

Chapter 6

Faculty Perceptions of the Efficacy of Higher Educational Governance and Management

6.1 Introduction

In the medieval university, academics were prominent in the governance and management of institutions of higher education, especially in Northern Europe. In contrast, students in Southern Europe had an important role in many decisions. Over time the shift to faculty control extended across the continent. In more recent times as national and local governments have increased their role in the support of higher education, these public entities have sought to have more influence—through boards of trustees, the selection of CEOs and other means. As national systems of higher education have sought to become more relevant and to expand, strains have emerged concerning the respective roles of academics, managers and other stakeholders. In the original planning for the CAP study (the unpublished CAP concept paper formulated in 2004, p. 3), this tension was described as follows:

New systemic and institutional processes such as quality assurance have been introduced which also change traditional distributions of power and values within academe and may be a force for change in academic practice. The project will examine both the rhetorics and the realities of academics' responses to such managerial practices in higher education.

A number of views can be discerned about recent attempts at the management of change in higher education and the responses of academics to such changes. One view would see a victory of managerial values over professional ones with academics losing control over both the overall goals of their work practices and their technical tasks. Another view would see the survival of traditional academic values against the managerial approach. This does not imply that academic roles fail to change, but that change does not automatically mean that interests and values are weakened. A third view would see a 'marriage' between professionalism and managerialism with academics losing some control over the goals and social purposes of their work but retaining considerable autonomy over their practical and technical tasks. The desirability or otherwise of these three different positions is also subject to a range of different views.

6.2 The CAP Approach

The CAP team sought through a survey instrument both to determine what academics perceived to be the governance and management practices at their institutions and how academics evaluated these practices. *Concerning actual practice*, academics were asked who, from a list of six potential decision-makers, actually had ‘the primary influence’ on each of 11 areas of decisions. Academics were also asked if they personally were influential in shaping key academic policies and if there was good communication between managers and academics. And they were asked several questions about special themes in decision-making such as the emphasis on institutional mission, the stress on performance, the support for teaching activities and the support for research activities. Similarly concerning their *evaluation of these practices*, academics were asked several questions focusing on the competence of managers, the efficiency of management practices and the administration’s record on protecting academic freedom. Finally, drawing on the above statement from the CAP concept paper, the bottom line in the evaluation of governance and management practice is the level of commitment of academics to their workplaces. Is this strong or weak, and to what extent is the level influenced by recent trends in governance and management?

This chapter initially will present the findings on each of the above items at the country level, relying on an analytic framework to be described in the next section. And as with previous chapters, it will pay special attention to differences by type of institution and by academic rank. Finally, two different comparative perspectives will be introduced to suggest additional ways of thinking about the findings: a comparison of mature versus emerging systems and a comparison of the impact of coordination systems (professorial-state-market).

6.3 A Framework for Analysis

During the 1970s particularly in the USA, the norm of ‘shared governance’ was proposed wherein academic decisions were to be made primarily by academics and most of the other decisions primarily by managers (AAUP 2006; Baldrige et al. 1978; Birnbaum 1988). While the original proposal was normative, the underlying question of who decides what is descriptive (Gumport 1997). Drawing on the logic of the shared governance perspective, we outline a simple model of governance/management in Fig. 6.1: *Faculty participation* is the cornerstone accompanied by communicative management leading to operationally oriented support of academics, protection of academic freedom and ultimately to the loyalty of academics both to their fields and their institutions and hence to their engagement in the governance and managerial activities of their institutions.

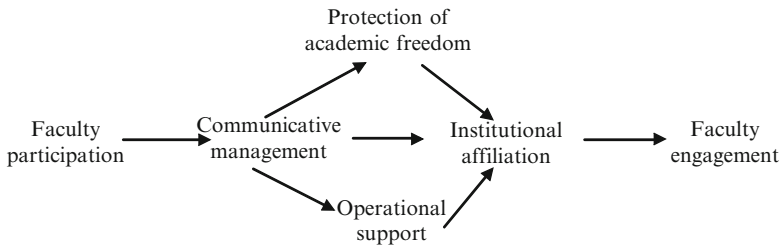


Fig. 6.1 The faculty participation in governance model

6.4 Decision-Making and the Academic's Perception of Their Participation

Higher educational governance encompasses a wide range of issues, from choosing the top officers to modifying current academic programmes. The CAP instrument identifies 11 important issues (9 will be discussed in this section and two more in the next section) and asks the participating academics to specify who at their institution 'has the primary influence on each of these decisions'. The questionnaire provides a list of six possible *decision-makers*:

- Government and external stakeholders
- Institutional managers
- Academic unit managers
- Faculty committee/boards
- Individual faculty
- Students

One has to bear in mind, though, that the questions posed in the CAP questionnaire are not specific enough to provide information on the levels and sequences of decision-making. For example, the government might decide in one country about the funds allocated for staff remuneration, while faculty committees might decide about the distribution of funds for the material costs of teaching and research; in such a case, some might consider the government most influential, while others might conclude the faculty committee has more power.

Actually, the responses provided by the academics show that the prime influence of actors varies substantially according to the area of *decision-making*:

1. *Budget decisions* are in most countries the domain of institutional managers, but not consistently within the various countries: The responses range from 40% in Italy to 78% in Korea. There are two exceptions: Government is most frequently named in Mexico and academic unit managers most often in the Netherlands.
2. The selection of *key administrators* is in most countries determined primarily by institutional managers. Only in Mexico, governmental influence prevails, and only

in Argentina, faculty committees are most frequently named. Faculty committees also play a role in various instances in Canada and Japan. One should bear in mind, though, that academics of the individual countries do not provide uniform reports. Among the countries where institutional managers seem to be most influential in the area, the percentage of academics stating this ranges from only 39% in Japan to 75% in Italy.

3. The prime influence of *setting admission standards* is among the least consistent across and within countries. Influence of institutional managers is most frequent in almost half of the countries surveyed, but this influence dominates (more than 50% of the responses) in only three countries: the USA, Korea and China. The faculty committees are most influential in this respect in European countries but only seem to dominate clearly in two countries: Japan and Italy. Institutional managers are named most frequently in almost all emerging countries as well as in Germany. Academic unit managers seem to be most influential in Malaysia as are faculty committees in the case of the Netherlands.
4. Similarly, the *approval of new academic programmes* is primarily influenced either by institutional managers or by faculty committees. In most countries, the dominant view is held by less than half of the respondents, and academic unit managers are not a negligible force in some countries. Finally, governmental influence prevails in China.
5. The *primary influence on setting research priorities* seems to be more varied across countries than in most other areas of decision-making addressed here. Institutional managers, academic unit managers and individual faculty are named as most influential in about the same number of countries, while prime influence of faculty committees is exceptional. There are only three countries where the majority of respondents identify a most influential type of actor: individual faculty in Italy and Germany as well as institutional management in China.
6. *Establishing international linkages* is in the USA, Japan, Korea and most emerging countries the domain of institutional managers. In most European countries, individual faculty are viewed as the major force for establishing those ties. In Portugal, the responses are spread over various actors, academic unit managers are viewed as most influential in the Netherlands, and government seems to be highly influential in this respect in Mexico.
7. The *teaching load of faculty* is determined in most of the surveyed countries primarily by academic unit managers. But also in countries where this prevails, modes of decision-making are quite diverse. Moreover, faculty committees are most influential in Portugal, Italy and Japan, and institutional managers in Korea and Norway. In Finland, individual faculty are named as most influential. Finally, this question was not posed in Germany, because the norms set by government are assumed to be upheld so much that respondents would not be sure whether to refer to the general norm setting or to the few individual exceptions.
8. The *choice of new faculty* is most frequently influenced by faculty committees. However, there are variations within all countries: Among the countries where faculty committees seem to be most influential in this respects, the affirmative responses are less than half on average and range from 32% in Norway to 78% in

Canada. Moreover, there are four countries where the strongest influence rests with academic unit managers: notably China, Malaysia, Brazil and the Netherlands. In South Africa, institutional managers are most influential as regards the appointment of new faculty. In Finland, in reverse, individual faculty are named most frequently as the key decision-makers in this respect.

9. The *promotion and tenure decisions* as well as the decisions of the choice of new faculty are conducted in different ways across the participating countries. In about half of the countries, faculty committees are viewed as most influential. In various other countries, academic unit managers have the strongest say, and in three countries (Korea, Norway and South Africa), institutional managers have the major influence in this area.

As regards *executive power*, we note that the *government and external stakeholders* are viewed as playing a dominant role in Mexico regarding the selection of key administrators, determining the budget and establishing international linkages.

The *institutional managers* are named as most influential in seven of the nine areas addressed above in Brazil, Korea and South Africa. They also play a role in six areas in China and in five areas in Norway and the USA. In contrast, the institutional managers are seldom named as dominant by academics from the Netherlands, Italy and the United Kingdom.

Finally, *academic unit managers* most often play a dominant role in the Netherlands (in seven areas). They are also frequently named by academics from Malaysia (in five areas).

Drawing on the *shared governance concept*, the areas of decision-making can be divided between:

- Those that are primarily managerial or external
- Those that are strongly influenced by academics (individual faculty and faculty committees)

Table 6.1 shows, first, that academics in most of the countries are more likely to perceive that they have authority, either individually or through academic committees and boards, over such matters as choosing new faculty, making faculty promotion and tenure decisions and approving new academic programmes. Influence seems to be divided between academics and managers, as already pointed out above, in matters of teaching load, admissions, research priorities and international linkages. In contrast, managers clearly dominate in decisions regarding budget priorities and the selection of key administrators.

Table 6.1 shows *the variation between the countries* surveyed. Across the nine areas of decision-making addressed, academics in Italy and Japan are most powerful. To a somewhat lesser extent, also academics in Finland, Canada and the United Kingdom are influential. In contrast, they have hardly any say at all in China, and they believe that they have little power as well in Malaysia and Brazil.

The *differences by institutional type and academic rank* are not consistently the same across all countries. For example, concerning the selection of key administrators, the academics at other higher education institutions indicate they are left out, whereas

Table 6.1 Faculty participation^a in their institution's decisions (percentage of all respondents)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	AR	BR	MX	SA	CH	MY
Selection of managers	35	8	22	25	10	2	18	25	29	19	44	8	33	27	10	18	3	4
New faculty	86	62	67	47	60	43	52	61	54	43	83	45	37	22	38	33	9	12
Promotion	66	51	57	38	57	24	38	50	53	51	76	40	32	24	37	31	22	9
Budget	7	2	38	13	27	9	22	6	30	23	36	8	17	6	7	18	4	8
Teaching load	21	11	63	.	53	33	28	54	39	38	68	25	22	18	29	38	15	23
Admissions	39	22	50	32	58	40	46	46	51	32	67	22	30	23	28	37	9	22
New programmes	41	36	37	28	75	40	0	62	61	46	65	32	25	27	42	34	4	15
Research priorities	52	43	59	64	78	36	39	59	53	45	42	36	43	35	52	49	5	27
International linkages	51	41	69	62	77	37	76	41	56	51	36	18	25	17	16	38	5	6
Mean ^{**}	45	31	51	39	55	29	35	45	48	39	57	26	29	22	29	34	8	14

Question E1: At your institution, which actor has the primary influence on each of the following decisions?
 Hong Kong is not included because this question was phrased differently

^aFaculty committees, individual faculty or the university senate are prime decision-makers

^{**}Mean of responses to the nine areas of decision-making (not included: decision-making as regards evaluation of teaching and research).
 . Not Surveyed

a modest fraction of those at universities believe that academics do have influence. Concerning the selection of new faculty, in the majority of systems, senior faculty both at universities and other higher education institutions are more likely to say that they have influence than do their junior rank colleagues. On average, however, the academics at research universities are more likely to perceive academics as having the primary influence than are academics at other institutions; this difference is, for example, only 3% on average of the areas of decision-making addressed in Germany but 7% in the USA. Also senior academics tend to believe more often than junior academics that academics have a say; this difference is 6% on average in Germany but only 2% in the USA.

Based on these findings, can we say that faculty participation in governance is prevalent in academia? Clearly in some areas such as the selection of top officers, academics in nearly all of the countries included in the survey report they are powerless. Concerning the three areas we have identified as core academic areas (choosing new faculty, making faculty promotion and tenure decisions and approving new academic programmes), academics in a majority of the systems believe that they and their colleagues have influence. This inclination is slightly more pronounced in the case of academics at universities relative to other higher education institutions and even to a smaller extent more pronounced on the part of senior ranks than on junior ranks, but these differences are small as compared to country differences. So as a starting point for the analysis to follow, we can say that the faculty role in governance is mixed.

