viewed institutional affiliation as the least important.

One might have assumed that the growing emphasis on the specific profiles and strategies of individual institutions of higher education and the increased power of university management might lead to the stronger affiliation of academics with their own departments and institutions of higher education in recent years. Table 11.7 suggests that *academics' affiliation* in Germany has neither changed on average with respect to their discipline nor with their department. However, the

**Table 11.7** Importance of affiliation to the discipline, department and institution on the part of academic at German higher education institutions 1992 and 2007 (arithmetic mean)[a]

| | 2007 | | | 1992 | | |
|---|---|---|---|---|---|---|
| | Uni prof | Uni jun | FH prof | Uni prof | Uni jun | FH all |
| With their discipline/field | 1.6 | 1.4 | 1.8 | 1.6 | 1.4 | 1.5 |
| With their department | 2.6 | 2.3 | 2.1 | 2.5 | 2.4 | 2.5 |
| With their institution | 2.8 | 2.6 | 2.3 | 3.0 | 2.9 | 2.9 |

[a]Scale of responses from 1 = very important to 5 = not at all important

affiliation with their higher education institution grew moderately on the part of the professors and junior staff at universities and substantially on the part of academics at other institutions of higher education.

In the other four advanced countries for which information is available from both the 1992 and 2007 surveys, we note the reverse trend: the importance of the affiliation to one's institution of higher education has declined for the professors and junior staff both at universities and other higher education institutions. Yet, it still is higher for academics in Australia, Japan, and the USA in 2007 than for academics in Germany. However, while, in 1992, a higher proportion of academics in the UK had felt affiliation with their institution to be important than those in Germany, in 2007, the UK had the lowest proportion who considered this important among all the advanced countries included in this comparative study.

Finally, it is worth noting that the *overall satisfaction* of academics at German institutions of higher education increased from 1992 to 2007. On a scale from 1 = "very high" to 5 = "very low":

- The average score for university professors moved from 2.4 to 2.2
- That for junior academic staff at universities changed from 3.1 to 2.5
- That for academics from other institutions of higher education moved from 2.7 to 2.2

In 2007, these scores are better than the average among advanced countries in the case of professors both at universities and other institutions of higher education. The overall job satisfaction of junior academic staff at German universities has remained below average; however, it has made the biggest leap toward a more positive assessment from an exceptionally low average level of satisfaction in 1992. It might be noted that academics in the UK express least satisfaction on average among academics in advanced countries in the CAP study.

## 11.6 Conclusion

There is a widespread view that higher education systems in advanced countries – or even throughout the world – are experiencing a converging trend as far as governance and management are concerned: a declining direct supervision or control by government, a strengthening of the power of the leadership within higher education

institutions and, finally, a growing role of evaluation and incentive steering. In Germany, changes of this kind have achieved momentum relatively late: since about the mid-1990s. This has been later than in many of the advanced countries covered in this study – although not later than in Italy and Japan.

In the framework of the comparative study "The Changing Academic Profession," this trend is most visible in a feature not addressed in this article. Obviously, evaluation activities have increased substantially between the two comparative studies, i.e., from 1992 to 2007. This also might be reflected in the fact that professors at German universities spend substantially more time on "other activities," i.e., including evaluation activities, at the expense of time spent on teaching.

Germany is a country in which the employment and work of academics varies substantially between professors and junior academic staff at universities as well as between academics at universities and at other institutions of higher education. However, their views vary only moderately as far as the tasks and functions of higher education, their own role, and the management of their institutions are concerned. Academics in Germany are a clearly segmented profession in some respects but fairly united in other ways.

With respect to the setting of governance and management, a greater proportion of German academics consider their personal influence to be relatively high at all levels of their institutions in comparison to other countries, while also perceiving institutional management to be relatively weak. The top-down elements of the new steering mechanisms might have a looser grip on academia in Germany than on their colleagues in many other countries.

In this context, it is worth mentioning two substantial changes applicable to university professors in Germany – although not, however, for other staff and institutional categories. Professors at German universities are the only group who clearly work more hours weekly on average according to their own estimate in 2007 than they worked in 1992. Also, professors at German universities publish substantially more than they had in 1992. In both respects, professors at German universities surpass their colleagues in other advanced countries. More in-depth analysis is needed in order to explore whether these changes are due to a (moderately) increasing "managerialism" since the 1990s or whether these changes have occurred just because "managerialism" was not able to take root in Germany or at least not as deeply as in many other countries.

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# Chapter 12
# Finland: CAPtive Academics – An Examination of the Binary Divide

**Timo Aarrevaara, Ian R. Dobson, and Elias Pekkola**

## 12.1 History, Background, and Context

Finland acquired its nationhood in 1917, but the first university was established long before this, when Finland was part of the Swedish empire. Queen Christina of Sweden established Åbo Kungliga Akademi (the Royal Academy of Turku) in 1640 in the western city of Turku (Åbo in Swedish). After Finland was ceded to Russia by Sweden in 1809, the university was renamed the Imperial Academy of Turku.

The university was relocated to Helsinki in 1828 following the relocation of the capital of the Grand Duchy of Finland under the Russian regime. A fire in September 1827 that destroyed three-quarters of Turku prompted this move. This first university became the University of Helsinki after Finland's independence in 1917. By this time, the Technical University of Helsinki had been founded (1905), followed by the establishment in Turku of universities for Swedish speakers (Åbo Akademi 1918) and Finnish speakers (University of Turku 1922). Further institutions acquired university status in the first half of the twentieth century, until the 1960s and 1970s when the system experienced considerable expansion. Many latter-day universities were established as multidisciplinary institutions in regional cities (MinEdu 1996, pp. 29–30).

The massification of Finnish higher education is reflected in Finnish regional policy and in institutional diversity in the university sector. The expansion of higher education since the 1950s has meant that higher education institutions were established all over the country as a *provincialization* or *localization* of higher

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education. By establishing multidisciplinary universities in regional cities, it was hoped to improve university access for Finns outside the major cities, and to stem the internal emigration to the capital region. Establishment of the polytechnic sector initially promoted massification from the 1990s (Aarrevaara 2007; Hölttä and Malkki 2000). Constitutionally speaking, Finland is a bi-lingual nation and two universities and several polytechnics teach predominantly in the Swedish language.

In present-day Finland, higher education is provided through a binary system of universities (*yliopisto*) and polytechnics (*ammattikorkeakoulu*). Finnish polytechnics are relative newcomers to the higher education scene. They began as experimental institutions in 1991 based largely on the amalgamation of a larger number of small trades and vocational colleges (MinEdu 1996, p. 79). The purpose of the experiment was "… to raise the standard of higher vocational studies and to rationalise the structure of the education system" (MinEdu 1996, p. 18). The new polytechnics, established under the Polytechnics Act (2003/351), were primarily non-research organizations offering 3- or 4-year degrees.

Polytechnics are meant to have a close relationship with "working life" and part of their brief is to foster regional development. Core funding comes from the government. Under the Act, a license for managing a polytechnic can be granted to the government itself, to a local authority (municipality) or a joint municipal body (municipal federation), or to private organizations (a registered Finnish limited company or foundation) (Aarrevaara and Hölttä 2007). In 2010, local authorities ran six polytechnics; seven are run by municipal education consortia and 13 by private organizations. Therefore there are several models of governance for polytechnics, but at present universities under the Ministry of Education operate according to a single, centralized model.

The Finnish Government is committed to a binary system built around discrete degrees, degree titles and functions. The State intends to clarify the division of responsibilities between universities and polytechnics. The binary system in Finland has strong political support and the system appears to be effective from the national point of view (Aarrevaara 2007, p. 286).

In recent years, Finland's polytechnics have re-designated themselves as *universities of applied sciences* in their English-language material, but so far, this description does not appear to be supported by the Ministry of Education. In Finland, most universities (19 of the 20 universities in 2008) are research-based institutions and the roles of the academic staff have been built around research activities. Polytechnics are professionally oriented higher education institutions with a responsibility for conducting applied research and development that serves teaching and working life. The Finnish higher education system does not have any "teaching-only" institutions.

In line with developments elsewhere in the world, there have been mergers between institutions. When the survey was carried out in 2008, there were 20 universities (16 in 2010) and 28 polytechnics (26 in 2010) under the purview of the Ministry of Education, with about 164,000 and 132,500 enrolled students,

respectively (KOTA 2009[1]; Statistics Finland 2010). Finland's 21st University is the National Defence University, which is administered under the Ministry of Defence. Administration of two other polytechnics falls outside the Ministry of Education portfolio. From 2010, there are fewer universities. Finland has three "new" universities, created through mergers: Aalto University (a merger between three existing universities), the University of Eastern Finland (two existing universities) and (the new) University of Turku (two existing universities).

This large number of higher education institutions services a population of only 5.3 million people. Since the enrolment ratio of the age cohort commencing higher education studies in Finland has reached 40%, there has been a change in some higher education traditions. For example, there is less face-to-face teacher–student dialog and more e-discussion.

The higher education system is seen as an essential element of Finland's national and regional innovation systems, and there is a link between higher education and economic policies. These policies have been strengthened by several national policy initiatives and reforms within both the university and polytechnic sectors (Aarrevaara and Hölttä 2008, p. 118). The change from a social-oriented education policy toward an innovation-oriented science and technology policy is apparent in Finland. The change in the policy discourse has occurred in part because of the growing role of the ministry responsible for economics and employment in funding and governing the sector. To complicate matters further, a new University Act (2009/558) came into effect from January 1, 2010. Under this Act, there are considerable reforms to the legal status of universities, university governance, and the ownership of university land and buildings (Aarrevaara et al. 2009).

The University of Helsinki is Finland's pre-eminent university, a member of the League of European Research Universities (LERU), and the highest ranked Finnish university in the Times QS and Shanghai Jiao Tong rankings. The merger to create Aalto University was driven at a policylevel by Finland's desire to have "a world-class university," which is perhaps a little harsh on the University of Helsinki. The largest component of the Aalto experiment is Helsinki University of Technology, which has typically been one of the Finnish universities represented in rankings of world universities. During the Ministry of Education-driven planning process before its establishment, Aalto University was known as the Innovation University, an interim name that reflected the policy expectations that would flow from an institution built around business and economics, art and design, and technology under one institutional roof. The new merged university carries with it an ambitious set of academic goals.

The Finnish government is the predominant source of funds for the Finnish higher education sector accounting for about 89% of total university funding. About two-thirds of this total is in the form of direct government grants. Finns tend to describe

[1]The Ministry of Education maintains the KOTA database. It is used to implement the annual information exchange for performance talks between the Ministry of Education and the universities, to follow-up the achievement of objectives, and to provide other reporting in university sector. AMKOTA is the equivalent database for polytechnics sector.

the other one-third as "external funding" but very little university funding comes from companies or non-Finnish funding agencies.

The focus of the rest of this chapter is on Finland's binary system. The establishment of the polytechnics over the past 20 years and therefore the emergence of a vocationally oriented higher education sector meant a new group of academic workers was formed, with its own set of professional and vocational backgrounds and commitments. The differences between the two sectors are clear with respect to the distribution of responsibilities and the interest shown in different types of academic work. This, we believe, represents a point of departure from the situation in many countries, particularly those that started to abandon their existing binary higher education systems at the same time as Finland was embracing a binary structure.

## 12.2 Fitting the CAP in Finland

The Finnish CAP survey was conducted as an on-line survey of academic staff from both universities and polytechnics, from the beginning of December 2007 until January 2008. A reminder and hard-copy questionnaire was mailed as a follow-up to those who had not replied on-line. In all, there were 1,452 respondents (1,175 via the on-line questionnaire and 277 via hard copy) with an overall response rate of 28%. The survey covered 19 of the 20 universities operating under the auspices of the Ministry of Education (1,115 respondents, 77%) and 24 of the 28 polytechnics in existence at the time (334 respondents, 23%). Three respondents failed to identify their institution type. The questionnaire could be completed in either of Finland's official languages (Finnish and Swedish), or in English. Of the respondents, 86.5% replied in Finnish, 7.5% in Swedish and 6.0% in English. Staff occupying administrative posts were not included, except for those occupying full-time "academic" administrative posts such as rectors or chancellors. The further analysis for this chapter uses the weighted international data set (see Table 12.1).

As in the other national datasets in the CAP survey, respondents were divided into "juniors" and "seniors," based on their academic rank. In universities, senior

**Table 12.1** CAP survey: Respondents by sector, seniority, sex, and discipline

| | University | Polytechnic | Not specified | Total |
|---|---|---|---|---|
| Total sample | 1,115 | 334 | 3 | 1,452 |
| Weighted sample | 1,049 | 322 | 3 | 1,374 |
| Seniority (weighted) | | | | |
| Junior | 811 | 231 | 2 | 1,044 |
| Senior | 208 | 74 | 1 | 283 |
| Missing | 31 | 17 | 0 | 48 |
| Sex (weighted) | | | | |
| Male | 578 | 163 | 1 | 742 |
| Female | 446 | 152 | 2 | 600 |
| Missing | 25 | 8 | 0 | 33 |

posts included professors and assistant professors, and in polytechnics, principal lecturers were deemed to comprise the senior group. In the university sector, the distribution between junior and senior was 80% and 20%, respectively. The equivalent distribution in polytechnics was 76% and 24%, respectively. The preponderance of young relatively low-paid respondents in the university sector is due to the large number of graduate school researchers who are concurrently full-time PhD candidates, and project-specific researchers. Due to the large number of junior posts in higher education, the proportion of academics holding senior posts exceeds the proportion of junior post holders only in the "over 60" age-cohort.

Male respondents represented 50% of the Finnish sample, but in the overall population they are in the majority at 55%. The sector-wide differences in gender distribution were not statistically significant, though the male majority was somewhat higher in universities. Notwithstanding the minor difference in the gender distribution, the gender structures of the two sectors are quite different. In universities, men occupied 73% of senior positions, compared with 63% in polytechnics. In polytechnics, the field of education is the most significant factor behind the gender distribution. Social and health-related fields are feminized whereas technology-based fields are over-represented with men (Aarrevaara and Pekkola 2010). The distribution of respondents by sector is shown in Table 12.1.

## 12.3 Work Hours

Table 12.2 shows the distribution of work hours in Finnish higher education. Overall, the Finnish CAP survey reveals that median Finnish academics work over 40 hours per week, in both the university and polytechnic sectors. Senior university academics work longer than anyone else in the sector. However, the Finnish

**Table 12.2** CAP survey – hours worked by sector, gender, and seniority

| | Universities | | Polytechnics | |
|---|---|---|---|---|
| | Male | Female | Male | Female |
| Teaching | 12.8 | 15.0 | 23.1 | 26.3 |
| Research | 19.5 | 21.0 | 6.2 | 4.7 |
| Service | 2.5 | 1.4 | 2.3 | 2.1 |
| Administration | 4.6 | 3.2 | 6.8 | 5.4 |
| Other | 2.7 | 2.0 | 1.6 | 2.5 |
| Total hours | 42.0 | 42.7 | 40.0 | 40.9 |
| | Junior | Senior | Junior | Senior |
| Teaching | 11.4 | 19.6 | 25.8 | 20.0 |
| Research | 22.2 | 13.5 | 5.1 | 7.2 |
| Service | 1.8 | 2.6 | 2.1 | 2.5 |
| Administration | 2.9 | 8.1 | 4.8 | 9.6 |
| Other | 2.1 | 3.3 | 1.7 | 2.7 |
| Total hours | 40.8 | 47.2 | 39.6 | 42.0 |

higher education sectors differ from each other in terms of the distribution of working hours on different tasks. The mean number of hours spent on research by university academic staff is almost four times the number spent by staff from polytechnics (see Table 12.2). The main proportion of work time in polytechnics is spent on teaching activities. The difference clearly indicates the different structure of the work done by academics in these two sectors. As the differences are so salient, they also indicate the practical differences in the nature of the institutions that make up the Finnish binary system.

In universities, the mean number of working hours is 41.7 compared with 40.2 in the polytechnic sector. This gives a picture of a different distribution of working hours in the sectors and between genders. Female respondents' workload in teaching is about 3 hours higher than male respondents in both sectors. However, female respondents' time spent on administrative tasks is lower than for male respondents. In universities, senior respondents work longer hours than those in polytechnics, where the distribution is closer to the norm. The mean difference in universities between seniors and juniors is more than 6 hours while in polytechnics it is approximately 3 hours.

## 12.4 Academic Work and Work Done by Academics

Those who occupy posts inside the academic profession exert a strong influence over the recruitment of staff to undertake academic tasks and the training of those appointed to these positions. They also evaluate staff members' competence, accept the responsibility for the quality of work, enjoy high social prestige, and base their operations on a complex body of knowledge (Light 1974). In this respect, the definition of the academic profession does not include all those who responded to the Finnish survey. Academic work can be defined as a complex combination of different tasks including research, teaching, and administrative duties. This work is not tightly bounded to time and place and it is usually associated with a vocational calling (c.f. Clark 1983, 1987; Parsons and Platt 1973; Kogan 2007). Academics hope for cross-fertilization of teaching, research, and service, but complexity and the relative autonomy that academics enjoy may lead to the neglect of some functions (Enders and Teichler 1997). By tradition teaching and research are seen as being inseparable from each other.

In Finnish higher education, there are many academic posts for which there is little interconnection between research and teaching. A significant number of respondents undertook either teaching or research. Some academics neither teach nor do research. It could therefore be argued that these administrators do not undertake any "academic work" (Pekkola 2009a).

In the Finnish sample, academics in university junior posts teach less than their senior colleagues do. This phenomenon can be seen across the whole sample but is a result that is produced mainly by the large number of employed Ph.D. students and project-specific researchers hired by universities. Academics in senior posts also work longer hours than their junior colleagues do. This phenomenon is more

evident in the universities than in the polytechnics. Interestingly, the growing number of hours spent on research seems to be an indicator of seniority in the polytechnic sector, while in universities increased teaching hours are correlated with staff occupying senior positions. This can be explained by the different competence structure of teaching in universities and polytechnics. In polytechnics, teaching competence is typically built on professional experience and practical knowledge and it is often supported by pedagogical competence and teaching materials. Occupants of senior posts in polytechnics have more options for becoming an active researcher and more freedom to set their own academic goals.

In polytechnics, staff are more focussed on teaching and there are special regulations about teaching competence. According to the Polytechnics Act (2003/351) and the Decree on Polytechnics (2003/352), the minimum qualification requirements for polytechnic teachers are an academic degree and a minimum of 3 years of work experience. Principal lecturers are required to hold a postgraduate degree and a teacher education qualification equal to 1 year full-time study (60 ECTS credit points), or must earn such a qualification within 3 years of their appointment.

In universities, 27% of junior staff members are not active in teaching compared to 3% of senior staff. In Polytechnics, 42% of junior and 19% of senior respondents are not active in research. Clearly some academics have specialized in either research or teaching.

## 12.5 Swings and Roundabouts: Sectoral Variations in Finnish Academic Work

### *12.5.1 Teaching, Research, or a Bit of Both?*

The same distinction between the sectors in orientation toward the first and second missions of academic work can also be seen in the primary interests of the respondents (see Table 12.3). About 79% of university respondents said they were more interested in research than teaching. Among respondents from polytechnics, only about 20% indicated this interest. So university staff are more motivated by research and they are also more interested in it. The nature of work and probably the identity of staff in these two sectors are different.

**Table 12.3** CAP survey – primary interest (%)

| | All respondents | Universities | Polytechnics[a] |
|---|---|---|---|
| Primarily in teaching | 15 | 7 | 41 |
| In both, but leaning toward teaching | 20 | 14 | 40 |
| In both, but leaning toward research | 36 | 43 | 15 |
| Primarily in research | 29 | 36 | 5 |
| Total | 100 | 100 | 100 |

[a] Rounding errors apply

### 12.5.2 Staff Recruitment?

Sectoral differences are also evident in institutional staff recruitment. About half of university respondents thought that research quality should be considered one of the grounds for recruitment. In polytechnics, research has a much more modest role in recruitment, with only 14% of respondents believing that research quality is important or very important when personnel decisions were being made.

Teaching quality is a more important factor in the minds of polytechnic academics than those working in universities. In polytechnics, teaching competence is considered to be one of the prerequisites for teaching positions so merely holding a teaching qualification is not considered to be a sufficient indication of quality. Hence, it can be assumed that "quality of teaching" has a quite different meaning in polytechnics and universities.

The importance of practical knowledge and experience outside the academy provides a real difference between the sectors. Only 16% of university respondents, but about half of respondents from polytechnics, considered experience outside academia to be important. This also has a major effect on the academic labor market. In many instances, university teachers would not be considered to be competent to work as an academic in a polytechnic, because they lack work experience outside academia. A similar situation applies to academic staff in polytechnics: they would not usually have the research background and experience necessary for academic work in a university, particularly at a senior level. In one sense therefore, polytechnic senior academics could be seen as being the equivalent of university juniors because of their lack of publications.

### 12.5.3 Working Conditions

Working conditions can be described from three different perspectives using CAP data: based on the material resources available; based on support services; and based on perception of management attitudes.

Respondents were quite satisfied with the *material prerequisites* of work (see Fig. 12.1). Although not all of the respondents were satisfied with classrooms, offices, teaching technology, and computer facilities, it seems that the quality of these essentials is not perceived as a problem.

A number of specific examples should be noted. About half of the respondents from both sectors thought that *laboratory amenities* were good and only 20% expressed dissatisfaction. Among support services, only 6% of the respondents were dissatisfied with *library services*. University respondents were more satisfied with *secretarial support* than their colleagues were in the polytechnic sector; one out of four thought that *office services* were not good. Within universities, employees in junior positions were more satisfied with secretarial support than were respondents in senior positions. In both sectors, the service provided by *teaching support staff* was considered good or neutral in 75% of the cases.

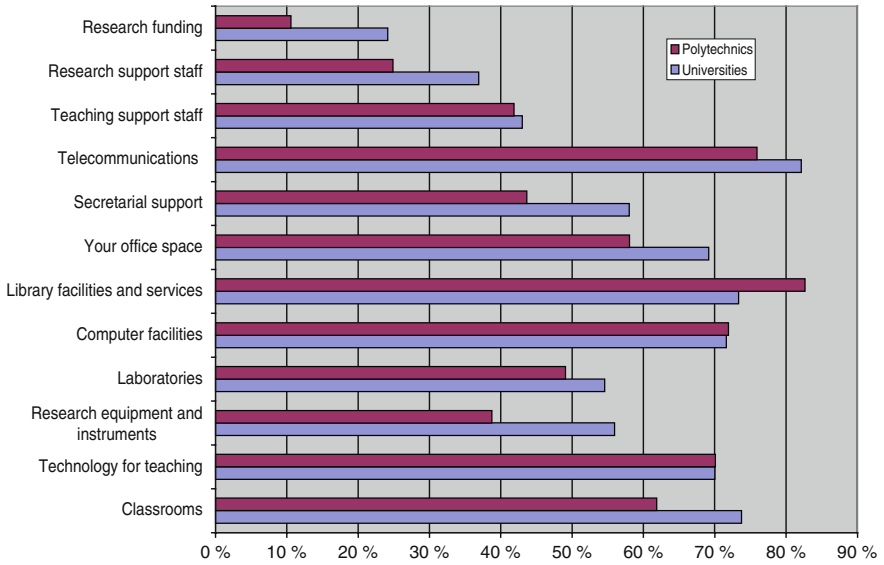


**Fig. 12.1** The percentage of satisfied or very satisfied respondents by type of higher education institution

The attitude of administrators toward polytechnic teachers was often seen as negative. Less than a quarter of polytechnic respondents thought that attitudes of administrative staff were "supportive" while almost half of the respondents disagreed with this view. In universities, a considerable number of respondents expressed no opinion about the administrators' attitude toward teaching.

Research support staff and research funding were the most criticized of all services. Only one-third of university respondents thought that research services were at a good level. In polytechnics, the proportion was only a quarter. Only about one-fifth of university respondents thought that research funding was good. In polytechnics, only one out of ten respondents thought so.

Respondents from both sectors perceived the attitudes of administrative staff toward research activities as being non-supportive. This more critical view of the research support and funding by academics in polytechnics can be explained by the transformation of the polytechnics from being "teaching only" institutions toward being "university-like." However, the polytechnics' mission continues to be based more on teaching and regional development than research.

### *12.5.4 Job Satisfaction*

In Finland, more than two-thirds of the respondents to the CAP survey were satisfied with their current job and fewer than 10% were dissatisfied. No statistically significant differences in measured satisfaction were recorded in the comparison between

universities and polytechnics. The number of satisfied academics seems to be quite high, but the full picture about academic satisfaction can be drawn only by comparing the CAP survey results with the overall satisfaction of the Finnish labor force. When the results are compared with the national work and health survey, conducted by the Finnish Institute of Occupational Health in 2006, the level of dissatisfaction in higher education is higher than in other sectors of society. The difference is particularly obvious when comparing higher education with the average level of satisfaction in the public sector. Even in the private sector more employees are satisfied than in higher education (c.f. FIOH 2006, p. 27; see Aarrevaara and Pekkola 2010).

The differences in the level of satisfaction in universities between respondents in junior and senior posts were small. This is surprising because a large number of young researchers at Finnish universities, (but not at polytechnics), are paid low salaries and are hired under short-term and precarious contracts (c.f. also Puhakka and Rautapuro 2007; Statistics Finland 2008; KOTA 2009; see Pekkola 2010). Salary differences between junior and senior ranks vary more in universities than in polytechnics. The average salary for those occupying senior posts in universities is 1.8 times higher than in junior posts, compared with a variation of 1.3 in polytechnics. The salary gap is even wider in universities if academics' income from other sources is included. In polytechnics, "income from sources other than respondent's current institution" is part of the reason for the lower salary differences. One inference is that overall satisfaction in universities is obtained more from the work itself than from the labor market value of that work.

Although more than two-thirds of the employees were satisfied with their job, almost 46% of respondents thought that their work was a source of extensive strain. This is a higher proportion than the national average. Yet, it has to be mentioned that employees in the education sector in general and social and welfare services were more often working in strain-causing conditions than the academic workforce (c.f. FIOH 2006, p. 21; Aarrevaara and Pekkola 2010). Only a quarter of the respondents thought that their work was *not* a source of considerable personal strain. No differences were recorded between sectors or between junior and senior employees within sectors.

Finnish teaching and research staff have a pessimistic rather than an optimistic view of the future of academic work. Two-fifths of the respondents thought that now would be a poor time for any young person to begin an academic career, but only 16% thought that they would choose another career track, if that would have been possible. Only 30% of university respondents thought that now would be a good time for young people to start an academic career in contrast to 42% of respondents from polytechnics. Many more university respondents were disappointed in their decision to become an academic (18%) than in polytechnic respondents (8%). In universities, one-fifth of the junior respondents and one-tenth of the senior respondents would not decide to become an academic if they were making the decision today.

Finland did not take part in the 1992 Carnegie Study on the Academic Profession (Locke and Teichler 2007, p. 8). Therefore, the only way to gain an impression about the development of working conditions over time has to be based on the CAP survey variables on perceived changes in working conditions. Slightly more respondents

thought that higher education working conditions had deteriorated rather than improved, but almost two-fifths of respondents thought that conditions had remained unchanged. In polytechnics, more respondents thought that working conditions had improved than among university academics, but this can be explained by the polytechnic sector's brief history. The first experimental polytechnics commenced operations in 1991, at which time there was a period of high investment of resources in the new sector. Another reason for differences between the two sectors is the older age of respondents from polytechnics. Many of the younger university respondents would be unable to say if working conditions had changed. Nor could they define the direction of those changes.

One of the reasons for sectoral differences in career outlook is probably the different status of young academics at universities compared with polytechnics. The academic career path is quite different in universities, because new academics are considered to be students or novices (Hakala 2009; Ylijoki 1998). Polytechnic teachers are required to have 3 years of work experience in a relevant field, in addition to a discipline-based degree and teacher training (Aarrevaara and Hölttä 2008, p. 120). Thus, when entering the polytechnic academic workforce, the salary is usually higher and the newcomers are more mature than in the case of new academics in universities. Nearly all academic staff at polytechnics are employed on permanent contracts and the differences in salary between junior and senior posts are much smaller than in universities.

### *12.5.5 Beliefs About Decision-Making*

Academic staff at both universities and polytechnics believed that institutional managers had the principal role to play in selecting key administrators, but there was a considerable gap between the two (see Table 12.4). Sixty-two percent of university academics thought that institutional managers had the principal role, compared with 88% of polytechnic academics. Much of the difference between these two is explained by university academics' perception of the role of faculty committees/boards (22%, compared with just 2% at polytechnics).

Recruitment of new academic and research staff for universities is based primarily on academic staff influence, as two-thirds of respondents chose individual academic staff or the faculty board as being the most important sources of decision-making. At polytechnics, respondents thought that institutional managers (47% of respondents) were the most influential, and also faculty committees or boards (28%), with academic unit managers (19%) also being influential. In Finland, senior academics are primarily responsible for the training of those appointed to vacant positions. The labor markets in Finland are undeveloped, as only 2.7% of residents are foreign citizens (Population Register Centre 31.12.2009). At universities, 6.3% of academic respondents were foreign citizens (CAP survey 2008), which is a very small proportion when one considers the "international" nature of universities and the rhetoric espoused by universities and the government.

**Table 12.4** Responses relating to decision making (weighted data)

| | Universities | | Polytechnics | |
|---|---|---|---|---|
| | No. | % | No. | % |
| Selecting key administrators | | | | |
| Government or external stakeholders | 18 | 2 | 12 | 5 |
| Institutional managers | 470 | 62 | 239 | 88 |
| Academic unit managers | 57 | 7 | 7 | 2 |
| Faculty committees/boards | 170 | 22 | 6 | 2 |
| Individual academics | 45 | 6 | 6 | 2 |
| Students | 1 | 0 | 0 | 0 |
| | 761 | 100 | 271 | 100 |
| Choosing new academic staff | | | | |
| Government or external stakeholders | 2 | 0 | 2 | 1 |
| Institutional managers | 63 | 8 | 127 | 46 |
| Academic unit managers | 100 | 13 | 57 | 20 |
| Faculty committees/boards | 253 | 32 | 17 | 6 |
| Individual academics | 362 | 46 | 76 | 27 |
| Students | 1 | 0 | 0 | 0 |
| | 781 | 100 | 278 | 100 |
| Making academic staff promotion and tenure decisions | | | | |
| Government or external stakeholders | 1 | 0 | 1 | 0 |
| Institutional managers | 140 | 18 | 197 | 72 |
| Academic unit managers | 86 | 11 | 31 | 12 |
| Faculty committees/boards | 366 | 48 | 15 | 5 |
| Individual academics | 174 | 23 | 28 | 10 |
| Students | 0 | 0 | 0 | 0 |
| | 767 | 100 | 272 | 100 |
| Determining budget priorities | | | | |
| Government or external stakeholders | 31 | 4 | 9 | 3 |
| Institutional managers | 305 | 41 | 194 | 71 |
| Academic unit managers | 77 | 10 | 27 | 10 |
| Faculty committees/boards | 183 | 24 | 14 | 5 |
| Individual academics | 151 | 20 | 28 | 10 |
| Students | 0 | 0 | 0 | 0 |
| | 747 | 100 | 272 | 100 |
| Setting admission standards for undergraduate students | | | | |
| Government or external stakeholders | 71 | 10 | 87 | 32 |
| Institutional managers | 181 | 24 | 99 | 37 |
| Academic unit managers | 53 | 7 | 28 | 10 |
| Faculty committees/boards | 319 | 43 | 21 | 8 |
| Individual academics | 123 | 16 | 36 | 13 |
| Students | 0 | 0 | 0 | 0 |
| | 747 | 100 | 270 | 100 |
| Approving new academic programs | | | | |
| Government or external stakeholders | 106 | 14 | 136 | 50 |
| Institutional managers | 239 | 32 | 104 | 38 |
| Academic unit managers | 49 | 7 | 12 | 4 |

(continued)

**Table 12.4** (continued)

| | Universities | | Polytechnics | |
|---|---|---|---|---|
| | No. | % | No. | % |
| Faculty committees/boards | 298 | 41 | 11 | 4 |
| Individual academics | 45 | 6 | 11 | 4 |
| Students | 0 | 0 | 0 | 0 |
| | 736 | 100 | 274 | 100 |
| Evaluating teaching | | | | |
| Government or external stakeholders | 40 | 5 | 25 | 9 |
| Institutional managers | 129 | 17 | 73 | 28 |
| Academic unit managers | 70 | 9 | 40 | 15 |
| Faculty committees/boards | 172 | 23 | 19 | 7 |
| Individual academics | 216 | 29 | 73 | 28 |
| Students | 115 | 16 | 35 | 13 |
| | 742 | 100 | 266 | 100 |
| Setting internal research priorities | | | | |
| Government or external stakeholders | 5 | 1 | 3 | 1 |
| Institutional managers | 132 | 18 | 136 | 56 |
| Academic unit managers | 80 | 11 | 38 | 16 |
| Faculty committees/boards | 109 | 15 | 22 | 9 |
| Individual academics | 404 | 55 | 44 | 18 |
| Students | 1 | 0 | 0 | 0 |
| | 731 | 100 | 242 | 100 |
| Evaluating research | | | | |
| Government or external stakeholders | 97 | 14 | 15 | 7 |
| Institutional managers | 202 | 28 | 102 | 46 |
| Academic unit managers | 103 | 15 | 43 | 19 |
| Faculty committees/boards | 142 | 20 | 20 | 9 |
| Individual academics | 164 | 23 | 44 | 20 |
| Students | 2 | 0 | 0 | 0 |
| | 710 | 100 | 224 | 100 |
| Establishing international linkages | | | | |
| Government or external stakeholders | 0 | 0 | 1 | 1 |
| Institutional managers | 84 | 11 | 93 | 37 |
| Academic unit managers | 82 | 11 | 49 | 19 |
| Faculty committees/boards | 55 | 7 | 23 | 9 |
| Individual academics | 512 | 70 | 87 | 34 |
| Students | 4 | 1 | 0 | 0 |
| | 737 | 100 | 253 | 100 |

In matters relating to academic promotion, the most influential parties at universities are faculty committees or boards (48%), individual academics (23%), or institutional managers (18%). Collegial decision-making through academic units appears to be the norm in choosing staff and making decisions about promotion. Polytechnics seem to rely on a managerial mode of operation with regard to these decisions.

Faculty committees or boards and institutional managers are perceived as being the most influential in approving new academic programs at universities, but differences between the sectors in responses relating to this question are evident. For example, only 15% of university respondents, but 51% of polytechnic respondents found the government's or external stakeholders' role to be the most influential in approving new academic programs. This result is based on the performance agreements and follow-up systems between the Ministry of Education and the polytechnics, which places strong emphasis on the number of registered students (Aarrevaara and Pekkola 2010).

Individual academic staff and institutional managers seem to be the most influential in setting research priorities. At universities, 19% of respondents chose institutional managers as the most influential in this regard, compared with 57% at polytechnics.

Determining overall academic teaching loads seems to fall under the discretion of individual academics at universities (48%) and institutional managers at polytechnics (43%). The performance system differs in polytechnics compared with universities. At universities, negotiations with academic staff about academic workloads are determined at the faculty level. Within polytechnics, the institutional managers' role is more important, because they have access to performance information and understand workloads in much more detail than their equivalents at universities.

This distinction can also be seen in setting admission standards for undergraduate students. For universities, the most influential actor is found at the faculty level (42%), but for polytechnics, it is government and external stakeholders (51%). At polytechnics, influence in this regard is shared between ministry and institutional managers. At universities, the respective influential actors are academic staff and institutional managers.

### *12.5.6 Who Has Influence?*

The demand for academic work to be "relevant" is increasing but, according to Locke and Teichler (2007, p. 8), academics find it difficult to be heard and recognized by society as a key source of expertise. Do Academics have influence in their own academic units (departments, faculties etc.)? One of the questions in the CAP survey concerned respondents' personal influence on decision-making in the academy. It seems that academic units' scope for decision-making is quite large. However, senior academics make the decisions. The Finnish responses to the CAP survey revealed differences between respondents occupying junior and senior posts, with those in junior posts feeling they have little (if any) influence. As stated earlier, many academics occupying junior posts in universities are full-time postgraduate students occupying what amounts to "trainee" positions. Such staff members do not expect to exert any influence on academic decision-making. This category of academic staffing is not present in all countries. From this angle, it would be understandable for the Finnish responses to the CAP survey to differ from those in other participating nations.

**Table 12.5** Proportion of those who felt influential (junior and senior posts) in helping to shape key academic policies

| | Universities (%) | Polytechnics (%) |
|---|---|---|
| Senior positions | | |
| Department or similar unit | 74 | 65 |
| Faculty, school, or similar unit | 36 | 33 |
| Institutional level | 17 | 31 |
| Junior positions | | |
| Department or similar unit | 25 | 39 |
| Faculty, school, or similar unit | 6 | 12 |
| Institutional level | 3 | 7 |

Twenty-five percent of those occupying junior posts at universities felt they were influential or a little influential at the department or similar unit level (see Table 12.5). At universities, about three-quarters of those occupying senior posts felt they were influential or a little influential at the department or similar unit. The situation within polytechnics is very different in terms of influence in helping to shape key academic policies. Of academics at polytechnics, 39% of those in junior posts felt they were influential or a little influential, and in senior posts, the respective share was about two-thirds. At polytechnics 31% of senior respondents felt they were influential at the institutional level, and at universities the respective share was only 17%. Of academics in junior posts at both sectors, less than 10% of respondents felt they were influential at the institutional level.

The new university governance model has been in place since January 2010. In this regard, a crucial question is whether academics in Finland feel they play a sufficient role in decision-making. These results indicate that academics believe they can improve internal reforms and institutional dynamics within academic units. This is the case at the departmental level, but less at the faculty level. At the institutional level, they feel that their role in shaping key academic policies is minor.

## 12.6 Drivers

### *12.6.1 Demographic Change*

Although the birth rate has started to increase in Finland, the aging of the population is one of the major challenges defined in national education and innovation policies. The Ministry of Education has estimated that in the near future, the need for qualified employees will grow and the needs of labor markets will not be met with the projected domestic supply of higher education graduates (see Mughul and Pekkola 2009). This is one of the reasons why higher education is considered to have an essential role in the development of Finnish society; the aim is to attract

more foreign students and scholars to Finland and help them to adapt to Finnish society. This could have a profound impact on the work of the academic profession.

