

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

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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
2. Internationalization of the Academy
3. Current Governance and Management, particularly as perceived by the Academy
4. Commitment of the Academy

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.

William Locke • William K. Cummings
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Editors

Changing Governance and Management in Higher Education

The Perspectives of the Academy

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. Notwithstanding 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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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

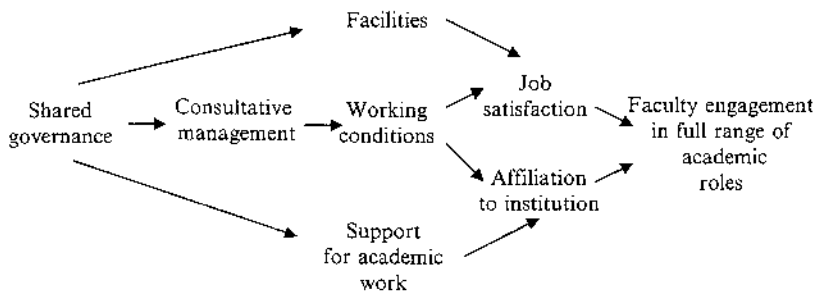


Fig. 17.1 A hypothesis about governance and management and faculty engagement

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 Hong 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 education 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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