6.5 The Evaluation of Teaching and Research

In the list of the 11 areas of decision-making addressed in the CAP survey, the *evaluation of teaching* and the *evaluation of research* are also named. One could argue, though, that these two categories do not fit in this list. It is not clear, whether the respondents have decision-making regarding the undertaking of evaluation, the processes of evaluation or the impact of the evaluation in mind. Actually, we note that respondents in the individual countries vary substantially in their responses. In almost all cases, a minority names institutional managers, academic unit managers, faculty committees or individual faculty as most influential and in the case of teaching evaluations the students. But there are only a few cases where the majority of respondents name certain actors as most influential: as regards the evaluation of teaching, the institutional managers in Malaysia and the students in Korea, and as regards research evaluation, the institutional managers in China and the academics themselves in Italy.

To obtain a more complete indication of who is involved in the evaluation of teaching and research, a further question allowed respondents to list all of the actors involved in these evaluations. That is, respondents were allowed to go beyond identifying a single category of actors to list as many actors as seemed appropriate: Given this opportunity, most respondents identified between two and three relevant actors for each area as illustrated in Table 6.2.

Table 6.2 Evaluators of teaching and research (percent of all respondents; multiple responses)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Evaluators of teaching</i>																			
Your peers in your department or unit	35	51	35	21	20	51	25	41	64	33	20	21	39	46	46	45	46	54	30
The head of your department or unit	70	81	54	17	33	57	26	42	50	67	30	24	71	45	63	62	57	62	66
Members of other departments or units at this institution	11	16	5	4	4	8	5	27	11	11	5	7	10	15	18	26	20	21	14
Senior admin. staff at this institution	29	33	11	11	3	15	17	32	9	17	32	31	30	30	27	25	15	37	17
Your students	91	91	82	77	86	91	88	60	92	85	50	80	93	62	80	82	75	67	83
External reviewers	8	8	11	4	9	23	11	44	32	6	9	4	25	20	11	25	28	21	20
Yourself (formal self-assessment)	39	57	0	38	24	39	29	31	53	53	40	21	46	41	47	52	55	37	49
No one at or outside my institution	3	1	3	9	6	2	6	12	3	4	8	3	0	8	5	1	8	6	3
<i>Evaluators of research</i>																			
Your peers in your department or unit	41	41	51	47	38	40	52	20	47	36	17	29	36	24	33	34	39	25	30
The head of your department or unit	61	65	67	17	31	56	30	12	64	70	31	20	79	21	27	42	51	52	62
Members of other departments or units at this institution	16	17	23	9	8	15	8	9	21	16	4	16	20	28	23	33	25	17	28
Senior admin. staff at this institution	31	31	16	19	3	16	9	13	21	22	38	42	38	28	21	21	20	38	25
Your students	3	3	3	3	2	5	5	55	5	4	2	3	2	3	9	4	7	11	6
External reviewers	60	38	52	37	43	50	37	24	62	55	15	36	57	73	33	47	58	25	35
Yourself (formal self-assessment)	36	51	0	41	24	34	26	26	54	43	43	29	48	26	29	40	49	37	46
No one at or outside my institution	5	11	7	13	18	7	13	20	6	3	11	9	1	4	29	4	9	8	5

Question E3: By whom is your teaching, research and service regularly evaluated?

Concerning *teaching*, overall ‘your students’ was most frequently identified followed by yourself, the head of your department or unit and peers in your department in that order. In the cases of Germany, Italy, Norway, Japan and Korea, the latter two groups tended to have a minor role. Members of other departments, senior administrative staff and external reviewers were rarely mentioned as prominent evaluators of teaching.

Concerning *research*, there was a somewhat similar pattern except that external reviewers moved to the top of the list for the majority of countries while ‘your students’ was rarely mentioned. Also senior administrative staff were often identified as important actors, especially in the East Asian settings of Korea, Hong Kong, Japan and China.

Appendix Tables 6.11.1, 6.11.2, 6.11.3, and Table 6.11.4 display the response patterns to these questions by type and rank. Overall there are few striking differences by type or rank. Relative to the academics at universities, those at other institutions are more likely to perceive teaching evaluations being seriously reviewed by their peers. In contrast, those at universities are more likely to perceive research as being evaluated by peers both in their departments and in other departments. Junior rank faculty, both at universities and other institutions, are more likely than senior rank faculty to see department heads taking a prominent role in teaching evaluations.

6.6 Influence

An alternate measure of the strength of faculty participation in governance is the extent to which *faculty regard themselves as having personal influence* in shaping key academic policies. As one might expect, a relatively high percentage in all countries see themselves as influential *at the department level*—actually 49% on average across countries. This is particularly the case, as Table 6.3 shows, in the Netherlands (80%) and also clearly above average in Brazil (67%), the USA and Mexico (65% each), Canada and Korea (62% each) and Germany and South Africa (60% each). In contrast, only one quarter in Argentina and little more than one-third in China and Norway consider themselves influential on this level.

In comparing these findings to those in the previous sections, we can draw the conclusion that academics in most of the countries surveyed indicate that they personally have greater influence on decisions at the department level than does the professoriate on average. Obviously, they consider themselves individually to be more influential than the average academics and also more influential than academics as a formal constituency.

Yet when we extend the examination of personal influence beyond the department to policy decisions made at the level of the 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 small. As regards *influence on the faculty level*, the average figure across countries is 32%, and even the highest figure is below

Table 6.3 Self-perceived influence of academics in helping to shape key academic policies (percentage^a)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>At departmental level</i>																			
Total	62	66	43	60	43	80	36	47	40	44	50	62	39	25	67	66	60	34	48
Universities	67	77	75	89	55	85	52	73	58	75	57	55	63	57	78	71	61	44	63
Juniors	53	46	30	51	23	71	21	40	28	32	14	45	25	21	67	66	66	26	38
Other HEIs	.	89	68	85	.	86	60	79	^b 77	77	57	70	.	.	69	63	^b 51	60	60
Juniors	.	66	48	67	.	74	32	42	^b 38	38	22	50	.	.	50	67	^b 27	52	52
<i>At the faculty level</i>																			
Total	28	42	20	24	22	40	12	22	20	19	30	31	18	13	43	48	37	34	32
Universities	36	50	40	64	32	51	21	40	30	42	32	32	34	31	56	52	37	40	43
Juniors	14	27	10	11	5	18	4	17	15	8	10	15	8	10	36	47	42	30	25
Other HEIs	.	69	38	67	.	53	22	53	^b 52	52	35	38	.	.	45	47	^b 39	55	55
Juniors	.	33	20	39	.	33	16	17	^b 14	14	12	18	.	.	28	48	^b 27	35	35
<i>At the institutional level</i>																			
Total	12	19	12	11	7	10	11	14	10	8	15	23	8	6	25	26	13	30	14
Universities	17	25	21	27	10	12	16	23	12	16	12	21	11	19	26	26	15	30	21
Juniors	3	10	6	4	2	4	6	7	9	3	0	12	6	5	17	15	13	30	9
Other HEIs	.	30	35	30	.	19	25	47	^b 31	31	18	27	.	.	32	26	^b 38	30	30
Juniors	.	18	10	24	.	4	7	14	^b 5	5	8	15	.	.	19	28	^b 28	17	17

Question E2: How influential are you, personally, in helping to shape key academic policies?

Faculty committees, individual faculty or the university senate are prime decision-makers

^aResponses 1 and 2 on a scale from 1 = very influential to 4 = not at all influential

^bToo small number of respondents

. No other HEIs or no other HEIs surveyed

half. Personal influence at this level is most often perceived by respondents from Mexico (48%), Brazil (43%), the USA (42%) and the Netherlands (40%). In contrast, influence at this level is least often perceived by academics in Norway (12%) and Argentina (13%).

Finally, as one might expect, the personal influence is the lowest on average as regards **the institutional level**—4% on average across countries. Influence on this level is most often reported by academics from China (30%)—this is surprising, because hardly any influence has been reported in response to the preceding questions regarding the individual areas of decision-making. Influence on the institutional level is also reported relatively often in Mexico (26%) and Brazil (25%). In contrast, influence at the institutional level is seldom perceived in Argentina (6%), Italy (7%) and Australia and Hong Kong (8% each).

Across all three levels, academics in Mexico, Brazil and the Netherlands consider their personal influence to be quite high. In contrast, those from Norway, Hong Kong, the United Kingdom and Australia consider their personal influence to be modest—only about half the level of the academics in the former countries.

Table 6.3 shows the perceptions of *personal influence according to institutional type and academic rank*. Not surprisingly, in nearly all of the comparisons, senior professors are more likely than junior professors to believe they have personal influence; this difference by rank between university professors and junior academics at universities is most noticeable in Germany but also is considerable in Finland, Australia and Japan. In contrast, junior academics at universities in South Africa consider themselves to be even slightly more influential than university professors, and those in China and Brazil do not consider themselves considerably less influential than university professors. By and large, the gap of influence is higher in mature systems than in emerging countries; this finding may reflect an exceptional level of tension in some countries between the all powerful senior professors and the junior faculty who feel their voice is not heard sufficiently.

On average across the countries for which information is available, professors at other institutions of higher education rate their influence higher than professors at universities. This is not true for influence at the departmental level, but is true to some extent for influence at the faculty level (4% higher on average of the countries surveyed) and clearly so for influence at the institutional level: On average across countries, 30% of the professors at other institutions as compared to 20% of the professors at universities consider themselves influential on that level. This might be due to the fact that other institutions of higher education are often smaller than universities, and thus, it is easier for senior academics to be known at the institutional level.

6.7 Perceptions of Teaching and Research Strategies

Distinct from who makes decisions is the content of decisions. CAP respondents were given examples of four decisions relating to funding, four relating to personnel and two relating to external relations. They were asked which of these were characteristic of their institutions. In general the decisions tended to be those characteristic of a

pragmatic institution that was seeking to balance its expenses with tuition revenue and that carefully scrutinised the teaching, research and service contributions of its faculty members. Table 6.4 presents the percentage of faculty who indicated the items were characteristic of the decision-making process in their country.

First, it can be observed that no ‘cell’ in Table 6.4 is empty, though those focused on external relations are least frequently noted. Also, while funding of departments based on their student numbers is common, especially for the academic systems of the more advanced countries, it appears that the funding of departments based on the number of graduates is relatively uncommon—Netherlands and Norway are exceptions. In contrast, possibly the most common decisions are those that focus on the quality of research and the quality of teaching (but not the practical relevance of an individual’s work).

By country, the ten decisions of Table 6.4 seem to fit the culture of some countries relatively well—notably China, the Netherlands and Germany. In these countries for the majority of the decisions, the country level was above the average level for all 19 countries. But they appear to be a poor fit for Argentina, South Africa and Korea; for example, in the case of Argentina, the country level for all of the decisions was below the average level.

Appendix Tables 6.12.1, 6.12.2, 6.12.3, and 6.12.4 report the distributions by type and rank. Given the differences in the goals of research universities and other types of higher educational institutions, it is understandable that there are several differences by type—for example, a greater emphasis in the other types of higher educational institutions on student enrolments in determining the allocation of funds and on allocations based on evaluations. Also there is a greater emphasis on quality teaching and on recruiting faculty with outside work experience in the other types. In contrast, there are no obvious reasons for expecting differences by academic rank.

6.8 Communication-Oriented Management

Governance and management reflect the decision-making rules and processes that link the actors at the various organisational levels. The academics have been asked to assess the prevailing management style at their institution of higher education in various respects.

The first group of issues addressed might be summarised as the **communication styles of management**. The following items have been presented in the questionnaire in this domain:

- ‘Good communication between management and academics’.
- ‘A top-down management style’.
- ‘Collegiality in the decision-making process’.
- ‘I am kept informed about what is going on at this institution’.