The CAP survey clearly indicates the Finnish academic profession is still very *Finnish.* The number of foreign scholars is modest and internationalization is mostly restricted to university research (Aarrevaara and Pekkola 2010). This means that the working language in departments, teaching and administration is generally Finnish. If higher education institutions are to be successful in their moves toward internationalization, it will mean that the working cultures and habits could lead to a diversification of Finnish higher education. In addition, foreign students probably expect teachers' expertise to be different from that expected by Finnish students. This could also have an indirect effect on the substance of academic work.

### *12.6.2 National Social Welfare Priorities*

Finland continues to be one of the countries in which education is considered to be a social priority, and social factors are considered to be essential ingredients in higher education policy (Hölttä and Malkki 2000; Mughul and Pekkola 2009). Tuition fee-free education is now being challenged in academic and public forums, but it is still one of the corner stones of Finnish higher education policy. If tuition fees are introduced for domestic students, it will mean a totally new atmosphere in Finnish higher education.

When dissected from the perspective of equity, the Finnish education system has always been flexible. It has been built in such a way that a range of educational pathways can be connected and no one is discriminated against because of their lack of success in earlier studies. For example, not all universities require upper secondary or even primary education as formal requirements for approval to commence higher education. This has meant that the academic profession has always had people from all social classes with different personal histories.

### *12.6.3 Privatization, Including the Privatization of Public Institutions*

In Finland as in other OECD countries, the tendency toward more market-driven public policies has been evident since the late 1980s. The Finnish public sector has gone through reforms in which the bureaucratic governing model has acquired new nuances. The input-based model started to change toward one based on outputs from the 1980s onward and in 1990 new public management (NPM) philosophies started to gain importance in defining the relationships between different governmental actors and citizens. Universities have been part of the government-funded sector and almost all of the financial and administrative initiatives of the Ministry of Finance have been implemented in the universities as well as in other public sector

agencies. Discussions about the privatization of public universities have mostly been moving along the same track as the more general critique of market-like public policies. The basic nuance of discussion has been pessimistic and the new policies have been considered to have a detrimental effect on public services.

This discourse and its effects can also be tracked from the CAP data. The perception is that research is still done appropriately because less than one-sixth of the respondents think that there has been an increase in restrictions on publishing the results of privately- or publicly-funded research. Similarly, almost 90% thought that their research was undertaken in accordance with ethical guidelines, but still, half of the respondents thought that high expectations of "useful" results and the focus on applied research are a threat to quality. More than 70% thought that the increased high expectations of research productivity could be a threat to the quality of research. About 80% of respondents thought that the pressure to attract external research funds has increased since their first appointment and half of the respondents thought that external sponsors and clients had an impact on their research. Therefore, it seems that general changes, pressure and over-work are threatening the research itself more than there being an actual restriction to limit their ability to conduct research with solid ethical groundings (c.f. Pekkola 2009b).

Current policy changes can also be identified in the growing importance of competing for research grants. The share of competitive government-sourced funding has grown steadily. Research funded through basic grants is higher than other types of governmental funding. Yet, the strategic importance of winning competitive research funding seems to be greater than the actual funding received! When CAP data are compared with national data on research funding, the proportion of competitive money (public funding agencies) is considered to be more significant for merit and prestige than it is in monetary value (Aarrevaara and Pekkola 2010).

### *12.6.4 Global Science and Technology Competition and Commercialization*

The traditional strength of Finnish higher education is based on its strong connection to the regional innovation system, but the system is very complex. Among the actors, there are three main groups. First, there are Regional Employment and Economic Development Centres, which deliver national programs for the ministries and the Finnish Funding Agency for Technology and Innovation (TEKES). Second, some municipalities support technology centres and science parks. Third, there are higher education institutions including universities and the polytechnics, several of which are municipally owned (OECD 2006, p. 19).

The major perspective in the regional innovation system is local. In higher education, research and teaching are more likely to take a global view, and the regional innovation system does not support this perspective sufficiently. Because of the strong regional dimension, the research and innovation system is fragmented geographically into under-sized teaching and research units (Ministry of Employment

and Economy 2009, pp. 20 and 80). Higher education institutions therefore fail to act systematically because universities, polytechnics, and public research organizations have overlapping duties. According to results from the CAP survey, half of the teachers emphasize international perspectives or content in the courses they teach.

## 12.7 Conclusions

Finland has a binary higher education system, built around universities and polytechnics. Given that the polytechnic system is now only in its 20th year, it scarcely has a "history" to draw on. Whereas the university sector has evolved over centuries, polytechnics were established by political fiat, and are primarily based on "design." The different history of these two sectors has had a major impact in the organization of academic work as well as on the governance and management in these two sectors.

Management and control in polytechnics is much more centralized. In universities, academic units (departments, faculties) have an appropriate role in decision-making concerning academic issues, based around the universities' history of collegiality. Even if the nature of that collegiality is constantly changing, this is still a major component in university culture. In polytechnics, institutional managers have a much greater role to play in decision-making. Many of the differences between the two sectors accrue from the fact that polytechnics are teaching-oriented and universities are research-orientated. Academic work and maturity mean different things in each sector. The different history and way of organizing the sectors has affected their management structures. In addition, the different funding arrangements and "ownership" structure have played a major role in the development of each sector.

Teaching and decision making in academic issues are linked – academics occupying junior positions at universities teach less than their senior counterparts do and their modest rank causes them to feel like outsiders in decision-making processes. University teaching is the only arena in which all the decision groups (according to the tripartite system: students, professors, other staff) have an important role to play. In the other higher education arenas (research and social interaction) the students' role is marginal and the role of staff other than professors is often minor. The situation is different in polytechnics: junior staff teach more than senior staff, and a strong research orientation is evidence of holding an influential personal position in the polytechnic sector. Academics from polytechnics perceive themselves as being more influential than their counterparts in universities, and this could have an impact on the attractiveness of the profession in the long run.

Another factor that illustrates the distinctiveness of the two sectors is that many staff occupying junior posts are employed under short-term contracts. These staff members therefore have the incentive to focus on the development of their academic career, rather than to seek roles with responsibility for decision-making or management. The Finnish academic profession in both sectors is quite satisfied with its lot, but it is a concern that the level of satisfaction is lower than in other professions, whether in the public or private sectors.

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# Chapter 13
# Norway: Between Humboldtian Values and Strategic Management

**Agnete Vabø**

## 13.1 Higher Education System Context

Norwegian universities have generally had a key role in fulfilling the central democratic goals of the welfare state. The state is still an important actor, both as the resource provider and in regulating and steering the system. With the exception of the Norwegian School of Management (BI), most private institutions are quite small. In international comparative terms, the Norwegian higher education system is small scale, with a total of approximately 200,000 students (DBH 2010). The system is made up of three kinds of institutions: universities, scientific colleges, and state colleges, of which the University of Oslo, established in 1811, is the oldest and largest university.

In the universities, in particular, the tradition of Humboldtian values and ideals has been important for the development of the principles for organizing academic work and study (Kehm et al. 2010). In recent years, however, academic staff at Norwegian universities have had to adapt to a range of initiatives introduced as part of the so-called Quality Reform, launched in autumn, 2003. This was first and foremost a response to the goals of the Bologna Declaration of 1999. In Norway, this meant that a new study structure, the bachelors–masters study structure (3 + 2 years) was to be implemented. Furthermore, the reform represented an attempt to achieve: (1) a higher degree of efficiency through devolution of authority to higher education institutions, (2) the provision of stronger leadership, (3) increased emphasis on internationalization, (4) the formation of an autonomous central institution for quality assurance and accreditation (NOKUT) and the development of criteria for institutional audit, (5) new forms of pedagogy, as well as (6) a new funding model that

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is supposed to provide stronger incentives for improvement (Vabø 1989). This followed a range of reforms inspired by New Public Management (NPM) that had gradually been implemented throughout the public sector in the 1990s.

Various processes of social change, such as increased public expenditure due to rapid growth and a growing concern that higher education needed to compete globally, have led to the justification of more market-oriented modes of governance and management in higher education. These are characterized by gradual decoupling from state regulations and the creation of more autonomous governing bodies characterized by strategic management methods. As is the case in many European countries, the central authorities have adopted a more indirect and steering role, a more "hands-off style of management at the national level" (Ferlie et al. 2009).

Universities and (scientific) colleges in Norway have had a relatively high degree of freedom to choose their management models, for example, whether to appoint or elect senior management. It is not possible to analyze systematically how the respondents to the CAP survey in Norway have experienced these new management models, because we cannot analyze the data according to institutions and faculties. Also, the survey questions were not specifically designed to fit the Norwegian context. We can, however, present some patterns in the responses which may shed light on the central questions and dilemmas that characterize the management and organization of universities, with regard to administrative processes and conditions for communication and participation.

## 13.2 Methods

In Norway, the CAP survey was conducted in December 2007 and January 2008 among a representative sample of scientific staff of research institutions, universities, scientific universities, and in the institute sector. About 1,035 responses were received from university staff (including partially completed surveys), with a response rate of 36%. Academics have been classified into five academic fields, following the guidelines of the UNESCO Recommendation concerning the International Standardization of Statistics on Science and Technology (1978):

- *Social sciences*: Teacher training and education science; social and behavioral sciences; business and administration, economics; law
- *Humanities*: Humanities and arts
- *Natural Sciences*: Life sciences; physical sciences, mathematics, computer sciences; agriculture
- *Technology*: Engineering, manufacturing and construction, architecture
- *Medical sciences*: Medical sciences, health-related sciences, social services

The views of respondents referred to in this article should be treated with caution because they are subjective evaluations. Furthermore, there are considerable variations in conditions, not only among institutional sectors and fields, but also within the individual research disciplines.

## 13.3 Academic Work

### *13.3.1 Preferences for Teaching or Research*

The grade structure in the Norwegian university system is based on a small number of grades and minor differences in professional duties and salaries compared to most European countries. Moreover, in higher education, almost all academic staff have research duties in addition to their teaching duties. This contract reflects a very important objective, that teaching shall be performed by staff that have research competence. This organizing principle is upheld in various ways, including through the criteria employed in the strategies for quality assurance and accreditation, which require formal competence in an academic field. However, the criteria do not make explicit what research-based teaching is, what practical implications it will have, or whether this is a requirement of teaching at the higher levels. Whatever the interpretation, the principle of research responsibility and research-based teaching represent a very ambitious goal compared to universities world wide. The evaluation panel that surveyed the Quality Reform nevertheless concluded that academic staff at Norwegian universities and colleges now have less continuous time for research than before the changes. According to the evaluation, this reduction in time is caused by the requirements for closer monitoring of students within the new pedagogical regime (Michelsen & Aamodt 2006).

In connection with this issue, it is interesting to note that the majority of the respondents state that they are mostly interested in research. Around 17% of academics at universities show a greater affinity with teaching. Academic staff in technology, social sciences, and humanities are oriented toward teaching to a greater extent than staff in the natural sciences. Only a minority consider that "teaching and research are hardly compatible." Around 65% disagree with this statement. Moreover, the majority of the respondents (80%) agree that the research they are doing improves their teaching. Response patterns like these serve to correct the impression given by public debate that there is a tension between research and teaching duties Fig. 13.1.

However, the much debated conflict between research and teaching duties is still a forceful rhetoric, which was reinforced by the last White Paper to the Norwegian Parliament.[1] This paper stated the need for academic institutions to ensure a balance of research time and resources, and to organize teaching such that time is allocated for research. There are also positive indications in spite of the lack of time. The number of research articles published has increased since the implementation of the Quality Reform. Although only a few researchers publish most of their articles, a changing pattern of publishing at an advanced level clearly indicates that research productivity is correlated with many factors other than time.

Academic staff research activities were more of a personal choice only a few years ago. The activities of teaching and tutoring – and their management – were

[1] St. meld nr. 30 (2008–2009) Klima for forskning Norwegian Ministry of Education and Research.

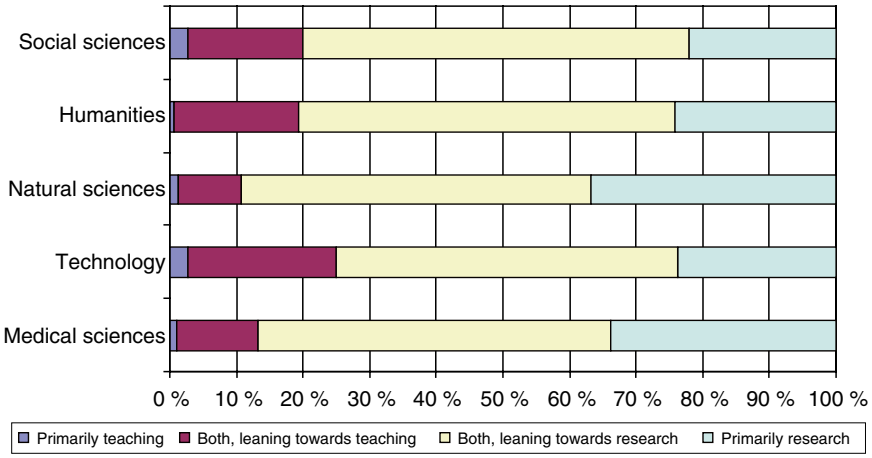


**Fig. 13.1** Preference for research and teaching by academic field

the core of the contract between academic staff and the university or college. Today, however, institutional policies and strategies also drive research activities, research-based teaching, and research-intensive universities. In addition to the networks and individual collaborations of the single researcher, both nationally and internationally, participation in one or several formalized research groups at the faculty level has become a requirement. Making the case for the right to research has never been more legitimate.

There is still reason to believe that balancing research and teaching has become increasingly difficult for the individual academic employee. As a teacher and tutor, he or she must accommodate the everyday contact with students and the demands of the educational bureaucracy. At the same time, the necessary investment in, and activities directed at, the development of a career in research has become more dependent on participation in international networks and frequent publication.

### *13.3.2 Hours Spent on Professional Activities*

In the Norwegian CAP project, the reported hours spent on professional activities has been analyzed and compared with similar data from previous surveys of academic staff at Norwegian universities. It shows that, in 2007, the proportion of time used for teaching and research is 71.3% of the working week – slightly less than previously. In 2000, the time used for teaching, supervision, and research constituted 72% of the total working time. In the CAP survey, full-time employees (reporting being employed at least 30 h/week) involved in teaching and research report that they worked 49.1 h/week, on average, when classes are in session and 46 h/week when classes are not in session. Assuming that periods when classes are in session

constitute two thirds of a year, the number of hours per week is an average of 48.1. This indicates that the total number of work hours have remained stable over time. There is no empirical evidence, however, that the relative time used for different work activities has changed significantly during the last decade (Kyvik 2009).

## 13.4 Conditions of Work

The need for continuous time for research has been repeatedly stated as the first priority at universities. This signifies a clear identity for academics as researchers. The White Paper launching the research priorities of the national assembly also includes the case for time, so the central authorities appear to acknowledge researchers' claims that there is a problem. But should we take this at face value? A focus on time-use should not obscure the other factors that facilitate or impede research. There is reason to believe that concern about time-use is also a signal of other underlying issues. As pointed out in the White Paper (p. 106),[2] this includes the need for administrative support, which helps researchers in the research proposal process, for instance. Data from the CAP study indicate that this is the most pressing need. The survey asked for academics' own evaluation of the recruitment of new faculty members, financial resources for research, and teaching, research facilities, and access to support personnel. As Fig. 13.2 shows, there is for the most part satisfaction with libraries and library services, office space, and technical equipment for use in teaching. In general, the lowest degree of satisfaction expressed is about the availability of secretaries, research funds, and research assistants.

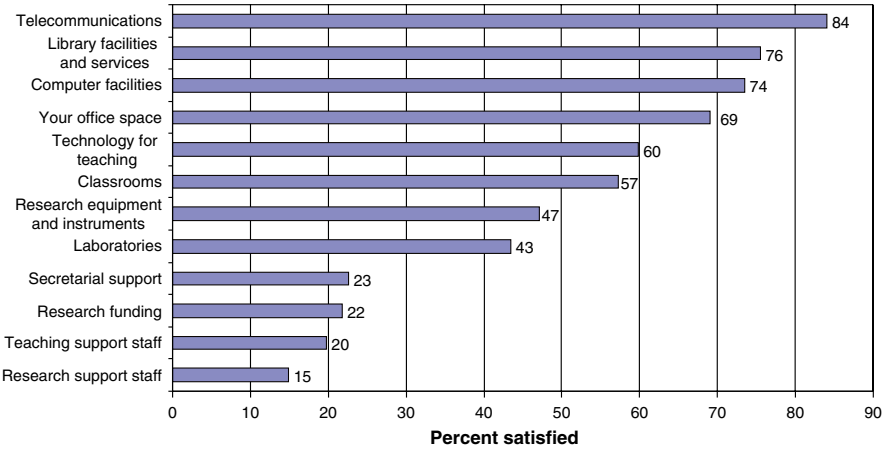


**Fig. 13.2** Satisfaction with institutional facilities, resources, and personnel support

[2]St. meld nr. 30 (2008–2009) Klima for forskning Norwegian Ministry of Education and Research.

A relatively low number of academics are satisfied or very satisfied with the secretarial assistance available. There has been a considerable growth in administrative staff at universities in the last few years. As is shown in a recent study, however, there is a significant decrease in support personnel and an increase in the number of officials (Gunnes et al. 2009). One conclusion may be that traditional secretaries are gradually being replaced by a new type of administrator. These are personnel who are more highly qualified than would be required for typical secretarial work. Considering the technological advances and development in qualifications, the competent, traditional secretaries cannot be expected to return. Academics' need and desire, for secretarial assistance has almost become a taboo subject. It is more legitimate to complain of lack of time than to complain of lack of secretarial support. This is also reflected in the White Paper, which states that institutions must organize teaching in a way that facilitates research activities.

But what are the consequences of the Quality Reform for administration, such as the implementation of new systems for quality assurance, reporting, and documentation? Various new factors are thought to contribute to the worsening of the working conditions for academics in Norway, as in other countries. These include the increase in student numbers and the stronger emphasis on quality, relevance, and, what are termed, "learning outcomes." This places higher demands on academic staff for contact with students and time spent on the teaching role. External financial support has become increasingly important and, subsequently, more time is spent on writing research applications and related activities. A minority of the respondents (22%) are satisfied with access to research funds. The vast majority (80%) think that the pressure to raise external research funds has increased "since their first appointment." Researchers in the social sciences (88%) and humanities (84%) state this most clearly.

## 13.5 Beliefs About Decision-Making

According to the Norwegian CAP survey data, the influence of government and external stakeholders is relatively weak on decisions about: the selection of new faculty, determining budget priorities, setting research priorities, determining the teaching load of faculty, and setting admission standards for undergraduate students. This, I will argue is illustrative of the symbolic importance of external representatives on Norwegian university boards, where their role is to promote society's trust in the universities, first and foremost Fig. 13.3.

University faculty in Norway are not expected to operate as entrepreneurs and raise external funds to the same extent as in other national systems, such as Australia, the UK, and the USA. When asked to give their perceptions of research-related institutional strategies, relatively few respondents (13%) agree that their institution emphasizes the recruitment of faculty who have work experience outside of academia or encourages academics to adopt service and entrepreneurial activities outside of their institutions (14%).

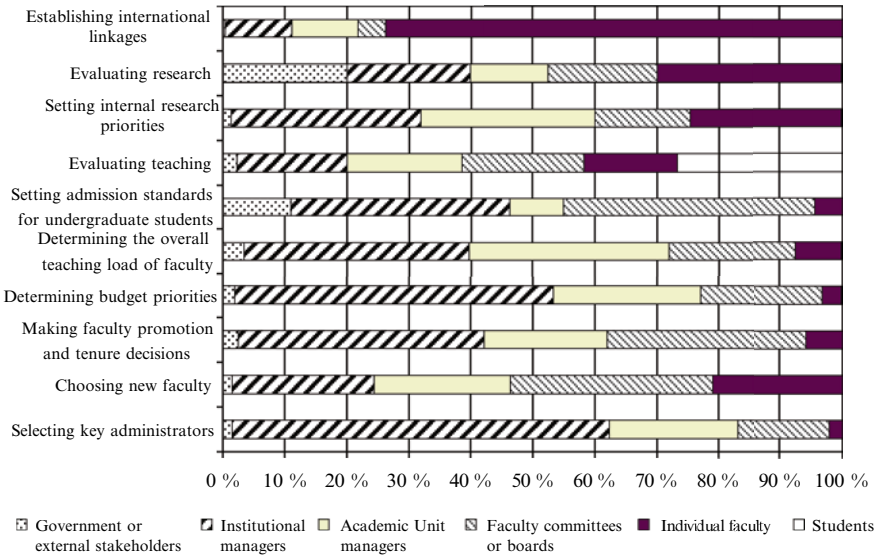


**Fig. 13.3** Respondents' evaluation of the primary influence of different actors on institutional decisions

Of all the decisions included in the survey, the government and external stakeholders are thought to be most influential in the evaluation of research, although individual faculty have greater influence through peer review and as members of academic committees such as appointment committees. It is likely that this reflects a national tradition of a powerful National Research Council allocating research resources through programs directed at targeted areas and governed mainly by stakeholders. Also, as actors at the supranational level, such as the European Commission and the Nordic Council of Ministers, are becoming more influential in the allocation of research resources, individual academics are increasingly reduced to the role of an agent in a principal-agent relationship. Recently, this development has been heavily criticized by the Norwegian Academy of Science and Letters, which claims that the opportunities for individuals (i.e., the autonomy and resources needed) to initiate scholarly investigations in important areas, and conduct their own research in general, has diminished as a consequence.

## 13.6 Who Is Influential?

Since the abolition of the chair system in 1955, Norwegian universities have been governed by academics whether or not they had a tenured position, as well as students and representatives from the administrative and technical staff, who were all represented at all levels, from section to departmental and from faculty to university board level. The system was justified for democratic reasons as well as according to

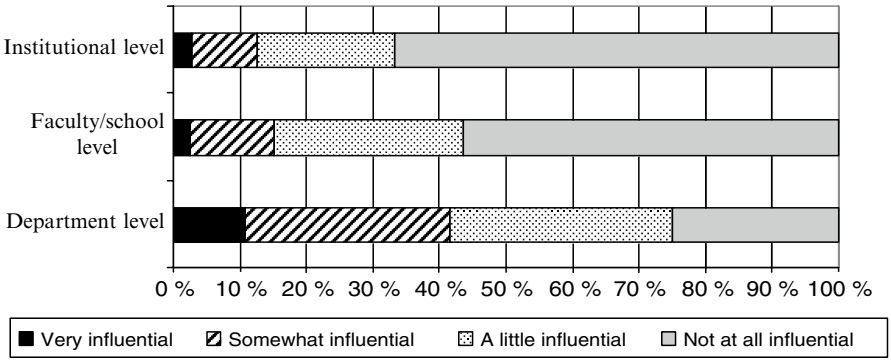


**Fig. 13.4** Respondents' evaluation of the statement "How influential are you, personally, in helping shape key academic policies?"

the principle that decisions should be made for sound academic reasons. Academic staff always comprised the majority, but governance arrangements have also been adapted to fit the notion of a university as a knowledge enterprise. A rationalization of the structure means that boards now have a smaller proportion of academic representatives, external stakeholders are now included, and, in order to make the governing bodies autonomous, the elected academics are no longer dependent upon the lower levels of the organization. The faculty deans are not now automatically represented on the university board, for example (Høstaker and Vabø 2008). Universities in Norway have had a relatively high degree of freedom to choose their management model including, for instance, whether management are appointed or elected. All universities have kept the tradition of staff and students electing candidates to the positions of rector, vice rector, and dean from among the faculty. Heads of departments are, however, no longer elected but appointed, and usually recruited at the national level for the "significant" positions in each discipline. It comes as no surprise that most individual faculty report that they personally feel much less influential in shaping key academic policies at the institutional and faculty level, whilst somewhat more influential at department level Fig. 13.4.

## 13.7 Views on Institutions' Approaches and the Performance of Management

The degree to which institutional management influences the working conditions of individual researchers varies and is complex. A number of factors, resources, and relations are important, including: human resources, physical facilities, scientific and academic networks, standards and other conditions which are only influenced to a minor degree by the formally elected management and their decisions and strategies. Many research environments, especially at universities, are still relatively autonomous

professional communities, allowing single researchers and groups to operate more or less as small businesses. To a great extent, the disciplines are governed by their own standards of academic quality and modes of organizing academic work (Henkel 2000; Lamount 2009). Managerial autonomy in the universities is also limited by the complex legal status they have, being subject to and regulated by, extensive administrative law and international guidelines.

However, in analyzing the conditions for research, there are some changing organizational processes that need to be studied more closely. At modern universities, the management is expected to play an active role in organizing research. The changes in management and administrative forms of universities, colleges, and research institutes in Norway during the last 20 years have been marked by a management style that implies that academic organizations and academic activities can be run in the same way as in other companies in the service sector (Bleiklie 1997; Marheim Larsen 2007). This policy is illustrated today by the fact that both employees and the elected management are bound by strategic management methods and work with administrators that are hired to assist the research communities with applications and financial control. In the public debate following the introduction of NPM in the university sector, increased attention was paid to the role and power of the administrators and management in the sector. The fact that the number of administrators increased steadily during the 1980s and 1990s (Gunnes et al. 2009) was and still is "considered to be a negative development" by many academics. The administrators are criticized for exercising too much power over academics. The growth in student numbers and an increasing number of tasks for universities to fulfill (not least due to the introduction of more performance-based government steering) explain the increasing number of administrators. It is reasonable to argue, however, that the relations between administrators and academics are changing due to the increasing importance of administrators as planners and organizers on behalf of the academic corps and the institution. Furthermore the administrators are becoming increasingly powerful through the process of professionalization, as they are now holders of more educational capital. It has become much more common for administrators to have a master's degree and even a PhD (Bleiklie et al. 2000: 262–267; Vabø 2007: 187).

As in other countries, there are several developments that are assumed to worsen working conditions for researchers in Norway. The increase in student numbers is an important factor at universities, as is the research training with its stronger emphasis on quality and relevance. This places higher demands on academic staff to be available at the institution and to spend more time teaching; while administrative tasks are also said to be more extensive. The general trend is that finding external financial sources is becoming more important and, consequently, that more time is spent developing applications and similar activities to generate income.

The respondents also replied to a related statement concerning the general administrative processes at their own institution. Table 13.1 shows that 56% of the respondents perceive the administrative processes at the institution to be cumbersome. Academics in technology, natural and medical sciences report a cumbersome administrative process more frequently than others.

**Table 13.1** Respondents' evaluation of the statement "at my institution there is a cumbersome administrative process." Percent

| | Fully agree | | | | Fully disagree | Total Number (*N*) |
|---|---|---|---|---|---|---|
| Male | 21.9 | 35.8 | 26.9 | 12.0 | 3.4 | 584 |
| Female | 21.6 | 30.7 | 28.8 | 15.0 | 3.9 | 361 |
| Total | 21.8 | 33.9 | 27.6 | 13.1 | 3.6 | 945 |
| Social sciences | 22.3 | 27.7 | 32.3 | 13.2 | 4.5 | 220 |
| Humanities | 21.4 | 33.6 | 30.7 | 10.0 | 4.3 | 140 |
| Natural sciences | 24.0 | 33.0 | 26.2 | 15.9 | 0.9 | 233 |
| Technology | 26.8 | 39.4 | 23.9 | 8.5 | 1.4 | 71 |
| Medical sciences | 21.3 | 36.8 | 25.9 | 10.9 | 5.2 | 174 |

Question E4_6

**Table 13.2** Respondents' evaluation of the statement "at my institution there is a supportive attitude of administrative staff towards teaching activities." Percent

| | Fully agree | | | | Fully disagree | Total Number (*N*) |
|---|---|---|---|---|---|---|
| Male | 10.1 | 34.2 | 30.2 | 16.4 | 9.2 | 567 |
| Female | 10.7 | 29.3 | 33.9 | 15.9 | 10.1 | 345 |
| Total | 10.3 | 32.3 | 31.6 | 16.2 | 9.5 | 912 |
| Social sciences | 16.4 | 32.0 | 26.0 | 14.6 | 11.0 | 219 |
| Humanities | 9.5 | 38.7 | 34.3 | 10.9 | 6.6 | 137 |
| Natural sciences | 7.8 | 33.8 | 30.6 | 18.3 | 9.6 | 219 |
| Technology | 14.3 | 24.3 | 32.9 | 20.0 | 8.6 | 70 |
| Medical sciences | 7.3 | 26.1 | 35.2 | 18.2 | 13.3 | 165 |

Question E4_7

It is also worth noting the reported increase in administrative tasks. The universities are significant public institutions that are subject to complex administrative and legal requirements. It is therefore not surprising that 56% of the respondents at universities stated that their institution is marked by "cumbersome administrative processes." Respondents were also asked to report on whether the administration contributes in a positive way to their research and teaching activities. About 43% report a supportive attitude of the administration toward teaching activities (see Table 13.2), while 35% report a supportive attitude toward research (see Table 13.3). Support for teaching varies considerably across academic fields, with the strongest support found in the humanities and social sciences. The response pattern for administrative support for research activities is somewhat more consistent across academic fields than that for teaching. However, academics in technology are least likely to report that the administration is supportive of their research activities. Interestingly, academics in the social sciences appear the most divided in their views on administrative support (or lack thereof) for teaching and research, with the lowest proportion of neutral responses.

**Table 13.3** Respondents' evaluation of the statement "at my institution there is a supportive attitude of administrative staff towards research activities." Percent

| | Fully agree | | | | Fully disagree | Total Number (*N*) |
|---|---|---|---|---|---|---|
| Male | 7.6 | 27.2 | 33.7 | 18.9 | 12.6 | 581 |
| Female | 11.0 | 25.0 | 32.0 | 17.7 | 14.3 | 356 |
| Total | 8.9 | 26.4 | 33.1 | 18.5 | 13.2 | 937 |
| Social sciences | 8.3 | 24.4 | 29.0 | 19.4 | 18.9 | 217 |
| Humanities | 9.2 | 29.1 | 39.0 | 14.2 | 8.5 | 141 |
| Natural sciences | 9.4 | 28.6 | 32.9 | 18.4 | 10.7 | 234 |
| Technology | 8.5 | 18.3 | 36.6 | 22.5 | 14.1 | 71 |
| Medical sciences | 8.2 | 26.9 | 30.4 | 18.7 | 15.8 | 171 |

Question E4_8

**Table 13.4** Respondents' evaluation of the statement "top-level administrators are providing competent leadership." Percent

| | Fully agree | | | | Fully disagree | Total Number (*N*) |
|---|---|---|---|---|---|---|
| Male | 6.1 | 31.2 | 31.5 | 19.8 | 11.4 | 590 |
| Female | 9.5 | 27.7 | 33.9 | 18.5 | 10.4 | 357 |
| Total | 7.4 | 29.9 | 32.4 | 19.3 | 11.0 | 947 |
| Social sciences | 6.8 | 26.4 | 27.3 | 21.4 | 18.2 | 220 |
| Humanities | 6.3 | 31.7 | 33.8 | 19.7 | 8.5 | 142 |
| Natural sciences | 6.0 | 31.8 | 34.8 | 19.3 | 8.2 | 233 |
| Technology | 5.6 | 22.5 | 31.0 | 29.6 | 11.3 | 71 |
| Medical sciences | 7.0 | 29.1 | 40.1 | 15.1 | 8.7 | 172 |

Question E5_1

The survey contains one question designed to show whether top level administrators are perceived to be providing competent leadership. As shown in Table 13.4, 37% of the respondents agree. Academics in technology are least likely to agree and social scientists are the most divided field on this question.

Furthermore, respondents were asked how much information they received about the institution and how well the communication between the management and the academic staff was functioning. About 40% of the respondents state that they are well informed about events in the institution, while 30% state the opposite. The respondents in the natural sciences seem to feel better informed than researchers within other fields Table 13.5.

When asked whether there is good communication between management and academics, 35% of the respondents agree, while 33% disagree. Table 13.6 shows that more men report satisfaction with management communication than women (38% versus 30%), but dissatisfaction was almost identical (33% versus 34%). This may point in the direction of women having less access to the management's informal network as a resource because they are under-represented in academic

**Table 13.5** Respondents' evaluation of the statement "I am kept informed about what is going on at this institution." Percent

| | Fully agree | | | | Fully disagree | Total Number (*N*) |
|---|---|---|---|---|---|---|
| Male | 8.4 | 30.5 | 31.4 | 21.2 | 8.4 | 593 |
| Female | 9.6 | 31.1 | 29.0 | 21.3 | 9.0 | 366 |
| Total | 8.9 | 30.8 | 30.4 | 21.3 | 8.7 | 959 |
| Social sciences | 8.2 | 30.9 | 29.5 | 22.3 | 9.1 | 220 |
| Humanities | 9.7 | 27.1 | 27.8 | 25.7 | 9.7 | 144 |
| Natural sciences | 9.3 | 33.3 | 25.7 | 23.2 | 8.4 | 237 |
| Technology | 2.8 | 26.8 | 38.0 | 23.9 | 8.5 | 71 |
| Medical sciences | 7.3 | 27.1 | 35.6 | 20.3 | 9.6 | 177 |

Question e5_2

**Table 13.6** Respondents' evaluation of the statement "at my institution there is good communication between management and academics." Percent

| | Fully agree | | | | Fully disagree | Total Number (*N*) |
|---|---|---|---|---|---|---|
| Male | 8.6 | 28.9 | 29.5 | 19.9 | 13.2 | 584 |
| Female | 9.6 | 20.3 | 36.0 | 19.5 | 14.6 | 364 |
| Total | 9.0 | 25.6 | 32.0 | 19.7 | 13.7 | 948 |
| Social sciences | 11.4 | 25.5 | 26.8 | 20.5 | 15.9 | 220 |
| Humanities | 5.0 | 29.1 | 30.5 | 23.4 | 12.1 | 141 |
| Natural sciences | 8.9 | 26.2 | 31.2 | 19.0 | 14.8 | 237 |
| Technology | 8.6 | 18.6 | 31.4 | 24.3 | 17.1 | 70 |
| Medical sciences | 8.6 | 21.8 | 35.1 | 21.3 | 13.2 | 174 |

Question e4_2

leadership positions in the university sector, which, furthermore, is a general trend in international contexts (Ozkanli et al. 2009). Differences across fields are rather small, with satisfaction lowest in technology (27%) and medical sciences (30%).

Essential factors that are often associated with communication between management and staff include whether staff are consulted and participate in the development of the organization. A top-down management style implies that management makes decisions without consulting with staff or, if they do, irrespective of their views. Table 13.7 shows that just over a quarter of academics (27%) agree that there is a top-down management style at their institution, with only minor differences between men and women. The response pattern for the various academic fields indicates that academics in technology, and to a lesser extent the humanities, tend to feel less included by management than in other fields.

We also find interesting differences between academic fields on the question of democratic decision-making, but only minor differences between female and male respondents. Table 13.8 shows that 33% of academics within the social sciences agree that the decision-making process at their institution includes "a collegial

**Table 13.7** Respondents' evaluation of the statement "at my institution there is a top-down management style." Percent

| | Fully agree | | | | Fully disagree | Total Number (*N*) |
|---|---|---|---|---|---|---|
| Male | 10.4 | 15.7 | 24.0 | 24.2 | 25.6 | 578 |
| Female | 8.7 | 19.3 | 24.6 | 24.1 | 23.2 | 357 |
| Total | 9.7 | 17.1 | 24.3 | 24.2 | 24.7 | 935 |
| Social sciences | 10.6 | 16.7 | 21.3 | 22.7 | 28.7 | 216 |
| Humanities | 9.2 | 19.0 | 29.6 | 18.3 | 23.9 | 142 |
| Natural sciences | 9.9 | 16.7 | 26.2 | 25.3 | 21.9 | 233 |
| Technology | 14.5 | 18.8 | 23.2 | 29.0 | 14.5 | 69 |
| Medical sciences | 10.0 | 15.3 | 24.7 | 25.3 | 24.7 | 170 |

Question e4_3

**Table 13.8** Respondents' evaluation of the statement "at my institution there is a collegiate spirit/professional loyalty in decision-making processes." Percent

| | Fully agree | | | | Fully disagree | Total Number (*N*) |
|---|---|---|---|---|---|---|
| Male | 6.1 | 21.0 | 33.4 | 26.0 | 13.5 | 577 |
| Female | 6.1 | 17.3 | 36.9 | 23.5 | 16.2 | 358 |
| Total | 6.1 | 19.6 | 34.8 | 25.0 | 14.5 | 935 |
| Social sciences | 8.7 | 24.2 | 24.7 | 24.7 | 17.8 | 219 |
| Humanities | 2.9 | 13.8 | 32.6 | 32.6 | 18.1 | 138 |
| Natural sciences | 4.7 | 19.4 | 37.5 | 24.6 | 13.8 | 232 |
| Technology | 4.3 | 17.1 | 34.3 | 31.4 | 12.9 | 70 |
| Medical sciences | 4.7 | 18.1 | 46.8 | 17.5 | 12.9 | 171 |

Question e4_4

spirit/professional loyalty," whereas the corresponding number of academics within the humanities is 17%. Academics within the humanities are also most likely to report dissatisfaction, with 51% disagreeing with the statement compared to 30% of medical scientists. This lack of collegial spirit and professional loyalty may reflect that the disciplines in the humanities are thematically, theoretically, and methodologically far more fragmented than other scientific communities, as well as being characterized by individual rather than collective modes for organizing academic work (Becher 1989).