Some of this decision-making may involve extensive consultation between actors and have a collegial character, while other decisions tend to be top-down. Fewer than two out of every five respondents in the CAP survey say there is ‘collegiality in decision-making’. Over half describe the management style at their institution as

Table 6.4 Strong perceptions of teaching and research-related institutional strategies (percent^a of all respondents)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY	MEAN
<i>Funding decisions</i>																				
Performance-based allocation	34	38	55	49	30	37	53	16	47	49	31	35	57	16	29	37	33	51	35	39
Evaluation-based allocation	21	0	35	26	23	26	23	15	33	36	30	33	50	16	29	37	28	45	37	29
Funding based on numbers of students	70	49	46	45	54	75	51	40	70	70	59	62	67	35	36	35	49	52	41	53
Funding based on numbers of graduates	34	27	70	25	23	66	55	20	30	38	6	23	34	10	15	22	45	36	34	32
<i>Personnel decisions</i>																				
Considering the research quality	50	48	39	50	23	38	34	22	62	51	57	33	68	22	28	36	40	57	40	42
Considering the teaching quality	33	52	28	26	12	39	26	17	31	28	38	23	44	28	38	34	31	50	45	33
Considering the practical relevance/applicability of the work of colleagues	19	31	31	22	11	31	20	15	29	25	26	15	27	26	28	28	25	54	38	26
Recruiting faculty who have work experience outside of academia	15	30	25	34	7	39	13	33	23	26	21	18	22	21	30	25	25	48	38	26
<i>External relations decisions</i>																				
Encouraging academics to adopt service activities	17	38	20	50	15	27	14	32	30	36	28	28	23	12	20	28	25	32	35	27
Encouraging individuals, businesses, foundations, etc. to contribute more to higher education	42	65	19	45	22	37	20	29	36	51	18	28	46	17	34	34	37	54	41	36

Question E6: To what extent does your institution emphasise the following practices? (Scale of answer 1 = very much to 5 = not at all)
 Mean: The national percentages summed up and divided by the number of countries (overall mean cannot be calculated since we do not have national weights in the data set)

^aResponses 1 and 2 on a scale from 1 = very much to 5 = not at all

top-down. 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.

Altogether, as Table 6.5 shows, less than one-third of the academics on average of the countries surveyed state that there is good communication between management and academics (30%), that collegiality prevails in decision-making (30%) and that the respondents feel they are kept informed about what is going on at their institution. In contrast, a top-down management style is perceived by 55% of the respondents on average across countries.

In considering the first three dimensions of communication styles as typical for 'communication-oriented management' and calculating the mean responses to these three dimensions, we can argue that '*communication-oriented management*' is accordingly

- Most widespread in Malaysia (45%)
- Fairly widespread as well in Argentina (40%), Brazil (39%), Canada, China and Mexico (38% each)
- Above average in the Netherlands (36%), Norway and the USA (35% each) as well as Japan (33%)
- Around average (28–32%) in Finland, Germany, Portugal, Hong Kong, Australia and Italy
- Below average in the United Kingdom (27%), South Africa (25%) and Korea (23%)

The respective responses of junior and senior academics are similar in most countries. Substantial differences are visible in only three cases. A communicative management style is clearly less frequently observed on the one hand by junior academics at universities in Japan (25% as compared to 33% among university professors) and the Netherlands (27% as compared to 36%). On the other hand, junior academics in Korea more often note a communicative management style than do senior academics of their country (35% as compared to 23%).

Professors at other institutions of higher education perceive more frequently a communicative management style than do university professors on average across countries. This is clearly visible in Norway, the United States, Portugal and China. In reverse, university professors perceive this more often in Japan and Korea than do professors at other institutions of higher education.

A top-down management style is

- Most frequently perceived by academics in Australia (74%) and Hong Kong (72%)
- Also clearly above average perception in South Africa and the United Kingdom (68% each) as well as in the United States (65%)
- Around average in nine countries
- Below average in Germany (43%), Argentina (44%), China (45%) and Portugal (48%)
- By far most seldom in Norway (29%)

A top-down management style is as often perceived by junior academic staff at universities as by university professors on average across the 19 countries. There are substantial differences (at least 10%), however, in some countries: A top-down

Table 6.5 Academics' perceptions of communication styles prevailing at their institution of higher education (percentage^a)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Good communication</i>																			
<i>Total</i>	30	30	30	21	26	27	34	29	23	23	24	20	26	33	41	39	21	35	50
Universities	30	26	33	28	27	28	35	32	21	28	28	29	24	55	36	37	21	31	49
Seniors	32	27	32	17	24	18	33	31	21	23	23	23	28	30	36	33	19	39	51
Juniors	.	42	31	35	.	29	40	39	^b	23	23	17	.	.	48	38	^b	40	52
Other HEIs	.	42	25	39	.	28	44	27	^b	20	23	20	.	.	45	45	^b	32	38
<i>Top-down management style</i>																			
<i>Total</i>	55	65	56	43	52	54	29	48	68	74	57	54	72	44	55	54	68	45	60
Universities	57	66	52	43	49	51	24	46	76	75	50	55	80	34	41	49	69	48	57
Seniors	53	65	52	44	57	58	33	50	64	71	40	40	69	45	45	62	70	42	61
Juniors	.	64	65	35	.	51	10	52	^b	86	61	53	.	.	66	56	^b	48	76
Other HEIs	.	62	70	36	.	56	29	47	^b	76	53	57	.	.	66	54	^b	47	57
<i>Collegiality in decision-making</i>																			
<i>Total</i>	38	33	23	28	16	36	25	34	20	19	45	17	25	36	29	41	20	36	42
Universities	36	29	28	28	18	33	27	39	19	24	54	17	20	45	36	48	20	34	41
Seniors	42	33	24	27	12	28	21	36	20	19	21	28	27	35	32	42	19	38	43
Juniors	.	37	23	41	.	38	37	47	^b	25	45	19	.	.	25	35	^b	40	40
Other HEIs	.	38	16	33	.	41	32	31	^b	14	40	12	.	.	24	43	^b	32	33
<i>Kept informed</i>																			
<i>Total</i>	45	43	43	47	41	44	40	32	38	42	30	41	37	52	46	35	35	45	43
Universities	44	40	52	56	43	55	35	46	40	43	37	47	35	69	45	35	35	42	44
Seniors	47	40	42	45	39	36	41	37	30	45	30	56	38	50	51	38	34	47	42
Juniors	.	47	53	54	.	48	53	56	^b	46	30	36	.	.	46	32	^b	50	39
Other HEIs	.	57	38	50	.	39	68	25	^b	34	22	44	.	.	45	40	^b	46	42

Question E4: At my institution there is...

Question E5: Please indicate your views on the following issues

^aResponses 1 and 2 on a scale from 1 = strongly agree to 5 = strongly disagree

^bToo small number of respondents

. No other HEIs or no other HEIs surveyed

management style is more often perceived by junior academics at universities in Mexico and Argentina than by university professors, while it is less often perceived by junior academics in Korea, the United Kingdom, Hong Kong and Japan.

Professors at other institutions of higher education report a top-down style of management across countries 5% more than university professors. The respective ratings are clearly higher among the former in Brazil, Finland, Malaysia, Australia and Japan, while they are lower in Norway as in the case of university professors.

If we aggregate and average the above three items and add the reverse of top-down management, we can create an **index of communication-oriented management**. We note the following ratings of communication-oriented management:

- High in Argentina, Norway (44% each), Malaysia (43%) and China (41%)
- Above average in Brazil (39%), Canada and Mexico (38% each) as well as Germany and the Netherlands (36% each)
- Around average in Portugal (34%) as well as in Finland, Japan and the USA (32% each)
- Below average in Italy (29%),
- Low in South Africa (21%) as well as in Australia, Hong Kong, Korea and the United Kingdom

We note, however, that the responses to the three dimensions of communication named above are not necessarily in contrast to the responses as regards top-down management. For example:

- Malaysia stands out in the three communicative dimensions, but top-down management is reported close to average.
- The USA is above average both in the communicative dimensions and in top-down management.
- Australia and Hong Kong are close to average in the communicative dimensions and very high in top-down management.
- Korea, in contrast, is close to average in top-down management but very low in the three communicative dimensions.

Thus, we do not find the expected contrast between the responses as regards the communicative dimensions and top-down management in five of the 19 cases. We can argue, for example, that a communicative management style sometimes seems to coexist with a top-down management style, even though these are often thought to be incompatible.

6.9 Operationally Oriented Management Style

Distinct from the communicative dimensions of management, the second group of issues addressed might be summarised as targeted operationally oriented arrangements of management. Is the management strategic, competent, efficient and

supportive? The following items have been presented in the questionnaire in this domain:

- ‘A strong performance orientation’
- ‘A strong emphasis on the institution’s mission’
- ‘A cumbersome administrative process’ (in reverse used as indicating ‘smooth’ administrative processes)
- ‘A supportive attitude of administrative staff towards teaching activities’
- ‘A supportive attitude of administrative staff towards research activities’
- ‘Top-level administrators are providing competent leadership’

A *strong performance orientation* of their institution is noted, as Table 6.6 indicates, by slightly more than half of the academics on average across countries (51%). Highest ratings (more than 10% above average) hold true for Australia (70%), the United Kingdom (68%), Hong Kong (64%) and Korea (62%). In contrast, a performance orientation is seldom reported for Italy (22%), Portugal (29%) and Argentina (34%). The notions of university professors and junior staff at universities are similar on average. However, the junior staff at Canadian universities perceive a stronger performance orientation than do university professors, while the opposite holds true for Korea. On average, other institutions of higher education are viewed as less performance oriented: On the one hand, the ratings are clearly lower in this respect in Japan, the Netherlands and the United States; in contrast, the respective ratings are higher in Brazil.

A *strong emphasis on the institution’s mission* is perceived by slightly more than half the academics across the 19 countries (55%). This is reported most often for Malaysia (75%) and the United States (69%) and, in contrast, seems to play only a small role in Italy (20%), Germany (36%) and Norway (43%).

Smooth administrative processes are slightly more frequently noted: 58% on average across countries (or more precisely, cumbersome processes have been reported by 42% of the academics). This quality of administration seems to apply most often to Australia (76%), the United Kingdom (73%) as well as Germany and Japan (69% each), while it is least often the case in Malaysia (41%) as well as Brazil and Mexico (44% each). Junior academics at universities rate the administrative processes equally on average across the 19 countries, whereby the ratings by senior academics in Hong Kong are clearly more positive than those by junior academics, and the reverse holds true for Argentina and Mexico. Ratings by academics at other higher education institutions are slightly more negative than by those at universities. Professors at other higher education institutions consider the administrative processes to be less smooth than do their colleagues at universities; this is especially notable in Brazil and the United States, while the opposite is true for the Netherlands.

A *supportive attitude of administration towards teaching activities* is less frequently perceived: Across the 19 countries, only 39% of the academics observe this support. The ratings are most positive in this respect in Japan (59%) and the United States (52%) and most critical in Italy (19%), Finland (25%) and Germany (28%). The average ratings of university professors and junior academics staff at universities are similar across countries with relatively negative notions by junior academics in Australia and Argentina and relatively positive notions of junior academics in

Table 6.6 Academics' perceptions of targeted and operationally orientated management styles prevailing at their institution of higher education (percentage^a)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Performance orientation</i>																			
<i>Total</i>	51	49	60	^b	22	52	50	29	68	70	51	62	64	34	46	46	51	60	57
Universities	45	52	67	^b	23	68	50	40	69	81	70	80	70	34	39	47	50	62	54
Juniors	62	50	58	^b	21	67	51	36	67	75	72	69	61	34	40	49	50	61	58
Other HEIs	.	37	60	^b	.	51	45	22	^c	71	44	56	.	.	53	43	^c	57	64
Juniors	.	43	58	^b	.	33	53	23	^c	52	54	65	.	.	49	52	^c	49	54
<i>Smooth administration</i>																			
<i>Total</i>	65	56	59	69	53	62	55	58	73	76	69	50	60	54	44	44	61	53	41
Universities	64	59	59	62	53	56	57	64	79	76	73	53	68	41	51	43	59	56	46
Juniors	66	58	57	72	53	54	55	56	71	74	65	49	56	56	53	57	67	51	40
Other HEIs	.	48	65	62	.	73	50	58	^c	79	69	48	.	.	37	43	^c	51	47
Juniors	.	53	62	54	.	60	47	60	^c	79	66	53	.	.	35	43	^c	51	41
<i>Supportive for teaching</i>																			
<i>Total</i>	49	52	25	28	19	43	44	29	41	39	57	29	44	34	43	41	30	49	45
Universities	51	51	20	30	20	46	43	30	44	47	63	38	38	51	35	39	29	44	44
Juniors	46	49	27	26	17	45	44	30	38	36	55	39	47	31	36	44	30	55	46
Other HEIs	.	58	30	29	.	42	40	21	^c	34	57	27	.	.	54	39	^c	39	48
Juniors	.	57	19	39	.	39	40	28	^c	41	52	28	.	.	45	48	^c	46	39
<i>Supportive for research</i>																			
<i>Total</i>	48	49	25	23	17	27	36	12	32	37	36	26	39	23	29	35	27	49	37
Universities	49	51	17	34	19	32	33	26	34	48	47	38	41	32	32	36	26	45	35
Juniors	46	56	27	22	14	34	38	13	30	37	51	28	39	22	30	40	29	55	38
Other HEIs	.	38	21	17	.	23	27	16	^c	32	33	25	.	.	29	31	^c	39	42
Juniors	.	35	25	27	.	21	41	9	^c	28	33	21	.	.	24	39	^c	43	33

Competent leadership		39	45	38	31	33	40	38	41	25	32	55	27	35	32	52	42	28	63	49
Total		39	45	38	31	33	40	38	41	25	32	55	27	35	32	52	42	28	63	49
Universities		40	40	42	36	36	41	33	49	25	41	63	42	34	44	44	40	29	62	47
Juniors		39	48	40	30	28	36	39	42	22	33	61	51	35	30	52	48	29	65	50
Seniors		.	50	36	37	.	43	50	42	^c	37	52	23	.	.	56	37	^c	64	39
Juniors		.	50	33	31	.	38	47	37	^c	23	53	24	.	.	57	52	^c	55	46

Question E4: At my institution there is...

Question E5: Please indicate your views on the following issues

^aResponses 1 and 2 on a scale from 1 = strongly agree to 5 = strongly disagree

^bThis question was not asked in Germany

^cToo small number of respondents

. No other HEIs or no other HEIs surveyed

China. Professors at other institutions of higher education also do not differ on average across countries in this rating: However, professors at other institutions of higher education are relatively less satisfied in this respect in Australia and Korea, whereas in Brazil they indicate more favourable ratings.

A supportive attitude of administration towards research activities is even less frequently noted: only by 31% of the academics on average across countries. Administrative support for research is most often reported in Canada and China (49% each) as well as in the United States (48%), while little support in this respect is perceived in Portugal (12%) and Italy (17%). University professors report administrative support for research slightly more often than junior academic staff across countries; this difference is greatest in Portugal and Australia. As one might expect, university professors clearly note more administrative support for research than do professors at other institutions of higher education: This difference is most obvious in the United States, Germany and Australia.

Competent leadership is not prevalent at institutions of higher education in the view of the academics: 39% on average of countries rate this affirmatively. The most positive ratings can be found in China (63%), Japan (55%) and Brazil (52%), but are rare in the United Kingdom (25%), Korea (27%) and South Africa (28%). University professors have a more negative view than junior staff; only in Argentina do university professors consider their institution's leaders in a more positive light than do junior academics. The respective ratings also do not differ substantially on average between university professors and professors at other institutions of higher education; university professors hold relatively positive views in Korea and Japan and relatively negative views in Norway and Brazil.

Altogether, we note that about half of the academics surveyed on average across the countries included in the CAP study consider their institution's management to be smooth, mission oriented and performance oriented. In contrast, only about four out of ten rate their leadership as competent and consider the administration as being supportive of teaching. And only three out of ten view their administration as being supportive for research. When we create an overall score by calculating the average of the responses to these six dimensions, we find that 46% of the academics observe a **targeted and operationally oriented management style** at their institution of higher education.

Actually,

- In eight cases, half or more of the academics note such a management style— notably in the Anglo-Saxon and Asian countries: China (56%), the United States (55%), Japan (54%), Australia (53%), Malaysia (51%) as well as Canada, the United Kingdom and Hong Kong (50% each).
- Ratings close to the average are made primarily by some European and some emerging countries outside Asia: Brazil (46%), the Netherlands and Mexico (45% each), Finland, Norway and South Africa (44%) and finally Korea (41%).
- Finally, management is least often rated as targeted and operationally oriented by academics in Italy (27%) and also clearly less than average in Portugal (36%), Germany (37%) and Argentina (38%).

This does not mean that high ratings of targeted and operationally oriented management styles are consistently positive ratings and that low ratings in this area are consistently negative ratings. For example, academics might be convinced that the emphasis on the institution's mission might endanger the diversity of academic activities and that a performance orientation might encourage short-term perspectives and undermine efforts to strive for fundamental breakthroughs. But in terms of the currently fashionable management philosophies, higher education management in China might be the darling and that in Italy old-fashioned.

6.10 Protection of Academic Freedom

The guarantee of academic freedom is a cherished value for academics. Academics were asked in the survey to report the extent to which they agree to the statement: 'The administration supports academic freedom'.

The phrasing of the question is unfortunate in the framework of an international survey. In some countries, 'administration' might comprise all the executives of an institution of higher education, while in many other countries—notably European countries—it refers only to the administrative apparatus, often even derogatively named the bureaucracy.

On average across countries, as Table 6.7 shows, 46% of the academics note academic freedom to be supported by their administration. This is most strongly underscored in Mexico (76%), the United States (61%), Canada (60%) and Argentina (58%). In contrast, it is seldom noted in Finland (23%), South Africa (26%), Norway (31%) and Germany (34%), but this finding might be artificial as a consequence of the different meanings of 'administration'.

Junior academics at universities observe a slightly lower level of support for academic freedom. This difference is most striking in Argentina, Australia and Korea, while junior academics in Japan and Malaysia note more of this support than do university professors in their respective countries.

Professors at other institutions of higher education note an even lower level of support for academic freedom. This is most pronounced in the Netherlands, Brazil, Japan, Mexico and Australia.

6.11 Institutional Affiliation and Engagement

Both in the Carnegie survey undertaken in 1992 (see Altbach 1996) and in the recent CAP study, academics were asked to respond to the following question: 'Please indicate the degree to which each of the following affiliations is important for you: My academic discipline/field, My department (at this institution), My institution'.

Most academics in all of the 19 countries considered themselves to be affiliated with an academic discipline or to an academic field defined otherwise (e.g. by the object

Table 6.7 Academics' perceptions of support of academic freedom by the administration of their institution of higher education (percentage^a)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Total</i>	60	61	23	34	47	37	31	36	39	39	55	50	53	58	47	76	26	54	41
Universities																			
Seniors	61	61	19	40	49	51	32	49	42	51	68	61	58	81	57	76	25	53	39
Juniors	60	59	26	33	44	47	30	40	39	39	82	50	51	55	52	88	26	55	41
Other HEIs																			
Seniors	.	64	18	43	.	30	24	58	^b	41	53	52	.	.	39	74	^b	49	37
Juniors	.	61	17	36	.	24	33	30	^b	28	47	43	.	.	40	76	^b	51	38

Question E5: Please indicate your views on the following issues

^aResponses 1 and 2 on a scale from 1 = strongly agree to 5 = strongly disagree

^bToo small number of respondents

. No other HEIs or no other HEIs surveyed

of their study (organisational research)). But there were enormous differences by country in the extent to which affiliation with an institution is viewed as important.

The importance of academics' affiliation to their institution of higher education can be linked to the management of higher education institutions in both directions. On the one hand, the management style—for example, a 'communication-oriented management style'—might increase the academics' affiliation to their institution. On the other hand, academics with a strong affiliation to their institutions might perceive the management differently and interact with the management in a more positive way than those with a not so strong affiliation.

As Table 6.8 shows,

- 90% of academics on average across countries have affirmed the high importance of their discipline/field.
- 72% affirm their department.
- 64% affirm their institution of higher education.

The *high importance of the discipline* is stated in most countries. There are only three European countries differing from this pattern—78% in Italy and 81% each in Portugal and the United Kingdom—as well as one Asian country: 80% in China. Within the individual countries, the responses do differ substantially by type of higher education institution and by status group.

Almost three quarters on average across countries consider *their department* as highly important, when asked about their affiliation. Thereby, differences by country are noteworthy: On the one hand, the respective proportion is very high in Korea (89%) as well as in various emerging countries: Mexico (90%), Malaysia (89%) and Argentina (82%). On the other hand, the affiliation to one's department is not so often named as important by academics in four European countries: Germany (51%), the United Kingdom (54%), Italy (57%) and Portugal (60%).

Within the individual countries, the responses do differ substantially by type of higher education institution and by status group, but there are some noteworthy differences within individual countries: In the United States, the affiliation to one's department is clearly lower among university professors than among junior staff at universities and academics at other higher education institutions. Somewhat similar, academics at universities (both senior and junior) in Germany (almost to the same extent in the Netherlands) consider their department less important than do academics at other institutions of higher education. In contrast, the department plays a relatively important role for academics at universities in Norway and Malaysia.

Less than two-thirds on average across countries underscore their *institutional affiliation*. The differences by countries are even more striking in this case. On the one hand, the academics in two-thirds of the emerging countries surveyed consider their institution of higher education as important in this respect: Mexico (93%), Malaysia (88%), Argentina (86%) and Brazil (79%). On the other hand, almost the same countries where the affiliation to the department was stated as relatively low, the affiliation to one's institution of higher education was stated again as relatively low—of course in this case even lower as far as the actual figures are concerned: United Kingdom (39%), Germany (43%), Norway (48%) and the Netherlands (50%).

Table 6.8 Academics stating high importance of affiliation to their discipline, department and institution (percentage^a)

<i>Discipline/field</i>	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Total</i>	92	91	89	92	78	88	95	81	81	89	94	89	90	93	94	97	93	80	96
<i>Universities</i>	92	92	93	93	78	86	97	76	84	91	95	92	92	92	94	97	93	80	97
<i>Juniors</i>	91	91	88	91	78	86	96	80	80	88	86	89	89	94	92	98	92	81	97
<i>Other HEIs</i>	.	92	88	94	.	87	87	80	^b	94	93	89	.	.	96	97	^b	79	93
<i>Juniors</i>	.	87	89	81	.	93	79	82	^b	89	94	89	.	.	94	96	^b	78	95
<i>Department</i>																			
<i>Total</i>	69	79	72	51	57	73	70	60	54	67	64	89	73	82	73	90	76	74	89
<i>Universities</i>	67	71	76	47	57	68	67	59	53	69	61	89	72	86	72	86	75	72	90
<i>Juniors</i>	74	84	71	49	58	63	72	67	56	67	54	95	72	82	71	87	76	76	90
<i>Seniors</i>	.	85	75	64	.	76	55	56	^b	68	65	89	.	.	75	91	^b	71	77
<i>Juniors</i>	.	85	73	75	.	80	77	57	^b	65	64	88	.	.	73	93	^b	76	86
<i>Institution</i>																			
<i>Total</i>	59	60	67	43	58	50	48	64	39	51	64	73	60	86	79	93	60	68	88
<i>Universities</i>	59	56	72	46	60	48	46	76	36	56	63	75	60	86	84	93	60	69	94
<i>Juniors</i>	61	59	67	40	55	42	49	65	39	53	43	92	59	86	80	95	58	68	90
<i>Seniors</i>	.	71	63	52	.	48	44	80	^b	56	66	72	.	.	79	93	^b	63	82
<i>Juniors</i>	.	66	64	50	.	58	54	62	^b	42	61	73	.	.	72	94	^b	63	78

Question B4: Please indicate the degree to which each of the following affiliations is important to you

^aResponses 1 and 2 on a scale from 1 = very important to 5 = not at all important

^bToo small number of respondents

Table 6.9 Change in level of academics' affiliation to their discipline, department and institution in selected countries^a from 1992 to 2007 (percentage^b of all respondents)

	DE	UK	US	JP	KO	HK	BR	MX	AU
<i>In 2007</i>									
My academic discipline/field	92	81	91	94	89	90	94	97	89
My department (at this institution)	50	54	79	64	89	73	73	90	67
My institution	43	39	60	64	73	60	79	93	51
<i>In 1992</i>									
My academic discipline/field	91	93	96	96	99	93	99	98	94
My department (at this institution)	52	66	89	85	88	87	95	95	87
My institution	34	84	90	80	97	78	96	94	74

Question B4 (2007): Please indicate the degree to which each of the following affiliations is important to you

^aThe countries that participated in the two surveys

^bPercent who responded very important or important on a five-item scale

Within the individual countries, respondents from universities in the United States express a clearly lower institutional affiliation than respondents from other institutions of higher education in that country. Junior academics in Portugal at both institutional types and junior academics in Japan at universities place a relatively low importance on their institutions, while the reverse is true for junior academics at universities in Korea.