It is possible to interpret these response patterns in light of the skepticism toward new management forms that has been prevalent in academic communities. The respondents' opinions of matters such as communication and information could be a consequence of the democratic deficit that may have arisen from rationalizing the management structure and a weaker connection between management and staff. This may be an indication that the abolition of egalitarian, democratically-elected leadership of academic communities and the transition to professional management and, likewise, the rationalization of the management structure at universities, have

not been sufficiently replaced by functions that are important to ensure an adequate information flow. The evaluation report of the Quality Reform concludes, among other things, that the exchange of information between academic staff and management in informal networks will normally compensate for some of the claimed void (Bleiklie et al. 2007). Universities are large and complex administrative organizations that have various goals – often conflicting, such as the facilitation of an effective production of PhD candidates and the enhancement of autonomous research in the academic disciplines (Clark 1983). The relationship between institutional leadership and parts of the academic fields will thus always be marked by a certain tension. Intersecting this relationship are internal conflicts among different groups that are fighting for the same, scarce resources for research and other academic activities, and which strive to achieve a position to control and define the criteria that should apply to access to such resources (Bourdieu 1988). Thus, bearing in mind the significant differences between various fields, it is therefore no surprise that relatively few respondents from the university sector agree that the decision processes at their work place are democratic and can be characterized by professional loyalty and a collegial spirit.

## 13.8 Overall Outcomes: Working Conditions

The need to recruit academics for research has been debated extensively in Norway over the past few years. What lies behind this debate is a general assumption of the need to replace researchers due to retirements and the expected growth in the research sector due to increased public and private demand. The "recruitment crisis" is often explained by reference to the limited attractiveness of a career in research with regard to salary and working conditions compared to other professional fields with alternative and more attractive career paths. In particular, young researchers in the university sector are facing uncertain working conditions and a long initial phase of PhD scholarship, post-doctoral study, and temporary employment, which is very often extended before a permanent academic position is achieved. Furthermore, the appointment structure does not hold any guarantee of permanent employment (after post-doctorate study), even if the researcher recruited meets all formal requirements. The current situation is further reinforced by the practice in some university faculties of using temporary employees to a greater extent after the implementation of the Quality Reform. There is a relatively high number of foreign PhD and post-doctoral scholars in Norway, but most of them return abroad after finishing the PhD (Olsen 2007). An explanation often heard is that the Norwegian research communities are not attractive, with a few exceptions, and that the research system is characterized by cumbersome processes for applying for work permits and visas. So, what do respondents think of their present position?

Table 13.9 shows that a large majority (69%) of the respondents are generally satisfied with their present position. Only 9% state they are dissatisfied. There are no noticeable differences between women and men in their reporting of job satisfaction

**Table 13.9** Respondents' evaluation of the question "How would you rate your overall satisfaction with your current job?" Percent

| | Very satisfied | | | | Very dissatisfied | Total Number (*N*) |
|---|---|---|---|---|---|---|
| Male | 18.7 | 51.6 | 21.5 | 6.9 | 1.3 | 609 |
| Female | 17.1 | 49.2 | 24.3 | 6.7 | 2.7 | 374 |
| Total | 18.1 | 50.7 | 22.6 | 6.8 | 1.8 | 983 |
| Social sciences | 20.3 | 46.8 | 21.6 | 8.7 | 2.6 | 231 |
| Humanities | 18.4 | 53.7 | 21.8 | 5.4 | 0.7 | 147 |
| Natural sciences | 15.7 | 53.4 | 23.3 | 6.0 | 1.6 | 249 |
| Technology | 13.2 | 56.6 | 22.4 | 7.9 | 0.0 | 76 |
| Medical sciences | 20.7 | 49.2 | 24.6 | 3.4 | 2.2 | 179 |

Question B6

**Table 13.10** Respondents' evaluation of the statement "Since you started your career, have the overall working conditions in higher education improved or declined?" Percent

| | Much better | | | | Much worse | Total Number (*N*) |
|---|---|---|---|---|---|---|
| Male | 3.2 | 14.3 | 35.1 | 37.4 | 10.1 | 596 |
| Female | 1.4 | 8.9 | 46.9 | 30.2 | 12.6 | 358 |
| Total | 2.5 | 12.3 | 39.5 | 34.7 | 11.0 | 954 |
| Social sciences | 2.2 | 14.1 | 33.9 | 37.0 | 12.8 | 227 |
| Humanities | 0.7 | 14.1 | 33.1 | 38.0 | 14.1 | 142 |
| Natural sciences | 2.0 | 11.5 | 43.9 | 34.4 | 8.2 | 244 |
| Technology | 1.4 | 13.7 | 31.5 | 42.5 | 11.0 | 73 |
| Medical sciences | 4.1 | 9.4 | 49.7 | 27.5 | 9.4 | 171 |

Question B7_1

or dissatisfaction. About 11% of social scientists report dissatisfaction with their current job – more than academics in other fields – but, overall, it appears that academics are generally satisfied with their jobs, regardless of academic field.

While the majority of the respondents are, in general, satisfied with their present position, only a minority (about 15%) agree that working conditions have improved since they started their career. Table 13.10 shows that 46% of the respondents think that the working conditions in the university sector are worse today. The respondents in technology and the humanities emphasize this most clearly (53% and 52%, respectively), whereas the respondents in technological and medical disciplines expresses this concern least strongly (37%).

The findings of the CAP survey, to a certain degree, corroborate some of the conclusions of the Academy of Science's report. A large majority overall, and particularly in the humanities and social sciences, state that they agree that the demands for external financing have increased since they were first employed. The majority (52%) of academics are dissatisfied with available research funds in general, and academics in the humanities and medical disciplines are the least satisfied groups.

A large majority also think that the requirement to seek external financial support has increased since they were first employed. Another factor brought to light is that the majority of the respondents are not satisfied with the present availability of secretarial assistance, teaching assistants, and research assistants. Female academics are less satisfied with access to secretarial assistance, teaching assistants, and research assistants than male researchers. However, while a small minority state that the working conditions have improved since they were first employed, the majority of academics state that they are satisfied with their present position.

## 13.9 Current Issues Facing the Norwegian Higher Education System

The governance model for the academic profession in Norway seems to have changed in favor of strategic management (Bleiklie et al 2006). The universities now have the apparatus and capacity needed to carry through a management-based mode of steering; the governance structure is rationalized and the management team larger. To what extent this strategic capacity will actually be utilized remains to be seen. Norwegian universities and its academics are still basically funded, regulated, and protected by the state. The national economy and public sector is in good order. As a small national system at the periphery of Europe, we typically observe an eagerness to adjust to the ideological movements of the OECD and EU higher education policy area. Left wing academics from the humanities and social sciences argue that these developments are characterized by new forms of state control, the increased power and influence of top management is at the expense of the democratic collegial tradition, and external influences from actors such as the European Commission are becoming more important. A new regime is under development in which evaluative practices are serving the interests of the economic and political elite. This changes the original strategic foundation for research autonomy, namely the idea of the Humboldtian university, as well as moving away from its democratic mandate, such as responsibility for the education of the masses (*Source*: Vardøger Volume 32, 2010. www.vardoger.no). But these opinions should not be confused with empirical reality.

The CAP dataset has offered a unique opportunity to offer a more comprehensive picture of the views of academic staff with regard to governance and management. As in most of the participating countries, in Norway we find evidence of tension between management and the academy, but not to the same extent as in other national systems, such as Australia and the UK. In these systems, strategic management has had more far reaching consequences for the allocation of power and resources, for instance, by the use of the UK Research Assessment Exercise, increasing stratification within the academic profession, the expectation of engagement in private/public partnerships, not least due to the state of the national economies (Brennan et al 2007; Harman & Meek 2007). Nevertheless, and maybe most important of all, the ideology seems to be established; the language of strategic management is now

the dominant discourse in the dialogue on governance taking place. The development of institutional autonomy, increasing competition for students and research funding as well as expectations of closer collaboration between universities and industry are important aspects of the various processes contributing to the idea that universities are benefiting the most from being governed through so-called strategic management. Even in the long term, institutional plans at the oldest and most prestigious University of Oslo are for "more and improved leadership," which seems to have become the new slogan. The training of appointed and elected academics in management skills, such as in the "school for deans," has been under development for the last few years. Younger generations of academics are said to be expecting a more pro-active leadership and professional human resource management. Against this backdrop, we can expect great changes in the nature of academic work as well as in what it means to be an academic in the years to come.

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# Chapter 14
# Japan: Effects of Changing Governance and Management on the Academic Profession

**Akira Arimoto**

In the 15 years from 1992 to 2007, academia has seemingly changed from a *knowledge community* to a *knowledge enterprise*, from an *academic guild* to an *academic bureaucracy*, and as a result the academic profession is now facing many value conflicts as it seeks to construct a vision for itself as well as a vision for academia. Many recent studies of the academic profession have underlined these problems (Kogan and Teichler 2007; Locke and Teichler 2007).

This kind of change has occurred more or less throughout the world and hence what the Japanese academic profession is experiencing is not exceptional. Japanese academics reported only a few negative effects associated with academic bureaucratization in the Carnegie survey conducted 15 years before the current study in 1992, but in the CAP survey in 2007 they report as many problems as do their counterparts in the various academic systems of Western Europe and North America (Altbach 1996; Arimoto and Ehara 1996; Arimoto 2008b; Fujimura 2008).[1]

The mounting problems can first be traced to the changes brought about by the division between the academic enterprise and the academic profession. Also, there is an increasing differentiation between a research-orientation and a teaching-orientation resulting in the fragmentation of academic work. In particular, government policies that have emphasized teaching more than research during these 15 years fostered a rejection of the traditional ideal of the integration of research, teaching, and learning, leading to a struggle to preserve this nexus (Arimoto 2005a; Cf. Boyer 1990; Nicolls 2005). This has necessarily caused a lot of damage to efforts to preserve the quality of academic productivity. In this context, it is important for us to gain a better understanding of what the academic profession thinks about the integration of research and teaching in order to enhance research and teaching productivity.

[1]The author of this chapter has discussed these kinds of problems in a series of international conferences (in Hiroshima, 2008, 2009; in Jacksonville 2008, and in Turin 2009) (RIHE 2008, 2009; Arimoto 2008a, b, 2009a, c).

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Second, it is important to stress that changes have also had an impact on governance and management in academia leading to difficulties in maintaining the traditions of academic freedom and autonomy.

With these trends in mind, this chapter covers the following topics: (1) The knowledge function and the academic profession's vision, (2) The CAP Questionnaire and Sampling, (3) General Work Situation and Activities, (4) Governance and Management, and (5) Concluding Remarks.

## 14.1 The Knowledge Function and the Academic Profession's Vision

The function of knowledge in modern society is at the core of the process of forming and regulating the academic profession. Hence the knowledge function is substantially concerned with the fostering of creative academic work and academic productivity, or what is sometimes referred to as scientific productivity (Merton and Storer 1973; Shinbori 1973; Arimoto 1987, 2005a, c, 2006, 2007). Academic productivity primarily consists of research and teaching productivity.

The knowledge function includes the processes of discovery, dissemination, application, and control, or alternately the responsibilities related to research, teaching, service, and administration and management. Among these, research and teaching occupy significant positions as the two principal responsibilities in universities and colleges (Clark 1983; Arimoto 1996). Creative activities in the realms of research and teaching are considered to be valuable behavior, because they push forward the frontiers of knowledge.

As Fig. 14.1 shows, in the process of scientific socialization, academics specializing in particular academic disciplines face, and come to accept, the social control of the scientific ethos and norms associated with their disciplines (Arimoto 2009b). As will be discussed later in this chapter, academics are deeply involved in their academic discipline and so they regard this as their most important affiliation (more important than to their department or institution). Through this kind of conformity to discipline, they gradually form their own social identities in the environments intrinsic to the discipline (Bleiklie and Henkel 2005). The disciplinary ethos influences many aspects of their work, such as the selection of research themes; the acquisition of research technology; the identity of their doctoral supervisor; various kinds of material resources including scholarships and support; human resources, including the researchers inside and outside of academia; and research environments, including the culture, climate, and research style of their field (Parry 2007, pp.39–52).

As Becher and Parry pointed out, there are the cognitive and social sides of the academic discipline (Becher and Parry 2007; Becher and Trowler 2001, pp. 9–144), both of which are inevitable for academic productivity. In the case of the former, every discipline has its own unique methodology and scientific frontier. In the latter case, every discipline has its own research group, culture, and climate, and in this context, the activities that influence academic productivity are both manifest and latent.

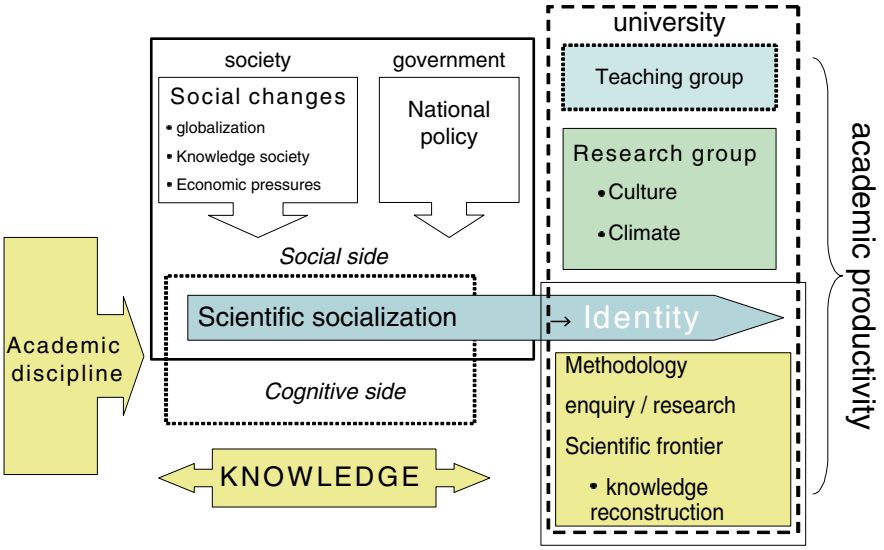



**Fig. 14.1** Knowledge functions

Academia's management function, which derives from the knowledge control of the discipline as previously described, plays an important role in shaping the academic profession's vision of academic productivity. Considering this, the emerging managerial university, whose values are not rooted in the culture of academic disciplines, is not necessarily playing an adequate role for the development of academic work and the enhancement of academics' productivity.

## 14.2 Methods

The questionnaire for the 2007 CAP survey consisted of sections on: (A) Career and Professional Situation; (B) General Work Situation and Activities; (C) Teaching; (D) Research; (E) Management; (F) Personal Background and Professional Preparation.

This chapter will focus on the survey results related to academics' responses to part (B) the general work situation and activities, and also part (E) management. These two parts have essential connections with the enhancement of academic productivity and social development.

As Table 14.1 shows, 18 countries (AR, AU, BR, CA, CH, FI, DE, IT, JP, KR, MY, MX, NO, PT, ZA, UK, US and one region: HK) participated in the 2007 survey, of which nine countries (AU, BR, DE, HK, JP, KR, MX, UK, US) also participated in the 1992 Carnegie survey. The table also reports the total sample of 23,132 academics from the participating countries and the percentage of the total sample contributed by each individual country. For example, Japan's share is 6.0%.

**Table 14.1** Eighteen samples in CAP survey

| Legend | Country | Number[a] | % | 1992 | Paper | On-line |
|---|---|---|---|---|---|---|
| AR | Argentina | 825 | 3.3 | O | × | O |
| AU | Australia | 1,022 | 4.4 | O | × | O |
| BR | Brazil | 1,197 | 5.2 | O | × | O |
| CA | Canada | 980 | 4.2 | | × | O |
| CH | China | 3,507 | 15.2 | | O | × |
| FI | Finland | 1,417 | 6.1 | | O | O |
| DE | Germany | 1,317 | 5.7 | O | O | O |
| HK | Hong Kong | 797 | 3.4 | O | O | × |
| IT | Italy | 1690 | 7.3 | | O | × |
| JP | Japan | 1,391 | 6.0 | O | O | × |
| KR | South Korea | 900 | 3.9 | O | × | O |
| MY | Malaysia | 1,202 | 5.2 | | O | × |
| MX | Mexico | 1,815 | 7.8 | O | O | O |
| NO | Norway | 989 | 4.3 | | O | O |
| PT | Portugal | 874 | 3.8 | | × | O |
| ZA | South Africa | 716 | 3.1 | | O | |
| UK | United Kingdom | 1,356 | 5.9 | O | × | O |
| US | United States of America | 1,135 | 4.9 | O | O | O |
| | Total | 23,132 | 100 | | | |

[a]Number is based on the table 100 in the tables by countries (0) (Source: INCHER-Kassel, 2009)

Some countries such as China, Hong Kong, Italy, Japan, Malaysia, and South Africa used a paper questionnaire; some countries such as Argentina, Australia, Brazil, Canada, South Korea, Portugal, and the United Kingdom used an on-line questionnaire, and other countries such as Finland, Germany, Mexico, Norway, and the United States of America used both paper and on-line methods. The rate of return in several countries is too ambiguous to include in the table and so is omitted here.

## 14.3 General Work Situation and Activities

### *14.3.1 Time Allocation*

In Japan, the average hours per week spent on all academic activities is 51.0 h which is among the highest reported along with countries such as South Korea (53.2), Canada (50.6), and Hong Kong (49.6), while the average is relatively small in the group of countries with the lowest proportions, such as Norway (35.3), Malaysia (36.5), Argentina (38.1), and Brazil (38.8) (Table 14.2).

Japan's academic staff spend 10.2 h per a day if we divide 51.0 (h) by 5 (days), while their counterparts in Norway spend only 7.1 h. In other words, the latter spends only 70% of the former.

It is interesting to note that the hours per week in Japan spent on teaching increased slightly from 19.8 h in 1992 to 20.4 h in 2007 while those spent on research

**Table 14.2** Time budget when classes are in session (arithmetic mean of hours per week)

| | AR | AU | BR | CA | CH | FI | DE | HK | IT | JP | KR | MY | MX | NO | PT | ZA | UK | US | Average |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Teaching | 13.9 | 17.6 | 19.8 | 20 | 19.7 | 17.2 | 13.9 | 19.8 | 18.8 | 20.4 | 21.1 | 17.7 | 22 | 12.7 | 20 | 20.7 | 18.3 | 21.2 | **18.6** |
| Research | 15.9 | 13.9 | 9.3 | 15.9 | 13.6 | 16 | 15.6 | 14.9 | 17.4 | 16.6 | 18.1 | 7.3 | 8 | 13.8 | 12.7 | 8.8 | 12.1 | 12.4 | **13.5** |
| Service | 2.4 | 2.9 | 2.5 | 3.8 | 1.9 | 2.2 | 5.7 | 3.7 | 2.5 | 3.9 | 4.7 | 2.6 | 1.7 | 1.6 | 1.4 | 2.7 | 1.6 | 4.6 | **2.9** |
| Administration | 3.7 | 8.8 | 4.6 | 8.1 | 5.1 | 4.8 | 4.5 | 7.9 | 4.3 | 7.2 | 6 | 6.5 | 8.6 | 4.9 | 4.8 | 7 | 9.6 | 7.7 | **6.3** |
| Other academic activities | 2.3 | 2.9 | 2.5 | 2.8 | 1.6 | 2.3 | 3.1 | 3.3 | 2.4 | 2.8 | 3.3 | 2.4 | 4.1 | 2.3 | 2.2 | 2.7 | 3.2 | 2.8 | **2.7** |
| Total hours per week | 38.1 | 46.2 | 38.8 | 50.6 | 41.9 | 42.5 | 42.9 | 49.6 | 45.4 | 51 | 53.2 | 36.5 | 44.4 | 35.3 | 41.1 | 41.9 | 44.8 | 48.7 | **44** |

Question B1: Considering all your professional work, how many hours do you spend in a typical week on each of the following activities? (hours per week)
(A) Teaching: Preparation of instructional materials and lesson plans, classroom instruction, advising students, reading and evaluating student work

**Table 14.3** Hours per week spent on administration (Japan)

| | | In session | | Not in session | |
|---|---|---|---|---|---|
| National·research univ. | 1992 | 7.33 | n.s. | 5.46 | n.s. |
| | 2007 | 7.99 | | 7.02 | |
| National·non-research univ. | 1992 | 5.79 | *** | 3.87 | *** |
| | 2007 | 8.12 | | 6.77 | |
| Private·research univ. | 1992 | 6.87 | n.s. | 4.26 | n.s. |
| | 2007 | 6.16 | | 4.08 | |
| Private·non-research univ. | 1992 | 5.19 | *** | 3.45 | n.s. |
| | 2007 | 7.24 | | 4.50 | |

*p<0.05; **p<0.01; ***p<0.001

decreased from 21.6 h to16.6 h during the same period. Administration increased from 5.9 h to 7.2 h. Considering their strong inclination toward research and their distaste for administration, Japanese academic staff are likely to feel dissatisfied with these trends. These changes are part of the explanation for the high level of job stress expressed by Japanese academics to be described below.

In particular, the academics at non-research universities are faced with increasing administration loads (Table 14.3). The reason for this is probably due to the increasing differentiation between research and non-research universities, because the former concentrate their activities on research in response to the national policies to strengthen research universities. In fact, the national sector – especially the national research universities – has obtained various national budgets, including the twenty-first century Center of Excellence (COE) program and the Global COE program (Arimoto 2009b). The national government has historically given an advantageous status to the national sector, and especially to the former imperial universities, from the prewar time to the postwar time (Amano 1986).

The national sector has responded well to the national elitist orientation of higher education policy, while the private sector has reacted to the policy of massification. Elitism is closely connected with the research university which consists of 5% of all institutions, while mass higher education is associated with the non-research university consisting of 95% of all institutions (cf., Amano 1984).

### *14.3.2 Preferences for Teaching and Research*

For the countries in the 2007 CAP survey, the average response rate for the items on professional interests is as follows: *Primarily in teaching* (10%); *In both, but leaning toward teaching* (30%); *In both, but leaning toward research* (46%); *Primarily in research* (14%) (see Tables 14.4 and 14.5). In the 1992 survey, it was as follows: *Primarily in teaching* (13%); *In both, but leaning toward teaching* (36%); *In both, but leaning toward research* (42%); *Primarily in research* (6%). If we compare the relative strength of the teaching orientation (first and second items) and research orientation (third and fourth items) for the 2 years, the result is

**Table 14.4** Preference in teaching/research 2007 (%)

| | AR | AU | BR | CA | CH | FI | DE | HK | IT | JP | KR | MY | MX | NO | PT | ZA | UK | US | Average |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Primarily in teaching | 7 | 7 | 8 | 6 | 11 | 14 | 12 | 9 | 2 | 5 | 3 | 8 | 21 | 2 | 8 | 18 | 11 | 22 | 10 |
| In both, but leaning toward teaching | 36 | 23 | 42 | 26 | 42 | 21 | 21 | 28 | 21 | 23 | 29 | 44 | 40 | 15 | 39 | 35 | 22 | 34 | 30 |
| In both, but leaning toward research | 50 | 40 | 42 | 54 | 42 | 38 | 43 | 52 | 65 | 57 | 61 | 43 | 34 | 54 | 44 | 37 | 44 | 34 | 46 |
| Primarily in research | 7 | 29 | 7 | 14 | 5 | 27 | 24 | 11 | 12 | 14 | 7 | 4 | 5 | 29 | 9 | 9 | 23 | 10 | 14 |

**Table 14.5** Preference in teaching/research 1992 (%)

| | BR | HK | JP | KR | MX | UK | US | Average |
|---|---|---|---|---|---|---|---|---|
| Primarily in teaching | 20 | 11 | 4 | 5 | 14 | 12 | 27 | 13 |
| In both, but leaning toward teaching | 42 | 35 | 24 | 40 | 45 | 32 | 37 | 36 |
| In both, but leaning toward research | 36 | 46 | 55 | 50 | 37 | 40 | 30 | 42 |
| Primarily in research | 3 | 8 | 17 | 6 | 4 | 15 | 7 | 9 |

**Table 14.6** Preference in teaching/research 2007 (%)

| 2007 | | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | AR | AU | BR | CA | CH | FI | DE | HK | IT | JP | KR | MY | MX | NO | PT | ZA | UK | US | Average |
| Teaching | 43 | 30 | 50 | 32 | 53 | 35 | 33 | 37 | 23 | 28 | 32 | 52 | 61 | 17 | 47 | 53 | 33 | 56 | 40 |
| Research | 57 | 69 | 49 | 68 | 47 | 65 | 67 | 63 | 77 | 71 | 68 | 47 | 39 | 83 | 53 | 46 | 67 | 44 | 60 |

**Table 14.7** Preference in teaching/research 1992 (%)

| 1992 | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | BR | HK | JP | KR | MX | UK | US | Average |
| Teaching | 62 | 46 | 28 | 45 | 59 | 44 | 63 | 50 |
| Research | 39 | 54 | 72 | 56 | 41 | 55 | 37 | 51 |

as follows: in 2007, 40% expressed at least an inclination toward teaching and 60% an inclination toward research; in 1992, the former was 50% and the latter was 51% (see Tables 14.4 and 14.5). Clearly, internationally, the orientation toward teaching has decreased and the research orientation increased during these 15 years. Thus we find an international trend toward an increased inclination to research even though some mature higher education systems are undergoing a shift from the mass to the universal stage of development (Trow 1974).

In the same question included in the 1992 survey, Japanese academics showed the second highest orientation to research (71%) next to their counterparts in the Netherlands (Tables 14.6 and 14.7). Given the data available from this survey, we were able to identify three types and groups of countries in terms of their orientation to teaching and research: the German type exhibited a research orientation, the Latin America type a teaching orientation, and the Anglo-Saxon type a balance between the research and teaching orientation. In other words, the German type including the Netherlands, Japan, Sweden, and Korea; the Anglo-Saxon type including the USA, the UK, Australia, and Hong Kong; and the Latin America type including Argentina, Chile, and Brazil (Arimoto and Ehara 1996).

In this international context, many of those countries included in the 1992 survey had moved more or less toward a research orientation by 2007: South Korea, the UK, Hong Kong, Brazil, the USA, and Mexico. However, Japan remained almost the same.

Looking more closely at the Japanese situation, it can be said that Japanese academics still keep a strong orientation toward research, despite a clear national policy of Faculty Development (FD) focusing on teaching, initiated in 1998 (UC 1998), which was firmly institutionalized by national law in graduate education in 2007 and in undergraduate education in 2008.

However, a shift toward teaching is observable in specific groups of academic staff. In particular, they include the following groups: the academic disciplines of social science, medicine, and dentistry; those academics in their 40s in age compared with any other age; lecturers and associate professors; and national sector and research universities in terms of institutional typology (Arimoto 2008b). It is interesting to note that, during these 15 years when teaching reform or the *teaching revolution* was introduced in Japan, those who did not have a strong orientation to teaching have changed their minds about teaching. However, overall, the majority of Japanese academics still retain their orientation to research, so much so that there is a discrepancy between the orientation of individual academics and the institutions in which they work. This reality suggests the Japanese academy is far from the ideal of the integration of research and teaching which Humboldt proposed for the modern academy (Von Humboldt 1910; Boyer 1990; Ushiogi 2008).

### *14.3.3 Positive Assessment of Work Environment*

Respondents were asked to evaluate the facilities, resources, or personnel they needed to support their work. Japan's average proportion of respondents rating facilities, etc., highly (1 and 2 in a scale from 1: Excellent to 5: Poor) for the first eight items (which included classrooms, technology for teaching, research equipment and instruments, computer facilities, library facilities and services, own office space, and secretariat support) was 18% in 1992 (Table 14.8). This was a small percentage compared to most other countries in the survey, although South Korea was the lowest, with only 12%. The Japanese response increased to 33% in 2007, but is still the second lowest next to Argentina.

During these 15 years, nearly all of the countries more or less improved their ratings. A high proportion – above 60% – was reported in some countries, such as Finland (66%), Hong Kong (65%), Norway (61%), and Germany (58%).

According to these figures, Japanese academics rated the facilities in their institutions lower than the international average. Since 1992, high ratings for the technology of teaching has more than doubled, from 14% to 32%, but even so the increased rating is still lower than other countries. Together with this trend, academics' rating of computer facilities has also increased considerably in Japan from 25% to 37%, although the percentage is the lowest among CAP countries except for Argentina (36%) (see Table 14.8). It is interesting, despite the national policy promoting a teaching revolution, that so little has changed.

Why was it not possible for Japan to take larger steps? Focusing on the research side of facilities, the proportion of respondents who positively evaluate Japan's research equipment and instruments is as low as 30%. While not the lowest among the 18 countries, this still leaves much room for improvement. Research support staff (9%) are rated the lowest among all countries together with teaching support staff (9%). This was probably influenced by a national policy of reducing the number of research assistants and increasing post-doctoral fellows (CCE 2005). The percentage of laboratories (25%) is also rated third lowest, above Argentina and South Korea.

**Table 14.8** Positive assessment of work environment (percent; responses 1 and 2)

| | AR | AU | BR | CA | CH | FI | DE | HK | IT | JP | KR | MY | MX | NO | PT | ZA | UK | US | Average |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Classrooms | 30 | 47 | 57 | 51 | 62 | 71 | 50 | 68 | 38 | 33 | 48 | 44 | 46 | 57 | 52 | 40 | 34 | 54 | **49** |
| Technology for teaching | 31 | 52 | 46 | 61 | 54 | 72 | 54 | 72 | 37 | 32 | 44 | 46 | 42 | 60 | 50 | 39 | 41 | 62 | **50** |
| Laboratories | 23 | 41 | 46 | 31 | 39 | 53 | 60 | 50 | 29 | 25 | 26 | 39 | 36 | 43 | 39 | 36 | 39 | 40 | **39** |
| Research equipment and instruments | 23 | 42 | 36 | 34 | 33 | 52 | 57 | 52 | 31 | 30 | 24 | 26 | 29 | 47 | 33 | 37 | 33 | 37 | **36** |
| Computer facilities | 36 | 62 | 52 | 55 | 46 | 71 | 69 | 75 | 45 | 37 | 50 | 55 | 47 | 74 | 44 | 60 | 45 | 61 | **55** |
| Library facilities and services | 37 | 75 | 51 | 63 | 47 | 75 | 53 | 82 | 54 | 39 | 43 | 50 | 45 | 76 | 49 | 69 | 50 | 58 | **56** |
| Your office space | 28 | 62 | 40 | 62 | 37 | 67 | 65 | 59 | 46 | 35 | 48 | 48 | 43 | 69 | 50 | 57 | 45 | 57 | **51** |
| Secretarial support | 23 | 27 | 47 | 44 | 28 | 53 | 46 | 47 | 35 | 16 | 19 | 24 | 34 | 23 | 31 | 36 | 32 | 41 | **34** |
| Telecommunications (Internet, networks, and telephones) | 38 | 67 | 56 | 71 | 43 | 80 | 83 | 79 | 65 | 53 | 74 | 55 | 47 | 84 | 57 | 70 | 51 | 72 | **64** |
| Teaching support staff | 26 | 28 | 37 | 33 | 39 | 43 | 24 | 36 | 16 | 9 | 14 | 29 | 24 | 20 | 25 | 29 | 37 | 31 | **28** |
| Research support staff | 21 | 26 | 24 | 27 | 30 | 33 | 31 | 29 | 17 | 9 | 11 | 21 | 17 | 15 | 18 | 26 | 30 | 22 | **23** |
| Research funding | 13 | 23 | 18 | 21 | 20 | 20 | 27 | 30 | 8 | 18 | 14 | 26 | 13 | 22 | 16 | 30 | 14 | 18 | **20** |
| Average of first 8 in 2007 | 30 | 54 | 47 | 51 | 45 | 66 | 58 | 65 | 40 | 33 | 40 | 44 | 41 | 61 | 45 | 48 | 41 | 53 | 48 |
| Average of first 8 in 1992 | | | 27 | | | | | 50 | | 18 | 12 | | 35 | | | | 33 | 54 | 33 |

Question B3: At this institution, how would you evaluate each of the following facilities, resources, or personnel you need to support your work? (Scale of answers from 1 = excellent to 5 = poor)

In the1980s, the physical condition of universities, especially the national universities, led to them being described as "Coffins of Knowledge," and these poor conditions have been little improved since (Asonuma 2003). The national government expenditure on higher education was still 0.5% of GDP in 2005 when the average for the OECD's 28 member countries is 1.1%. Japan is the lowest among these countries (OECD 2008, p. 240). The national government should pay much more attention to these conditions from an international perspective. The government speaks of empowering the universities so they can find increased funding on their own. But the prospects for the non-research universities increasing their revenues independently are slim. Instead it is time for the government to increase its expenditure on higher education institutions from 0.5% to 1.0%, equivalent to the advanced countries in the EU and the USA (Arimoto 2005b).

In addition to this, it is notable that the post of research assistant (*joshu*) was promoted to that of assistant professor (*jokyo*) to be included in an academic track leading to full professor (CCE 2005). The decrease in the numbers of assistant posts has surely contributed to the declining perceptions of laboratories and secretariat support.

### *14.3.4 Importance of Affiliation*

When the importance of affiliation in 2007 is averaged across all the CAP countries, affiliation to academic discipline has the highest share among the three types: academic discipline (90%), department (71%), and institution (65%) (see Tables 14.9 and 14.10). Japan's share is slightly higher for discipline (93%) than the international average and lower for department (62%), and institution (63%). Compared to 1992, Japan's discipline affiliation score decreased from 96% to 93%; department from 85% to 62%; and institution from 80% to 63%. In particular, the proportion of respondents expressing a strong affiliation with their department and institution declined. This trend is especially true of those academic staff at national non-research universities and among female academics. The low level of affiliation of females reflects their feelings that they face difficulties in progressing their academic careers owing to the gender problem characteristic of Japan (Arimoto 2008b).

### *14.3.5 Viewing Regarding Scholarship and Career*

Fifteen years ago, Japanese academic staff showed the highest stress in the world, as reflected in their response to the question: *My job is a source of considerable personal strain.* In 2007, the proportion who indicate stress in their job is essentially the same as 15 years ago (Arimoto and Ehara 1996) (Fig. 14.2). This figure (57%) ranks Japan third after South Korea (68%) and the UK (58%). Analysis of the responses shows the following groups are most likely to complain of stress: female faculty; faculty who are spending more time on service and administration; and

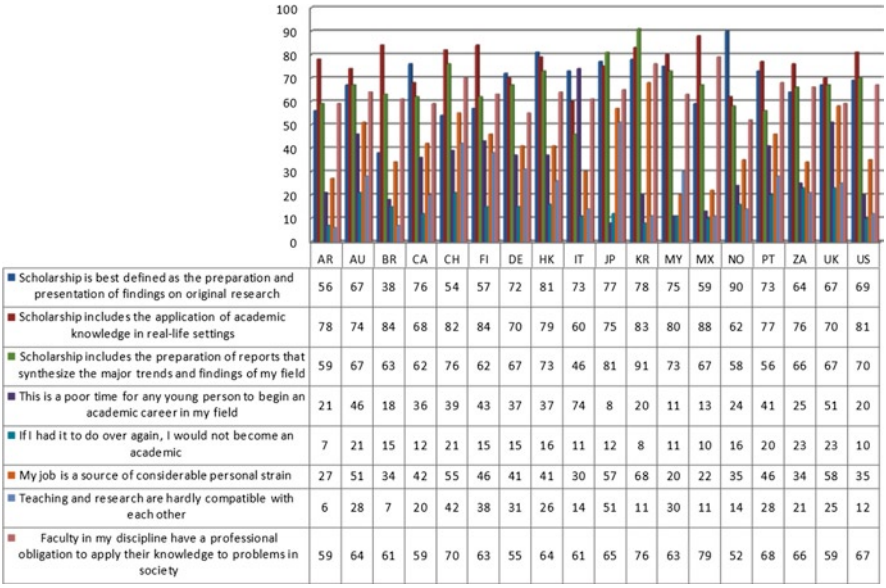
**Table 14.9** Importance of affiliation (percent; response 1 and 2)

| | AR | AU | BR | CA | CH | FI | DE | HK | IT | JP | KR | MY | MX | NO | PT | ZA | UK | US | Average |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| My academic discipline/field | 94 | 89 | 94 | 91 | 80 | 89 | 91 | 90 | 78 | 93 | 89 | 96 | 97 | 96 | 79 | 93 | 82 | 93 | **90** |
| My department (at this institution) | 84 | 67 | 72 | 68 | 73 | 72 | 52 | 72 | 59 | 62 | 89 | 87 | 90 | 69 | 59 | 76 | 56 | 77 | **71** |
| My institution | 87 | 50 | 79 | 59 | 68 | 68 | 47 | 60 | 57 | 63 | 74 | 87 | 93 | 47 | 66 | 60 | 38 | 59 | **65** |
| Average | 88 | 69 | 82 | 73 | 74 | 76 | 63 | 74 | 65 | 733 | 84 | 90 | 93 | 71 | 68 | 76 | 59 | 76 | 75 |

Question B4: Please indicate the degree to which each of the following affiliations is important to you. (Scale of answers from 1 = very important to 5 = not at all important)

**Table 14.10** Importance of affiliation (percent; responses 1 and 2)

| | BR | HK | JP | KR | MX | UK | US | Average |
|---|---|---|---|---|---|---|---|---|
| My academic discipline/field | 99 | 93 | 96 | 99 | 98 | 93 | 96 | 96 |
| My department (at this institution) | 95 | 87 | 85 | 88 | 95 | 66 | 89 | 86 |
| My institution | 96 | 78 | 80 | 97 | 94 | 84 | 90 | 88 |
| Average | 97 | 86 | 87 | 95 | 96 | 81 | 92 | 91 |




| | AR | AU | BR | CA | CH | FI | DE | HK | IT | JP | KR | MY | MX | NO | PT | ZA | UK | US |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Scholarship is best defined as the preparation and presentation of findings on original research | 56 | 67 | 38 | 76 | 54 | 57 | 72 | 81 | 73 | 77 | 78 | 75 | 59 | 90 | 73 | 64 | 67 | 69 |
| Scholarship includes the application of academic knowledge in real-life settings | 78 | 74 | 84 | 68 | 82 | 84 | 70 | 79 | 60 | 75 | 83 | 80 | 88 | 62 | 77 | 76 | 70 | 81 |
| Scholarship includes the preparation of reports that synthesize the major trends and findings of my field | 59 | 67 | 63 | 62 | 76 | 62 | 67 | 73 | 46 | 81 | 91 | 73 | 67 | 58 | 56 | 66 | 67 | 70 |
| This is a poor time for any young person to begin an academic career in my field | 21 | 46 | 18 | 36 | 39 | 43 | 37 | 37 | 74 | 8 | 20 | 11 | 13 | 24 | 41 | 25 | 51 | 20 |
| If I had it to do over again, I would not become an academic | 7 | 21 | 15 | 12 | 21 | 15 | 15 | 16 | 11 | 12 | 8 | 11 | 10 | 16 | 20 | 23 | 23 | 10 |
| My job is a source of considerable personal strain | 27 | 51 | 34 | 42 | 55 | 46 | 41 | 41 | 30 | 57 | 68 | 20 | 22 | 35 | 46 | 34 | 58 | 35 |
| Teaching and research are hardly compatible with each other | 6 | 28 | 7 | 20 | 42 | 38 | 31 | 26 | 14 | 51 | 11 | 30 | 11 | 14 | 28 | 21 | 25 | 12 |
| Faculty in my discipline have a professional obligation to apply their knowledge to problems in society | 59 | 64 | 61 | 59 | 70 | 63 | 55 | 64 | 61 | 65 | 76 | 63 | 79 | 52 | 68 | 66 | 59 | 67 |

**Fig. 14.2** Viewing regarding scholarship and career (percent; responses 1 and 2)

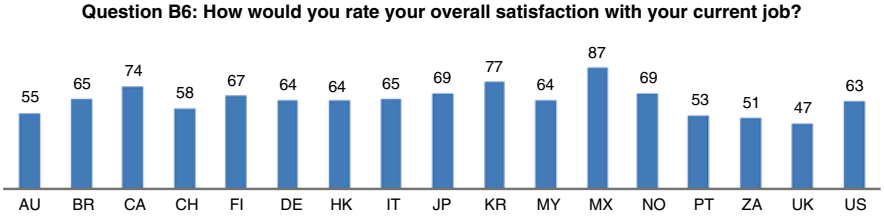



**Fig. 14.3** Job satisfaction [Response 1 and 2] (%)

faculty who complain about low salaries and poor working environments (Arimoto 2008b).