One of the most striking findings of the comparison between the Carnegie study and the CAP study is the decline of the level of affiliation of academics, particularly with their institution. This can be demonstrated for nine countries (including Hong Kong), where data are available both for 1992 and for 2007 (see Table 6.9).

First, the level of *affiliation to one's discipline or field* has declined from 95 to 91% on average across countries. Of course, most academics continue to consider their discipline as important, but the share of those not considering it important has almost doubled. The most dramatic change has occurred in the United Kingdom, where the respective figure has declined from 93 to 81%.

Second, the level of *affiliation to one's department* is clearly lower as well. It has declined from 83% in 1992 to 72% about 15 years later on average across countries. Substantially lower figures hold true in two-thirds of the cases: Most substantially lower in Brazil and Australia but also noteworthy in Japan, Hong Kong, the United States and the United Kingdom.

Third, the level of *affiliation to one's institution of higher education* has dropped enormously within 15 years: on average across countries for which information is available at both points in time, from 80 to 63%. There is a clear decline in seven cases—thereby most exceptionally in the United Kingdom from 84% to less than half, that is, 38%. There are two exceptions: First, only in Mexico did almost all academics state a strong affiliation both in 1992 and 2007. Second, the level of institutional affiliation increased in Germany: It was by far the lowest in 1992 (34%) and increased at least to a higher level than in the United Kingdom, namely, to 51%.

In looking specifically at the affiliation to one's department and one's institution, we note a substantial decline in six cases out of nine as regards the former and in seven cases as regards the latter. Correlates of low institutional commitment or loyalty include a perception that the prevailing management style is top-down, a perception that facilities are inadequate and a perception that support services are too bureaucratic (Cummings and Finkelstein 2011). The emerging countries of Brazil and Mexico are the exceptions with high levels of institutional loyalty expressed in both 1992 and 2007. The decline in institutional loyalty is particularly steep in the four systems that are market coordinated—specifically the UK, Australia, the USA and Hong Kong.

The decline in institutional loyalty appears to have consequences. Academics who express low institutional loyalty are more likely to favour research over teaching, are more likely to devote a greater percentage of their time to research and a lesser percentage of their time to teaching and are less likely to engage in university service and administrative tasks.

The presumption in Fig. 6.1 is that participatory consultative efficient governance/management influences institutional loyalty and engagement in institution specific activities. In most of the mature systems, less than two out of three academics expressed a positive level of commitment when asked to rate the importance of their affiliation to their institution. In the UK, less than four out of ten expressed this sentiment. This contrasts with several of the emerging countries like Argentina, Brazil, Malaysia and Mexico where between 80 and 90% expressed a positive sense of institutional commitment.

6.12 Conclusion: Variations in the Model's Applicability

This chapter began with the introduction of a hypothetical model of the governance and management of higher educational systems and institutions. The overall pattern of results suggests the applicability of this model, at least for the higher education systems in the more advanced societies. For these higher education systems, it may be that a significant minority of academics, demoralised by current decision-making processes and by what they perceive to be an inadequate working environment, are reducing the effort they devote to the required tasks of teaching and routine administration. Thus, these systems may be losing valuable academic energy.

Of course, depending on national circumstances and traditions, there may be interesting variations in the model. One variation is between university systems in more advanced societies as contrasted with those in transitional or emerging societies (Locke et al. 2011). In the former settings, many of the institutions have been around for some time and are staffed both by eminent professors and experienced managers, enabling an atmosphere of mutual respect and a reasonable sharing of power. In contrast, in the university systems of emerging societies, many of the

institutions may be newer and more fragile, reflecting the greater uncertainty of enrolments and the part-time status of many professors; hence, the owners and managers may seek to assert greater authority in decision-making.

Several qualifications of the relations suggested in Fig. 6.1 can be attributed to the advanced versus emerging system distinction. For example, faculty in the emerging countries have relatively little power yet they believe they are consulted, they give managers high marks on efficiency and the protection of academic freedom, and they express a high level of loyalty not only to their disciplines and departments but also to their institutions. So an important reason for the muted relation between faculty power and the other variables noted earlier stems from this divergent emerging country pattern.

A second dimension of variation, proposed by Burton Clark (1987), concerns the principle basis for the coordination of national systems. Clark has proposed three distinctive patterns: coordination resting primarily in the hands of senior professors as in Germany, Italy and Portugal; coordination provided by the state as in the cases of Japan, Korea and Brazil; and coordination signalled by the market as in the USA, Australia and lately in the UK. There are no striking differences in terms of faculty participation in governance by coordinating principle, but concerning the perceived level of personal influence, academics in the professorial systems feel they have the least influence. This finding may reflect an exceptional level of tension in institutions coordinated by the professorial system between the all powerful senior professors and the junior faculty who feel their voice is not heard. Suggestive of this interpretation is the finding that across all three coordination systems but especially in professorial coordinated systems, junior faculty believe they have a much lower level of personal influence than do senior faculty—indeed this difference is one of the most striking findings of the CAP study.

Decisions are described as more top-down in market-coordinated systems. The perception of a strong performance orientation varies widely, but it is most evident in market-coordinated systems being exceptionally high in the USA (see Finkelstein and Cummings 2011). And it is perceived as least prevalent in the professorial coordinated systems such as Italy and Portugal. Particularly notable is the perception in the market systems that teaching is supported. But at the same time, the market systems are notable for the perception that the bureaucracy is cumbersome. Managers in the market systems are the least likely to be considered competent. Also notable is the low level of institutional affiliation expressed by academics in the systems of the market coordination group.

Appendix

Table 6.10.1 Selecting key administrators (percentage)

	CA	US	FL	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Seniors at universities</i>																			
Government or external stakeholders	4	6	2	8	4	27	2	2	2	2	2	2	22	5	21	62	6	26	37
Institutional managers	47	73	69	53	78	64	57	36	66	64	22	66	53	24	23	21	65	63	51
Academic unit managers	13	15	5	12	8	8	24	39	11	17	15	22	11	28	5	4	13	10	10
Faculty committees/boards	31	7	21	23	7	1	15	19	14	14	51	7	4	34	10	10	11	1	1
Individual faculty	4	0	3	4	3	0	3	5	7	3	12	3	1	7	36	2	5	0	1
Students	0	0	0	1	0	0	0	0	0	0	0	0	0	2	4	1	0	0	0
<i>Juniors at universities</i>																			
Government or external stakeholders	6	6	3	8	9	24	1	5	1	2	0	0	19	9	21	54	10	22	28
Institutional managers	46	65	59	49	70	62	64	43	49	58	16	50	41	30	30	25	62	64	51
Academic unit managers	15	21	9	18	11	12	17	27	13	18	20	22	16	27	6	8	8	10	16
Faculty committees/boards	29	8	23	20	8	2	18	17	26	16	62	25	7	29	16	10	15	4	4
Individual faculty	5	0	7	4	3	1	2	8	10	7	2	3	2	3	22	4	6	0	1
Students	0	0	0	0	0	0	0	0	0	0	0	0	1	3	5	1	0	0	0
<i>Seniors at other HEIs</i>																			
Government or external stakeholders	.	8	3	8	.	18	3	0	^a	2	1	0	.	.	6	60	^a	37	11
Institutional managers	.	78	91	52	.	69	72	49	^a	83	45	90	.	.	70	23	^a	58	77
Academic unit managers	.	6	2	7	.	9	21	21	^a	11	16	4	.	.	11	7	^a	5	9
Faculty committees/boards	.	8	2	29	.	1	3	27	^a	5	30	4	.	.	7	7	^a	1	2
Individual faculty	.	1	3	5	.	2	0	3	^a	0	8	1	.	.	7	2	^a	0	0
Students	.	0	0	0	.	2	0	0	^a	0	0	0	.	.	1	2	^a	0	0
<i>Juniors at other HEIs</i>																			
Government or external stakeholders	.	6	4	24	.	19	2	^a	3	1	1	1	.	.	4	54	^a	19	16
Institutional managers	.	71	88	49	.	67	65	38	^a	77	38	81	.	.	83	29	^a	64	47
Academic unit managers	.	10	3	9	.	13	16	32	^a	6	17	8	.	.	5	6	^a	12	32
Faculty committees/boards	.	14	3	18	.	1	13	15	^a	11	40	7	.	.	5	8	^a	4	4
Individual faculty	.	0	3	0	.	0	7	11	^a	3	4	2	.	.	2	2	^a	0	2
Students	.	0	0	0	.	1	0	0	^a	0	0	0	.	.	1	1	^a	0	0

Question E1: At your institution, which actor has the primary influence on each of the following decisions?
 Additional category, asked only in HK: University senate; 9% by seniors at universities, 16% by juniors at universities

^aToo small number of respondents

. No other HEIs or no other HEIs surveyed

Table 6.10.2 Choosing new faculty (percentage)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Seniors at universities</i>																			
Government or external stakeholders	0	0	1	2	2	0	1	0	0	0	0	0	0	1	17	9	1	1	6
Institutional managers	4	4	7	16	4	1	21	8	13	16	2	13	10	18	23	17	37	22	33
Academic unit managers	11	31	16	18	31	45	19	22	33	38	3	22	54	43	24	21	27	68	46
Faculty committees/boards	77	59	37	57	39	50	35	66	34	40	89	60	31	25	33	50	25	8	13
Individual faculty	9	6	41	7	24	4	25	5	20	7	7	5	2	12	4	3	10	1	3
Students	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0
<i>Juniors at universities</i>																			
Government or external stakeholders	1	0	0	4	4	0	2	0	1	0	0	0	5	1	10	11	3	1	1
Institutional managers	3	3	8	29	6	3	26	8	16	25	0	3	15	8	28	15	35	23	34
Academic unit managers	11	37	12	25	36	31	23	40	27	27	14	27	45	53	31	30	27	66	54
Faculty committees/boards	79	55	31	35	27	57	31	48	33	39	77	65	23	21	29	41	29	8	10
Individual faculty	6	5	49	6	27	9	17	5	23	8	9	5	3	16	2	3	6	1	2
Students	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	1	0
<i>Seniors at other HEIs</i>																			
Government or external stakeholders	.	0	0	4	.	0	0	0	0	0	0	0	.	.	1	14	^a	2	0
Institutional managers	.	9	46	9	.	7	21	0	^a	24	11	31	.	.	15	22	^a	44	34
Academic unit managers	.	32	20	20	.	61	31	21	^a	44	8	28	.	.	73	35	^a	47	59
Faculty committees/boards	.	55	11	63	.	28	24	79	^a	25	74	38	.	.	10	27	^a	6	5
Individual faculty	.	4	23	5	.	2	24	0	^a	6	7	4	.	.	0	2	^a	1	2
Students	.	0	0	0	.	2	0	0	^a	0	0	0	.	.	0	1	^a	0	0
<i>Juniors at other HEIs</i>																			
Government or external stakeholders	.	0	1	19	.	0	0	0	^a	1	0	0	.	.	0	9	^a	2	2
Institutional managers	.	14	46	34	.	7	26	4	^a	40	10	28	.	.	15	23	^a	33	31
Academic unit managers	.	29	20	9	.	57	55	31	^a	26	12	33	.	.	76	37	^a	56	56
Faculty committees/boards	.	55	5	38	.	30	19	56	^a	25	72	33	.	.	8	27	^a	5	8
Individual faculty	.	3	29	0	.	5	0	9	^a	9	6	5	.	.	0	4	^a	2	4
Students	.	0	0	0	.	1	0	0	^a	0	0	0	.	.	0	0	^a	0	0

Question E1: At your institution, which actor has the primary influence on each of the following decisions?
 Additional category, asked only in HK: University senate; 3% by seniors at universities, 9% by juniors at universities
^aToo small number of respondents
 . No other HEIs or no other HEIs surveyed

Table 6.10.3 Making faculty promotion and tenure decisions (percentage)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Seniors at universities</i>																			
Government or external stakeholders	0	0	0	2	4	0	2	0	0	0	0	0	0	3	16	13	1	4	8
Institutional managers	11	15	22	27	4	1	38	11	34	27	6	29	27	22	28	18	44	46	64
Academic unit managers	22	29	13	24	33	55	21	23	16	15	5	25	44	43	12	9	22	27	20
Faculty committees/boards	64	52	48	13	37	38	33	64	44	55	85	45	23	26	41	58	27	23	9
Individual faculty	3	4	17	35	21	5	6	2	7	4	4	1	1	5	3	2	6	1	0
Students	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0
<i>Juniors at universities</i>																			
Government or external stakeholders	0	0	0	2	4	0	3	1	0	0	0	0	2	3	10	15	1	5	4
Institutional managers	15	17	17	18	5	4	40	24	27	27	5	14	20	23	35	23	48	45	47
Academic unit managers	21	36	10	39	39	56	20	26	17	16	11	38	41	41	18	20	24	29	40
Faculty committees/boards	62	45	48	13	27	30	33	47	43	52	77	43	27	25	36	41	26	22	9
Individual faculty	2	2	25	27	25	10	5	3	12	5	7	5	2	8	2	1	2	0	0
Students	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<i>Seniors at other HEIs</i>																			
Government or external stakeholders	.	0	0	4	.	0	3	0	a	0	0	0	.	.	1	19	a	15	5
Institutional managers	.	24	80	40	.	11	45	3	a	60	19	50	.	.	60	31	a	51	71
Academic unit managers	.	22	11	30	.	78	17	33	a	8	7	9	.	.	31	24	a	13	21
Faculty committees/boards	.	54	5	19	.	7	21	64	a	30	71	35	.	.	8	24	a	19	5
Individual faculty	.	0	5	8	.	2	14	0	a	2	2	6	.	.	2	a	1	0	0
Students	.	0	0	0	.	2	0	0	a	0	0	0	.	.	0	0	a	0	0
<i>Juniors at other HEIs</i>																			
Government or external stakeholders	.	0	1	12	.	0	9	4	a	1	0	0	.	.	0	16	a	10	2
Institutional managers	.	28	71	41	.	7	44	24	a	43	19	54	.	.	53	35	a	52	43
Academic unit managers	.	29	11	32	.	74	28	24	a	19	12	12	.	.	40	24	a	22	47
Faculty committees/boards	.	43	6	9	.	13	19	44	a	34	67	33	.	.	6	24	a	13	5
Individual faculty	.	1	12	6	.	6	0	4	a	3	2	1	.	.	0	2	a	1	2
Students	.	0	0	0	.	0	0	0	a	0	0	0	.	.	0	0	a	0	0

Question E1: At your institution, which actor has the primary influence on each of the following decisions?
 Additional category, asked only in HK: University senate; 5% by seniors at universities, 8% by juniors at universities
 aToo small number of respondents
 . No other HEIs or no other HEIs surveyed

Table 6.10.4 Determining budget priorities (percentage)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Seniors at universities</i>																			
Government or external stakeholders	3	1	6	2	2	0	2	5	3	2	0	3	1	9	11	34	2	5	9
Institutional managers	61	53	42	67	42	25	50	34	61	49	36	67	41	36	64	39	60	66	50
Academic unit managers	31	44	7	17	29	60	25	45	14	28	18	25	44	38	14	17	22	25	34
Faculty committees/boards	5	2	25	12	21	13	21	11	15	17	43	3	9	17	10	9	12	3	7
Individual faculty	0	0	20	1	6	2	3	5	7	5	3	2	2	1	1	1	5	1	1
Students	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<i>Juniors at universities</i>																			
Government or external stakeholders	5	3	4	7	2	2	2	8	3	2	0	3	8	14	9	40	7	6	6
Institutional managers	53	46	40	59	37	28	54	48	46	49	18	47	28	43	63	34	53	59	43
Academic unit managers	33	49	12	21	33	53	22	35	16	22	27	42	41	27	17	19	22	30	43
Faculty committees/boards	9	2	25	11	19	14	19	8	29	19	55	8	12	16	11	7	12	5	8
Individual faculty	0	0	20	3	9	4	3	1	7	8	0	0	2	1	1	0	6	0	1
Students	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0
<i>Seniors at other HEIs</i>																			
Government or external stakeholders	.	1	5	3	.	1	7	3	^a	2	0	0	.	.	3	40	^a	7	7
Institutional managers	.	77	66	75	.	44	52	61	^a	75	50	83	.	.	87	39	^a	77	49
Academic unit managers	.	22	9	10	.	48	23	33	^a	14	16	8	.	.	7	14	^a	12	38
Faculty committees/boards	.	0	9	10	.	4	19	3	^a	5	32	8	.	.	3	6	^a	4	2
Individual faculty	.	0	11	3	.	0	0	0	^a	5	2	1	.	.	0	1	^a	0	4
Students	.	0	0	0	.	3	0	0	^a	0	0	0	.	.	1	0	^a	0	0
<i>Juniors at other HEIs</i>																			
Government or external stakeholders	.	3	3	3	.	3	6	8	^a	1	2	.	.	.	2	42	^a	6	6
Institutional managers	.	53	72	84	.	37	41	53	^a	69	47	78	.	.	89	37	^a	72	54
Academic unit managers	.	39	10	6	.	55	31	35	^a	12	26	12	.	.	7	16	^a	17	34
Faculty committees/boards	.	5	5	6	.	4	6	4	^a	13	26	8	.	.	2	4	^a	5	5
Individual faculty	.	0	10	0	.	2	13	0	^a	5	1	0	.	.	0	1	^a	0	1
Students	.	0	0	0	.	0	3	0	^a	0	0	0	.	.	0	0	^a	0	0

Question E1: At your institution, which actor has the primary influence on each of the following decisions?

Additional category, asked only in HK: University senate: 3% by seniors at universities, 9% by juniors at universities

^aToo small number of respondents

. No other HEIs or no other HEIs surveyed

Table 6.10.5 Determining the overall teaching load of faculty (percentage)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Seniors at universities</i>																			
Government or external stakeholders	0	1	3	a	2	0	3	0	0	0	0	1	2	6	3	11	1	1	3
Institutional managers	20	24	12	a	14	4	33	6	24	12	8	47	11	22	19	14	17	30	12
Academic unit managers	59	65	9	a	29	45	34	34	44	53	10	32	64	45	46	33	40	55	65
Faculty committees/boards	17	9	19	a	48	42	21	56	17	26	56	13	18	25	29	29	20	10	14
Individual faculty	4	1	57	a	6	9	9	3	15	9	26	7	4	2	3	13	21	3	6
Students	0	0	0	a	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0
<i>Juniors at universities</i>																			
Government or external stakeholders	0	1	4	a	2	0	4	1	2	1	0	3	0	3	4	5	2	1	1
Institutional managers	24	23	13	a	12	10	41	8	23	17	12	44	11	42	27	15	24	28	10
Academic unit managers	55	66	11	a	36	42	28	43	30	37	7	33	61	34	41	38	43	54	63
Faculty committees/boards	20	9	27	a	42	40	22	46	24	28	58	19	18	18	24	29	14	14	21
Individual faculty	2	1	45	a	8	8	5	2	20	17	23	0	3	3	4	13	17	3	6
Students	0	0	0	a	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0
<i>Seniors at other HEIs</i>																			
Government or external stakeholders	.	4	3	a	.	0	3	3	b	3	0	1	.	.	0	11	b	1	0
Institutional managers	.	53	38	a	.	12	40	.	b	35	14	55	.	.	20	19	b	30	7
Academic unit managers	.	33	20	a	.	65	33	26	b	38	21	18	.	.	75	49	b	57	77
Faculty committees/boards	.	10	14	a	.	20	20	68	b	18	42	16	.	.	5	17	b	11	9
Individual faculty	.	0	26	a	.	2	3	3	b	6	23	10	.	.	1	5	b	1	7
Students	.	0	0	a	.	2	0	0	b	0	0	0	.	.	0	0	b	1	0
<i>Juniors at other HEIs</i>																			
Government or external stakeholders	.	1	3	a	.	1	6	1	b	1	1	1	.	.	0	8	b	2	2
Institutional managers	.	44	45	a	.	13	44	11	b	33	16	50	.	.	20	20	b	27	9
Academic unit managers	.	39	18	a	.	62	38	31	b	37	23	26	.	.	73	51	b	58	74
Faculty committees/boards	.	17	9	a	.	17	13	52	b	16	35	17	.	.	6	17	b	9	9
Individual faculty	.	0	25	a	.	7	0	5	b	13	25	7	.	.	0	4	b	4	6
Students	.	0	0	a	.	0	0	0	b	0	0	0	.	.	0	0	b	1	0

Question E1: At your institution, which actor has the primary influence on each of the following decisions?
 Additional category, asked only in HK: University senate; 1% seniors at universities, 7% juniors at universities

^aNot included in the survey because this is determined by the government
^bToo small number of respondents
 . No other HEIs or no other HEIs surveyed

Table 6.10.6 Setting admission standards for undergraduate students (percentage)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Seniors at universities</i>																			
Government or external stakeholders	2	3	7	11	7	7	10	14	2	3	1	6	3	2	4	30	6	21	17
Institutional managers	40	60	24	31	22	17	36	14	29	44	14	57	23	27	46	22	39	60	22
Academic unit managers	22	13	5	17	13	39	9	28	24	20	10	15	27	29	18	12	19	12	34
Faculty committees/boards	36	23	49	39	56	35	41	44	31	31	71	22	35	39	30	34	26	6	25
Individual faculty	2	1	15	2	2	2	4	0	14	3	4	0	3	2	1	2	11	0	2
Students	0	0	0	0	0	0	0	0	1	0	0	0	1	1	0	0	0	1	0
<i>Juniors at universities</i>																			
Government or external stakeholders	1	2	10	10	5	3	15	13	5	7	6	6	2	4	4	24	3	16	8
Institutional managers	41	61	24	39	16	20	30	17	31	42	14	51	18	36	48	19	39	61	32
Academic unit managers	17	13	8	24	21	35	9	27	12	14	23	26	28	30	16	17	22	14	38
Faculty committees/boards	38	23	41	26	52	38	41	39	36	26	61	17	34	24	29	40	23	9	21
Individual faculty	2	1	17	1	6	3	6	3	18	11	2	0	4	4	2	0	14	1	1
Students	0	0	0	0	0	1	0	0	0	0	0	0	1	2	1	0	0	0	0
<i>Seniors at other HEIs</i>																			
Government or external stakeholders	.	4	32	4	.	7	3	3	^a	2	0	2	.	.	2	29	^a	29	16
Institutional managers	.	71	42	31	.	15	62	12	^a	64	19	62	.	.	54	33	^a	51	28
Academic unit managers	.	5	11	19	.	39	3	12	^a	20	14	15	.	.	30	15	^a	13	35
Faculty committees/boards	.	19	8	45	.	31	24	73	^a	6	63	20	.	.	14	21	^a	4	9
Individual faculty	.	0	8	1	.	5	7	0	^a	8	4	1	.	.	1	1	^a	1	12
Students	.	0	0	0	.	3	0	0	^a	0	0	0	.	.	1	0	^a	2	0
<i>Juniors at other HEIs</i>																			
Government or external stakeholders	.	4	32	0	.	9	6	10	^a	4	1	1	.	.	2	30	^a	17	7
Institutional managers	.	73	35	19	.	15	50	22	^a	55	21	48	.	.	54	34	^a	57	35
Academic unit managers	.	13	10	32	.	30	6	21	^a	16	20	24	.	.	30	18	^a	18	43
Faculty committees/boards	.	11	8	48	.	40	38	47	^a	20	53	24	.	.	15	17	^a	8	13
Individual faculty	.	0	15	0	.	5	0	0	^a	5	7	3	.	.	0	1	^a	1	2
Students	.	0	0	0	.	2	0	0	^a	0	0	0	.	.	0	0	^a	0	0

Question E1: At your institution, which actor has the primary influence on each of the following decisions?