In spite of the poor work environment in Japanese higher education, however, satisfaction with their current job is fairly high among Japanese academic staff as shown in the figure of 69%, which is higher than 12 countries and lower than 5 countries (Fig. 14.3).

Responses to several other related questions also testify to the high satisfaction of Japanese academics with their current job. For example, in response to the question (Fig .14.2), *This is a poor time for any young person to begin an academic career in my field*, only 8% agreed and this was the lowest proportion among all CAP countries. Similarly12% agreed to the question, *If I had it to do over again, I would not become an academic*, which was the second lowest proportion after Argentina (7%), South Korea (8%), Mexico and the USA (10%), and Malaysia (11%). Despite this general level of satisfaction, some faculty members are relatively less satisfied, especially those in the non-research national universities.

### *14.3.6 Job Satisfaction*

In response to the question on overall satisfaction with their current job, the totals by country of those who said they were satisfied or very satisfied are shown in the figure below (Fig. 14.3). According to this figure, satisfaction is highest in Mexico (87%), followed by South Korea (77%), Canada (74%), Norway and Japan (69%), and Finland (67%), etc. Satisfaction is lowest in the UK (48%), followed by South Africa (51%), Portugal (53%), Australia (55%), China (58%), etc. Considering that the average response rate in all countries is 65%, Japan belongs to the group of countries expressing average levels of high satisfaction with their current job.

Taking a subset of four advanced countries that also participated in the 1992 survey, interestingly, satisfaction with academic work has increased in all countries including Japan (Germany: from 2.95 to 2.39; Japan: 2.56, 2.36; UK: 2.70, 2.66; US: 2.46, 2.31) (see Table 14.11). This suggests that the work of the academic profession is still attractive, while academia is losing its attractiveness.

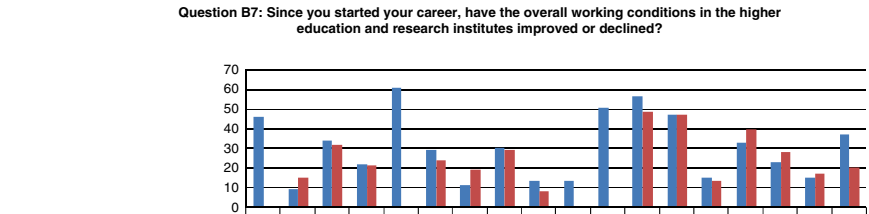
### *14.3.7 Changes in Conditions of Work*

The average response rate for the 17 countries to the question, “Since you started your career, have the overall working conditions in higher education and research institutes improved or declined?” is 30%. In comparison to other countries, Japan (13%) is far below the average and close to Australia (9%), Germany (11%), Italy (13%), Norway and the UK (15%), which have the lowest proportions reporting improvements in working conditions in higher education (Fig. 14.4). By contrast, some countries show a high response, including: China (61%), Malaysia (57%), South Korea (51%), Mexico (47%), and Argentina (46%), etc. As to why there are these great differences – as far as Japan is concerned – it is fair to say that working conditions have not improved as expected during the past 15 years and may even have declined – as suggested by the responses reported earlier. This decline is related both to the massification of higher education and also to the recent higher education policy of neglect. However, it is interesting that Japanese academics reveal a high satisfaction with their current job as previously reported. This combination of

**Table 14.11** How would you rate your overall satisfaction with your current job?

| | | Very high | | | | Very low | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 | 5 | Total | Average | |
| Germany | 1992 | 191 | 798 | 734 | 425 | 312 | 2460 | 2.95 | *** |
| | | 7.8% | 32.4% | 29.8% | 17.3% | 12.7% | 100.0% | | |
| | 2007 | 171 | 554 | 284 | 121 | 33 | 1163 | 2.39 | |
| | | 14.7% | 47.6% | 24.4% | 10.4% | 2.8% | 100.0% | | |
| | Total | 362 | 1352 | 1018 | 546 | 345 | 3623 | | |
| | | 10.0% | 37.3% | 28.1% | 15.1% | 9.5% | 100.0% | | |
| Japan | 1992 | 137 | 844 | 591 | 210 | 52 | 1834 | 2.56 | *** |
| | | 7.5% | 46.0% | 32.2% | 11.5% | 2.8% | 100.0% | | |
| | 2007 | 152 | 802 | 252 | 153 | 33 | 1392 | 2.36 | |
| | | 10.9% | 57.6% | 18.1% | 11.0% | 2.4% | 100.0% | | |
| | Total | 289 | 1646 | 843 | 363 | 85 | 3226 | | |
| | | 9.0% | 51.0% | 26.1% | 11.3% | 2.6% | 100.0% | | |
| United Kingdom | 1992 | 151 | 786 | 456 | 393 | 126 | 1912 | 2.70 | n.s. |
| | | 7.9% | 41.1% | 23.8% | 20.6% | 6.6% | 100.0% | | |
| | 2007 | 115 | 424 | 402 | 119 | 74 | 1134 | 2.66 | |
| | | 10.1% | 37.4% | 35.4% | 10.5% | 6.5% | 100.0% | | |
| | Total | 163 | 708 | 598 | 304 | 134 | 1907 | | |
| | | 8.5% | 37.1% | 31.4% | 15.9% | 7.0% | 100.0% | | |
| United States | 1992 | 535 | 1585 | 742 | 404 | 188 | 3454 | 2.46 | *** |
| | | 15.5% | 45.9% | 21.5% | 11.7% | 5.4% | 100.0% | | |
| | 2007 | 222 | 501 | 302 | 84 | 37 | 1146 | 2.31 | |
| | | 19.4% | 43.7% | 26.4% | 7.3% | 3.2% | 100.0% | | |
| | Total | 757 | 2086 | 1044 | 488 | 225 | 4600 | | |
| | | 16.5% | 45.3% | 22.7% | 10.6% | 4.9% | 100.0% | | |

* $p<0.05$; *** $p<0.001$




| | AR | AU | BR | CA | CH | FI | DE | HK | IT | JP | KR | MY | MX | NO | PT | ZA | UK | US |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Working conditions in higher education | 46 | 9 | 34 | 22 | 61 | 29 | 11 | 30 | 13 | 13 | 51 | 57 | 47 | 15 | 33 | 23 | 15 | 37 |
| Working conditions in research institute | 0 | 15 | 32 | 21 | 0 | 24 | 19 | 29 | 8 | 0 | 0 | 49 | 47 | 13 | 40 | 28 | 17 | 20 |

**Fig. 14.4** Changes in conditions of work [Response 1 and 2]

high satisfaction with the current job in spite of poor working conditions is also observable in other countries such as Norway, Germany, etc.

### *14.3.8 Academic Productivity*

As we noted in our discussion of the knowledge function and the academic profession's vision, academic productivity is a very important aspect of academic work, because increased productivity in both teaching and research is presumed to enhance social development. In this context, productivity is a barometer of academics' activities in all systems in the CAP study, even if those in countries participating in the two surveys are working in somewhat different environments.

(*Note*: Average productivity is calculated by weighting different academic outputs and aggregating the scores: 10 points for each book; 5 points for an edited book; 1 point for each book chapter or journal article; 3 points for each research report; 0.5 points for each paper presented to an academic association, patent, computer, artistic activity, or film; 0.3 points for each newspaper article; Others are not included in the total of average productivity.)

The survey asked: "How many of the following scholarly contributions have you completed in the past 3 years?" In the past 3 years, academic staff produced on average the following products (Table 14.12): Scholarly books authored or co-authored (0.61); Scholarly books edited or co-edited (0.21); Articles published in an academic book or journal (4.26); Research report/monograph written for a funded project (1.11); Paper presented at a scholarly conference (5.41); Professional article written for a newspaper or magazine (0.89); Patent secured on a process or invention (0.08); Computer program written for public use (0.10); Artistic work performed or exhibited (1.23); Video or film produced (0.16); Others (0.59).

The top 10 countries in the total ranking of 18 countries are as follows: (1) South Korea, (2) Japan, (3) Italy, (4) China, (5) Germany, (6) Hong Kong, (7) Norway, (8) Argentina, (9) Canada, and (10) Malaysia. Japan was ranked first in the 1992 survey (Arimoto and Ehara 1996). So Japan appears to have almost kept its leading position over the past 15 years, even though its overall working conditions have

**Table 14.12** Average productivity in every item by country

| | Book | Edited book | Article | Report | Paper | Newspaper | Patent | Computer | Artistic | Film | Others | Total |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| AR | 0.58(7) | 0.36(6) | 4.45(14) | 2.22(3) | 6.76(7) | 1.52(6) | 0.03(17) | 0.11(7) | 0.40(5) | 0.06(16) | | 22.2(8) |
| AU | 0.28(17) | 0.19(18) | 6.89(7) | 1.40(10) | 5.79(9) | 1.06(12) | 0.08(10) | 0.08(14) | 0.36(7) | 0.08(13) | 0.18(15) | 18.3(12) |
| BR | 0.55(8) | 0.27(13) | 5.54(13) | 1.53(7) | 5.50(10) | 1.66(3) | 0.04(15) | 0.08(17) | 0.30(10) | 0.16(6) | 0.93(1) | 19.5(11) |
| CA | 0.35(16) | 0.28(12) | 6.21(8) | 1.42(9) | 8.16(1) | 1.33(8) | 0.08(9) | 0.11(6) | 0.23(12) | 0.09(12) | 0.62(2) | 20.1(9) |
| CH | 0.83(4) | 0.79(1) | 8.56(4) | 1.32(11) | 2.60(18) | 0.86(15) | 0.30(4) | 0.32(1) | 0.14(17) | 0.07(15) | 0.06(16) | 26.7(4) |
| FI | 0.41(15) | 0.36(9) | 5.36(12) | 1.22(12) | 4.67(15) | 1.38(7) | 0.07(13) | 0.10(11) | 0.31(9) | 0.06(17) | 0.3511() | 17.915() |
| DE | 0.41(12) | 0.48(5) | 8.76(3) | 2.23(2) | 7.00(6) | 1.62(5) | 0.33(2) | 0.12(5) | 0.41(4) | 0.19(1) | 0.39(8) | 26.4(5) |
| HK | 0.48(10) | 0.45(7) | 9.56(2) | 1.64(6) | 7.71(2) | 2.16(1) | 0.20(5) | 0.09(12) | 0.22(13) | 0.12(9) | 0.34(12) | 26.2(6) |
| IT | 0.94(3) | 0.48(4) | 8.56(5) | 1.66(5) | 7.52(3) | 1.72(2) | 0.11(8) | 0.09(13) | 0.08(18) | 0.10(11) | 0.26(14) | 29.7(3) |
| JP | 1.47(1) | 0.45(6) | 8.54(6) | 1.03(15) | 4.81(14) | 0.92(13) | 0.30(3) | 0.05(18) | 0.68(2) | 0.07(14) | 0.00(17) | 31.3(2) |
| KR | 1.03(2) | 0.65(2) | 10.16(1) | 2.63(1) | 7.15(5) | 1.09(11) | 0.61(1) | 0.10(8) | 0.33(8) | 0.05(18) | 0.50(5) | 36.0(1) |
| MY | 0.60(6) | 0.33(10) | 4.15(16) | 1.45(8) | 5.95(8) | 0.83(16) | 0.15(6) | 0.10(9) | 0.18(16) | 0.17(4) | 0.38(9) | 19.6(10) |
| MX | 0.41(13) | 0.20(16) | 2.36(18) | 0.56(18) | 3.19(17) | 1.19(10) | 0.04(16) | 0.17(3) | 0.51(3) | 0.17(2) | 0.49(6) | 11.5(18) |
| NL | 0.55(9) | 0.26(14) | 5.74(11) | 0.73(17) | 4.91(13) | 1.63(4) | 0.07(12) | 0.09(15) | 0.29(11) | 0.14(8) | 0.58(4) | 18.0(14) |
| PL | 0.65(5) | 0.54(3) | 5.74(10) | 1.78(4) | 7.44(4) | 1.29(9) | 0.12(7) | 0.21(2) | 0.38(6) | 0.17(3) | 0.40(7) | 24.6(7) |
| SA | 0.46(11) | 0.20(17) | 2.84(17) | 0.78(16) | 3.43(16) | 0.62(18) | 0.03(18) | 0.09(16) | 0.22(14) | 0.16(7) | 0.27(19) | 12.9(17) |
| UK | 0.40(14) | 0.32(11) | 6.05(9) | 1.10(14) | 5.45(11) | 0.78(17) | 0.06(14) | 0.15(4) | 0.20(15) | 0.12(10) | 0.38(10) | 18.0(13) |
| US | 0.24(18) | 0.21(15) | 4.26(15) | 1.11(13) | 5.41(12) | 0.89(14) | 0.08(11) | 0.10(10) | 1.23(1) | 0.16(5) | 0.59(3) | 14.6(16) |
| Total | 0.61 | 0.21 | 4.26 | 1.11 | 5.41 | 0.89 | 0.08 | 0.10 | 1.23 | 0.16 | 0.59 | 14.6 |

declined, as discussed above. Incidentally, in the 1992 survey, the top ten consisted of Japan, the Netherlands, Sweden, Germany, Chile, Israel, the USA, the UK, Brazil, and Australia (Arimoto and Ehara 1996, p. 172).

Japan is ranked first for *scholarly books authored or co-authored*, sixth for *articles published in an academic book or journal*, and third for *patents secured on a process or invention*.

As for the total ranking, South Korea has achieved a major breakthrough from 11th in 1992 to top in 2007. It is difficult to understand why the USA and the UK are near the bottom despite their frequent recognition as leaders in research productivity (Ben-David 1977; Arimoto 1996; London Times 2008).

## 14.4 Governance and Management

### *14.4.1 Influence of Actors at Institutions*

To the question, "At your institution, which actor has the primary influence on each of the following decisions?" the average proportion of respondents from all (18) countries reporting that faculty has the primary influence is 33% in 2007, while the average for the 6 countries in 1992 was 27% (see Table 14.13). There has been only a 6% increase over the past 15 years. In 2007, Japanese respondents recorded the highest percentage (60%) reporting that those faculties have the primary influence on decisions, calculated as the average for seven items. This has significantly increased from 40% in 1992 which was also the highest among all countries in the earlier study.

Examining the average response for each of the seven items by all countries and Japan separately, we get the following results: *Selecting key administrators* (all countries: 19%; Japan: 41%); *Choosing new faculty* (48%; 84%); *Making faculty promotion and tenure decisions* (44%; 77%); *Determining budget priorities* (16%; 36%); *Determining the overall teaching load of faculty* (32%; 69%); *Setting admission standards for undergraduate students* (36%; 69%); *Approving new academic programs* (37%; 65%); *Evaluating Teaching* (31%; 38%).

In all types of decision, Japan's average percent response is higher than that of all other countries in the CAP study. In other words, Japanese academics have the primary influence on decisions in all fields, especially in the following: *Choosing new faculty*; *Making faculty promotion and tenure decisions*; *Setting admission standards for undergraduate students*; *Approving new academic programs*; and *Selecting key administrators*. This suggests that, comparatively, Japanese academics are still enjoying so-called academic autonomy as well as academic freedom in the world academic community.

More explanation is needed for some of these results, because they probably express traits particular to the Japanese system. As for selecting administrators in Japan, there are two methods: one is selection by faculty members, exemplifying bottom-up decision-making, and the other is selection by a "steering core," exemplifying top-down control. Recently, the trend has been toward the latter in the

**Table 14.13** Influence of actors at institutions (faculty committees/board and individual faculty) (%)

| | AR | AU | BR | CA | CH | FI | DE | IT | JP | KR | MY | MX | NO | PT | ZA | UK | US | Average |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Selecting key administrators | 37 | 19 | 25 | 35 | 2 | 23 | 24 | 10 | 41 | 8 | 5 | 10 | 17 | 21 | 18 | 25 | 7 | **19** |
| Choosing new faculty | 42 | 43 | 22 | 86 | 9 | 68 | 48 | 62 | 84 | 50 | 12 | 35 | 54 | 61 | 32 | 52 | 63 | **48** |
| Making faculty promotion and tenure decisions | 38 | 50 | 25 | 70 | 22 | 56 | 37 | 58 | 77 | 44 | 8 | 34 | 38 | 56 | 31 | 54 | 54 | **44** |
| Determining budget priorities | 19 | 22 | 7 | 7 | 5 | 38 | 13 | 28 | 36 | 10 | 8 | 7 | 23 | 7 | 18 | 25 | 2 | **16** |
| Determining the overall teaching load of faculty | 26 | 38 | 19 | 19 | 14 | 64 | 0 | 52 | 69 | 25 | 22 | 25 | 28 | 55 | 38 | 36 | 11 | **32** |
| Setting admission standards for undergraduate students | 34 | 32 | 24 | 37 | 7 | 52 | 34 | 61 | 69 | 24 | 22 | 23 | 45 | 45 | 37 | 44 | 22 | **36** |
| Approving new academic programs | 32 | 46 | 28 | 39 | 4 | 37 | 31 | 76 | 65 | 34 | 15 | 39 | 0 | 59 | 34 | 60 | 38 | **37** |
| Evaluating teaching | 35 | 32 | 35 | 23 | 7 | 47 | 29 | 40 | 38 | 10 | 29 | 27 | 35 | 33 | 36 | 47 | 27 | **31** |
| Average of 7 items in 2007 | 33 | 35 | 23 | 40 | 9 | 48 | 27 | 48 | 60 | 26 | 15 | 25 | 30 | 42 | 31 | 43 | 28 | 33 |
| Average of 7 items in 1992 | | | 27 | | | | | | 40 | 24 | | 19 | | | | 26 | 24 | 27 |

Question E1: At your institution, which actor has the primary influence on each of the following decisions?

national universities, especially after the public corporation reform in 2004 (CCE 2005; Amano 2008). In the private sector, on the other hand, top-down control prevails, particularly in the institutions where an owner tends to have strong hegemony in management and administration. The latter is probably similar to the USA (7%), where the governing body has significant power.

As for choosing new faculty in Japan, faculty members have strong influence as shown in the high proportion of respondents who report that faculty make the decisions (84%). Making faculty promotion and tenure decisions are also subject to bottom-up decision-making. One of the weak points of this pattern is perhaps reflected in the high degree of "inbreeding" in the prestigious institutions, because there are no external reviewers who can counter the internal influences on faculty recruitment, promotion, and conferment of tenure. Academic nepotism is at work here (Arimoto 1981; Yamanoi 2007). More than a century ago, both Japan and the USA paid much attention to the research-orientation of the German model. While Japan introduced a research-orientation through the professor–apprentice relationship as the means for training new scholars, the USA introduced a research-orientation without the professor–apprentice arrangement (Pierson 1952). The USA also rejected the chair system which Japan imported and instead kept the department system (Clark 1995). It should also be pointed out that Japan's orientation to particularism and the USA orientation to universalism at the time also brought about a difference of climate, leading to Japan's "inbreeding" compared to the more open approach found in the USA (Arimoto 1981, 2008b).

Determining budget priorities is still the prerogative of faculty members to a considerable degree in Japan, although this is gradually shifting from the faculty to the steering core. Determining the overall teaching load of faculty and setting admission standards for undergraduate students are also within the purview of faculty members.

The approval of new academic programs remains under the control of academics, although this is gradually shifting to top-down approval. The evaluation of teaching is carried out by faculty members at the level of self-evaluation within institutions, but it has also been provided by external examiners as a form of "third party" evaluation since 2004, when a new system was introduced into national law that all universities and colleges are obliged to follow (CCE 2005).

### *14.4.2 Case Study of Four Countries*

Making a case study analysis of those who say that faculties have the primary influence on decisions, with a focus on four countries; Germany, Japan, the UK, and the USA, we get the following results.

Increased levels of agreement with the statement, "Top-level administrators are providing competent leadership," were given in all countries in 2007 except Japan, although the positive rating is still higher in Japan than in the other countries (Germany: 23.6% in 1992, 32.8%in 2007; Japan: 60.1%, 55.4%; UK: 25.6%, 26.2%; USA: 37.9%, 42.4%) (see Table 14.14). This suggests that bureaucratization

**Table 14.14** Top-level administrators are providing competent leadership

| | | Strongly agree | 2 | 3 | 4 | Strongly disagree | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 | 5 | Total | Average | |
| Germany | 1992 | 112 | 385 | 581 | 572 | 449 | 2099 | 3.41 | *** |
| | | 5.3% | 18.3% | 27.7% | 27.3% | 21.4% | 100.0% | | |
| | 2007 | 54 | 292 | 400 | 221 | 88 | 1055 | 3.00 | |
| | | 5.1% | 27.7% | 37.9% | 20.9% | 8.3% | 100.0% | | |
| | Total | 166 | 677 | 981 | 793 | 537 | 3154 | | |
| | | 5.3% | 21.5% | 31.1% | 25.1% | 17.0% | 100.0% | | |
| Japan | 1992 | 548 | 491 | 376 | 137 | 175 | 1727 | 2.36 | *** |
| | | 31.7% | 28.4% | 21.8% | 7.9% | 10.1% | 100.0% | | |
| | 2007 | 204 | 553 | 332 | 159 | 119 | 1367 | 2.59 | |
| | | 14.9% | 40.5% | 24.3% | 11.6% | 8.7% | 100.0% | | |
| | Total | 752 | 1044 | 708 | 296 | 294 | 3094 | | |
| | | 24.3% | 33.7% | 22.9% | 9.6% | 9.5% | 100.0% | | |
| United Kingdom | 1992 | 96 | 385 | 472 | 401 | 528 | 1882 | 3.47 | n.s. |
| | | 5.1% | 20.5% | 25.1% | 21.3% | 28.1% | 100.0% | | |
| | 2007 | 24 | 242 | 335 | 229 | 185 | 1015 | 3.30 | |
| | | 2.4% | 23.8% | 33.0% | 22.6% | 18.2% | 100.0% | | |
| | Total | 49 | 372 | 497 | 400 | 459 | 1777 | | |
| | | 2.8% | 20.9% | 28.0% | 22.5% | 25.8% | 100.0% | | |
| United States | 1992 | 331 | 946 | 752 | 628 | 710 | 3367 | 3.13 | ** |
| | | 9.8% | 28.1% | 22.3% | 18.7% | 21.1% | 100.0% | | |
| | 2007 | 120 | 352 | 277 | 202 | 164 | 1115 | 2.94 | |
| | | 10.8% | 31.6% | 24.8% | 18.1% | 14.7% | 100.0% | | |
| | Total | 451 | 1298 | 1029 | 830 | 874 | 4482 | | |
| | | 10.1% | 29.0% | 23.0% | 18.5% | 19.5% | 100.0% | | |

*p<0.05; **p<0.01; ***p<0.001

has developed rapidly in Japan so that, now, all four countries are rather similar in this regard (Amano 2006). As countries move into the stage of knowledge enterprise and academic bureaucracy, new frictions are likely to emerge between managers and faculty.

The proportion of academics who agree with the statement *lack of faculty involvement is a real problem,* increased only in Japan between 1992 and 2007 (Germany: 55.2% in 1992, 44.6% in 2007; Japan: 33.2%, 41.6%; UK: 44.3%, 41.9%; USA: 43.7%, 32.4%) (see Table 14.15).

On the statement, *The administration supports academic freedom*, in all countries except Germany fewer academics agree in the second survey (Germany: 56.5% in 1992, 25.6% in 2007; Japan: 29.7%, 20.3%; UK: 21.6%, 18.6%; USA: 27.5%, 12.3%) (see Table 14.16). Even so, the proportion disagreeing with this statement is still highest in Germany. Among all the countries, Japan and the UK exhibited some increase in the proportion of academics disagreeing.

In Japan, disagreement is highest in the non-research universities (national research university: 8.9% in 1992, 6.8% in 2007; national non-research university: 6.6%, 11.5%; private research university: 4.3%, 0.0%; private non-research university; 6.0%, 12.5%) (see Table 14.17).

As discussed previously, the reason for this may be the increasing differentiation between the research and non-research universities concerning the distribution of resources (Amano 2008; Arimoto 2008b).

As Asonuma has argued, the system is shifting from one type of funding method (in which basic funding is provided to the academic organization) to a second (in which competitive funding is made on the basis of competition between researchers) and, as a result, a third model, combining the first and second methods, has developed (Asonuma 2003; Arimoto 2008b; Arimoto 2009c). The development of this kind of resource allocation mechanism is apt to reflect the competition between the research universities with many competitive researchers and the non-research universities with few. In due course, the Matthew effect necessarily operates in this kind of resource allocation, bringing about the differentiation between research and non-research universities.

### *14.4.3 Personal Influence at Institution*

To the question, “How influential are you, personally, in helping to shape key academic policies?” academics enjoy their highest influence at the level of the department or similar unit (chair), while they are less influential at the level of the institution (Tables 14.18 and 14.19). This international finding is reflected in both the 1992 and 2007 surveys, and the percentage is also almost the same; although at the level of department or similar unit there is a slight decrease from 57% in 1992 to 51% in 2007. Those countries highly conforming to this pattern consist of: the USA (72%); Germany (65%); Brazil and Canada (63%); and Mexico (61%), while

**Table 14.15** Lack of faculty involvement is a real problem

| | | Strongly agree | 2 | 3 | 4 | Strongly disagree | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 | 5 | Total | Average | |
| Germany | 1992 | 554 | 622 | 588 | 259 | 108 | 2131 | 2.41 | *** |
| | | 26.0% | 29.2% | 27.6% | 12.2% | 5.1% | 100.0% | | |
| | 2007 | 165 | 309 | 317 | 197 | 75 | 1063 | 2.73 | |
| | | 15.5% | 29.1% | 29.8% | 18.5% | 7.1% | 100.0% | | |
| | Total | 719 | 931 | 905 | 456 | 183 | 3194 | | |
| | | 22.5% | 29.1% | 28.3% | 14.3% | 5.7% | 100.0% | | |
| Japan | 1992 | 234 | 294 | 589 | 193 | 278 | 1588 | 2.99 | *** |
| | | 14.7% | 18.5% | 37.1% | 12.2% | 17.5% | 100.0% | | |
| | 2007 | 180 | 386 | 518 | 203 | 74 | 1361 | 2.71 | |
| | | 13.2% | 28.4% | 38.1% | 14.9% | 5.4% | 100.0% | | |
| | Total | 414 | 680 | 1107 | 396 | 352 | 2949 | | |
| | | 14.0% | 23.1% | 37.5% | 13.4% | 11.9% | 100.0% | | |
| United Kingdom | 1992 | 369 | 456 | 634 | 234 | 168 | 1861 | 2.66 | n.s. |
| | | 19.8% | 24.5% | 34.1% | 12.6% | 9.0% | 100.0% | | |
| | 2007 | 143 | 281 | 399 | 164 | 24 | 1011 | 2.65 | |
| | | 14.1% | 27.8% | 39.5% | 16.2% | 2.4% | 100.0% | | |
| | Total | 328 | 479 | 623 | 243 | 93 | 1766 | | |
| | | 18.6% | 27.1% | 35.3% | 13.8% | 5.3% | 100.0% | | |
| United States | 1992 | 614 | 853 | 968 | 586 | 339 | 3360 | 2.76 | *** |
| | | 18.3% | 25.4% | 28.8% | 17.4% | 10.1% | 100.0% | | |
| | 2007 | 151 | 214 | 313 | 302 | 148 | 1128 | 3.07 | |
| | | 13.4% | 19.0% | 27.7% | 26.8% | 13.1% | 100.0% | | |
| | Total | 765 | 1067 | 1281 | 888 | 487 | 4488 | | |
| | | 17.0% | 23.8% | 28.5% | 19.8% | 10.9% | 100.0% | | |

*p<0.05; **p<0.001; ***p<0.001

**Table 14.16** The administration supports academic freedom

| | | Strongly agree | 2 | 3 | 4 | Strongly disagree | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 | 5 | Total | Average | |
| Germany | 1992 | 91 | 280 | 543 | 566 | 618 | 2098 | 3.64 | *** |
| | | 4.3% | 13.3% | 25.9% | 27.0% | 29.5% | 100.0% | | |
| | 2007 | 81 | 313 | 382 | 190 | 88 | 1054 | 2.90 | |
| | | 7.7% | 29.7% | 36.2% | 18.0% | 8.3% | 100.0% | | |
| | Total | 172 | 593 | 925 | 756 | 706 | 3152 | | |
| | | 5.5% | 18.8% | 29.3% | 24.0% | 22.4% | 100.0% | | |
| Japan | 1992 | 637 | 550 | 383 | 58 | 53 | 1681 | 2.01 | *** |
| | | 37.9% | 32.7% | 22.8% | 3.5% | 3.2% | 100.0% | | |
| | 2007 | 214 | 552 | 456 | 86 | 58 | 1366 | 2.43 | |
| | | 15.7% | 40.4% | 33.4% | 6.3% | 4.2% | 100.0% | | |
| | Total | 851 | 1102 | 839 | 144 | 111 | 3047 | | |
| | | 27.9% | 36.2% | 27.5% | 4.7% | 3.6% | 100.0% | | |
| United Kingdom | 1992 | 264 | 585 | 638 | 236 | 152 | 1875 | 2.69 | *** |
| | | 14.1% | 31.2% | 34.0% | 12.6% | 8.1% | 100.0% | | |
| | 2007 | 57 | 352 | 343 | 171 | 96 | 1019 | 2.90 | |
| | | 5.6% | 34.5% | 33.7% | 16.8% | 9.4% | 100.0% | | |
| | Total | 128 | 567 | 607 | 291 | 186 | 1779 | | |
| | | 7.2% | 31.9% | 34.1% | 16.4% | 10.5% | 100.0% | | |
| United States | 1992 | 960 | 1259 | 701 | 262 | 172 | 3354 | 2.23 | *** |
| | | 28.6% | 37.5% | 20.9% | 7.8% | 5.1% | 100.0% | | |
| | 2007 | 214 | 451 | 308 | 91 | 46 | 1110 | 2.37 | |
| | | 19.3% | 40.6% | 27.7% | 8.2% | 4.1% | 100.0% | | |
| | Total | 1174 | 1710 | 1009 | 353 | 218 | 4464 | | |
| | | 26.3% | 38.3% | 22.6% | 7.9% | 4.9% | 100.0% | | |

*p<0.05; **p<0.01; ***p<0.001

**Table 14.17** The administration supports academic freedom

| | | Strongly agree | | Neutral | | Strongly disagree | | (Japan) | |
|---|---|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 | 5 | Total | Average | |
| National research univ. | 1992 | 137 | 75 | 43 | 12 | 13 | 280 | 1.89 | n.s. |
| | | 48.9% | 26.8% | 15.4% | 4.3% | 4.6% | 100.0% | | |
| | 2007 | 50 | 115 | 54 | 13 | 3 | 235 | 2.17 | |
| | | 21.3% | 48.9% | 23.0% | 5.5% | 1.3% | 100.0% | | |
| National non-research univ. | 1992 | 185 | 152 | 116 | 17 | 15 | 485 | 2.02 | *** |
| | | 38.1% | 31.3% | 23.9% | 3.5% | 3.1% | 100.0% | | |
| | 2007 | 76 | 199 | 179 | 39 | 20 | 513 | 2.47 | |
| | | 14.8% | 38.8% | 34.9% | 7.6% | 3.9% | 100.0% | | |
| Private research univ. | 1992 | 31 | 27 | 9 | 2 | 1 | 70 | 1.79 | n.s. |
| | | 44.3% | 38.6% | 12.9% | 2.9% | 1.4% | 100.0% | | |
| | 2007 | 15 | 33 | 17 | 0 | 0 | 65 | 2.03 | |
| | | 23.1% | 50.8% | 26.2% | 0.0% | 0.0% | 100.0% | | |
| Private non-research univ. | 1992 | 284 | 296 | 215 | 27 | 24 | 846 | 2.07 | *** |
| | | 33.6% | 35.0% | 25.4% | 3.2% | 2.8% | 100.0% | | |
| | 2007 | 73 | 205 | 205 | 34 | 35 | 552 | 2.55 | |
| | | 13.2% | 37.1% | 37.1% | 6.2% | 6.3% | 100.0% | | |

*p<0.05; **p<0.01; ***p<0.001

**Table 14.18** Personal influence at institution (percent; responses 1 and 2) 2007

| | AR | AU | BR | CA | CH | FI | DE | HK | IT | JP | KR | MY | MX | NO | PT | ZA | UK | US | Average |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| At the level of the department or similar unit | 41 | 43 | 63 | 63 | 36 | 41 | 65 | 41 | 42 | 52 | 58 | 47 | 61 | 42 | 52 | 56 | 45 | 72 | **51** |
| At the level of the faculty, school, or similar unit | 23 | 17 | 40 | 31 | 35 | 15 | 34 | 19 | 22 | 29 | 27 | 32 | 44 | 15 | 26 | 34 | 21 | 46 | **28** |
| At the institutional level | 14 | 7 | 23 | 14 | 28 | 9 | 16 | 7 | 7 | 14 | 19 | 14 | 24 | 13 | 14 | 10 | 8 | 21 | **15** |
| Average | 26 | 22 | 42 | 36 | 33 | 22 | 38 | 22 | 24 | 32 | 35 | 31 | 43 | 23 | 31 | 33 | 25 | 46 | 31 |

Question E2: How influential are you, personally, in helping to shape key academic policies? (Scale of answer 1 = very influential to 4 = not at all influential)

**Table 14.19** Personal influence at institution (percent; responses 1 and 2) 1992

| | BR | HK | JP | KR | MX | UK | US | Average |
|---|---|---|---|---|---|---|---|---|
| At the level of the department or similar unit | 71 | 47 | 52 | 54 | 53 | 60 | 65 | 57 |
| At the level of the faculty, school, or similar unit | 41 | 19 | 28 | 19 | 34 | 25 | 31 | 28 |
| At the institutional level | 20 | 6 | 12 | 9 | 18 | 9 | 10 | 12 |
| Average | 44 | 24 | 31 | 27 | 35 | 31 | 35 | 32 |

the group with low faculty influence consists of: Argentina, Finland, and Hong Kong (41%). Japan sits in the middle, between these two groups.

### *14.4.4 Evaluation of Teaching and Research*

For the question, "By whom are your teaching, research, and services regularly evaluated?", using sum totals for the evaluation of teaching in all the CAP countries, the rank order of items is as follows: *Your students* (79%); *The head of your department or unit* (51%); *Yourself (formal self-assessment)* (40%); *Your peers in your department or unit* (37%); *Senior administrative staff at this institution* (23%); *External reviewers* (16%); *Members of other departments or units at this institution* (13%); *No one at or outside my institution* (5%) (see Table 14.20).

On the other hand, for the evaluation of research, the rank order of items is as follows: *The head of your department or unit* (45%); *External reviewers* (45%); *Your peers in your department or unit* (35%); *Yourself* (formal self-assessment) (35%); *Senior administrative staff at this institution* (25%); *Members of other departments or units at this institution* (18%); *No one at or outside my institution* (10%); *Your students* (7%) (see Table 14.21). For the question on the evaluation of teaching, students are ranked at the top, while for the evaluation of research, they are ranked at the bottom. At the same time, external reviewers are ranked 6th for the former, but second for the latter.

The response to the question on the evaluation of teaching in Japan is different from that for all CAP countries because the second highest ranked party is *yourself (formal self-assessment)* (40%) rather than *The head of your department or unit* (31%), although the first highest is *your students* (48%) which is much lower than the average for all countries (79%). This result demonstrates that the bureaucracy is not strong in Japan compared to other countries and, in addition, the use of students' evaluations is limited. Japan is also different from other countries in the evaluation of research, in that the proportion selecting *External reviewers* (15%) is much lower than the average for all countries (45%). Related to this, it is interesting to report that our study of Japan's external review system, which was implemented in academia several years ago, found it to have little influence (Arimoto 2008b).