Additional category, asked only in HK: University senate: 9% seniors at universities, 12% juniors at universities

^aToo small number of respondents

. No other HEIs or no other HEIs surveyed

Table 6.10.7 Approving new academic programmes (percentage)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Seniors at universities</i>																			
Government or external stakeholders	7	8	14	4	2	4	a	5	1	1	2	2	3	5	3	29	12	50	25
Institutional managers	37	39	28	42	8	12	a	14	30	38	13	45	19	42	35	11	31	38	49
Academic unit managers	16	14	5	14	13	59	a	31	10	10	11	23	17	20	24	7	20	9	12
Faculty committees/boards	39	37	47	36	72	24	a	49	56	49	68	27	26	33	37	51	31	3	15
Individual faculty	1	1	6	4	5	1	a	2	5	3	6	2	2	0	1	1	5	0	0
Students	0	0	0	0	1	1	a	0	0	0	0	0	0	0	0	0	0	0	0
<i>Juniors at universities</i>																			
Government or external stakeholders	7	5	14	9	3	6	a	7	3	1	0	6	6	12	3	22	15	42	20
Institutional managers	35	44	34	47	8	9	a	14	25	35	12	33	16	47	35	21	31	42	45
Academic unit managers	17	20	7	20	16	47	a	20	8	14	24	25	23	18	26	12	19	10	20
Faculty committees/boards	41	30	38	22	64	33	a	54	54	44	62	33	28	24	36	46	28	5	14
Individual faculty	0	1	6	3	8	5	a	4	9	6	2	3	1	0	1	0	7	0	1
Students	0	0	0	0	1	0	a	0	0	0	0	0	1	1	0	0	0	0	0
<i>Seniors at other HEIs</i>																			
Government or external stakeholders	.	7	55	7	.	1	a	.	b	2	1	2	.	.	2	33	b	59	11
Institutional managers	.	33	36	35	.	12	a	6	b	48	19	45	.	.	53	18	b	25	48
Academic unit managers	.	14	6	21	.	38	a	27	b	13	17	20	.	.	28	14	b	11	14
Faculty committees/boards	.	45	2	33	.	42	a	64	b	36	57	33	.	.	17	34	b	5	23
Individual faculty	.	1	2	5	.	5	a	3	b	2	6	1	.	.	0	1	b	1	5
Students	.	0	0	0	.	3	a	0	b	0	0	0	.	.	0	0	b	0	0
<i>Juniors at other HEIs</i>																			
Government or external stakeholders	.	8	48	19	.	1	a	9	b	3	1	1	.	.	2	29	b	42	20
Institutional managers	.	46	38	36	.	8	a	13	b	48	17	44	.	.	56	24	b	41	44
Academic unit managers	.	15	4	19	.	44	a	12	b	12	20	25	.	.	28	10	b	12	27
Faculty committees/boards	.	31	5	19	.	41	a	60	b	34	54	29	.	.	15	35	b	3	8
Individual faculty	.	1	5	7	.	5	a	7	b	2	8	2	.	.	0	3	b	2	1
Students	.	0	0	0	.	1	a	0	b	0	0	0	.	.	0	0	b	1	0

Question E1: At your institution, which actor has the primary influence on each of the following decisions?

Additional category, asked only in HK: University senate: 34% seniors at universities, 26% juniors at universities

^aNot asked in Norway^bToo small number of respondents

. No other HEIs or no other HEIs surveyed

Table 6.10.8 Evaluating teaching (percentage)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Seniors at universities</i>																			
Government or external stakeholders	0	0	4	4	4	1	3	3	2	2	1	4	0	1	3	4	7	4	3
Institutional managers	11	9	19	26	9	9	17	19	14	26	17	30	13	21	23	10	17	40	10
Academic unit managers	25	39	11	24	14	48	19	21	24	20	20	11	34	35	27	15	30	12	56
Faculty committees/boards	18	23	23	22	37	34	20	29	27	19	39	6	19	31	35	35	19	4	22
Individual faculty	5	3	28	2	4	1	15	5	21	14	14	3	2	5	8	2	19	1	9
Students	42	26	15	22	35	6	28	24	12	19	7	49	29	5	3	31	12	1	0
<i>Juniors at universities</i>																			
Government or external stakeholders	0	0	6	4	1	4	1	4	5	1	5	0	0	5	7	8	3	38	2
Institutional managers	7	4	16	18	8	5	20	20	13	23	15	22	7	20	19	10	22	43	10
Academic unit managers	25	48	9	22	17	34	19	26	14	18	15	11	38	38	24	18	28	10	59
Faculty committees/boards	21	23	23	24	31	35	20	23	31	20	50	3	15	22	36	33	21	7	24
Individual faculty	4	6	30	7	5	5	16	5	26	17	10	3	2	11	7	0	13	1	6
Students	44	20	16	26	38	16	24	23	10	22	5	62	35	5	7	31	14	1	0
<i>Seniors at other HEIs</i>																			
Government or external stakeholders	.	0	10	4	.	0	3	7	^a	0	2	0	.	.	4	14	^a	45	3
Institutional managers	.	12	22	28	.	2	20	.	^a	46	25	27	.	.	26	17	^a	34	3
Academic unit managers	.	46	18	26	.	37	23	13	^a	22	33	6	.	.	37	22	^a	9	77
Faculty committees/boards	.	28	13	22	.	40	13	55	^a	16	26	9	.	.	18	21	^a	8	12
Individual faculty	.	2	24	10	.	13	10	.	^a	5	9	2	.	.	9	2	^a	6	6
Students	.	13	14	10	.	8	30	26	^a	11	5	56	.	.	6	23	^a	3	0
<i>Juniors at other HEIs</i>																			
Government or external stakeholders	.	0	10	13	.	1	6	6	^a	1	0	0	.	.	3	13	^a	35	2
Institutional managers	.	9	28	20	.	3	13	15	^a	31	27	29	.	.	33	19	^a	41	5
Academic unit managers	.	44	12	30	.	35	16	32	^a	23	27	6	.	.	32	22	^a	13	67
Faculty committees/boards	.	17	6	17	.	45	16	30	^a	16	35	7	.	.	17	17	^a	7	18
Individual faculty	.	7	30	7	.	12	28	6	^a	14	5	1	.	.	9	5	^a	0	8
Students	.	22	14	13	.	4	22	11	^a	14	7	56	.	.	6	23	^a	3	0

Question E1: At your institution, which actor has the primary influence on each of the following decisions?

Additional category, asked only in HK: University senate: 3% seniors at universities, 3% juniors at universities

^aToo small number of respondents

. No other HEIs or no other HEIs surveyed

Table 6.10.9 Actors having the primary influence on setting internal research priorities (percent)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Seniors at universities</i>																			
Government or external stakeholders	2	1	1	3	3	0	1	2	2	1	0	1	a	1	1	11	1	3	2
Institutional managers	27	21	28	14	6	11	31	13	22	34	34	47	a	26	20	13	22	82	22
Academic unit managers	19	35	12	19	13	51	28	26	22	19	23	16	a	32	22	12	28	10	46
Faculty committees/boards	18	19	13	11	13	26	15	30	20	21	24	31	a	16	32	34	24	4	22
Individual faculty	34	24	46	53	65	12	24	29	33	24	18	5	a	25	24	31	25	0	8
Students	0	0	0	0	0	0	0	0	0	0	0	0	a	0	0	0	0	0	0
<i>Juniors at universities</i>																			
Government or external stakeholders	3	1	1	3	3	1	2	1	1	1	0	4	a	3	1	7	2	5	3
Institutional managers	28	16	17	11	4	5	33	11	22	26	24	20	a	20	22	13	31	79	26
Academic unit managers	20	43	12	22	15	34	27	29	22	21	20	45	a	38	30	18	22	11	45
Faculty committees/boards	20	22	16	13	11	34	16	32	21	22	38	28	a	12	26	33	22	5	19
Individual faculty	28	18	54	51	67	26	23	27	35	30	18	3	a	28	20	28	22	0	7
Students	0	0	0	0	0	0	0	0	0	0	0	0	a	0	0	1	0	0	0
<i>Seniors at other HEIs</i>																			
Government or external stakeholders	.	0	0	1	.	0	3	10	b	0	0	0	.	.	1	17	b	3	2
Institutional managers	.	29	50	23	.	17	26	4	b	56	38	49	.	.	52	19	b	81	26
Academic unit managers	.	32	16	6	.	51	29	17	b	20	25	12	.	.	29	16	b	8	35
Faculty committees/boards	.	16	13	8	.	23	22	32	b	13	21	33	.	.	14	33	b	9	23
Individual faculty	.	23	22	61	.	8	20	37	b	11	16	6	.	.	4	15	b	0	13
Students	.	0	0	0	.	1	0	0	b	0	0	0	.	.	0	0	b	0	0
<i>Juniors at other HEIs</i>																			
Government or external stakeholders	.	0	2	0	.	1	0	3	b	1	0	1	.	.	0	17	b	2	2
Institutional managers	.	17	56	14	.	9	30	15	b	47	27	57	.	.	51	21	b	78	28
Academic unit managers	.	30	16	27	.	64	28	26	b	16	28	12	.	.	31	20	b	12	46
Faculty committees/boards	.	25	8	2	.	22	14	29	b	23	25	26	.	.	15	28	b	7	14
Individual faculty	.	27	18	57	.	4	28	26	b	12	19	4	.	.	4	14	b	1	10
Students	.	0	0	0	.	0	0	0	b	0	0	0	.	.	0	0	b	0	0

Question E1: At your institution, which actor has the primary influence on each of the following decisions?

^aNot asked in Hong Kong

^bToo small number of respondents

. No other HEIs or no other HEIs surveyed

Table 6.10.10 Actors having the primary influence on evaluating research (percent)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Seniors at universities</i>																			
Government or external stakeholders	9	3	10	15	16	13	21	53	16	7	11	4	a	16	9	13	4	18	3
Institutional managers	13	9	39	30	13	9	18	9	21	33	19	11	a	35	22	17	19	63	25
Academic unit managers	23	35	14	23	16	47	10	10	21	16	18	15	a	23	19	11	31	13	34
Faculty committees/boards	33	39	20	21	34	27	17	21	23	24	31	8	a	20	41	53	30	5	35
Individual faculty	21	14	17	11	22	4	34	7	18	20	20	62	a	7	9	5	15	0	3
Students	0	0	0	0	0	0	0	1	0	0	0	0	a	0	0	0	0	0	0
<i>Juniors at universities</i>																			
Government or external stakeholders	8	3	15	9	13	17	19	24	17	11	13	4	a	14	6	13	6	20	2
Institutional managers	12	6	25	20	10	10	22	15	19	26	3	9	a	28	23	15	24	57	29
Academic unit managers	19	40	15	26	21	30	15	19	20	19	12	17	a	28	23	15	27	15	36
Faculty committees/boards	42	42	20	20	31	34	18	30	26	22	54	13	a	19	41	50	31	8	28
Individual faculty	18	8	25	24	26	8	27	11	17	22	18	56	a	11	8	7	12	1	5
Students	0	1	0	0	0	0	0	0	0	0	0	0	a	0	0	0	0	0	0
<i>Seniors at other HEIs</i>																			
Government or external stakeholders	.	5	6	7	.	1	28	25	b	12	1	1	.	.	1	21	b	15	2
Institutional managers	.	9	39	44	.	12	21	14	b	50	29	29	.	.	40	22	b	64	24
Academic unit managers	.	29	13	6	.	40	20	16	b	17	33	8	.	.	32	17	b	10	39
Faculty committees/boards	.	42	19	12	.	39	18	30	b	11	23	10	.	.	25	35	b	12	28
Individual faculty	.	15	24	31	.	7	14	15	b	11	13	51	.	.	2	5	b	0	7
Students	.	0	0	0	.	1	0	0	b	0	0	0	.	.	0	0	b	0	0
<i>Juniors at other HEIs</i>																			
Government or external stakeholders	.	4	6	6	.	1	12	12	b	9	0	1	.	.	1	19	b	12	3
Institutional managers	.	14	46	33	.	9	20	13	b	36	30	31	.	.	41	28	b	61	24
Academic unit managers	.	23	22	27	.	51	25	24	b	18	26	11	.	.	35	16	b	16	41
Faculty committees/boards	.	40	6	3	.	33	26	34	b	24	29	10	.	.	20	29	b	9	26
Individual faculty	.	19	19	31	.	6	17	17	b	13	15	47	.	.	3	8	b	2	5
Students	.	0	0	0	.	1	0	0	b	0	0	0	.	.	0	0	b	0	0

Question E1: At your institution, which actor has the primary influence on each of the following decisions?