**Table 14.20** Evaluation of teaching (percent; multiple responses)

| | AR | AU | BR | CA | CH | FI | DE | HK | IT | JP | KR | MY | MX | NO | PT | ZA | UK | US | Average |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Your peers in your department or unit | 46 | 33 | 45 | 41 | 54 | 34 | 16 | 38 | 20 | 21 | 24 | 30 | 45 | 23 | 43 | 46 | 65 | 54 | **37** |
| The head of your department or unit | 45 | 67 | 62 | 64 | 62 | 55 | 19 | 71 | 33 | 31 | 25 | 66 | 65 | 27 | 41 | 57 | 52 | 80 | **51** |
| Members of other departments or units at this institution | 15 | 11 | 18 | 12 | 21 | 5 | 3 | 10 | 4 | 5 | 6 | 14 | 26 | 5 | 31 | 20 | 13 | 18 | **13** |
| Senior administrative staff at this institution | 30 | 17 | 26 | 30 | 37 | 11 | 11 | 31 | 3 | 35 | 31 | 17 | 26 | 18 | 30 | 15 | 11 | 36 | **23** |
| Your students | 62 | 85 | 79 | 92 | 67 | 84 | 82 | 93 | 87 | 48 | 81 | 83 | 82 | 89 | 54 | 75 | 93 | 90 | **79** |
| External reviewers | 20 | 6 | 11 | 9 | 21 | 12 | 5 | 24 | 9 | 10 | 4 | 20 | 25 | 11 | 40 | 28 | 33 | 8 | **16** |
| Yourself (formal self-assessment) | 41 | 52 | 46 | 40 | 37 | 0 | 37 | 46 | 25 | 40 | 22 | 49 | 54 | 29 | 28 | 55 | 53 | 59 | **40** |
| No one at or outside my institution | 8 | 4 | 7 | 3 | 6 | 3 | 7 | 0 | 6 | 8 | 3 | 3 | 1 | 6 | 13 | 8 | 2 | 1 | **5** |

Question E3: By whom is your teaching, research, and service regularly evaluated?

**Table 14.21** Evaluation of research (percent; multiple responses)

| | AR | AU | BR | CA | CH | FI | DE | HK | IT | JP | KR | MY | MX | NO | PT | ZA | UK | US | Average |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Your peers in your department or unit | 24 | 35 | 34 | 48 | 25 | 49 | 34 | 36 | 38 | 18 | 28 | 30 | 33 | 46 | 20 | 39 | 45 | 45 | **35** |
| The head of your department or unit | 21 | 70 | 28 | 57 | 52 | 66 | 18 | 79 | 30 | 31 | 19 | 62 | 43 | 30 | 10 | 51 | 64 | 70 | **45** |
| Members of other departments or units at this institution | 28 | 16 | 23 | 18 | 17 | 23 | 10 | 21 | 8 | 4 | 15 | 28 | 32 | 7 | 8 | 25 | 20 | 20 | **18** |
| Senior administrative staff at this institution | 28 | 22 | 21 | 34 | 38 | 17 | 21 | 40 | 3 | 39 | 41 | 25 | 20 | 11 | 11 | 20 | 23 | 35 | **25** |
| Your students | 3 | 4 | 9 | 2 | 11 | 3 | 2 | 3 | 2 | 2 | 4 | 6 | 4 | 5 | 61 | 7 | 3 | 3 | **7** |
| External reviewers | 73 | 55 | 34 | 60 | 25 | 53 | 45 | 59 | 44 | 15 | 36 | 35 | 46 | 41 | 25 | 58 | 62 | 39 | **45** |
| Yourself (formal self-assessment) | 26 | 43 | 29 | 37 | 37 | 0 | 38 | 47 | 24 | 43 | 27 | 46 | 40 | 25 | 22 | 49 | 51 | 53 | **35** |
| No one at or outside my institution | 4 | 4 | 28 | 5 | 8 | 7 | 14 | 1 | 18 | 10 | 10 | 5 | 4 | 15 | 18 | 9 | 6 | 7 | **10** |

Question E3: By whom is your teaching, research, and service regularly evaluated?

### 14.4.5 At My Institutions There Is…

Among the nine items included in this question, the highest average agreement among all the CAP countries is with the item, *A cumbersome administrative process* (58%), followed by *A strong emphasis on the institution's mission* (56%), *A top-down management style* (55%) and *A strong performance orientation* (48%) (see Table 14.22). On the other hand, the lowest average agreement is with the item, *Professional development for administrative/management duties for individuals* (25%), followed by *Collegiality in decision-making processes* (29%), *Good communication between management and academics* (30%), and *A supportive attitude of administrative staff toward teaching activities* (32%).

As far as the Japanese survey is concerned, the top three and the bottom three are almost the same as the ranking for all CAP countries. In Japan, high levels of agreement are found with the following items: *A cumbersome administrative process* (70%), *A strong emphasis on the institution's mission* (59%), *A top-down management style* (58%), and *A supportive attitude of administrative staff toward research activities* (57%). However, *Good communication between management and academics* (24%) is almost the lowest, together with South Korea (20%), South Africa (21%), the UK and Australia (23%), Germany and Hong Kong (25%). It is obvious that a *Top-down management style* prevails over *Good communication between management and academics.*

However, Japanese respondents' percent for the item on agreement with the statement that there is *Collegiality in decision-making processes* (46%) is the highest compared to other CAP countries including, for example, the UK (21%), Germany (28%), and the USA (32%). Such a high percentage is interesting since the so-called top-down style of administration is becoming more prevalent in Japanese universities and colleges, especially in the national universities and colleges where public corporatisation was introduced in 2004 (CCE 2005; Amano 2008; Arimoto 2008b). It is argued that the governance and management of Japanese institutions is being transformed from the German or continental model, which is based on the election of the rector by faculty members, to the American model, based on the selection of the president by the executive steering committee members.

Japan has the highest proportion among all CAP countries agreeing with the statement that there is *A supportive attitude of administrative staff toward teaching activities* (57%). This is probably due to the teaching revolution of the past 15 years, as previously mentioned. It is noticeable, however, that the primary interests of academic staff have not changed that much, despite the new administrative orientation to teaching.

### 14.4.6 Views on Selected Issues of Institutional Management

The average level of agreement among all CAP countries for the five items noted in Tables 14.23 and 14.24 has slightly decreased during the past 15 years, since it is

**Table 14.22** Assessment of institutional management (percent; responses 1 and 2)

| | AR | AU | BR | CA | CH | FI | DE | HK | IT | JP | KR | MY | MX | NO | PT | ZA | UK | US | Average |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| A strong emphasis on the institution's mission | 50 | 63 | 60 | 51 | 65 | 57 | 44 | 63 | 21 | 59 | 50 | 75 | 62 | 43 | 45 | 64 | 62 | 68 | **56** |
| Good communication between management and academics | 40 | 23 | 42 | 29 | 34 | 31 | 25 | 25 | 27 | 24 | 20 | 48 | 40 | 34 | 28 | 21 | 23 | 30 | **30** |
| A top-down management style | 42 | 74 | 55 | 53 | 46 | 56 | 44 | 74 | 52 | 58 | 51 | 60 | 53 | 27 | 47 | 68 | 72 | 65 | **55** |
| Collegiality in decision-making processes | 39 | 19 | 29 | 38 | 36 | 23 | 28 | 23 | 16 | 46 | 18 | 39 | 40 | 26 | 36 | 20 | 21 | 32 | **29** |
| A strong performance orientation | 33 | 69 | 46 | 49 | 60 | 60 | 0 | 65 | 23 | 52 | 63 | 57 | 46 | 50 | 29 | 51 | 68 | 48 | **48** |
| A cumbersome administrative process | 51 | 76 | 44 | 64 | 54 | 59 | 67 | 62 | 53 | 70 | 53 | 42 | 44 | 56 | 58 | 61 | 77 | 59 | **58** |
| A supportive attitude of administrative staff toward teaching activities | 36 | 39 | 42 | 48 | 47 | 25 | 26 | 42 | 19 | 57 | 28 | 44 | 41 | 42 | 28 | 30 | 44 | 52 | **38** |
| A supportive attitude of administrative staff toward research activities | 25 | 37 | 30 | 46 | 48 | 24 | 28 | 39 | 18 | 35 | 23 | 36 | 34 | 35 | 16 | 27 | 34 | 48 | **32** |
| Professional development for administrative/ management duties for individual faculty | 16 | 38 | 20 | 31 | 29 | 25 | 21 | 24 | 4 | 8 | 49 | 40 | 33 | 10 | 10 | 30 | 42 | 17 | **25** |
| Average | 37 | 49 | 41 | 45 | 47 | 40 | 31 | 46 | 26 | 45 | 39 | 49 | 44 | 36 | 33 | 41 | 49 | 47 | 42 |

Question E4: At my institution there is … (Scale of answer from 1 = strongly agree to 5 = strongly disagree)

**Table 14.23** Views on selected issues of institutional management (percent; responses 1 and 2) 2007

| | AR | AU | BR | CA | CH | FI | DE | HK | IT | JP | KR | MY | MX | NO | PT | ZA | UK | US | Average |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Top-level administrators are providing competent leadership | 35 | 32 | 53 | 38 | 62 | 39 | 32 | 34 | 33 | 55 | 27 | 49 | 42 | 37 | 43 | 28 | 26 | 42 | **39** |
| I am kept informed about what is going on at this institution | 63 | 41 | 47 | 46 | 44 | 44 | 50 | 36 | 42 | 30 | 42 | 42 | 35 | 40 | 38 | 35 | 41 | 42 | **42** |
| Lack of faculty involvement is a real problem | 35 | 38 | 45 | 39 | 52 | 33 | 44 | 40 | 38 | 42 | 38 | 41 | 46 | 34 | 53 | 32 | 42 | 32 | **40** |
| Students should have a stronger voice in determining policy that affects them | 26 | 36 | 41 | 24 | 50 | 30 | 40 | 31 | 30 | 33 | 46 | 37 | 39 | 25 | 23 | 33 | 30 | 25 | **33** |
| The administration supports academic freedom | 63 | 38 | 48 | 61 | 53 | 22 | 38 | 54 | 48 | 56 | 50 | 41 | 76 | 31 | 40 | 26 | 40 | 60 | **47** |
| Average | 44 | 37 | 47 | 42 | 52 | 34 | 41 | 39 | 38 | 43 | 41 | 42 | 48 | 33 | 39 | 31 | 36 | 40 | 40 |

Question E5: Please indicate your views on the following issues. (Scale of answer from 1 = strongly agree to 5 = strongly disagree)

**Table 14.24** Views on Selected Issues of Institutional Management (percent; responses 1 and 2) 1992

| | BR | HK | JP | KR | MX | UK | US | Average |
|---|---|---|---|---|---|---|---|---|
| Top-level administrators are providing competent leadership | 56 | 23 | 58 | 24 | 30 | 25 | 38 | 36 |
| I am kept informed about what is going on at this institution | 45 | 30 | 31 | 31 | 35 | 31 | 41 | 35 |
| Lack of faculty involvement is a real problem | 65 | 53 | 33 | 44 | 79 | 44 | 43 | 52 |
| Students should have a stronger voice in determining policy that affects them | 58 | 42 | 34 | 30 | 51 | 36 | 27 | 40 |
| The administration supports academic freedom | 54 | 49 | 71 | 34 | 45 | 45 | 65 | 52 |
| Average | 56 | 39 | 45 | 33 | 48 | 36 | 43 | 43 |

40% in 2007, down from 43% in 1992. Agreement with *The administration supports academic freedom* has decreased from 52% to 48% (see Tables 14.23 and 14.24 ). In Japan, the average agreement with all the statements has decreased slightly from 45% to 43%, but the positive response to the statement *The administration supports academic freedom* has drastically decreased by as much as 15 points from 71% to 56%, which contrasts with the USA and the UK where the decrease has been smaller. This result is related to the reform of university and college administration from a bottom-up to a top-down style, especially in the national universities since 2004. But even so, Japanese academics still enjoy fairly substantial power and academic freedom which is almost equivalent to Hong Kong (54%), although it is lower than Mexico (76%), Argentina (63%), Canada (61%), and the USA (60%).

### *14.4.7 Perception of Teaching and Research Institutional Strategies*

Among the ten practices described in Table 14.25, the most prevalent, in terms of average responses among the CAP countries is the *Funding of departments substantially based on numbers of students* (53%), followed by *Considering the research quality when making personnel decisions* (43%), and *Performance-based allocation of resources to academic units* (40%), while least common is *Recruiting faculty who have work experience outside of academia* (25%), followed by *Considering the practical relevance/applicability of the work of colleagues when making personnel decisions* (26%), and *Encouraging academics to adopt service activities/entrepreneurial activities outside the institution* (27%) (Table 14.25).

**Table 14.25** Perception of teaching and research related institutional strategies (percent; responses 1 and 2)

| | AR | AU | BR | CA | CH | FI | DE | HK | IT | JP | KR | MY | MX | NO | PT | ZA | UK | US | Average |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Performance based allocation of resources to academic units | 19 | 48 | 30 | 34 | 50 | 56 | 54 | 58 | 31 | 31 | 34 | 35 | 35 | 54 | 19 | 33 | 51 | 39 | **40** |
| Evaluation based allocation of resources to academic units | 18 | 36 | 29 | 20 | 44 | 36 | 33 | 51 | 23 | 30 | 33 | 36 | 36 | 24 | 18 | 28 | 35 | 0 | **29** |
| Funding of departments substantially based on numbers of students | 35 | 70 | 35 | 71 | 52 | 46 | 46 | 67 | 54 | 65 | 64 | 40 | 36 | 51 | 49 | 49 | 72 | 51 | **53** |
| Funding of departments substantially based on numbers of graduates | 9 | 38 | 15 | 32 | 35 | 71 | 26 | 33 | 23 | 6 | 26 | 32 | 21 | 56 | 24 | 45 | 32 | 27 | **31** |
| Considering the research quality when making personnel decisions | 25 | 50 | 29 | 48 | 56 | 41 | 53 | 69 | 23 | 60 | 33 | 40 | 33 | 35 | 23 | 40 | 66 | 47 | **43** |
| Considering the teaching quality when making personnel decisions | 31 | 28 | 38 | 33 | 49 | 29 | 27 | 43 | 11 | 39 | 24 | 45 | 34 | 25 | 17 | 31 | 33 | 51 | **33** |
| Considering the practical relevance/ applicability of the work of colleagues when making personnel decisions | 28 | 24 | 29 | 18 | 53 | 31 | 25 | 25 | 10 | 26 | 15 | 37 | 28 | 19 | 14 | 25 | 26 | 30 | **26** |
| Recruiting faculty who have work experience outside of academia | 24 | 27 | 29 | 16 | 47 | 24 | 37 | 21 | 7 | 22 | 19 | 39 | 26 | 12 | 27 | 25 | 21 | 27 | **25** |
| Encouraging academics to adopt service activities/entrepreneurial activities outside the institution | 15 | 36 | 20 | 19 | 31 | 20 | 57 | 23 | 15 | 27 | 28 | 35 | 29 | 14 | 31 | 25 | 30 | 37 | **27** |
| Encouraging individuals, businesses, foundations, etc., to contribute more to higher education | 22 | 50 | 35 | 43 | 54 | 19 | 48 | 46 | 23 | 18 | 29 | 42 | 36 | 21 | 31 | 37 | 38 | 64 | **36** |
| Average | 23 | 41 | 29 | 33 | 47 | 37 | 41 | 44 | 22 | 32 | 31 | 38 | 31 | 31 | 25 | 34 | 40 | 37 | 34 |

Question E6: To what extent does your institution emphasize the following practices? (Scale of answer 1 = very much to 5 = not at all)

In the case of Japan, the first and second most prevalent practices are almost the same as the average for all CAP countries, but the third ranked practice is *Considering the teaching quality when making personnel decisions* (39%), probably because of the national policy of Faculty Development which has emphasized teaching. Quite different from the average among all CAP countries are the least common: the *Funding of departments substantially based on numbers of graduates* (6%) which is reported by a smaller proportion of respondents compared to the average CAP rating (31%), although it is close to Argentina (9%) and Brazil (15%).

Another practice different from the CAP average is *Encouraging individuals, businesses, foundations, etc., to contribute more to higher education* (18%) which is Japan's second least reported practice, which is the lowest of all the countries, followed by Finland (19%). In contrast, are the countries where this practice is most prevalent, such as the USA (64%), China (54%), Australia (50%), and Germany (48%). Academics in other countries are paying much more attention to this issue than their Japanese counterparts despite the fact that Japanese universities are increasingly confronted with the need to identify new financial sources, just as elsewhere. As pointed out previously, the national government's subsidy to higher education in Japan equates to only 0.5% of GDP which is a small proportion compared to its counterparts in other advanced countries, for example: 1.0% in the USA; and 1.2% in the EU. The national government's subsidy amounts to approximately 70% of the annual expenditure of the national sector and less than 30% in the private sector. This subsidy to the former is decreasing at an annual rate of 1% as a result of the national higher education policy, although the new government, *Minshu-Tou* (DPJ = Democratic Party of Japan), has begun to review this. In the near future, the national government's funding of national universities is estimated to decline to 50% of its current level and may ultimately reach the same level as the private sector (Arimoto 2005b).

## 14.5 Concluding Remarks

This chapter has discussed the functions of knowledge which are institutionalized in academia and also in the academic profession. Academics are involved in various knowledge functions, such as discovery, dissemination, application and control, and research, teaching, service, and management, respectively. They are expected to contribute to social development by way of pursuing their academic work so as to enhance academic productivity, especially in research and teaching. This kind of activity in academia and the academic profession is observed differently between various higher education systems throughout the world so that the outputs are likely to be quite different.

In this context, the Japanese academic profession has many traits similar to its counterparts elsewhere in the world and also has many distinctive characteristics, as illustrated in our comparative analysis of responses to the two international surveys in 1992 and 2007. In particular, we have made comparisons between Japan

and the other CAP countries, with a focus on academic work and activities and governance and management.

First, the average number of hours per week Japanese faculty spend on academic activities is amongst the highest in the world. While the time they spend on research is clearly decreasing, that spent on other activities such as teaching, and especially administration, is constantly increasing.

Second, regarding Japanese academics' preferences, their interests lie primarily in research – a trend we can recognize in other parts of the world where the balance between teaching and research has been shifting during the past 15 years. However, national higher education policy in Japan is emphasizing a greater focus on teaching on the assumption that this is required to achieve universal access to higher education.

Third, Japanese academics give their work environment including the facilities, resources, or personnel they need to support their work at low rating, compared with other CAP countries. One of the reasons for this is the low level of national support for higher education expenditure in terms of its percentage of GDP.

Fourth, Japanese academics say that affiliation to their academic discipline is more important than to their departments and institutions, similar to academics worldwide. This means their commitment to academic work including research and teaching is strong.

Fifth, a high proportion indicated that their job is a source of considerable personal strain. In addition to this, they give a much more negative response to the question, *Since you started your career, have the overall working conditions in higher education and research institutes improved or declined?* However, despite this, they are highly satisfied with their academic careers in their fields. They deny, as do academics around the world, that *if I had it to do over again, I would not become an academic*. They also rate highly their overall satisfaction with their current job.

As discussed thus far, Japanese academics are oriented to research despite the worsening research conditions due to spending many more hours than before in teaching and other activities, including administration. In addition to this, working conditions are worsening to the extent that they feel personal strain. However, it is an interesting paradox that under these kinds of worsening academic working conditions, academics' satisfaction with their current job remains significantly high.

In addition to this fact, it is also remarkable that Japanese academics' productivity, particularly research productivity, has been internationally the highest in rank order in both the 1992 and 2007 surveys. This fact is perhaps related to the orientation toward research that lasted for more than a century after the introduction of the German model, and a culture which is highly supportive of academic freedom and academic autonomy. Of course, there is a problem of inbreeding and academic nepotism which reflects a culture of particularism rather than universalism.

Sixth, if a paradox exists of the kind we have discussed, this has occurred in the context of the high academic freedom and autonomy in governance and management particular to academia in Japan. In fact, the series of answers to the following questions are high in international comparison: *At your institution, which actor has*

*the primary influence on each of the following decisions?*; *How influential are you, personally in helping to shape key academic policies?*; *By whom is your teaching, research, and service regularly evaluated?*; *At my institution there is…*; *The administration supports academic freedom*.

Seventh, comparing the involvement of academics in governance and management across the CAP countries, Japanese faculty seem to be unusually strong, although governance is typically shared. The Japanese university system imported the German system before the war, in which the chair and chair system had significant power as a bottom-up form of influence in academia, especially in the national university sector. This pattern was maintained ceaselessly in the national, private, and local universities and colleges for many years, until 2004 when the national universities became public corporations and a top-down form of management was authorized by national law. At that time the *rector* form of governance and management of the German or continental model was replaced by the *presidential* model from America. Consequently, it is said that faculty are gradually losing their traditional power in governance and management in the national universities, especially at the non-research universities.

Finally, as a result, the Japanese academy is now changing dramatically from a traditional community of knowledge to a contemporary knowledge enterprise so that the traditional research focus is being shifted toward a teaching orientation, and traditional bottom-up decision-making is substituted by top-down management. Japanese academics are experiencing increasing tensions and conflicts arising from this post-traditional direction which is perhaps similar to the experiences that academics in the West are facing, although Japanese faculty still enjoy academic freedom and autonomy to a considerable degree compared to their counterparts in other nations.

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# Chapter 15
# South Korea: Decentralized Centralization – Fading Shared Governance and Rising Managerialism

**Jung Cheol Shin**

Higher education in South Korea is one of the fastest growing markets worldwide. In Shin and Harman's study (2009), they found that the tertiary enrollment rate of Korean higher education is the highest among the OECD countries. The rapid growth of the higher education market enabled most of the college enrollment age population to access higher education. The growth of this sector affected several dimensions of higher education, e.g., the demography of student and faculty, curricula, teaching methods, quality control, and governance. For instance, the government could not control universities as it once did, and thus the government is transforming its governance from state control to a market model. In this chapter, I will briefly introduce the higher education system in Korea, and then consider recent trends in governance and management based on the CAP survey of 2008.

## 15.1 The Korean Higher Education System

### *15.1.1 Origins and Models of the Modern University*

Although a classical form of higher education to educate scholars and train public officials started in Korea in the fourth century (Kim and Woo 2009), modern higher education institutions were established in the late 1880s when Christian missionaries established such institutions (Lee 1989). During the Japanese colonial period, the Japanese colonial government established Keijo Imperial University (Kyungsung Imperial University in Korean) and some vocational colleges as public higher education institutions in Korea (Kim and Woo 2009; Lee 1989). The Keijo Imperial University was modeled on the Tokyo Imperial University which in turn was modeled on the German research universities. However, the growth of higher education

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did not occur until 1945 when Korea gained independence from Japanese control. Since then, many national, public and private higher education institutions have been established. Currently, South Korea has 199 universities offering courses of four or more years and its total enrollment is 2.15 million students in 2009.

In contrast to many European countries and the USA, the growth of Korean higher education has been led by private universities. As discussed, private higher education originated with missionary schools modeled on US private schools. For instance, Yonsei University, one of the most prestigious private higher education institutions, was established by US missionaries in 1910. Ewha Woman's University was also established by US missionaries. Thus, many private schools have been strongly influenced by US private institutions. However, some private institutions were established by Korean educators who, using the vehicle of modern higher education, sought to cultivate distinctive Korean values in the national leadership. For instance, Korea University which is a leading private university was built by a Korean educator in 1905. Korean private higher education therefore has been influenced by two models: the US originated missionary model and the domestic educator model.

In regard to the development of Korean higher education institutions, a single model does not represent the current governance of Korean higher education: rather, three models have been influential – German models (public university), the US model (private institution), and the domestic model (Korean educator model). So, it is quite difficult to specify the original or representative type of higher education in Korea. In general, however, Korean higher education is quite close to the US model (Kim and Woo 2009). For instance, the academic unit is a *department* rather than the *institute system* of continental European. Culturally, however, Korean higher education has a similarity with the continental European systems in the fact that senior faculty hold leadership in institutional decision making. Formally, therefore, while the Korean higher education system is close to the US models, culturally the system operates on the lines of the German model. Because of this complexity, the Korean higher education system has multiple dimensions and this complicates its interpretation.

### *15.1.2 Growth of the Higher Education Market and Higher Education Governance*

Since Korea gained its independence from Japan in 1945, higher education has grown exponentially over the past six decades mainly due to the establishment of many private higher education institutions. As Fig. 15.1 shows, higher education enrollment has grown since the mid-1970s when the Korean economy began to grow rapidly. The relationships between economic growth and the growth of higher education might be interpreted in different ways: Some believe that the rapid expansion of the higher education population contributed to the economic growth and others believe the opposite. Although there may or may not be a

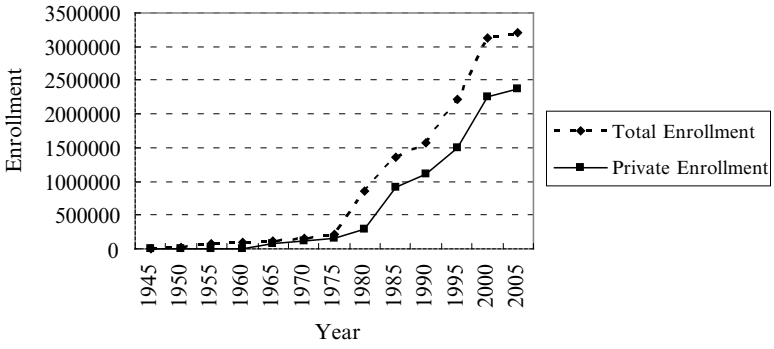


**Fig. 15.1** Growth of Korean higher education enrollment. Notes: (**a**) Total higher education enrollment is the total of student enrollment in 4-year and 2-year institutions. (**b**) Private enrollment data are available only from 1965. (**c**) Sources: Annual education statistics (Korean ministry of education)

causal relationship between the growth of higher education enrollment and economic growth, it is clear that both factors have been mutually reinforcing in South Korea.

In Korea, private institutions are under government supervision and thus the governance of private institutions is less autonomous than in the USA. For example, private institutions are legally required to provide an annual management report to the government. This is because the government has guaranteed the quality of higher education through governmental control and regulations. Thus, the difference in institutional autonomy between private and public institutions is not absolute but rather a matter of degree.

Each private university has an independent legal status as a *public corporation*, and each private university has its own board of trustees as the top decision making entity. In many universities, the board of trustees and university presidents have close relationships with each other, as the trustees or other of their family members established the private university and selected one of their members to be the president; the trustees may not include independent individuals with diverse backgrounds, compared with the diverse social backgrounds found among trustees in the USA. The composition of the board of trustees is a distinctive factor in the governance of private universities in Korea.

The governance structure of public institutions is quite different from that of private institutions. Public universities do not have external governing structures such as a board of regents or board of trustees as the incorporated US public university has. Instead, public universities have a *university council* as the top decision making entity and most of the council members are internal faculty members. Consequently, *checks and balances* and *accountability* are ongoing issues in Korean public universities. To reflect diverse external voices in public university governance, the government has attempted to include more outsiders with diverse backgrounds such as business, local community, governmental representatives etc.,

but the academics are resistant to these initiatives, fearful that the participation of outsiders may signal a decline of institutional autonomy and academic freedom.

In their relationship with the government, public universities are government organizations and thus the government tends to intervene in administrative and financial matters as it does with other governmental organizations. Within the Korean government, the Ministry of Education, Science, and Technology is in charge of education and research and development. However, there is no mediating organization such as a regional university system (e.g., state university system in the USA) that mitigates and coordinates national government control of higher education institutions.

However, government regulations have decreased since the 1990s when university accreditation was adopted and the government began to deregulate its control over higher education institutions. Since then, the government has become involved in higher education institutions through evaluation-based budget mechanisms. As Fig. 15.2 shows, the share of evaluation-based budgeting has increased enormously since the 1990s. This new mechanism is much more intensive and effective in involving higher education institutions. Thus *decentralized centralization* – Shin and Harman's term (2009) – is occurring in Korean higher education governance through evaluation-based budget mechanisms.

Recently, the government proposed allowing a public corporation status for public universities instead of government unit status to enhance the administrative and financial autonomy of public universities. The policy discussions are controversial because the academics worry that the university's share of the government budget will be decreased if the public universities are incorporated. In the matter of governance, the academics advocate two contradictory positions: "more funding, but less intervention."

Another governance aspect is the leadership of the university president because the top administrator's leadership is a critical factor in institutional competitiveness.

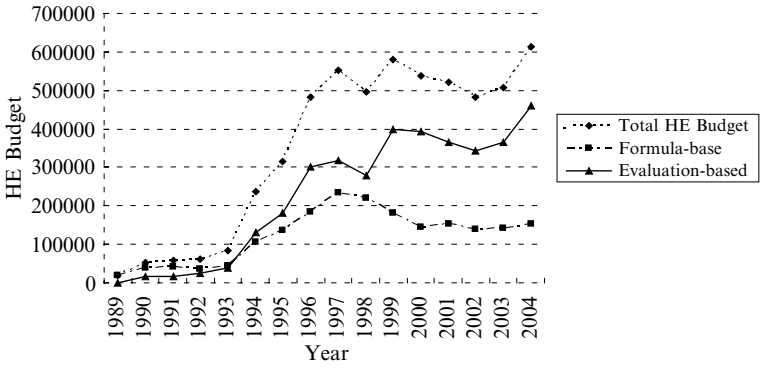


**Fig. 15.2** Share of evaluation-based budget in the total higher education budget. Notes: (**a**) Unit: Million Korean Won. (**b**) Total budget is based on the education budget (from 1989 to 2004). (**c**) Formula-based budget is the total of conventional budget and the evaluation-based budget is the total of 11 funding projects that are designed to allocate budget based on institutional evaluation. (**d**) Sources: Annual education budget (Korean ministry of education, 1989–2005)

University presidents are elected by a faculty vote in many public universities while they are appointed by the board of trustees in many of the private universities. Such differences may lead to differences in their leadership styles. For instance, the elected president may focus on satisfying the faculty demands instead of society's expectation of the university. On the other hand, the appointed president might assign the issue of accountability to the board of trustees. Consequently, elected presidents might be less aggressive in their institutional reforms while appointed presidents might demonstrate stronger leadership.

## 15.2 Method

This section introduces the population, the sample, and the analytical strategy that this study is based on. In addition, theoretical discussions on mission classification and a typology of academic disciplines follow. The method section is borrowed from the author's other paper (Shin 2009b, pp. 219–220) because this chapter is based on the same data and applied a similar analytical strategy.

### *15.2.1 Population and Sample*

The population in this study is the 52,763 full-time faculty who are affiliated with bachelor degree granting institutions in Korea. Their main functions are teaching and research. There are a few faculty whose main job is research, but most are not full-time "regular" faculty. The faculty information was obtained from the database of the Korean Research Foundation (KRF). Using the database, I applied a random sampling method to identify the sample. I collected data through an on-line survey which was sent to each faculty member's email address (available from the KRF).

We sampled 4,803 with the goal of obtaining a return rate of 20%. However, only 2,544 faculty accessed the on-line survey and of those, only 416 faculty participated. We therefore delivered the survey again to a larger sample, totalling 9,139 faculty. In the second administration, 4,283 accessed the on-line survey and 484 completed it. Overall 6,827 faculty accessed the survey and 900 completed it for a return rate of 13.2%. Details of population and sample are summarized in Table 15.1.

**Table 15.1** Sample and survey administration

| Administration | Sample | E-mail accessed | Returned |
|---|---|---|---|
| 1st (Feb.–March, 2008) | 4,814 | 2,544 (52.85%) | 416 (16.35%) |
| 2nd (April, 2008) | 9,139 | 4,283 (46.87%) | 484 (11.30%) |
| Total | 13,953 | 6,827 (48.93%) | 900 (13.18%) |

**Table 15.2** Population and sample by disciplines

| Discipline | Population (%) | Respondents (%) |
|---|---|---|
| Teacher training and education science | 2,046 (3.9%) | 113 (12.6%) |
| Humanities and arts | 11,989 (22.7%) | 152 (16.9%) |
| Social and behavioral sciences | 4,226 (8.0%) | 118 (13.1%) |
| Business and administration, economics | 3,943 (7.5%) | 60 (6.7%) |
| Law | 1,233 (2.3%) | 30 (3.3%) |
| Life sciences | 4,113 (7.8%) | 85 (9.4%) |
| Physical sciences, mathematics, computer sciences | 1,935 (3.7%) | 73 (8.1%) |
| Engineering, manufacturing and construction, architecture | 11,913 (22.6%) | 147 (16.3%) |
| Agriculture | 1,704 (3.2%) | 26 (2.9%) |
| Medical sciences, health related sciences, social services | 9,042 (17.1%) | 78 (8.7%) |
| Personal services, transport services, security services | 10 (0.0%) | 2 (0.2%) |
| Not applicable | 609 (1.2%) | 16 (1.8%) |
| Total | 52,763 (100.0%) | 900 (100.0%) |

Regarding the low return rate, we cross-checked whether our random sampling represents the population by gender, institutional sector, and faculty rank. In the cross-checking, we confirmed that the sample and survey response represented the population well except for the range of academic disciplines. Table 15.2 shows the total population, sample and response by academic disciplines. Among the 11 disciplinary areas shown in the table, engineering, humanities and arts, and medicine are underrepresented in the survey return. This may be explained by time constraints and possibly a lower interest in academic work. The low return rate of the medicine areas may be partly explained by the fact that the survey items do not sufficiently represent their disciplinary characteristics.

### *15.2.2 Analytical Strategy*

In analyzing faculty perceptions of academic governance, we pay special attention to sector differences between private and public universities because governance differences between private and public universities may lead to differences in faculty perception. In addition, our second consideration is institutional mission differences. Higher education institutions may apply different management strategies to enhance institutional performance, and therefore institutional mission differences may result in faculty's perceptual differences. Finally, disciplinary differences are emphasized because faculty perception is influenced by their academic backgrounds. Faculty in different disciplines vary in their epistemology, training of their students and scholars, communication between faculties, and their academic culture (Braxton and Hargens 1996; Lee 2004). Consequently, studies that do not

consider disciplinary differences may produce misleading results and inconsistent findings, depending on the distribution of disciplines in the sample. The following sections are brief theoretical introductions of institutional missions and academic disciplines.

This chapter narrowed its focus on the differences in institutional missions, private and public sectors, and academic disciplines, but not on the differences between the 1992 survey and 2008 survey because the research design and administration of 2008 is slightly different from that of 1992. In Korean higher education, however, there are noticeable changes between the two surveys during the last 16 years. Korean higher education has experienced stiff growth in the number of higher education institutions as well as in student enrollment. In 1990, 1,108 students were enrolling in colleges and the college enrollment has increased to 2,093 in 2005. As a result, the faculty market has been increased two times during the 15 years. In 1990, total number of faculty was 34,889 and it increased to 52,656 in 2005. Their demographic backgrounds have been changing, i.e., the number of female faculty has been increased recently. In 1990, 11.7% of total faculty were female and the proportion increased to 16.2% in 2005.

### *15.2.3 Classifying Institutional Mission*

In many academic as well as policy studies, institutional mission has been applied in diverse contexts (e.g., faculty salary, student enrollment, cultural differences, etc.). Institutional mission has implications for this study because of its impact on faculty perceptions, their workloads, and their performance. Scholars tend to classify missions according to two extremes: research-oriented and teaching-oriented missions. The mission focus has been reflected in the governance of higher education systems. Although an administrative or legal classification was abandoned in the UK and Australia, some scholars (e.g., Ramsden 1999; Patrick and Stanley 1995) apply or develop a typology to evaluate institutional performance or to analyze institutional differences.

We applied the mission classification of Korean higher education proposed by Shin (2009a). Shin classified Korean higher education institutions according to institutional performance rather than pre-determined benchmarks. According to the classification, Korea has seven research universities, 14 research active universities, and 26 doctoral universities, with the remaining universities classified as comprehensive universities. Although the classification provides detailed information on institutional characteristics and their mission focus, multiple missions are combined for simplicity in this study. In this study, we only have two missions (research vs. teaching university) because the research university may show quite different characteristics from that of the other universities: we have seven research universities with the other universities categorized as teaching universities (14 research active universities, 26 doctoral universities, and all of the remaining 4-year universities).

### *15.2.4 Typology of Academic Disciplines*

A well known study on disciplinary differences in higher education was conducted by Biglan (1973) who classified academic disciplines based on empirical evidence. Biglan classified academic disciplines by (a) hard and soft according to the existence of a single paradigm, (b) pure and applied according to whether or not they were concerned with application, and (c) life system and non-life system according to the faculty's concern with life systems. Of these three dimensions, "hard-soft" and "pure-applied" have been used in many academic studies (e.g., Paulsen and Wells 1998; Braxton and Hargens 1996; Lee 2004). By combining the two dimensions, academic disciplines are classified into one of four types: "hard-pure," "hard-applied," "soft-pure," and "soft-applied." In the hard-applied category are the engineering-related disciplines; soft-pure disciplines include arts and humanities, and some social sciences (e.g., sociology, psychology etc.); hard-pure disciplines include the sub-disciplines of the natural sciences; and soft-applied includes social sciences that emphasize practical application such as accounting, finance, economics, and education.

Table 15.3 provides the typology of academic disciplines this study is based on. There are more than 100 academic disciplines in many of the major Ph.D. granting institutions. In addition, international organizations developed an academic discipline category for international data collection purposes. For instance, there are 23 major areas in higher education in the classification by the OECD and UNESCO. Although there are more disciplinary fields in reality, most of these can be classified in each of these discipline areas according to their proximity to one of disciplines in Table 15.3 in which we classified the 23 disciplines relying on Biglan's typology of hard-soft and pure-applied dimensions. In this study, we will simply apply the hard-soft dimension because this dimension is the most widely applied in academic research. Although the typology is simple, it represents the academic characteristics of each discipline that we are interested in for this study.

**Table 15.3** Typology of academic disciplines

| Dimension | Hard disciplines | Soft disciplines |
|---|---|---|
| Pure | Life science (420), physical science (440), mathematics and statistics (460) | Humanities (220), social and behavioral science (310) |
| Applied | Computing (480), engineering (520), manufacturing and processing (540), architecture and building (580), agricultural, fishery and forest (620), veterinary (640), health (720), environmental protection (850) | Teacher training (141), education science (142), arts (210), journalism and information (320), business and administration (340), law (380), social service (760), personal service (810), transport service (840), security service (860) |

Discipline classification is available from OECD *Stat extracts (downloaded on Jan. 7, 2009)*

## 15.3 Academic Work Life

Although the focus of this book is "governance," faculty job satisfaction, workloads and their work environments are directly/indirectly related to higher education governance. Thus, I include these three factors in this section as a basis for a discussion of higher education governance.

### *15.3.1 Academic Work: Academic Scholarships and Workloads*

Comparing teaching and research, academics prefer research (67.9%) over teaching (31.9%) although they conduct both. Most Korean universities aspire to be research universities. In addition, policymakers give greater priority to research than to teaching, and the emphasis on research is reinforced by evaluation-based funding allocations. The preference has been supported by the fact that research is perceived as one source of national economic competitiveness. Universities therefore hesitate to define themselves as a teaching university because a teaching university is regarded as an inferior university. To our knowledge, only one university, Han-dong University, operated by a Christian church, has declared itself to be a teaching university.

Accordingly, the research function has been emphasized in institutional administration (e.g., institutional funding and personnel decisions). For instance, higher education institutions have begun to put more emphasis on research (32.8%) than on teaching performance (24.7%) in faculty hiring and promotion decisions. This trend has been reinforced by government policy. For example, the government proposed that an applicant for a faculty position should have published a given number of articles in scholarly journals. This guideline is applied to all the national universities regardless of their mission focus. Even applicants who apply for 2-year college positions are required to have published a certain numbers of articles.

Nevertheless, academics allocate their time to different types of academic activities, e.g., teaching, research, service, administration, and other academic activities according to institutional missions. As Table 15.4 shows, academics in research

**Table 15.4** Faculty workloads (h/week)

| Activity/mission | Research university | Teaching university | Total | | |
|---|---|---|---|---|---|
| | | | Hard discipline | Soft discipline | Total |
| Teaching | 17.8 | 21.8 | 19.9 | 22.0 | 21.1 |
| Research | 21.3 | 17.5 | 19.5 | 17.2 | 18.2 |
| Service | 5.0 | 4.6 | 4.8 | 4.6 | 4.7 |
| Administration | 6.4 | 5.9 | 6.1 | 5.9 | 6.0 |
| Other academic | 4.3 | 3.2 | 3.3 | 3.4 | 3.4 |
| Total hours | 54.8 | 53.1 | 53.6 | 53.1 | 53.4 |

Faculty workloads (h) per week

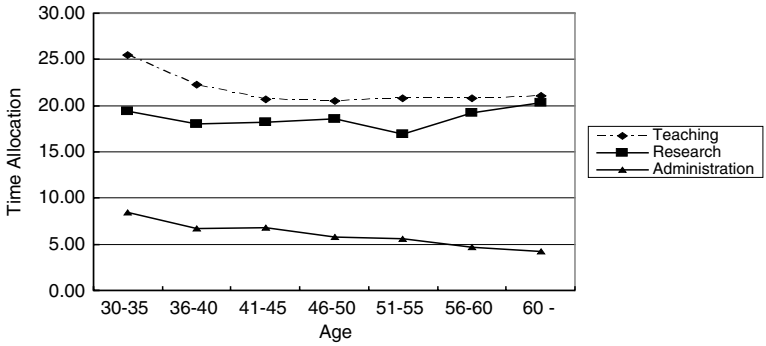


**Fig. 15.3** Faculty workloads by age (Source: Shin 2009b, p. 223)

universities spend more time on research whereas academics in teaching universities spend more time on teaching. The time allocation between disciplines is slightly different: Academics in soft disciplines spend more time on teaching while their peers in hard disciplines spend more time on research. This finding has been reported in many other studies that found that academics in the soft sciences focus on teaching while academics in the hard sciences tend to emphasize research (Biglan 1973; Braxton and Hargens 1996).

Additional analysis was undertaken by looking at faculty workload by age because the literature has found that faculty workloads vary according to faculty age (Baldwin and Blackburn 1981; Blackburn and Lawrence 1986; Bayer and Dutton 1977). As Fig. 15.3 shows, faculty time spent on teaching and administration decrease by age while time on research remains the same or increases by age. Figure 15.3 shows that junior faculty spend additional hours on teaching and administration while senior faculty spend relatively more on research. This is quite different from the USA, where mid-career or senior faculty are mostly in charge of administration.

### *15.3.2 Faculty Work Conditions*

More than half of the academics (51.3%) agree or strongly agree that faculty working environments such as classrooms, information and communication facilities, and libraries have improved during the past 15 years. In Table 15.5, faculty working environments have been classified into four categories – physical facilities, technology-related facilities, human resource-related support, and funding. This classification enables us to identify which areas of working conditions are relatively weak and to identify policy implications. As the table shows, higher education institutions invest their resources in upgrading technology related facilities (46.5% of academics agree or strongly agree with technology related facility). In fact, institutions have devoted considerable resources to technology related facilities which in turn has

**Table 15.5** Faculty evaluation on working environment (%)

| Types of environment/mission | | Research university | Teaching university | Total | | |
|---|---|---|---|---|---|---|
| | | | | Hard | Soft | Total |
| Physical facility | Classroom | 54.6 | 46.7 | 48.7 | 47.8 | 48.1 |
| | Laboratory | 33.1 | 20.4 | 27.0 | 19.4 | 22.7 |
| | Office space | 49.1 | 47.6 | 40.8 | 53.4 | 47.9 |
| | Average | 45.6 | 38.2 | 38.8 | 40.2 | 39.6 |
| Technology | Teaching technology | 52.8 | 42.3 | 42.3 | 46.0 | 44.2 |
| | Research equipment | 30.7 | 19.8 | 25.8 | 18.8 | 21.8 |
| | Computer facility | 55.2 | 49.0 | 48.0 | 52.2 | 50.1 |
| | Library and services | 54.0 | 40.6 | 42.1 | 43.6 | 43.0 |
| | Telecommunications | 82.2 | 71.5 | 70.4 | 75.8 | 73.4 |
| | Average | 55.0 | 44.6 | 45.7 | 47.3 | 46.5 |
| Human resources | Secretarial support | 25.2 | 17.2 | 15.3 | 21.2 | 18.7 |
| | Teaching support staffs | 28.2 | 10.4 | 13.3 | 14.0 | 13.7 |
| | Research support staffs | 28.2 | 7.1 | 11.7 | 10.2 | 10.9 |
| | Average | 27.2 | 11.6 | 13.4 | 15.1 | 14.4 |
| Funding | Research funding | 20.9 | 11.9 | 17.1 | 10.8 | 13.6 |

% of faculty who agree with "1" or "2" by 1 (excellence) to 5 (poor) scales

resulted in a financial burden for many higher education institutions worldwide. By contrast, fewer resources have been invested in human resources (14.4%).

Across the four types of environments, academics in research universities are highly satisfied with their working environments. This implies that research universities have better working environments than teaching universities. This finding is similar to other countries where research universities have greater student enrollment and numbers of faculty and have better financial support from diverse funding sources than teaching universities. In general, research universities have higher unit costs per student (Middaugh et al. 2003) and spend more to equip laboratories, libraries, and facilities.

At the discipline level, academics in soft disciplines are more satisfied with their working environments compared to their peers in hard disciplines. In many universities, university administrators endeavor to provide similar working environments across disciplines in order to minimize faculty complaints. Academics in the hard disciplines that require more expensive equipment to conduct experiments might feel dissatisfied with their working conditions while their peers in the soft disciplines are relatively more satisfied with theirs.

### *15.3.3 Job Satisfaction*

Faculty are highly satisfied with their job (76.9%) although they feel that their job is a source of strain (67.7%) (Table 15.6). In Korea, academics have high social status, and job security is higher than in any other job. In addition, they can stay in

**Table 15.6** Job satisfaction (%)

| Sector/mission | Research university | Teaching university | Total | | |
|---|---|---|---|---|---|
| | | | Hard disciplines | Soft disciplines | Total |
| Public university | 77.5 | 78.8 | 76.4 | 81.1 | 78.6 |
| Private university | 84.3 | 74.1 | 69.0 | 80.0 | 75.7 |
| Total | 81.0 | 76.0 | 72.4 | 80.4 | 76.9 |

% of faculty who are *very high* or *highly* satisfied

their job longer (retirement age of 65 years) than those in public office or the business sector. In public universities, where the faculty hold the status of a government official, their salary level is higher compared to other officials. On the other hand, more faculty feel their job is stressful compared to those surveyed in 1992. This may be related to the adoption of performance-oriented management as discussed in the governance section. Academics are under pressure to publish more articles in international journals as well as domestic journals, and they are expected to bring in more external funding. Nevertheless, only 8.2% of the academics said they would not become faculty again if they had a chance to choose their job. In general, therefore, faculty are very satisfied with their job despite stress.

Among different types of institutional missions, more of the academics in research universities report job satisfaction (81.0%) than those in teaching universities (76.0%). Research universities have a better reputation than non-research universities, and consequently attract more highly qualified students than do non-research universities. In addition, because of their status as faculty of 'research' universities, academics enjoy benefits associated with their high social reputation. In addition, the graduates of high reputation universities tend to maintain an affiliation with their university after graduation, and thus current student-alumni members have stronger social networking in their academic as well as social life. This in turn increases the possibility that the academics in high reputation universities have a greater chance of attracting research support through their alumni networks.

When comparing hard and soft disciplines, academics in soft disciplines are more satisfied with their job than their peers in hard disciplines. This may be related to research requirements: Faculty in the hard disciplines are expected to produce more articles in international journals than their peers in soft disciplines. In addition, academics in hard disciplines tend to engage in rigorous competition with their peers worldwide. As peers, they recognize each others' research accomplishments through academic journals while those in soft disciplines are less sensitive to the academic accomplishments of their colleagues. In general, therefore, the greater pressure in the hard disciplines leads to lower satisfaction.

When the comparison is made between public and private universities, academics in private universities are more satisfied with their jobs. However, job satisfaction between private and public universities is complicated when comparing research universities and teaching universities. More academics in private research universities are satisfied (84.3%) than their peers in public research universities (77.5%). On the other hand, within teaching universities, more academics in public

universities are satisfied (78.8%) than their peers in private universities (74.1%). This contrasting finding between private and public universities may be explained by their working conditions. Generally, for instance, academics in public research universities are paid less than their colleagues in private research universities, while academics in public teaching universities are paid more than their colleagues in private teaching universities. This is because academics in public universities are paid according to single salary criteria regardless of whether they are in a research or a teaching institution, whether their institution is in a region with a high or low cost of living, or whether their research performance is high or low. (Although there are slight salary differences according to their performance among faculty in the public university, the difference is quite small.) Many of the private universities pay according to different criteria.

## 15.4 Governance of Korean Higher Education

Higher education governance has two dimensions: decision making in the context of external relations and faculty participation in institutional contexts. In academic research, scholars view freedom from external bodies as *institutional autonomy*. The other dimension, faculty participation, is related to *shared governance* in decision making among institutional leaders, faculty members, and students. In the following sections, I focus both on government-university relations and faculty participation in institutional decision making.

### *15.4.1 Government-University Relationships*

Governments become involved in higher education institutions in diverse ways. In the past, the interventions were more direct; these days governments tend to intervene in higher education institutions in indirect ways. For example, in many countries, governments establish quality assurance agencies to monitor the quality of education instead of relying on direct government regulation (Shin and Harman 2009). In addition, governments allocate funds based on an evaluation of institutional performance. With decreasing government involvement in the 1990s and 2000s, the academics may feel institutional autonomy has been increasing.

In South Korea, the government–university relationship is a sensitive political issue between government and higher education institutions. University leaders often argue that government regulation is an obstacle to enhancing institutional competitiveness while the government argues that most of the legal regulations have been eliminated since the mid-1990s (Shin et al. 2007). This study provides empirical evidence concerning the controversies between the government and higher education institutions.

For an in-depth analysis, we classified core decision-making items into two categories: substantive areas (academic affairs) and procedural areas (administrative affairs) as Berdahl proposed (1971). As Table 15.7 shows, academics perceive that

**Table 15.7** Main stakeholders in academic and administrative affairs

| Procedural or substantive | Decision areas | Public | | | Private | | | Total | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Government | Administration | Collegiality | Government | Administration | Collegiality | Government | Administration | Collegiality |
| Academic-related | Choosing new faculty | 0.0 | 37.0 | 62.7 | 0.4 | 60.0 | 39.1 | 0.2 | 50.4 | 48.9 |
| | Faculty promotion/ tenure decision | 0.3 | 45.0 | 54.2 | 0.2 | 63.0 | 36.6 | 0.2 | 55.6 | 43.9 |
| | Evaluating research | 1.6 | 29.8 | 67.3 | 1.1 | 36.2 | 60.9 | 1.3 | 33.6 | 63.6 |
| | Evaluating teaching | 0.0 | 36.2 | 10.7 | 0.0 | 33.6 | 8.5 | 0.0 | 34.7 | 9.4 |
| | Research priority | 0.8 | 57.6 | 41.0 | 0.9 | 64.1 | 34.3 | 0.9 | 61.4 | 37.1 |
| | Admission standard | 5.9 | 64.9 | 27.6 | 1.9 | 76.1 | 21.1 | 3.6 | 71.4 | 23.8 |
| | New academic program | 3.8 | 58.2 | 37.3 | 1.1 | 67.0 | 31.1 | 2.2 | 63.3 | 33.7 |
| | Average | 1.8 | 47.0 | 43.0 | 0.8 | 57.1 | 33.1 | 1.2 | 52.9 | 37.2 |
| Administration-related | Selecting key administrators | 0.5 | 86.1 | 12.6 | 0.8 | 93.2 | 5.9 | 0.7 | 90.2 | 8.7 |
| | Budget priority | 4.0 | 80.2 | 15.3 | 0.4 | 93.5 | 5.1 | 1.9 | 88.0 | 9.3 |
| | Determining teaching load | 4.0 | 67.6 | 27.9 | 0.0 | 77.8 | 21.6 | 1.7 | 73.6 | 24.2 |
| | Establishing international linkages | 1.6 | 77.2 | 19.6 | 0.2 | 80.8 | 17.6 | 0.8 | 79.3 | 18.4 |
| | Average | 2.5 | 77.8 | 18.9 | 0.4 | 86.3 | 12.6 | 1.3 | 82.8 | 15.2 |

% of faculty agreeing with the survey item

the government or external stakeholder is not the main decision-maker in procedural or academic matters. In the table, institutional leaders and academic unit leaders are categorized as "administrators"; and, faculty committee and faculty boards, and individual faculty are categorized as "collegiality." Among the main stakeholders, we did not focus on students since student participation is not a serious issue in the analysis.

As the table shows, academics who agree that the government or external stakeholders have the primary influence were less than 2% across private and public universities and across academic and administrative areas. This finding implies that government regulation has declined and that most decisions are made at the institution level by university managers or academic unit (college or department) managers, or the faculty as a group, or individually. The government participates in institutional decisions such as admission standards (3.6%) and approving new academic programs (2.2%). In Korea, the admission standard is a critical issue, leading to government involvement in setting admission standards to some extent. In addition, approving a new academic program requires additional budget and governmental approval although much of the critical decision making has been conducted at the institution level.

### *15.4.2 Institutional Governance and Collegiality*

With the deregulation since the late 1990s, internal decision making is critical in understanding the governance of higher education. Within higher education institutions, there are four levels of decision making authority: the university administration which is called the "university center", the "academic unit" such as a college or department (or institute), the "faculty committee or faculty board," and "individual" faculty. The allocation of decision making authority between these four levels differs according to the higher education systems of different countries. As Clark (1983) described in his book, continental Europe and Japan which have the *chair system* tend to empower individual senior professors of institutes and most of the decision making is conducted by a few senior professors. The USA and some other countries that have a *department system* which tends to empower individual faculty or their committees (or faculty boards).

In emphasizing external accountability, however, the decision making power tends to move from the chair (in the chair system) or faculty (in the department system) to an administrative unit such as a college or university center. This leads individual academics to perceive themselves as isolated from the critical decision making at their institutions. As shown in Table 15.5, the majority of Korean academics perceive administrators to have the power of decision making in academic affairs (52.9%) as well as administrative affairs (82.8%). Between academic and administrative affairs, academics perceive themselves as more influential in academic affairs. In academic affairs, faculty influence differs across different administrative hierarchies (department, college, and university levels).

In academic affairs, as shown in Table 15.8, academics feel that they are influential at the department level (58.2%), but less so at the college (26.3%) or university levels (18.9%). This finding can be interpreted in various ways. First of all, academics are actively involved in academic affairs at the department level, but a very limited number participate in decision making processes at the college or university level. Most decisions at the upper levels are made by faculty committees in which a very limited number of academics participate. This finding represents the natural tendency of hierarchical structures: namely, that fewer people participate in decision making at upper levels. In the survey item about collegiality of decision making at the institution level, only 18.1% of faculty agreed that institutional decision making is *collegial*. Academics perceive that decision making is administrator-centered at the institution level but collegial at the department level.

For further analysis, the data were broken down into sectors and institutional missions. An interesting finding is that faculty in research universities across public and private sectors are less influential at the department level than their peers in non-research universities. This finding is the reverse of the general trend in other countries where faculty in research universities are generally more collegial in their decision making than their peers in teaching universities (Altbach et al. 2009). This finding may be related to the performance-based management of Korean research universities where universities encouraged national and international competitiveness in order to obtain special research funds given by the Korean government, e.g., the Brain Korea 21 Project. The department heads' strong leadership to obtain competitively awarded funds in research universities where the conventional faculty-oriented culture was dominant might lead to less collegiality among faculty members.

## 15.5 Institutional Management and Leadership

When faculty collegiality was widely applied in institutional governance, management and institutional leadership was not a critical issue. With the emphasis on institutional accountability in the 1990s, however, the president has been considered an institutional manager parallel to the president of a private company manager, and the leadership of presidents has become a critical issue in higher education research as well as in practice.

### *15.5.1 Institutional Management: New Public Management*

With the emphasis on university management, the *New Public Management* which emphasizes institutional performance, competition, and market value has been widely applied since the early 1990s. This transformed the role of institutional leaders, mainly presidents, from being seen as colleagues to managers in charge of meeting external and internal accountability. The influence of new public

**Table 15.8** Faculty influence in academic affairs (%)

| | Public | | | Private | | | Total | | |
|---|---|---|---|---|---|---|---|---|---|
| Level/sector | Research | Teaching | Total | Research | Teaching | Total | Research | Teaching | Total |
| Department | 56.3 | 61.1 | 60.1 | 45.8 | 59.0 | 57.0 | 50.9 | 59.8 | 58.2 |
| College | 26.3 | 25.3 | 25.5 | 21.7 | 27.9 | 27.0 | 26.9 | 26.9 | 26.3 |
| University | 11.3 | 19.8 | 18.0 | 16.9 | 20.2 | 20.0 | 19.9 | 19.9 | 18.9 |

% of faculty agreeing with *very influential* or *somewhat influential*

**Table 15.9** Performance-based management (%)

| Performance-based management | Public | | | Private | | | Total |
|---|---|---|---|---|---|---|---|
| | Research | Teaching | Total | Research | Teaching | Total | |
| Performance orientation | 62.5 | 59.0 | 59.8 | 81.9 | 61.5 | 64.7 | 62.7 |
| Performance-based budget allocation | 32.5 | 33.8 | 33.5 | 36.1 | 33.8 | 34.2 | 33.9 |
| Enrollment-based funding | 56.3 | 68.3 | 65.7 | 43.4 | 66.2 | 62.6 | 63.9 |
| Research quality based Personnel | 51.3 | 28.7 | 33.5 | 41.0 | 30.6 | 32.3 | 32.8 |
| Teaching quality based personnel | 33.8 | 19.8 | 22.8 | 20.5 | 25.0 | 24.3 | 23.7 |
| Encouraging entrepreneurial activities | 13.8 | 30.4 | 26.8 | 20.5 | 30.9 | 29.2 | 28.2 |

% of faculty who are *strongly agree* or *agree* with the survey item

management can be found in the institution's vision and strategic plan, and reflected in its approach to management. Institutional leaders began to consider an academic unit's performance in institutional budget allocation or faculty performance in faculty personnel decisions.

As Table 15.9 shows, academics believe that their institutions have a strong performance orientation (62.7%). This finding implies that institutional leaders assign priority to enhancing institutional performance. In reality, however, the performance orientation has not been widely applied to internal budget allocation. For instance, only 33.9% of the academics agree that their institutions allocate the budget according to performance; rather the majority assert that their institutions still allocate the budget based on an enrollment headcount (63.9%). In addition, institutions generally do not consider their faculty's academic performance (research or teaching quality) in their faculty personnel decisions.

These finding show that institutional management has been changing, but these changes have appeared slowly at the institution level. In their survey on performance-based budgeting and funding programs in the USA, Burke and Minassians (2003) found that the performance-based reforms had not filtered down to the college or department level, although the state governments emphasized institutional performance in state budget allocations. The findings show that performance-based management is not institutionalized in higher education management practice. There may be continuous conflicts between institutional leaders who are relatively aggressive and academics who are conservative with respect to performance-based management. One prediction we offer is that the new public management will be incrementally institutionalized at the department and individual faculty level as time passes.

For detailed analysis, the data were broken down into sectors and institutional missions. Presumably, the private universities would emphasize performance-based management in institutional funding allocation and personnel decisions, and also

would encourage entrepreneurial activities. However, concerning performance-based management there is no noticeable difference between private and public universities while there are differences between research and teaching universities. For instance, faculty promotion and tenure is more affected by research in research universities than in teaching universities. This finding implies that research universities are at the frontier of management innovation. This is because research universities are competing with their peers worldwide and thus they are sensitive to management reforms globally.

### *15.5.2 Academic Leadership*

In discussing institutional governance and management, the leadership of university administrators' (e.g., president, vice-president) is a critical component because decision making authority has been moving up to university administrators as Table 15.10 shows. However, Korean academics do not have a favorable view of the management style of their institutional leaders. Their management style is viewed as top-down (50.4%) and institutional leaders do not communicate well with their academic staff (only 20.2% of the academics perceive that their administrators communicate well with them). In reality, only 18% of the faculty answered that decision-making at their institution is collegial, which means decision making is carried out by administrators rather than faculty collegiality. Thus only 27.3% of respondents believe that their leaders show competent leadership.

In summary, university administrators have centralized decision-making, but they are not perceived by the academic community as being competent. This complicated situation might be related to the election of university presidents by faculty voting.

**Table 15.10** Academic leadership (%)

| Management & leadership | Public | | | Private | | | Total |
|---|---|---|---|---|---|---|---|
| | Research | Teaching | Total | Research | Teaching | Total | |
| Top administrators leadership | 45.0 | 23.5 | 28.2 | 43.4 | 23.6 | 26.8 | 27.3 |
| Emphasis on mission | 58.8 | 41.0 | 44.8 | 62.7 | 51.6 | 53.3 | 49.8 |
| Top-down management | 46.3 | 39.6 | 41.0 | 50.6 | 58.3 | 57.1 | 50.4 |
| Good communication | 21.3 | 21.2 | 21.2 | 25.3 | 18.5 | 19.5 | 20.2 |
| Cumbersome processes | 66.3 | 57.3 | 59.2 | 45.8 | 48.0 | 47.6 | 52.4 |
| Supportive attitude toward teaching | 27.5 | 21.5 | 22.8 | 43.4 | 29.1 | 31.3 | 27.8 |
| Supportive attitude toward research | 22.5 | 18.4 | 19.3 | 37.3 | 23.6 | 25.8 | 23.1 |

% of faculty who are *strongly agree* or *agree* with the survey item

Since the early 1990s, many higher education institutions have begun to elect their president by faculty voting rather than appointment by a board of trustees or by the government. Consequently institutional leaders have been considered as institutional politicians, rather than managers of an organization since the faculty voting was adopted.

Because the university president is elected, most of the decisions at the institution level are the result of a compromise between faculty members. To make decisions on critical institutional matters, university presidents organize committees, which means decisions are pending for a long time without clear decisions. In this setting, presidents might not make timely decisions on critical matters because they are concerned about the faculty's objections. Under the challenging environment of the twenty-first century, a lack of leadership is fatal in developing institutional competitiveness. To transform the election of university presidents, the Ministry of Education set out to reform faculty voting but was unsuccessful. The election of presidents by the faculty continues to be controversial with policymakers.

## 15.6 Concluding Remarks

The members of the academy in Korea are very satisfied with their jobs. This satisfaction is related to a fairly high salary, relatively good working environments and the social reputation that accompanies their job. Faculty workloads vary according to age. This is particularly noticeable in relation to the teaching and administrative loads of junior faculty. In Korea, junior faculty spend much of their time in teaching and administration while in the USA and other countries this is done by mid-career or senior faculty. In the western context, teaching and administration are done more by senior faculty, but in Korean universities, junior faculty are in charge of teaching and administrative work.

Higher education was decentralized in the 1990s and academics perceive that the government is not an influential stakeholder in academic and administrative affairs across public and private universities. This is quite different from the general belief that institutional autonomy is weak in Korean higher education. As this study shows, academics perceive that most decisions are conducted at the institutional level (university center, college, or discipline level).

Within higher education institutions, decision making is carried out at the higher levels (college or university center) rather than through the collegiality of the academic community. This structure shows *decentralized* (between government-university relationships) *centralization* (within higher education institution). Collegiality or shared governance is losing its influence in the current Korean higher education governance. Notwithstanding the centralized institutional governance, academic leaders demonstrate inefficient leadership which may be related to the faculty voting system in university president elections.

In general, the governance of Korean higher education is quite similar to that of other countries in its evolution. These same trends have been observed in South

Korea as well as in other countries because the intense competition between universities worldwide tends to push higher education in similar directions. Today, academics enjoy a better working environment, but they work harder with less academic freedom and with less autonomy due to highly sophisticated institutional managerialism.

**Acknowledgment** This chapter is based on author's presentations at the 33rd Conference of the *Association for the Study of Higher Education* (ASHE) in 2008 and the *International Conference on Changing Academic Professions* hosted by University of Melbourne in 2009. Partial fulfilment of this work was supported by the National Research Foundation of Korea Grant funded by the Korean Government (NRF-2010-B00232).

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# Chapter 16
# Hong Kong: Governance and the Double-Edged Academy

**Gerard Postiglione and Wang Shiru**

Academia worldwide has changed more in the last 20 years than in the previous 100 (Enders and Fulton 2002). Massification, internationalization, and the knowledge economy discourse have bred new forms of governance, characterized by an almost global convergence of university management practices (TFHES 2000; Odin and Manicas 2004). These changes have had profound implications for the academic profession (Altbach 2000; RIHE 2008).

While some contend that new forms of academic governance have driven a stake through the heart of the university, others point to increased efficiency and relevance to economic growth and social development (Bok 2003; Evans 2004). Regardless, there is general agreement that the professoriate remains a determinant force shaping the quality and direction of higher education (Enders 2006). There is also a consensus that sustaining a highly talented and deeply committed core of scholars requires an atmosphere of free intellectual inquiry and attractive material conditions (World Bank 2002).

Within the global academy, a great amount of change has occurred in East Asia, not only in terms of expansion and academic productivity in research output, but also in the aspirations of universities to attain world class status (Altbach and Umakoshi 2004; Altbach and Balan 2007; Postiglione and Mak 1997; Postiglione 2002, 2011). This has been accompanied by a massive state investment, increased international collaboration, intensification of market forces, a burgeoning private sector in higher education, and a reinvigoration of traditional values into academic life (Postiglione et al. 2010).

This chapter focuses on Hong Kong because it has the highest density of internationally ranked universities in Asia within a system that has evolved into a

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cultural bridge between China and the West (Postiglione 2005, 2009). Sustaining an independent academy not only ensures Hong Kong's current status as the most autonomous area of China but also contributes to China's steady economic rise within the world system (Yang 2002). The local, regional, and global characteristics of the academic profession in Hong Kong, coupled with the compactness and interconnectedness of its government-supported but institutionally autonomous system of universities, make Hong Kong a unique case among the systems included in this volume.

## 16.1 Context: Hong Kong's Higher Education

Universities in Hong Kong evolved in a British colony and a Special Administrative Region of China (Chan and Postiglione 1997; Chan and So 2002). The University of Hong Kong, established in 1911 with the goal of contributing to China's modernization, stood alone for over 50 years until the growth of Chinese medium secondary schools in mid-Century led to the founding of the Chinese University of Hong Kong in 1964. By 1981, only 2% of the relevant age group (18–21 years old) had a university place, a figure that increased to 8% by 1989 when a sudden emigration set a further expansion in motion that doubled enrolments. By 1997, Hong Kong's seven universities catered for about 16% of the age cohort, with another 9% enrolled in sub-degree places of other postsecondary institutions. By 2006, degree-place enrolment reached 18% but, together with all forms of postsecondary education, the figure reached 60%.

Hong Kong hosted 12 degree-granting institutions as of 2007. Roles accorded by the University Grants Committee prompt us to distinguish two types of institutions which we will refer to here as *Type I & II institutions. Type I* (Three institutions) are those that "offer research postgraduate programs for a *significant* number of students in selected subject areas." *Type II institutions* (five institutions) are those that "offer *a number of* taught postgraduate programmes and research postgraduate programmes in selected subject areas." The remaining three institutions (also Type II) are modest in scale and singularly focused on teaching.

All universities are approaching a historic turning point when, in 2012, the length of secondary school is reduced by 1 year, and universities institute a foundation year that extends the standard bachelor degree length from 3 to 4 years (Hong Kong Bureau of Education and Manpower: http://www.edb.gov.hk/FileManager/EN/Content_2174/consultation%20 document291004.pdf). While the reasons for the change are educational, it nonetheless brings Hong Kong's university system in line with those of its two major trading partners, mainland China and the USA.

Competition among institutions of higher education for the best students and most resources has intensified and new incentives have been introduced to enhance cross-institutional collaboration as a way of cutting costs and strengthening areas of teaching and research (Sutherland 2002). Hong Kong's modest size places it at

the mercy of external global trends which necessitate a continual rethinking of its higher education strategy, especially in terms of academic staffing. A 2004 Report by the University Grants Committee of Hong Kong entitled: *To Make a Difference: To Move with the Times,* highlights the critical role of a locally engaged and committed faculty:

> … it is also important to nurture a core of local faculty who give stability, local character, and cultural and intellectual rootedness to local universities, and engage themselves heavily with the local community. Their social and public role is vital to the development of a civil society and the quality of life (University Grants Committee 1994).

### *16.1.1 Governance Reforms in Higher Education*

Governance in Hong Kong higher education is increasingly in tune with global business discourse of efficiency, quality, and accountability. There is an unmistakable stress on the role of education in Hong Kong's global competitiveness. Such an economic rationalism has resulted in an intensification of managerialism in higher education.

The University Grants Committee (UGC), an advisory body composed of academics and non-academic professionals from Hong Kong and overseas played a proactive role in emphasizing business-oriented values and facilitating a series of "quality assurance system" measures that link resource allocation directly to performance. The Research Assessment Exercise (RAE), a funding methodology in which academic departments are evaluated and rated as cost centers, has also been influential. Research output has become the dominant factor in appointment, promotion, tenure, contract renewal and extension of service beyond retirement. Aside from the RAE, a teaching and learning quality process review (TLQPR) is not directly linked to the allocation of funds among the institutions but has become a symbol for assuring teaching and learning quality. UGC has also instituted a review that focuses on six aspects of institutional management: whether an effective strategic plan can be developed; whether resources are efficiently allocated; whether plans can be fully implemented; whether roles and responsibilities are clearly defined and training is sufficient; whether designated roles and responsibilities are completely fulfilled; whether services are well delivered; and whether the management information system is functioning.

Chan (2002) has referred to these reviews as "a 'value-for-money' audit and a landmark for intervention into the governance of local universities in the quest for quality." Nevertheless, universities in Hong Kong retain a great deal of autonomy from government and have at times even resisted the proposals by the Minister of Education to steer the system, consolidate institutions, and influence academic discourse about the reform agenda. Hence, it seems that university administrators' policy power remains rather intact. Within universities, an executive lead management style still holds sway. With the professionalization of management, the role of the Faculty in the day to day running of the university has declined.

Universities were relatively insulated from the ethos of Hong Kong business practices until the expansion of 1989. As more funds were invested in the largely government supported system of higher education and the unit cost per student reached notable heights, there was an intensified focus on attaining quality, efficiency and financial accountability. The Asian Financial Crisis that began in 1997 pushed universities to become more active in fundraising through donations as well as more market-driven in the approach to research and instructional services. The global recession reinforced this approach.

An increased reliance on performance-oriented management practices has brought new pressures on academic life. This has occurred alongside improvements in support for academic upgrading activities, as well as sustained support for academic freedom. Hong Kong academics were far from alone in experiencing profound changes in the governance of their institutions. Where they express similar perspectives as well as divergent views from other sectors of the global academy will be the subject of the examination and analysis that follows.

## 16.2 The Second International Study of the Changing Academic Profession

The second international survey was carried out in 19 countries/systems over 2007–2008. The common aim was to complete an "effective" sample of 800 academic staff in degree-granting institutions. Taking into account the design effect and the low expected response rate of a non-face-to-face survey, country sample frames typically targeted from 2,000 to 4,000 faculty members. Some countries used mail surveys and others electronic. The Changing Academic Profession (CAP) survey data allow for multi-level (cross-national and within country) comparisons of numerous factual and perceived features of the academic profession in 2007 (circa 400 variables). Additionally, the 2007 Hong Kong data can also be contrasted against those from the first study of the academic profession conducted in 1992–1993 (circa 200 variables), in order to map out the academics' perceptions of change and change as reflected in the experience and perceptions of academics over time. In the following cross-country/system analysis, 18 cases are included.

### *16.2.1 The Hong Kong CAP Study*

The Hong Kong CAP data were collected through questionnaires consisting of 53 questions in six sections developed by the international CAP team and modified by the Hong Kong CAP team in accordance with specific characteristics of the Hong Kong higher education system. The survey work was contracted to the Social

Sciences Research Centre (SSRC) of the University of Hong Kong. A pilot study was conducted in May 2007 on the basis of which selected questions were modified before the main survey was conducted in June across 11 institutions of higher education. Preceding the survey, an article appeared in the Hong Kong press that outlined the significance of this research and urged academic staff to participate. Each institution had a senior academic who acted as the CAP affiliate and in certain cases reminded academic staff to complete their survey questionnaire.

Hong Kong academics were sent a survey package comprised of a cover letter with a two page explanation of the CAP project, the survey questionnaire and a stamped envelope addressed to the Social Science Research Centre (SSRC) for returning the survey. The survey packages were distributed in bulk to each department of each institution, and academic staff received the survey via their office in-trays. A reminder card was sent after a 10-day period, followed by a second reminder. Reminder e-mails were also sent by the institutional affiliates.

During June to August 2007, respondents returned their completed surveys to SSRC. A total of over 811 questionnaires were sent back via the post, institutional affiliates, and the project assistant. SSRC handled data input and cleaning. A data set and codebook were delivered to the Hong Kong CAP team in January 2008.

### *16.2.2 The Representativeness of the Hong Kong Sample*

When compared with the official profile of academic staff reported by the UGC, the Hong Kong CAP sample survey captures a relatively less bottom heavy structure in terms of academic ranks. The 2006/2007 official population figures report that nearly three quarters (74%) of Hong Kong academics are of ranks equivalent to or below the assistant professorship, including teaching fellows, teaching assistants, instructors, etc.[1] As Fig. 16.1 indicates, however, the 2007 CAP sample over-represents senior academics, with more than half (51.7%) being associate professors or professors (as compared with the actual population distribution of a quarter). This is because teaching fellows/instructors are more likely employed on a part-time or temporary basis and hard to access in the survey, which is not the case for most senior academic staff. Regarding gender distribution, the CAP data reflect exactly the population, consisting of around one-third female and two-thirds male.

Focusing on the pattern of governance and the structure of management in higher education, this chapter lays out some major features of the current Hong

[1] The population data are calculated by merging official data on the population of academics in the eight public-funded universities in Hong Kong (statistics reported by the University Grants Committee at http://www.ugc.edu.hk/eng/ugc/index.htm) and estimated data on those in the three additional institutions which are also included in the sample.

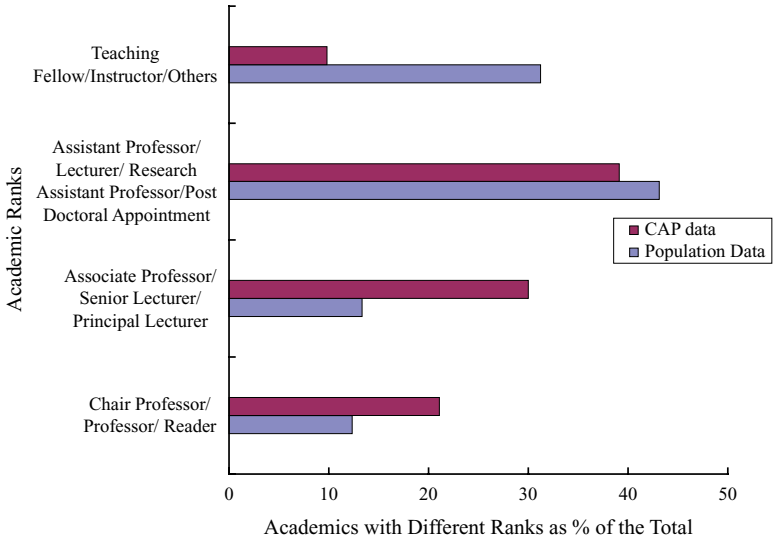


**Fig. 16.1** Sample representative of 2007 Hong Kong data

Kong higher education system by comparing it with 17 other systems included in the international CAP sample. In the following section, overall academic preferences and working conditions will be first illustrated briefly in order to draw out the larger picture of higher education in Hong Kong for later analyses focused on the dominant characteristics of university governance and management in this case.

## 16.3 Academic Work and Its Conditions in Hong Kong

Academic work is generally divided into four parts: teaching, research, administrative work, and service. Faculty members often struggle to distribute their work hours among these categories. Academics' preferences are affected by institutional requirements, the nature of their positions, and their primary interests. CAP data generally demonstrate that the majority of academics in most countries are research-oriented. The case of Hong Kong stands roughly in the middle.

### *16.3.1 Academic Work: Division of Labor*

As indicated in Fig. 16.2, responses to the question "do your interests lie primarily in teaching or research?" reveal an overall tendency to favor research over teaching. This was true in both the 1993 and 2007 surveys. About 10% more respondents expressed their primary interest as leaning toward research in 2007 than in 1993.

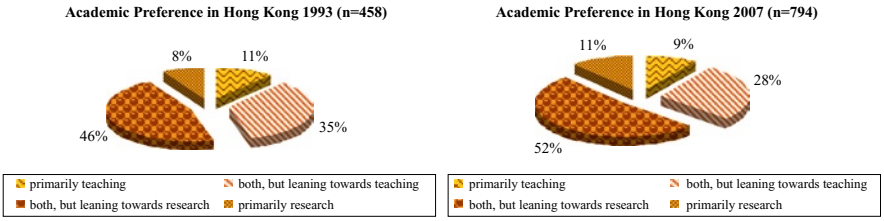


**Fig. 16.2** Over-time change of academic preferences in Hong Kong

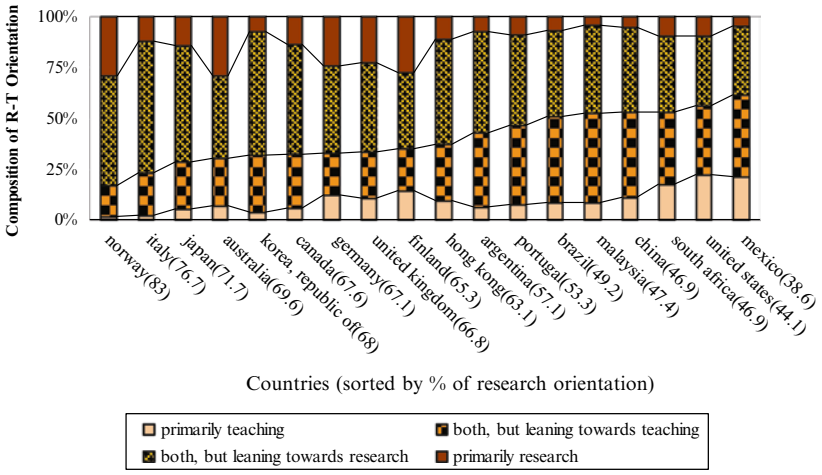


**Fig. 16.3** Research vs. teaching by country

As of 2007, according to Fig. 16.3, in only 6 out of the 18 countries, including Mexico, the USA, South Africa, China, Malaysia and Brazil, do research-interested academic staff account for less than a half of the sample. Hong Kong in this comparative framework takes a position in middle.[2]

Academic interests should be reflected in the balance of time dedicated to teaching and research. Table 16.1 reports mean percentages of the total work time devoted to modes of academic work. Teaching appears to be the most time-consuming category of academic work both in 1993 and 2007. Around 45% of the total work hours are allocated to teaching, and only slightly more than a quarter of total time is

[2] As survey design effect has not yet been taken into consideration, we do not claim that the following analyses and discussion speak necessarily to the academic population in each country. Arguments made in the following sections are merely based upon some statistics generated from raw data in the sample. The data will be weighed against some key traits of the population (such as their academic rank, discipline and gender), and some comprehensive statistical analyses will be included in later studies. Thus later in this chapter, the comparison among countries is merely based upon self-selected observations (the response rate is around 11% for the case of Hong Kong) instead of the estimation of the population of each country.

**Table 16.1** Division of academic labor (mean%) in Hong Kong

| | Teaching | | Research | | Service | | Administration | | Others | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Class in session | Not in session | Class in session | Not in session | Class in session | Not in session | Class in session | Not in session | Class in session | Not in session |
| 2007 | 44.5 | 17.1 | 27.8 | 50.2 | 6.7 | 8.5 | 14.7 | 16.5 | 6.3 | 7.6 |
| 1993 | 45.5 | 19.2 | 25.5 | 47.3 | 7.2 | 8.7 | 16.2 | 17.3 | 5.7 | 7.6 |

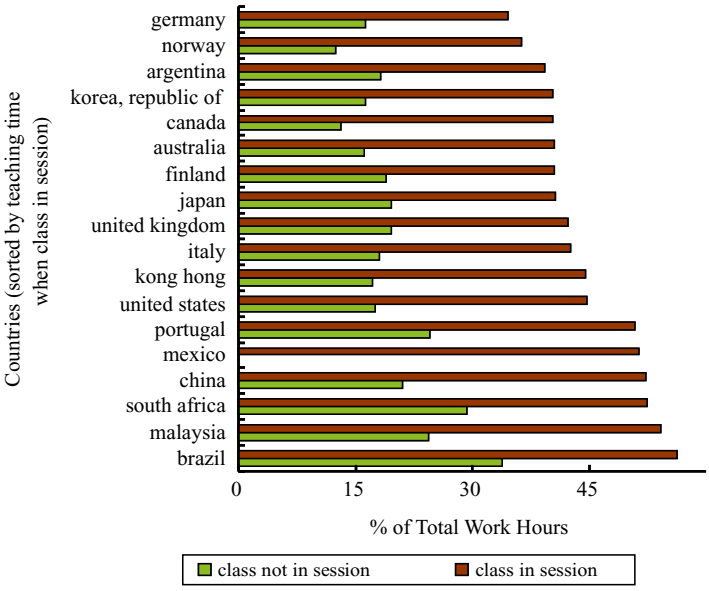


**Fig. 16.4** Time spent on teaching: class in session vs. not

occupied by research related work. The remaining hours are spread between service and administration. When class is not in session, the time for teaching-relevant work is reduced to less than 20% of the total work hours, while research work increases to around half of the time. Comparing 1993 and 2007 data does not indicate any significant alteration. The time dedicated to research is only about 2% more in 2007 than 1993, while the time spent on teaching is reduced by 1%, and hours on service/administration/other activity drop by around 1.4%. The figures for 1993 and 2007 show similar such patterns for time spent when class is not in session.

Figures 16.4 and 16.5 contrast the country-level average percentages of the total work time spent on teaching and research, respectively, when class is and is not in session.[3] Countries vary in this regard, but generally speaking, teaching occupies about 35–56% of total work time, which drops to between 12% and 34% when classes are not in session. Germany, Norway and Argentina allocate the least amount of time, less than 40% of total work time, to teaching (classes in session); whereas academics in Mexico, China, South Africa, Malaysia, and Brazil spend the majority of their work hours on teaching-relevant activities (classes in session).

[3] Data when class is not in session are not available for the case of Mexico.

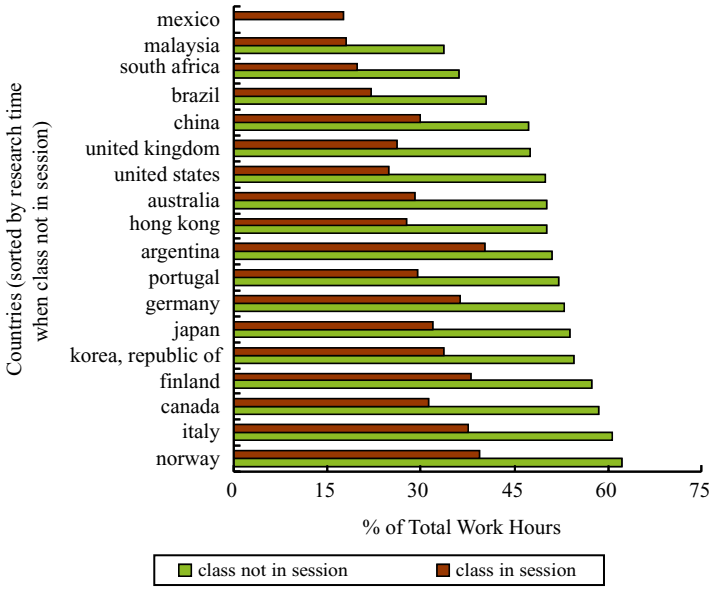


**Fig. 16.5** Time spent on research: class in session vs. not

When class is not in session, the majority of academics increase their time on research, ranging from 34% to 62%, especially for Norwegian and Italian professors who spend more than 60% of their total work time on research. Teaching-related work time dominates (classes not in session) in Brazil, Malaysia, South Africa, and China. When class are in session, the time for research is reduced to 18–40%. Hong Kong tends toward the middle of the international comparisons with respect to time spent on teaching and research.

In addition to academic preferences and the division of labor of the professionals, the quality of working conditions constructs the other important component as the background as well as one of the results of university management.

### *16.3.2 Working Conditions*

In response to the question "Since you started your career, have the overall working conditions in higher education improved or declined?" academics in most countries do not perceive much improvement since they began their careers, illustrated in Fig. 16.6 (although individual responses certainly vary much in each case).[4] Only six countries (China, Malaysia, South Korea, Argentina, Mexico and the USA)

[4] In the original format, respondents are asked to choose between Scale 1 and 5, with "1" meaning "very much improved" and "5" "very much deteriorated." For the sake of illustration, the answers have been rescaled so that "−2" means "very much deteriorated", "2" "very much improved", and "0" neutral.

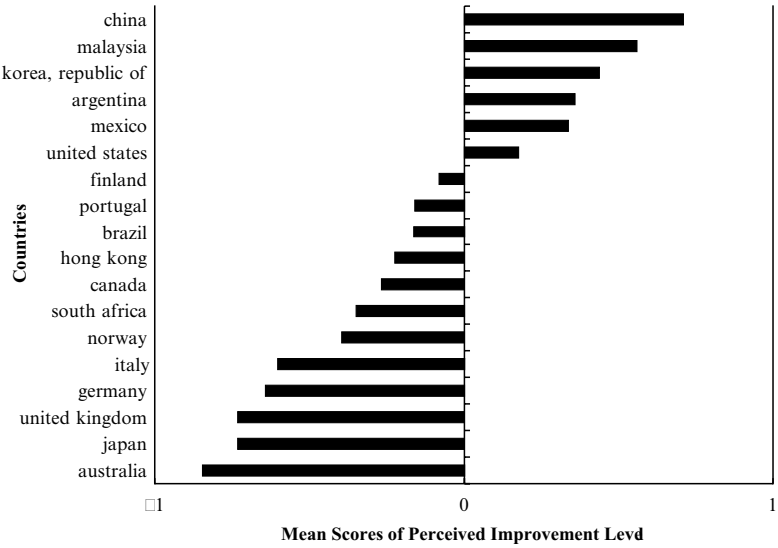


**Fig. 16.6** Perceived working condition improvement

appear positive in their mean scores on perceived working condition improvement, and only China and Malaysia score above 0.5. The rest have negative mean scores, which means that respondents on average indicate a deterioration rather than an improvement in their general working conditions.

As the question asks respondents to compare the conditions at present with those at the time when they first started their careers, the authors well recognize that the time span for one's career varies between those who answer this question and therefore their answers reflect a result of comparisons of the present with different time points. Nevertheless, Fig. 16.6 does show a rough overall evaluation of current working conditions in academia in each case.

Professors in Hong Kong as a whole do not indicate any recognition of improvement in working conditions over time since the start of their careers in their respective institutions. One should, however, acknowledge individual level variation in this aspect. Only 6% of the professors indicated a significant improvement in general working conditions (coded as "+2"), whereas more than double (15%) that figure perceive a significant deterioration (coded as "−2").[5]

While Hong Kong academics did not indicate significant improvement in overall working conditions, they did acknowledge an efficient and effective provision of supporting facilities and services for research and teaching in their respective institutions. Based upon respondents' assessment of 12 aspects of facilities and services on a five-point scale, with "1" representing "being poor" and "5" "being excellent," Table 16.2 lists the mean evaluation scores of each item for 18 countries

[5] 29% of the total sample scale it as "−1"; around a quarter stay neutral (coded as "0"), and another quarter choose "1."

**Table 16.2** Mean Perceptions of Supporting Facilities

| Country | Classrooms | Teaching tech. | Labs | Research equipment | Computer | Library | Office space | Secretarial support | Telecomm | Staff support (teaching) | Staff support (research) | Research funding | Summation of mean scores |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Argentina | 2.9 | 2.8 | 2.5 | 2.6 | 2.9 | 3.0 | 2.6 | 2.5 | 3.0 | 2.6 | 2.4 | 2.2 | 31.7 |
| Mexico | 3.2 | 3.1 | 2.9 | 2.7 | 3.3 | 3.2 | 3.1 | 2.8 | 3.2 | 2.5 | 2.2 | 2.0 | 34.1 |
| Italy | 3.1 | 3.1 | 2.8 | 2.9 | 3.3 | 3.5 | 3.2 | 2.9 | 3.7 | 2.3 | 2.3 | 1.8 | 34.9 |
| Korea, republic of | 3.4 | 3.2 | 2.8 | 2.7 | 3.4 | 3.2 | 3.3 | 2.6 | 3.9 | 2.4 | 2.1 | 2.2 | 35.1 |
| Japan | 3.2 | 3.1 | 2.9 | 3.0 | 3.3 | 3.2 | 3.1 | 2.5 | 3.6 | 2.4 | 2.3 | 2.6 | 35.1 |
| Portugal | 3.4 | 3.4 | 3.1 | 3.0 | 3.3 | 3.4 | 3.3 | 2.8 | 3.5 | 2.7 | 2.3 | 2.2 | 36.4 |
| United Kingdom | 3.0 | 3.3 | 3.1 | 3.0 | 3.3 | 3.4 | 3.2 | 2.7 | 3.5 | 3.0 | 2.8 | 2.2 | 36.5 |
| Malaysia | 3.3 | 3.3 | 3.2 | 2.8 | 3.5 | 3.4 | 3.3 | 2.6 | 3.5 | 2.9 | 2.6 | 2.7 | 37.2 |
| China | 3.7 | 3.5 | 3.2 | 3.0 | 3.3 | 3.3 | 3.0 | 2.6 | 3.2 | 3.1 | 2.9 | 2.4 | 37.3 |
| Brazil | 3.6 | 3.3 | 3.3 | 3.1 | 3.4 | 3.5 | 3.0 | 3.3 | 3.6 | 3.0 | 2.6 | 2.3 | 37.9 |
| South Africa | 3.1 | 3.1 | 3.0 | 3.1 | 3.6 | 3.9 | 3.5 | 2.9 | 3.8 | 2.7 | 2.6 | 2.8 | 38.3 |
| Australia | 3.3 | 3.4 | 3.2 | 3.2 | 3.6 | 4.0 | 3.6 | 2.6 | 3.8 | 2.7 | 2.6 | 2.5 | 38.5 |
| Canada | 3.4 | 3.6 | 2.9 | 3.0 | 3.5 | 3.7 | 3.6 | 3.1 | 3.9 | 2.8 | 2.6 | 2.6 | 38.9 |
| Norway | 3.6 | 3.6 | 3.3 | 3.3 | 3.9 | 4.0 | 3.8 | 2.4 | 4.2 | 2.3 | 2.1 | 2.5 | 39.1 |
| United States | 3.6 | 3.7 | 3.2 | 3.1 | 3.7 | 3.6 | 3.6 | 3.1 | 3.9 | 2.8 | 2.4 | 2.4 | 39.2 |
| Germany | 3.4 | 3.4 | 3.6 | 3.6 | 3.8 | 3.5 | 3.7 | 3.1 | 4.2 | 2.6 | 2.7 | 2.6 | 40.2 |
| Hong Kong | 3.7 | 3.9 | 3.4 | 3.4 | 3.9 | 4.1 | 3.5 | 3.2 | 4.1 | 3.0 | 2.8 | 2.9 | 42.0 |
| Finland | 3.9 | 3.9 | 3.5 | 3.5 | 3.9 | 3.9 | 3.8 | 3.4 | 4.1 | 3.2 | 2.9 | 2.5 | 42.5 |
| Sample mean | 3.4 | 3.4 | 3.1 | 3.0 | 3.5 | 3.5 | 3.3 | 2.8 | 3.6 | 2.7 | 2.5 | 2.4 | |

Countries are sorted by the summation of the mean scores of all the aspects

in 2007.[6] Countries are sorted by the summation of the mean scores across all the items. The case of Hong Kong ranks the second highest among the countries surveyed, standing next to Finland.

All the mean scores for Hong Kong are equal or above 3 on a five-point scale except two. The relatively low scores on staff support for research may be due to the fact that, unlike some other countries, there is yet to be a surplus of Ph.D.s willing to take on the job of research assistant. On all other items, Hong Kong is grouped with the more advanced countries/systems, and it especially excels in the ratings given by academics to the technology for teaching, computer and library facilities.

According to the discussion above, one can develop a general picture of the Hong Kong higher education system with respect to academic preferences, division of labor, perceived working conditions and, the provision of support and services for research and teaching. Hong Kong is located close to the middle on all these aspects except on the perceived quality of supporting facilities and services provided. The sections to follow will concentrate on the two diverging manifestations of governance and management in Hong Kong universities.

## 16.4 Top-Down Management in Hong Kong's Higher Education System

The CAP survey contains a set of questions that inquire about the decision-making processes in one's institution. Respondents differ in their perceptions of the institutional management, including the extent to which different actors exert an influence within various policy arenas. Eleven policy arenas are identified: selecting key administrators, choosing new faculty, making faculty promotion and tenure decisions, determining budget priorities, determining the overall teaching load of faculty, setting admission standards for undergraduate students, approving new academic programs, evaluating teaching, setting internal research priorities, evaluating research, and establishing international linkages. For each policy arena, respondents are asked to choose the single most influential actor from among the following: government/external stakeholders, institutional managers, academic unit managers (i.e., deans, department heads), faculty committees/boards, individual academic staff and students.[7]

[6] These items are listed in the questionnaire as follow: classrooms, technology for teaching, laboratories, research equipment and instruments, computer facilities, library facilities and services, your office space, secretarial support, telecommunications (internet, networks and telephones), teaching support staff, research support staff, and research funding.

[7] In the survey, respondents in Hong Kong have one additional option of University Senate. In order to make the case of Hong Kong comparable to others, this option is left out of this analysis.

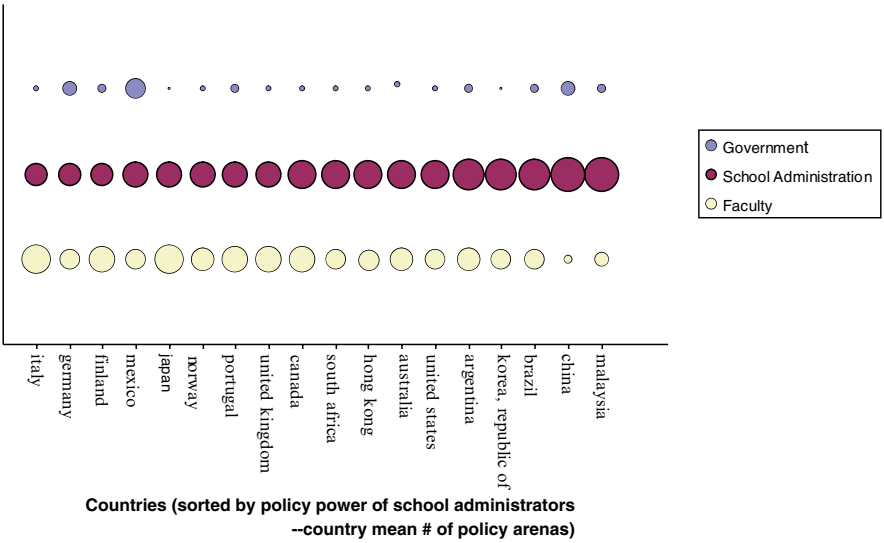


**Fig. 16.7** Decision-making power in higher education

For the purposes of our analysis, we group these actors into three categories: government/external stakeholders, school administrators (that is, institutional managers, academic unit managers), and the faculty (faculty committees/boards, individual academic staff).[8] Then we calculate, for each individual observation, the total number of policy arenas in which government, school administrators and faculty (individually or collectively) respectively are perceived by the respondent to play the decisive role. Figure 16.7 below demonstrates the country/system mean of the total number of policy arenas for each category of potential policy-makers (measured by the size of each bubble).

According to this rather simplistic measure of the higher education system as a whole in each country, the spindle-shaped structure of university management appears to be reflected in the data of a majority of the systems in Fig. 16.7. Countries on the x-axis have been sorted by the mean number of policy arenas covered by school administrators/managers. Exceptions include Italy, Finland and Japan where faculties are perceived as more powerful, on average, than the institutional administration. Professors in Portugal, UK, and Canada possess certain policy power which is almost comparable with that of administrators and managers. Additionally, the policy power of institutional administrators in Mexico and Germany is to some extent balanced out by their relatively strong government and faculty. China has a relatively strong state intervention in higher education as well, but the perceived influence of the even stronger institutional administrators can hardly be compromised.

[8] We leave the option of students out of our discussion.

The case of Hong Kong is among a few typical spindle-shaped cases. Administrators in Hong Kong higher education are perceived to play the leading role in six policy arenas, whereas faculty members only lead in two and a half areas. Meanwhile, government or external stakeholders are determinant normally in less than 0.5 policy arenas.[9]

How is this policy-making feature manifested in daily university management? What are the consequences and implications of this structural setting? In the following part, some specific aspects of governance, which reflect the general management pattern noted above, are explored.

### *16.4.1 Responses to Management Style*

The rest of the discussion in this chapter will focus on within-institution governance which specifically refers to the management framework below the level of government in the spindle-shaped arrangement. It is not surprising that the current Hong Kong higher education system is perceived by faculty as being in a strong top-down management format, and in this regard it can be grouped with the UK and Australia, as Fig. 16.8 indicates. It is worth noting here that of the overseas

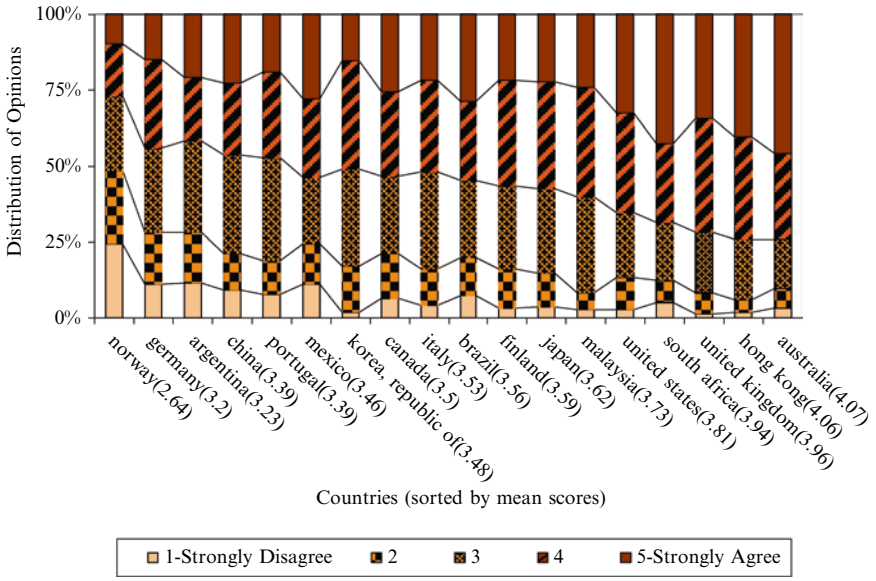


**Fig. 16.8** A top-down management style

[9] We are very aware of possible variations within each case, for instance, variations across universities within the same system. Because of the page limit, we will only focus on the level of country/system in this chapter.

academics hired in Hong Kong, most come from Australia and UK, though more local academics have doctorates from universities in the USA than elsewhere. In the survey, respondents are directly asked whether or not their institutions are engaged in a top-down management style. In the following figure, countries are sorted by their mean agreement levels (listed in the parenthesis) with this statement. A large majority of respondents in the Hong Kong sample agree with this description either strongly (at Scale point 5, 40% of the sample) or mildly (at Scale point 4, 34% of the sample). This is in contrast to the cases on the other end of the x-axis, such as Norway in which only a quarter of respondents agree with this statement for their respective institution.

Figures 16.7 and 16.8 represent Hong Kong as a case of strong top-down management, even though it might not seem to square with Hong Kong's reputation as one of several oases of academic freedom in Asia. However, universities do maintain a high degree of autonomy from government. It is generally accepted that China has an authoritarian state and its universities have little autonomy from government, thus affecting the style of institutional management (Xiong 2009). Faculty in China do not truly have any power, as reflected in Fig. 16.7, compared to government and school administration. However, Chinese academics consider, at least within each institution, that university administrators vis-à-vis government have a great deal of autonomy and power in the policy-making process. Nevertheless, they would not categorize their institutions as having a top-down management style in a comparative sense, as shown in Fig. 16.8.

Cases with strong faculty are not located on the far left side on the x-axis except Portugal in Fig. 16.8. Hence, even though faculty members are able to make decisions regarding some specific policies, they might weigh policy arenas differently and do not believe that they are powerful enough to counteract school administrators. Norway in which the administrators of higher education manage most policies is, however, not categorized by the majority of academics as a top-down pattern. Hence, the perceptions of the overall policy-making process seem not to have much to do with actual power distribution in key issue areas, but likely to do with daily management, according to the experiences at the country level.

The daily university management in Hong Kong and other cases is explored in the following parts. In sum, as shown below, academics in Hong Kong witness a lack of information distribution, low faculty involvement and poor administrator-faculty communication in their respective universities. As a result, they do not believe that they are influential at any administrative level. But at the same time, they do not trust administrators as competent leaders. Hence, it seems this side of university management implies an inefficient process.

### *16.4.2 Lack of Faculty Involvement*

The nature of faculty involvement is of increasing interest to scholarship about university governance. The 1993 and 2007 surveys both inquire about views on

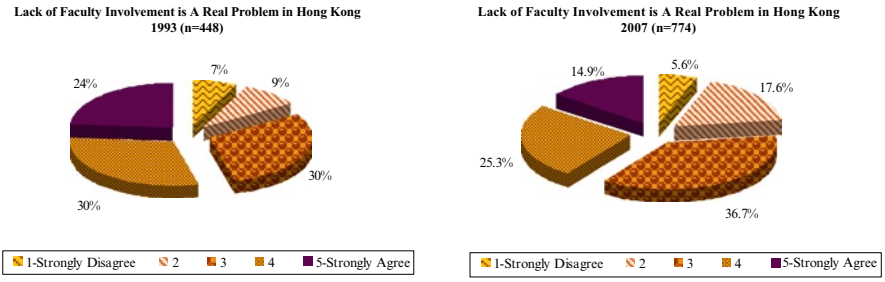


**Fig. 16.9** Lack of faculty involvement over time in Hong Kong

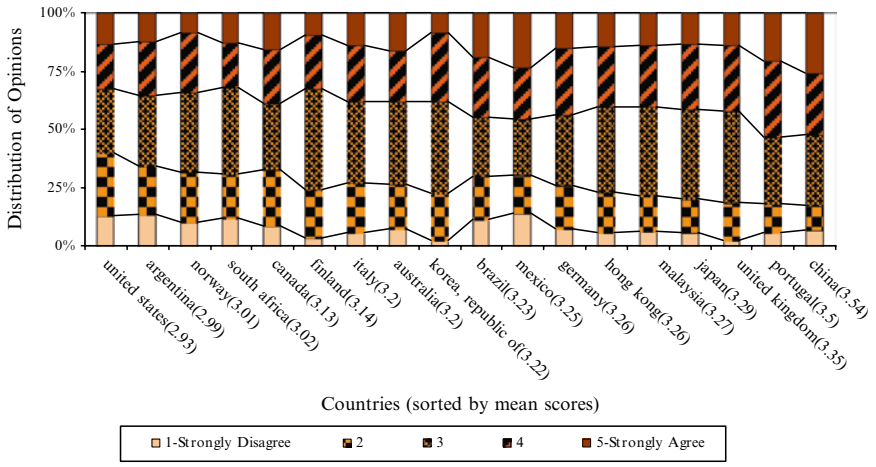


**Fig. 16.10** Lack of faculty involvement is a real problem

faculty involvement. Figure 16.9 indicates a decrease in the extent to which Hong Kong academics view faculty involvement in their institutions as a real problem. In the earlier survey, 54% agreed strongly or mildly with the statement that lack of faculty involvement is a real problem; whereas in 2007, the proportion of respondents that selected these two categories was reduced to about 40%. Correspondingly, a larger share of the total respondents disagreed with the statement in 2007 compared to 1993.[10]

However, when inserted into the larger international picture of the 18 countries, the Hong Kong case reflects a lack of faculty involvement in the running of institutions of higher education. In Fig. 16.10, Hong Kong stands on the right of the x-axis, both according to its mean score and the percentage of respondents who

[10] The comparison is based upon self-selected observations in the two surveys. The outcome may not represent the changing features of the population over time.

agree or strongly agree with the statement, though it is less predominant than in China and Portugal. Thus, even though the perspective of academics toward the administration has improved to some extent over a period of 15 years, opportunities for faculty to be involved in the daily management of universities does not appear to have increased. This may also help to explain the modest level of communication indicated by academics between themselves and administrators.

### 16.4.3 *Lack of Communication Between Administrators and Academics*

As for the degree of agreement with the statement that there is good communication between management and academic staff at one's institution, Fig. 16.11 indicates that the pattern of responses in Hong Kong aligns more closely with the countries on the left, such as the UK, Australia and South Africa, than with those on the right of the x-axis. Only about a quarter of the professoriate either agreed or strongly agreed with the statement. About 43% disagreed or strongly disagreed. We can only speculate as to the reason for this as there has been little research about communication patterns within the Hong Kong academe. Since communication is a function of language and culture, the fact that Hong Kong is a bilingual and multicultural society may increase the complexity of communication. Also, while Hong Kong is renowned in the region for freedom of speech, the pace of democratization is a recurrent issue of debate and there might be distinctive expectations about governance.

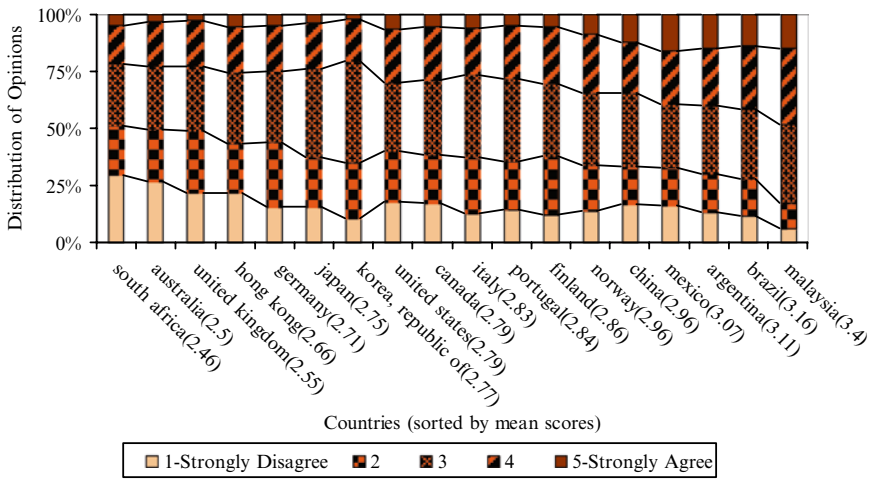


**Fig. 16.11** Good communication between management and academic staff

### 16.4.4 Being Uninformed

Associated with the problems of the lack of faculty involvement and bad communication between administrators and academic staff, the drawback in information dissemination also contributes to the inefficiency of university governance. As a matter of fact, the professoriate in Hong Kong to some extent acknowledges improvements in information dissemination. As illustrated in Fig. 16.12, there is a modest increase (about 6%) over time from 1993 to 2007 in the percentage of respondents who agree or strongly agree with the statement "I am kept informed about what is going on in this institution." Meanwhile, the proportion of those who disagree or strongly disagree with the statement has been reduced from 50% in 1993 to 35% in 2007, with 10% more respondents choosing to be neutral to this question from 1993 to 2007.

Yet, in comparative perspective, the Hong Kong case is less impressive. According to Fig. 16.13, Hong Kong professors are less likely to say they are

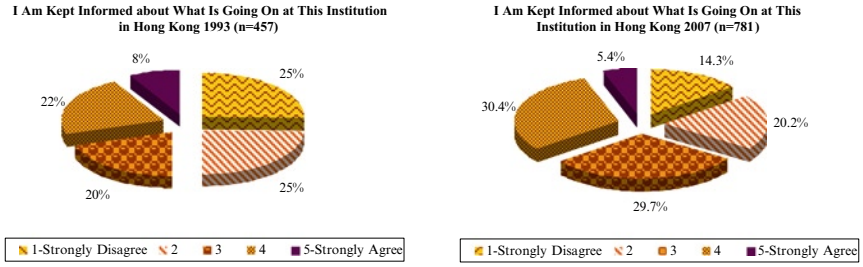


**Fig. 16.12** Faculty being uninformed in Hong Kong

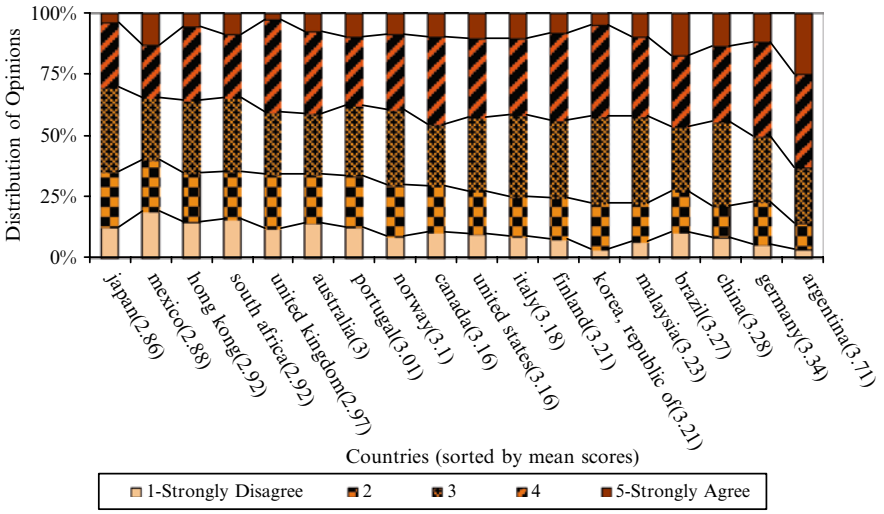


**Fig. 16.13** Kept informed about this institution

informed about the governance and management of their institutions than most of the 18 countries. Specifically, 36% agree or strongly indicate they are informed, whereas about the same proportion (35%) disagree or strongly disagree. Of the 18 cases, Hong Kong is grouped with Japan and Mexico where faculty members on average also do not believe that they are informed enough about their institution. There may be something to the fact that Hong Kong and Japan have the highest academic salaries and Confucian cultural influences. Mexico's adjacent proximity to the American system where academics are still highly influential may affect academic perspectives on indicators concerning governance.

Thus, even though the style of administration in the Hong Kong higher education system has seemingly changed over time, comparatively speaking, the professoriate still believe that the lack of faculty involvement remains a real problem, there is a perceived lack of communicate between administrators and academic staff, and that faculty members are insufficiently informed about the daily management process. Therefore, it is not surprising for academics to lack a sense of having a significant influence on policy-making at their institutions.[11]

### *16.4.5 Personal Influence on Academic Policy-Making*

Hong Kong academics were also asked to indicate the extent to which they have an influence on key academic policy-making at the level of their department, school/faculty and institution, scaled from 1, meaning not at all influential, to 4, very influential. Figure 16.14 presents the country mean scores of self-scaled influence at all three levels. Countries are sorted by the total of the country mean scores across all three administrative levels. For each country, the higher the administrative level, the less likely an individual faculty member will regard her/himself as influential. Relatively speaking, Hong Kong is the place with the least efficacious faculty members. Professors in this case would report the lowest level of self-perceived influence among the 18 systems.

Accordingly, the governance of Hong Kong higher education from the perspective of the professoriate is consistent across a number of indicators. Academics perceive a high extent of top-down management within institutions, feel they have insufficient information about what is going on in their institutions, and sense little chance to influence the policy-making process. Professoriate-administrator exchange of opinions and ideas in Hong Kong does not seem to reach the level practiced in most other systems. Hence, professors in this case do not view themselves as having much power in policy formation.

However, this may not be as straightforward as it seems. There has been a consistent pattern in recent years to make governance of Hong Kong higher education

[11] Simple statistical tests suggest strong correlations between these variables, which will be reported and analyzed in later publications.

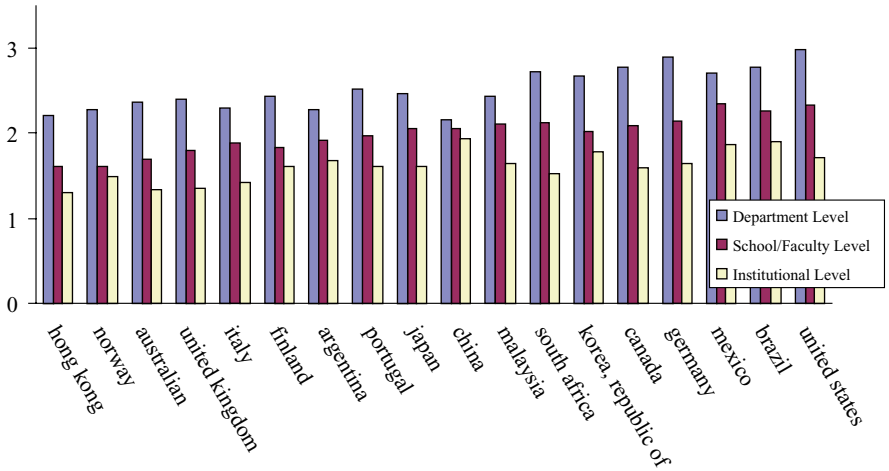


**Fig. 16.14** Personal influence on academic policy-making

institutions more transparent. Information about university meetings, policies, events, etc., are easily accessible on the intranet of each university. At the same time, there has been a rapid increase in reforms that stress performance based assessment. Stress levels have increased across the professoriate as salaries and promotion become increasingly tied to annual assessment of teaching, research, and service that include many quantitative measures of performance. These reforms preceded the Hong Kong survey of 2007 and are clearly acknowledged on other CAP survey questions that inquire about performance oriented measures. It may also be possible that pressures associated with auditing standards leave academics with little time to sort through the expanding mass of information that is available.[12] We have not been able to examine the extent to which academic staff might happen to have increased their willingness to defer policy-making to the competence of administrative staff as workloads and other demands increase.

### *16.4.6 Administrative Competent Leadership*

Accordingly, more of the professoriate agree with the statement that top-level administrators are providing competent leadership in 2007 than in 1993, as demonstrated in Fig. 16.15. To be specific, 11% more of the 2007 respondents agree with the statement than in 1993. It seems, as in the previous cases, faculty in Hong Kong do observe an

[12] In order to conduct efficient and thorough across-country comparison, more institutional, historical and contextual factors in each case might need to be incorporated into the analysis.

improvement in this regard over the past 15 years. Nevertheless, also, as in the previous cases, Hong Kong does not do well comparatively. As of 2007, the confidence in administrative leadership in the Hong Kong higher education system relative to other international systems still ranks near the bottom of the scale. In fact, as noted in Fig. 16.16, the perspective of the Hong Kong professoriate again approximates that of academics in the UK, Australia and South Africa in terms of both country mean scores as well as the country-level distribution of various agreement scales.

Thus, the level of perceived competence of administrative leadership in Hong Kong has significantly increased but remains low in comparative terms when set within the international system. However, the top-down pattern is one of the two significant aspects of university governance in Hong Kong. While the professoriate

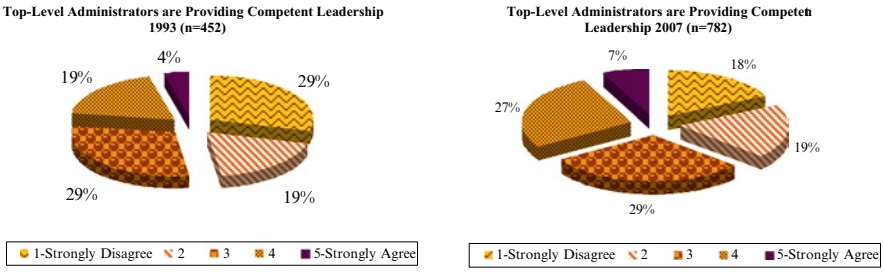


**Fig. 16.15** Competence of school administration in Hong Kong

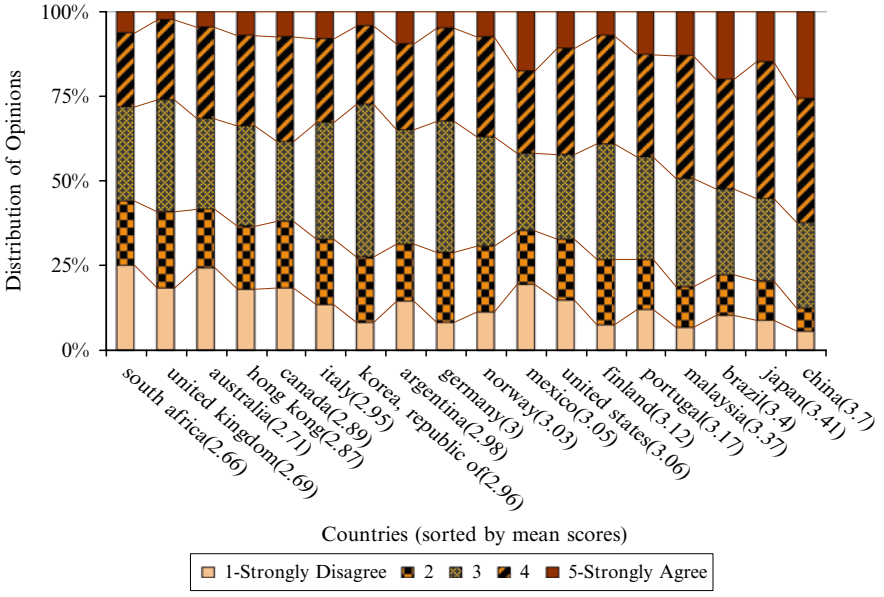


**Fig. 16.16** Top-level administrators are providing competent leadership

indicate problems of communication, information, and influence on academic policy, they also identify their institutions as highly performance-driven places of work. Hong Kong leads most countries in this respect. In addition, even though academic staff do not indicate a great deal of influence on academic policies, they believe that they enjoy a high degree of individual academic freedom relative to other countries.

## 16.5 Performance-Orientation and Academic Freedom

### *16.5.1 Performance-Orientation*[13]

The professoriate in each country provided an indication of their views about whether there is a strong performance orientation within their institutions. Compared to their counterparts in other countries, Hong Kong faculty views their institutions as highly performance-driven, as demonstrated in Fig. 16.17. As a matter of fact, Hong Kong is once again grouped with Australia, UK and South Korea in this respect. Italy, Portugal and Argentina on the contrary represent the other extreme with the lowest level of performance orientation.

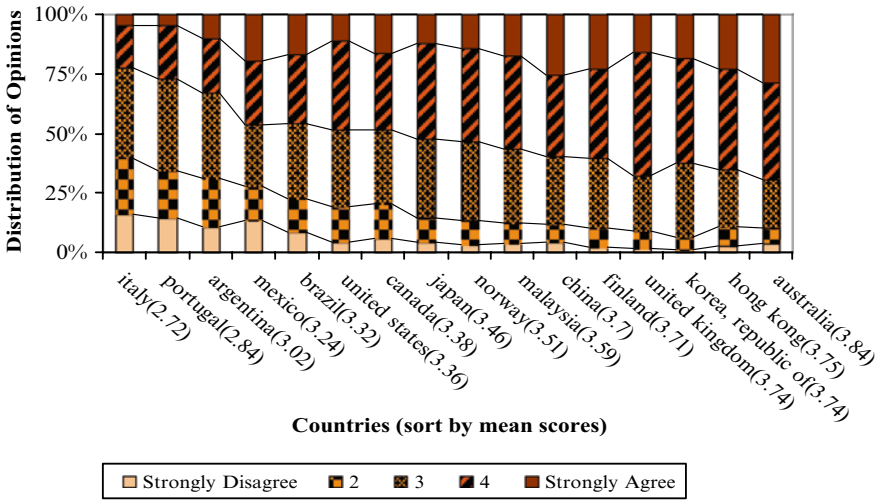


**Fig. 16.17** A strong performance orientation

[13] Data for the case of Germany are missing.

### 16.5.2 Performance-Based Allocation of Resources to Academic Units

Hong Kong's strong performance orientation is manifested in several areas, including academic appointments and allocation of resources. Figure 16.18 reports the distribution of answers in each country regarding performance based allocation of resources. Around half of the academics surveyed in Hong Kong agree that their institutions use performance-based means of resource distribution, which suggests that Hong Kong is comparatively the most inclined to use this mechanism among all of the CAP countries, followed by Finland and Germany. Argentina and Portugal are on the other extreme with little performance-based practice having been observed. Thus, while it may appears that academics in Hong Kong have some misgivings about the institutional management, they at the same time recognize the advantage to working in a system that emphasizes performance-oriented measures when making decisions. Most Hong Kong academics are keenly aware of the level of corruption in their sister system of China where relationships often trump performance in making resource decisions.

### 16.5.3 The Administrative Support for Academic Freedom

Even though the professoriate in Hong Kong may not feel highly influential within their institutions, they have a low tolerance of any interference in their realm of professional expertise and practice. In the comparisons displayed in Fig. 16.19, countries vary greatly regarding the perceived administrative support for academic

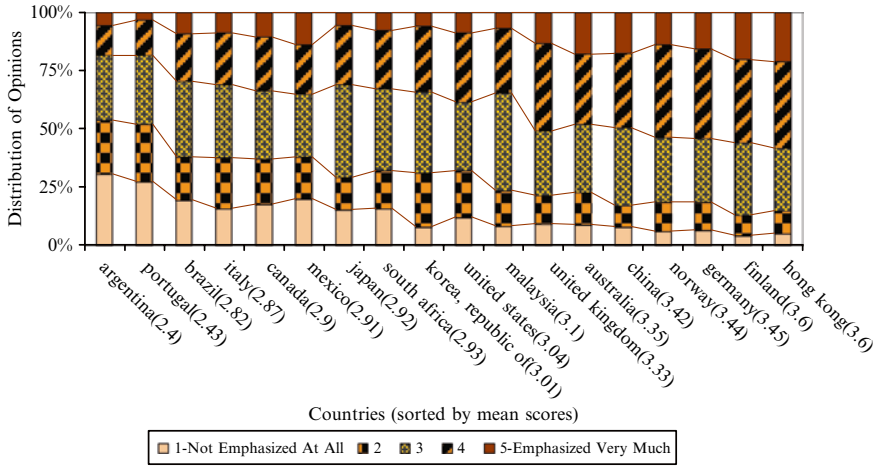


**Fig. 16.18** Institution emphasizing on performance based allocation of resources to academic unit

freedom. Mexico stands out with most respondents agreeing with the statement that the administration supports academic freedom, whereas Finland and South Africa have a large group of respondents who indicate the opposite. Hong Kong aligns with the sector of countries in which faculty members collectively express a more positive view about the amount of academic freedom they enjoy.

However, it seems that this tendency of administrative respect for academic freedom has held steady over time, especially in the past 15 years. Respondents generally indicated a mild improvement with respect to academic freedom. More agree and less disagree strongly or mildly with the statement in 2007 than in 1993, according to Fig. 16.20. However the proportion of those who have a strong agreement with this statement (at Scale 5 and Scale 1) decreases from 1993 to 2007. Also, it is important to note that more choose a neutral response (at Scale 3) in 2007 than before.

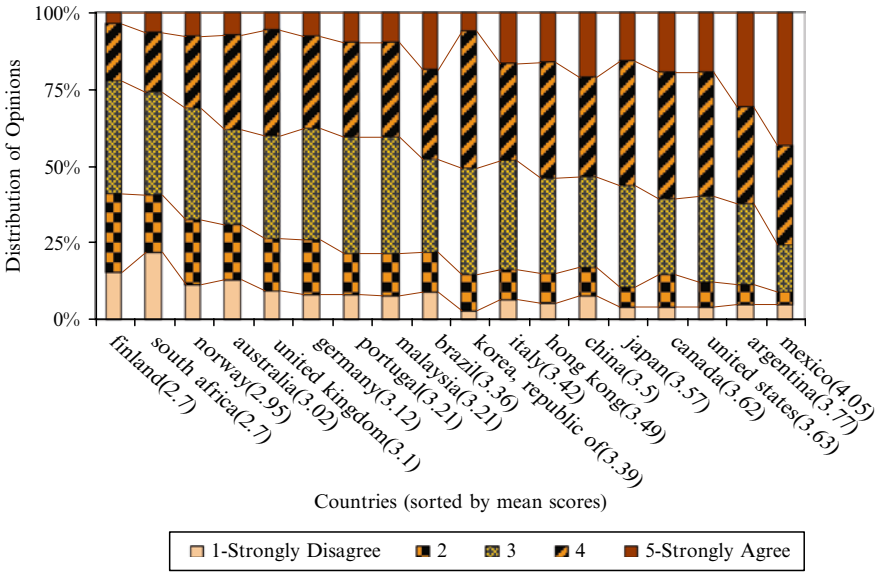


**Fig. 16.19** The administration support for academic freedom

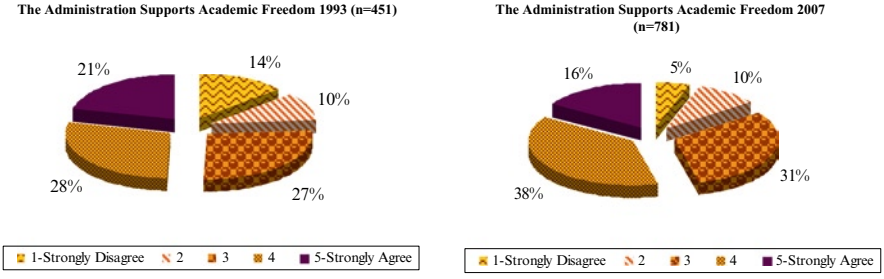


**Fig. 16.20** Academic freedom over time in Hong Kong

## 16.6 Conclusions

While shared governance in Hong Kong higher education has been typical for many decades, the international rise of managerialism has weakened faculty influence (Mok and Welch 2003; Tai et al. 2002). While high levels of institutional autonomy in Hong Kong mean that government only exerts a moderate influence on public universities, academic staff function within a top-down management format.

In sum, there appears to be a double-edge to the academic profession in Hong Kong. One edge indicates professional practice is occurring within institutions that are sharply managed in a top-down style. Compared to other countries, faculty members detect a lack of communication with the administration, and are less likely to feel informed about what is going on in their institutions, with relatively little opportunity to engage in policy-making, as indicated in their self-perceived personal influence at the department, the school/faculty as well as the institutional levels. At the same time, the professoriate's confidence in the competence of administrative leadership remains modest, though it has been on the rise.

This can be contrasted with the perception of Hong Kong academics that decisions about appointments and the allocation of resources at their institutions are highly performance based. Meanwhile, they do not waiver on their view that their institutional administrators ensure academic freedom. Further research is required in order to compute the net effect of these two diverging components in governance and management in Hong Kong higher education.

**Acknowledgment** We acknowledge the support from the General Research Fund of the Hong Kong Research Grants Council.

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# Chapter 17
# Comparative Perspectives: Emerging Findings and Further Investigations

**Donald Fisher, William Locke, and William K. Cummings**

## 17.1 Introduction

In this concluding chapter, we re-examine the working hypothesis of the book in the light of the foregoing analyses by individual country. The authors of each chapter have provided rich material on diverse national contexts, the different histories and traditions of higher education, the structures and profiles of each higher education system, the conditions of academic work, career patterns, and the circumstances of individuals and groups of academics. In particular, they have begun to explore the findings of the national CAP surveys for what they reveal about the governance and management of higher education institutions, the shifting locus of power, the roles and influence of academics at different levels of the institution, their affiliations and views of management styles, and the infrastructure of support for academic work. Some of the authors (of the chapters on Germany, Hong Kong, and Japan, for example) have begun to make international comparisons and even started to formulate broad concepts about institutional governance and management among subsets of the countries participating in the CAP study.

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We do not attempt to summarize these different analyses of diverse contexts or try to fit them into an overarching model of institutional governance and management. Indeed, we include in this chapter an assessment of the key elements of diversity that may require careful consideration before any firm conclusions are drawn from the extensive CAP dataset. Rather, we explore where and how the hypothesis outlined in the Introduction to this book seems to work, or not, and why. In particular, we begin to make comparisons and summaries of the foregoing material by looking at each analytical component of the working hypothesis, such as shared governance, consultative management, and so on. We examine each of these factors in turn, looking across the countries participating in the CAP study and drawing out patterns as they appear to support or contradict the general hypothesis about institutional governance and management and faculty engagement in academic decision-making.

Our overall conclusion is that the hypothesis has some merit, but raises questions for further analysis of the CAP data. Indeed, the findings included in this book point to a number of areas for further research identified by the CAP study, which are outlined at the end of this chapter.

## 17.2 The Working Hypothesis of the Book

To recap: the hypothesis on institutional governance, management, and faculty engagement implicit in the conceptual framework for the CAP study and which informed the design of the survey instrument could be represented by the following diagram (Fig. 17.1):

This hypothesis suggests that, where governance is shared between institutional managers and academics themselves, faculty are more likely to report that the management of their university is consultative and feel they have primary influence over decisions on academic matters. Under these conditions, it is likely that the facilities, resources, and personnel needed to support academic work would be regarded positively, that the administration would appear to have a supportive attitude to research and teaching, and that the overall working conditions in higher education

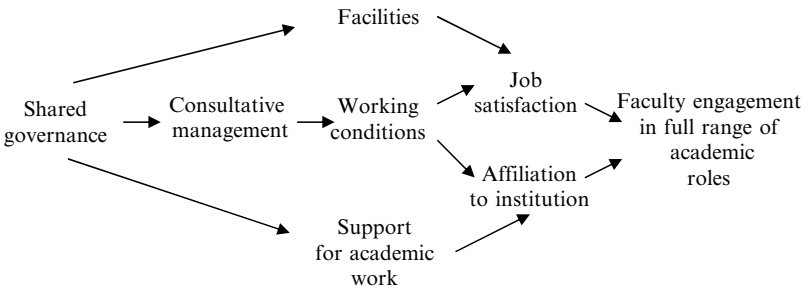


**Fig. 17.1** A hypothesis about governance and management and faculty engagement

would be perceived by faculty to have improved during their careers. Such perceptions might lead to greater personal affiliation of academics to their institution (as well as to their discipline and department) and higher levels of overall satisfaction with their current job and the academic career in general. In these circumstances, faculty might be more likely to engage in the full range of academic roles of teaching, research, and service, including activities in support of institutional governance and management such as participation in committees, but also professional activities in the broader academy and beyond.

The conceptual framework for the CAP study and the design of the questionnaire were sufficiently open to accommodate evidence that might contradict this implicit hypothesis and, indeed, could reveal alternative interpretations and explanations for the responses of academics in a diverse range of national, institutional, and individual contexts. Let us remind ourselves of some key features of this diversity.

## 17.3 Diversity of National, Institutional, and Individual Contexts

If governance and management provide the conditions within which teaching, research, and other academic activities take place, the authors of the chapters that make up the core of this book have described a wide variety of conditions, more broadly within the national systems and sectors, and more specifically between and within higher education institutions. Many have also sought to investigate the increasing differentiation between academics within national systems, for example, by mode of employment, type of discipline, rank, age, and gender.

In some countries (particularly Brazil, Japan, Malaysia, Mexico, South Korea, and the USA), a significant private sector has grown up alongside public institutions and, while the latter have increasingly adopted business models of governance and management practices, there remain distinctions according to organizational ownership and mission. In rapidly expanding higher education systems, private institutions can be relatively small, recently established, with a focus on teaching more vocational disciplines and mainly catering for a mass market. In some, especially mature, economies, they can represent the apex of a system of research universities with a global reach, rivaling the national public universities for esteem and reputation. Organizational decision-making and the relative balance of influence between owners, managers, and academics can vary between private higher education enterprises as much as, if not more than, among ostensibly public institutions. Even among private institutions, government can have a greater or lesser degree of influence. In South Korea, for example, government regulation of private institutions ensures they are far less autonomous than, say, in the USA (Shin, Chap. 15).

Institutions of higher education vary in the balance they seek to achieve between research and education, and especially the extent to which they offer advanced research training for aspiring academics and/or provide vocational education and training at the undergraduate level. In many systems and institutions, the greater the

emphasis on research, the more critical is the role of academics in determining research priorities, winning research contracts, and making contacts with research collaborators nationally and internationally. Where this is the case, academics are likely to exercise greater influence on these – and, perhaps, other – aspects of institutional decision-making. Given that most academics will have had their training and early career experiences in research-oriented institutions and departments, it would not be surprising if they developed the expectation that faculty will have significant influence over these and other core aspects of academic work. These expectations may shape their views of governance and management issues in the range of institutional contexts they find themselves in later in their careers.

In many institutions that focus on mass teaching, particularly at the undergraduate level, where the recruitment of students, flexibility of provision and maximizing graduate employment are key priorities, senior institutional and middle managers are likely to have become more influential than academics. In some national systems, these priorities will be formally distinguished by different sectors; in other, nominally unified, systems, they may be less formally expressed, through institutions' missions. Some universities may seek to balance both research and research training with more or less comprehensive teaching provision at the undergraduate level in an effort to make the most of the synergies between them. In such cases, institutional governance and management arrangements may be subject to subtle – and not so subtle – tensions.

In a more easily observable way, the size and scope of institutions vary enormously, and this will impact on their governance arrangements and management cultures. It may be much easier to achieve the goal of shared governance in a small, single location, specialist institution, for example, where people are closer, both physically and in disciplinary characteristics. Common values can more easily develop within a common space, and much business can be conducted on an informal, undocumented basis. Increasingly, however, the financial sustainability of higher education institutions requires growth, new activities and income streams, the multiplication of locations (including "off shore" programs) – in short, expansion and diversification, together with their concomitant, organizational complexities. The balance between inclusivity and dynamic and effective decision-making becomes more difficult to achieve in this expanded context.

These complexities play out at different levels of an institution as it expands and differentiates internally. The CAP survey identified three levels: departmental, school/faculty, and institutional; but we know that decisions are also made in research teams and course teams, and some sizeable comprehensive institutions are creating a few large divisions from the many schools in order to "simplify" reporting lines and "improve efficiency." Inevitably, the more remote the level is from individual academics, the less personal influence they will feel they exert on it; the wider the administrative unit, the more restricted the scope is for specialists to shape its key policies. Those academics who are prepared to take on a broader perspective – and institutional role – at the risk of diluting their singular expertise may be perceived by their former departmental colleagues as having become more of a manager and less of an academic.

This differentiation of academics is the final aspect of diversity we want to highlight in this section. It brings into question the assumption that academics are homogenous and will have a common perspective on the governance and management of higher education institutions, even their own. Disciplinary differences are the most obvious source of differentiation in this "profession of professions," deriving not just from the branches of scholarship (the arts and humanities, social sciences, and natural sciences) but also from their mode of enquiry (theoretical, applied) and their approach to teaching and learning (laboratory, clinical, classroom based, work based, and so on).

Yet, other factors also play their part in fragmenting and segmenting the profession, including: rank and role, such as whether an individual performs the full range of academic activities or is required solely to teach or research; employment conditions, for example, whether faculty are employed full-time or part-time, and whether on an indefinite or fixed-term contract; gender and, in particular, whether women are experiencing obstacles to achieving senior full-time, indefinite, and tenured positions; and, last but not least, age and the length of time an individual has been in the profession. In analyzing the CAP dataset, researchers in different countries are finding that significant differences in academics' perspectives on the major themes of the international study can be attributed to one or more of these factors. In some cases, two or more variables may interact; for example, rank, age, and time in the profession. So, for example, in the UK, among those older academics who have been in the profession for some time, professors may feel more satisfied and believe they have more influence than those who have not achieved this rank. Nevertheless, younger, more junior academics who have not been in the profession for very long are still positive. These factors are critical to understanding the perspectives of individuals and groups of academics on institutional governance and management in expanding and expanded higher education systems, alongside differences between the types of institutions – in ownership, orientation, size, and structure – they work in.

## 17.4 Where and How the Hypothesis Works (or Not)

### *17.4.1 Comparisons by Analytical Component*

This part of the chapter begins to test the hypothesis outlined above and represented in Fig. 17.1, by addressing each analytical component in turn and comparing the responses from academics in all 18 countries participating in the international CAP study at the time that work was commenced on this book. The final part of the chapter will bring together these comparative findings in an overall judgment on the hypothesis, present general conclusions about institutional governance and management in emergent and mature higher education systems and propose areas for further research.

### 17.4.2 Shared Governance

Survey respondents were asked whether they agreed with a series of statements about their institution's management and administration, including whether there is:

- Good communication between management and academics
- A top-down management style
- Collegiality in decision-making processes

None of the countries in the CAP study has a majority of respondents agreeing that there is good communication between institutional management and academics and collegiality in decision-making processes, whereas most (12 out of 18) have a majority at least agreeing there is a top-down management style at their institution. Of those countries showing most positively on these indicators, Argentina is most consistent, with Malaysia and Mexico similar on communication and collegiality but with a majority in these latter countries still reporting a top-down management style. Japanese academics report the highest collegiality and Norwegian faculty are the smallest proportion reporting a top-down management style.

This might, at first, seem to undermine the proposition, except that several of these countries – Argentina, Malaysia, and Mexico, in particular – consistently appear to feature strongly in other elements of the hypothesis. Perhaps the traditional ideal of shared governance developed in the mature higher education systems is only one way to gain the confidence and commitment of faculty, and other models from the emergent systems are plausible.

In most of the 18 countries faculty were more likely to perceive they have authority either individually or through academic committees and boards over academic matters such as choosing new faculty, making faculty promotion and tenure decisions, and approving new academic programs whereas higher level bodies (especially deans and department chairs) tended to decide budget priorities and to select key administrators. Among the 18 countries, faculty in Japan, Canada, Italy, and Portugal, and to a slightly lesser extent, the UK, Finland, and USA regarded themselves as relatively powerful whereas faculty in Germany and most of the emerging systems judged themselves to be less powerful. Among the latter category, faculty in China, Malaysia, and Brazil have the least power. When it comes to budgets and administrators, the only anomaly is Mexico, where faculty perceived government and external stakeholders to have much more power over these decisions than faculty in any of the other 17 countries.

### 17.4.3 Consultative Management

The CAP survey asked who has the primary influence on a range of decisions relating to teaching and research, whether respondents felt they were personally influential

in helping to shape key academic policies at different levels of the institution, and their views on institutional practice, in particular, whether:

- They are kept informed about what is going on at their institution
- Lack of faculty involvement is a real problem
- The administration supports academic freedom

As one might expect, a relatively high percentage in all countries saw themselves as influential at the department level. This was particularly the case in the USA (65%), Canada (60%) and Germany (57%) as well as Brazil (63%), Mexico (61%), Korea (58%), and South Africa (56%). Yet, when we extend the examination of personal influence beyond the department to the level of a faculty or school and to the institution as a whole, we find that the number of countries where faculty regard themselves as having a high level of personal influence is reduced to four, namely, the USA, Brazil, Korea, and Mexico. Faculty in the UK, Finland, Norway, and Hog Kong regarded themselves as having a relatively low level of personal influence at all three administrative levels in their institutions.

In Italy, Japan, and Portugal, faculty committees and boards appear to have the primary influence over decisions about academic issues, such as personnel matters (together with North American countries), teaching loads, admissions standards, and new program approval. Respondents in China, Mexico, and Brazil report the highest levels of personal influence at the institutional level, although this is still only around the 25% mark. In addition, the North American countries and Germany report greater individual influence at lower levels of the institution.

Although the pattern of responses is less consistent than on the other questions on management issues, faculty in Argentina are the most positive about being kept informed, levels of faculty involvement and administrative support for academic freedom. Academics in Norway are also positive about the first two of these.

### *17.4.4 Facilities for Academic Work*

Overall, where the level of shared decision-making and consultation was high faculty tended to positively evaluate the quality of their university infrastructure as well as the efficiency of support processes. Among the emerging systems, Mexico is an interesting case where shared decision-making was relatively high as was the faculty's perception of the quality of their facilities. Among the more advanced systems, Hong Kong stands out with relatively top-down decision-making, yet the faculty give very positive ratings on the quality of their facilities and the efficiency of the support processes. Faculty in Finland, Germany, Hong Kong, and Norway are the most positive about physical and technological facilities, such as laboratories, research equipment, computer facilities, and telecommunications.

### 17.4.5 Support for Academic Work

Respondents were also asked to evaluate the personnel and funding provided by their institution to support teaching and research, and whether administrative staff have a supportive attitude toward these activities. Key findings included:

- Those in China, Finland, Germany, Hong Kong, and the UK are the most positive about support personnel.
- Academics in Hong Kong and Germany are the most positive about research funding.
- More respondents from Japan, the USA, Canada, and China than the other countries agree that there is a supportive attitude of administrative staff toward teaching.
- More respondents from China, the USA, Norway, and Canada agree that there is a similarly supportive attitude of administrative staff toward research.

### 17.4.6 Working Conditions

The CAP survey asked respondents whether overall working conditions had improved or declined since starting their careers. More academics report an improvement in working conditions in higher education institutions in China, Malaysia, South Korea, Argentina, and Mexico. In research institutes, the largest proportions reporting improvements are in Malaysia and Mexico. Clearly, this perceived overall improvement is a feature of the rapidly expanding systems of some of the emergent economies.

### 17.4.7 Affiliation to Institution

Affiliation to their institution is reported as being important by a higher proportion of respondents in Mexico, Argentina, Malaysia, and Brazil, together with most other emerging higher education systems above any of the mature systems. The lowest proportions reporting institutional affiliation as being important are to be found in the UK, Australia, and Germany.

### 17.4.8 Job Satisfaction

The highest levels of academics' overall satisfaction with their current job are found in Mexico, South Korea, and Canada. Respondents were also asked the

extent to which they agreed or disagreed with a series of statements about their job and academic careers in general, including:

- This is a poor time for any young person to begin an academic career in my field.
- If I had to do it over again, I would not become an academic.
- My job is a source of considerable personal strain.

The greatest levels of disagreement with these negative statements about the academic career are reported in Mexico, Malaysia, and Argentina. The highest proportions agreeing with these statements are found in the UK and Australia.

### *17.4.9 Faculty Engagement in Full Range of Academic Roles*

Respondents were also asked about the hours they spend on academic activities and where their interests primarily lie, between teaching and research. Academics in Brazil, Malaysia, China, Mexico, and Portugal report working the highest proportion (50% or more) of their time in teaching. Those in South Korea, Japan, North America, and Hong Kong report working the most hours on all academic activities when classes are in session. The largest proportions of respondents expressing a primary interest in teaching, or teaching and research with a leaning toward teaching, are to be found in Brazil, China, Malaysia, Mexico, and the USA.

## 17.5 Conclusion

From this overview of the CAP findings on institutional governance and management, the hypothesis on faculty engagement implicit in the conceptual framework for the study and the survey instrument has some merit. However, it only partially helps to interpret the survey responses. Local conditions and historical circumstances still have a major influence on the perceptions of academics. In particular, there are important differences between public and private, and among research-oriented and teaching-focused, institutions.

Nevertheless, from the 15 country studies included in this book, in those institutions where governance is at least partially shared, academics:

- Are more likely to say they are consulted on university decisions, that they are personally influential, and that the faculty as a collective body actively participate in decision-making (for example, in some types of universities in Brazil, Finland, Japan, Malaysia, and Mexico)
- Tend to positively evaluate the quality of their university infrastructure (facilities) as well as the efficiency of support processes (for example, in Finland, Germany, Hong Kong, and Mexico), and

- Are more likely to be satisfied with their job and career, and feel personal affiliation to their institution

At this point, it is helpful to consider these issues according to the two types of higher education system we have identified and used to structure this book: "mature" and "emergent" systems. The largely full-time faculty found in the wealthier, research-oriented, mature higher educations systems have been confronted with the transition to mass and universal higher education, with a resultant loss of individual autonomy and influence. The less well-funded, teaching-focused, largely part-time faculty of the emergent systems have been responding to dramatic increases in student enrollment and the parallel growth of public and private institutions. It is not surprising then, that these different experiences and circumstances have led to distinctive perspectives on governance and management in the academy.

### *17.5.1 Governance and Management in Emergent Higher Education Systems*

In emergent systems, shared governance is at best weakly practiced. It is strongest in public research-oriented universities (especially in Argentina, Malaysia, and Mexico), but is less likely to be found in teaching-focused and private institutions, where there is a tendency toward more centralized management. Overall, higher proportions of respondents in emerging systems expressed a positive level of institutional affiliation (such as in Mexico, Argentina, Malaysia, and Brazil). Where comparisons with the 1992 Carnegie survey (or other surveys) can be made, facilities are perceived to have improved significantly along with management support for teaching (for example, in Mexico). Academics in some more authoritarian systems (such as China) give their leaders reasonable ratings as wise decision makers who have created clarity of institutional mission and provided competent management. Finally, academics appear to be working harder and producing more in all of the components of their academic work.

### *17.5.2 Governance and Management in Mature Higher Education Systems*

In mature systems, shared governance is an important "touchstone" for academics, but is under threat, significantly circumscribed, or has already been replaced by stronger institutional management and corporate governance, even in public institutions (for example, in Australia, Norway, the UK, and the USA). Consequently, in some countries (UK, Australia, and Germany, for example), fewer than two out of three academics express a positive level of affiliation with their institution. This

correlates with a perception of relative powerlessness and the belief that the prevailing management style is top-down, that facilities are inadequate, and support services are too bureaucratic (such as in the UK and Australia). These perceptions are strongest in teaching-oriented institutions. Also, academics who express low institutional loyalty are more likely to favor research over teaching, to devote a greater percentage of their time to research and a lower proportion to teaching, and are less likely to engage in university service and administrative tasks, suggesting a disengagement from governance processes, even on core academic decisions. As in the emergent systems, academics in Hong Kong and South Korea are working harder and producing more in the components of their academic work.

### *17.5.3 Areas Arising from This for Further Research*

Finally, we explore the key areas for further analysis of the national and international CAP data and research arising from this initial set of interpretations of the responses to the national surveys. The foregoing chapters raise questions, such as: What constitutes the concepts that are assumed to be common among many academics, of "competent leadership," "shared governance" "good management communication," "academic freedom," and "collegiality" in different national and institutional contexts? How are these core values and principles of academic life interpreted and redefined in new and rapidly expanding systems, for example? Furthermore, what different meanings are given to the terms "job satisfaction," "institutional affiliation," and "primary interest" by academics of different disciplines, ranks, ages, and lengths of time in the profession.

In addition, the opportunities provided by the CAP survey for international comparative study have revealed the following broader, substantive areas for further research into current trends in, and future challenges for, institutional governance and management:

- The growth of private higher education, the increasing privatization of aspects of public higher education institutions, and interactions between public and private providers.
- Forms of governance and management for different types of academic activity (such as teaching, research, consultancy, and engagement with business) and, especially, where these activities become less and less interconnected.
- Effective ways of engaging part-time and fixed-term faculty in communications and decision-making processes.
- Governance and management at different levels of the institution (at team, departmental, school, division, institution level) as higher education organizations and units grow in size and complexity.

Clearly there is a substantial and long term program for research on the academic professions and changing governance and management in higher education. We hope this book has made a contribution.

# Chapter 18
# The International Study of the *Changing Academic Profession*: A Unique Source for Examining the Academy's Perception of Governance and Management in Comparative Perspective

**William Locke**

In 2004 and 2005, a group of researchers from 22 countries agreed to plan and carry out an international survey of the *Changing Academic Profession* (CAP), focusing in part on the theme of academic perceptions of university governance and management. Twelve of the countries represented by these researchers had participated in a similar survey in 1992 (Boyer et al. 1994; Altbach 1996), and thus the CAP study opened up for these countries the prospect of a detailed comparison of some of the 1992 results with more recent findings.

Over the next year and a half, working groups settled on the details of the target population, a common sampling framework, and the research instrument. It was agreed that 2007 would be the common period for field work. Following these guidelines, research teams went to the field in 20 countries in 2007. Many of the technical details of this work are summarized below and elsewhere in this book.

A notable strength of the CAP project is the decision to collect data in such a manner as to examine research issues at several levels. Thus, generalizations can be considered at the national level, as in the introduction and the concluding chapter to this volume. Additionally, generalizations can be considered from multiple perspectives within nations as is the focus of the core chapters of this book.

The project employed a *six stage model* for the investigation of change in the academic profession.

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- *Beliefs*.[1] Including identities and loyalties, motivations (intrinsic and instrumental), career aspirations, individual and collective orientations.
- *Drivers*. Principally the structures and ideologies of the knowledge society, leading to commodification, internationalization, expansion and differentiation.
- *Conditions*. Including factors such as infrastructures, salaries, institutional diversity, terms of employment, hierarchies (old and new); resource issues including multiple funding sources, emphasis on cost-recovery and financial contribution of academic units.
- *Roles and practices*. Including the teaching/research nexus, place of public service, division of labor involving "unbundling" of traditional roles and creation of new specialist roles, need for new specialist skills, creation of a cadre of management professionals.
- *Outputs*. For example, the loss of academic solidarity, an undermining of traditional hierarchies, a shift from internal to external controls, a shift from individual to collective work, greater productivity, a blurring of boundaries (both within higher education institutions and between them and other organizations/institutions in society).
- *Outcomes*. The above leading to a more responsive, socially useful academy or an undermined academy or a more differentiated academy.

## 18.1 The CAP Survey Methodology

The generic CAP questionnaire was devised by an international group of researchers. It was designed to cover the three key themes of the CAP study: relevance, internationalization and managerialism. The instrument also included 13 questions from the 1992 Carnegie Survey. Questionnaire items were organized into six sections:

(a) Career and professional situation
(b) General work situation and activities
(c) Teaching
(d) Research
(e) Management
(f) Personal background and professional preparation

Participating national research teams were requested not to significantly amend the format or wording of the questions, so as to maximize the comparability of data from each participating country. Country-specific questions could be added, but only to the end of a section so as to preserve the numbering of generic items within

[1] In the initial depiction of this model, the six stages were portrayed as loosely causal with earlier stages shaping later stages. Additionally drivers were positioned in front of beliefs. In the depiction above, beliefs are positioned ahead of drivers reflecting the prominent role of culture in this book's analysis.

each national dataset. The generic questionnaire was translated into the language(s) and terminology of each national system by the national research team. Where specific national categorizations were required (for example, type of higher education institution and grade or rank), these were inserted.

National research teams were requested to achieve an effective sample of 800 responses to the survey. In practice, this meant a larger number of responses weighted to achieve a sample that was broadly representative of the total national population of academics. A cluster sample design (or two-stage sampling design) was recommended that included a relatively large number of higher education institutions and a relatively small number of academics within each institution. An average response rate of 33% of the gross sample was assumed, although few participating countries actually achieved this. The population surveyed was composed of academics in public and private higher education institutions that offer a baccalaureate degree or higher (Type A in the OECD classification) and professional researchers in research institutes (who, nevertheless, may also teach in their own or other institutions). Separate samples were to be drawn for each of these different types of organization. In countries where there are significant differences in the size and types of institutions, a more complex sampling design was recommended.

National research teams chose whether to conduct the survey online, on paper or both. Most surveys were conducted during the calendar year 2007, although some took place in early 2008. Each research team prepared their national dataset, together with a national codebook in accordance with the requirements of the international dataset, which was collated and produced by the International Center for Higher Education Research (INCHER), University of Kassel, Germany. A survey audit was also compiled on the basis of individual submissions from each national team. In order to achieve comparable samples, INCHER has subsequently weighted the international dataset according to four criteria:

Academic rank
Current academic discipline
Gender
Institution type

However, the analyses presented in this book are based on national datasets that are either unweighted or weighted by each national research team, as they were undertaken prior to this.

The weighted international CAP dataset will be made publicly available during 2012.

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