^aNot asked in Hong Kong

^bToo small number of respondents

. No other HEIs or no other HEIs surveyed

Table 6.10.11 Actors having the primary influence on establishing international linkages (percent)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Seniors at universities</i>																			
Government or external stakeholders	1	1	0	0	1	1	0	1	0	2	1	0	a	2	5	32	1	14	7
Institutional managers	36	40	18	22	12	19	11	29	27	31	46	71	a	58	47	32	42	68	59
Academic unit managers	11	17	13	15	10	43	12	29	17	15	17	10	a	22	14	11	19	13	21
Faculty committees/boards	5	11	8	6	6	17	4	12	10	9	22	5	a	3	16	6	12	2	6
Individual faculty	46	30	61	56	71	20	72	29	46	42	14	13	a	14	19	19	26	4	7
Students	0	1	0	0	0	1	0	1	0	0	0	0	a	0	0	0	0	0	0
<i>Juniors at universities</i>																			
Government or external stakeholders	3	0	0	0	1	2	0	1	0	3	4	0	a	6	5	25	4	18	7
Institutional managers	38	38	10	20	11	10	10	25	27	24	17	47	a	40	63	39	44	66	59
Academic unit managers	9	20	11	17	12	27	17	27	16	17	26	34	a	31	10	13	17	12	21
Faculty committees/boards	6	12	9	6	5	21	4	15	10	11	35	3	a	5	11	6	7	3	7
Individual faculty	44	29	69	57	70	39	69	32	47	46	18	16	a	18	11	17	28	2	6
Students	0	0	1	0	1	1	0	0	0	0	0	0	a	0	0	1	1	0	0
<i>Seniors at other HEIs</i>																			
Government or external stakeholders	.	1	1	1	.	0	0	0	b	0	0	1	.	.	3	46	b	20	2
Institutional managers	.	54	31	30	.	23	17	36	b	38	51	75	.	.	84	32	b	74	54
Academic unit managers	.	16	19	14	.	52	7	22	b	24	15	8	.	.	10	9	b	5	27
Faculty committees/boards	.	8	12	8	.	15	4	10	b	1	20	4	.	.	2	5	b	1	5
Individual faculty	.	20	37	46	.	9	71	33	b	35	13	12	.	.	1	6	b	1	11
Students	.	1	0	0	.	1	0	0	b	1	0	0	.	.	0	0	b	0	0
<i>Juniors at other HEIs</i>																			
Government or external stakeholders	.	0	0	0	.	2	0	1	b	0	0	0	.	.	2	42	b	21	3
Institutional managers	.	49	39	28	.	20	15	32	b	46	46	73	.	.	81	34	b	65	58
Academic unit managers	.	5	19	24	.	50	12	33	b	15	19	8	.	.	10	12	b	10	27
Faculty committees/boards	.	18	8	8	.	16	10	11	b	10	20	7	.	.	6	5	b	3	8
Individual faculty	.	27	34	40	.	11	64	22	b	29	16	11	.	.	2	6	b	1	4
Students	.	1	0	0	.	1	0	1	b	0	0	0	.	.	0	0	b	0	0

Question E1: At your institution, which actor has the primary influence on each of the following decisions?

^aNot asked in Hong Kong

^bToo small number of respondents

. No other HEIs or no other HEIs surveyed

Table 6.11.1 Evaluators of teaching at universities (percent; multiple responses)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Seniors at universities</i>																			
Your peers in your department or unit	32	51	28	11	18	42	19	43	66	26	22	18	37	45	59	42	47	53	21
The head of your department or unit	65	77	59	26	30	42	30	48	51	67	21	34	72	47	47	51	58	58	61
Members of other departments or units at this institution	9	14	5	4	4	7	5	31	10	9	2	5	10	15	19	21	23	20	7
Senior administrative staff at this institution	28	34	19	10	3	18	18	26	7	15	16	23	37	32	17	17	17	39	13
Your students	91	87	92	88	87	93	92	48	94	80	52	81	91	65	73	79	76	69	82
External reviewers	7	6	18	7	9	30	11	29	30	6	21	9	24	28	10	18	26	21	18
Yourself (formal self-assessment)	34	54	0	32	23	24	29	27	50	44	48	16	46	51	39	43	52	35	37
No one at or outside my institution	3	1	1	5	5	0	5	14	1	5	10	3	0	8	9	2	7	6	4
<i>Juniors at universities</i>																			
Your peers in your department or unit	38	48	37	24	24	41	31	44	66	36	14	34	40	48	51	54	34	50	32
The head of your department or unit	79	86	49	15	37	38	21	48	47	70	21	41	71	47	52	51	50	65	66
Members of other departments or units at this institution	13	15	5	4	4	9	6	30	9	11	0	3	11	14	22	24	16	21	15
Senior administrative staff at this institution	30	25	8	10	3	17	14	36	9	17	20	32	26	23	20	21	14	34	16
Your students	93	93	77	73	85	92	84	62	90	86	36	86	94	60	73	89	76	62	84
External reviewers	9	10	6	3	8	16	10	52	30	6	11	2	25	11	12	21	32	22	19
Yourself (formal self-assessment)	46	55	0	41	26	27	28	25	53	51	29	22	47	38	42	60	53	40	51
No one at or outside my institution	3	0	5	10	7	1	8	10	5	5	18	2	0	12	6	0	12	6	2

Question E3: By whom is your teaching, research and service regularly evaluated?

Table 6.11.2 Evaluators of research at universities (percent; multiple responses)

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY
<i>Seniors at universities</i>																			
Your peers in your department or unit	37	51	41	15	32	40	31	15	36	27	22	44	36	22	51	40	38	24	25
The head of your department or unit	58	76	65	22	27	61	26	5	61	67	24	35	77	14	27	44	52	51	64
Members of other departments or units at this institution	14	19	21	8	7	11	6	6	22	11	3	15	22	28	32	37	27	18	26
Senior administrative staff at this institution	30	38	26	16	2	11	11	9	23	30	22	33	48	28	18	17	22	41	27
Your students	2	3	3	1	2	0	6	72	4	4	3	5	3	2	8	4	7	10	6
External reviewers	61	48	71	55	48	68	47	22	63	59	34	43	70	74	54	50	54	24	37
Yourself (formal self-assessment)	31	52	0	35	23	22	22	15	51	37	49	26	44	28	31	37	48	38	38
No one at or outside my institution	5	4	5	18	19	1	20	19	4	3	10	9	1	4	15	3	9	7	4
<i>Juniors at universities</i>																			
Your peers in your department or unit	48	35	60	57	47	52	70	19	51	41	7	62	37	31	46	39	36	25	33
The head of your department or unit	66	58	72	17	38	57	31	13	64	76	14	45	80	34	31	50	45	57	62
Members of other departments or units at this institution	18	16	25	10	10	12	10	7	19	18	5	21	19	26	31	38	21	15	32
Senior administrative staff at this institution	33	21	11	19	4	17	7	9	18	16	23	31	31	25	23	30	15	30	24
Your students	3	3	2	4	3	2	4	59	7	4	0	6	2	4	6	2	5	10	8
External reviewers	57	32	51	36	36	52	29	25	59	54	22	40	49	57	38	51	62	26	35
Yourself (formal self-assessment)	43	49	0	43	25	23	29	26	54	45	47	29	50	30	31	56	45	37	49
No one at or outside my institution	5	18	5	9	16	5	8	17	7	4	14	5	2	5	17	2	12	9	5

Question E3: By whom is your teaching, research and service regularly evaluated?

Table 6.11.3 Evaluators of teaching at other institutions of higher education (percent; multiple responses)

	US	FI	DE	NL	NO	PT	AU	JP	KR	BR	MX	CH	MY
<i>Seniors at other HEIs</i>													
Your peers in your department or unit	46	31	9	53	15	65	24	19	19	42	43	67	23
The head of your department or unit	76	60	22	65	30	25	57	31	19	77	69	69	65
Members of other departments or units at this institution	22	5	2	8	0	37	6	5	6	15	28	22	20
Senior admin. staff at this institution	51	8	13	16	29	26	19	36	31	34	28	37	15
Your students	88	92	91	89	90	43	90	49	79	89	84	74	71
External reviewers	10	27	11	25	15	52	6	7	4	11	28	17	16
Yourself (formal self-assessment)	62	0	40	49	30	16	55	39	20	55	55	39	43
No one at or outside my institution	1	1	2	2	0	0	1	8	4	3	1	8	4
<i>Juniors at other HEIs</i>													
Your peers in your department or unit	63	32	30	62	51	39	29	36	23	27	31	59	36
Your peers in your department or unit	84	63	19	70	23	41	28	63	35	25	78	67	72
Members of other departments or units at this institution	23	6	0	6	6	24	27	13	8	10	17	26	16
Senior admin. staff at this institution	37	14	16	10	30	31	0	16	36	35	35	31	20
Your students	98	92	77	90	75	61	82	86	54	81	86	67	83
External reviewers	7	16	0	21	7	42	26	6	5	2	12	22	24
Yourself (formal self-assessment)	64	0	34	48	44	34	52	63	39	24	54	42	54
No one at or outside my institution	1	2	13	3	7	15	2	3	6	2	3	8	4

Question E3: By whom is your teaching, research and service regularly evaluated?

Table 6.11.4 Evaluators of research at other institutions of higher education (percent; multiple responses)

	US	FI	DE	NL	NO	PT	UK	AU	JP	KR	BR	MX	CH	MY
<i>Seniors at other HEIs</i>														
Your peers in your department or unit	30	20	6	37	30	28	18	18	15	22	20	30	26	20
The head of your department or unit	57	52	9	56	44	5	63	62	32	15	28	40	47	56
Members of other departments or units at this institution	18	21	5	22	3	0	8	14	3	14	16	29	22	16
Senior admin. staff at this institution	39	35	14	21	32	9	6	38	42	42	20	20	45	25
Your students	1	6	3	11	6	56	13	9	2	2	10	5	12	5
External reviewers	29	39	19	42	57	28	33	61	11	35	21	47	19	45
Yourself (formal self-assessment)	51	0	37	50	25	22	49	46	42	30	27	41	39	49
No one at or outside my institution	10	14	37	5	5	13	28	6	12	9	40	4	11	2
<i>Juniors at other HEIs</i>														
Your peers in your department or unit	36	25	49	22	55	20	72	35	23	31	15	29	22	26
The head of your department or unit	54	48	28	41	47	12	81	62	37	18	24	41	51	56
Members of other departments or units at this institution	15	22	0	14	11	10	33	17	5	20	15	30	17	27
Senior admin. staff at this institution	25	19	18	10	7	16	50	25	43	51	24	24	40	20
Your students	2	7	0	5	10	51	0	4	3	3	11	4	13	4
External reviewers	38	33	41	31	26	21	76	51	8	32	16	41	20	35
Yourself (formal self-assessment)	51	0	38	38	27	28	60	43	39	28	27	39	35	48
No one at or outside my institution	14	18	14	27	11	25	2	3	10	9	43	7	8	6

Question E3: By whom is your teaching, research and service regularly evaluated?

Table 6.12.1 Strong perceptions of teaching and research-related institutional strategies (percent^a): seniors at universities

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY	Mean
<i>Funding decisions</i>																				
Performance-based allocation	32	43	70	61	30	65	54	19	56	60	44	33	62	24	30	42	29	50	30	44
Evaluation-based allocation	17	0	44	41	24	42	24	14	37	39	47	24	55	20	28	40	25	43	32	31
Funding based on numbers of students	71	51	33	50	55	67	53	57	76	76	65	43	70	37	30	32	47	53	50	53
Funding based on numbers of graduates	33	25	74	33	23	58	57	23	30	41	9	27	31	11	13	23	44	36	37	33
<i>Personnel decisions</i>																				
Considering the research quality	46	54	55	57	24	69	34	28	69	56	76	43	74	27	28	44	39	57	44	49
Considering the teaching quality	33	46	32	28	13	37	24	17	35	33	39	27	43	37	27	33	34	49	40	33
Considering the practical relevance/ applicability of the work of colleagues	18	27	26	18	11	20	14	14	24	19	21	16	18	39	17	26	24	52	37	23
Recruiting faculty who have work experience outside of academia	14	26	18	27	7	19	11	23	18	22	20	13	15	35	15	16	25	45	34	21
<i>External relations decisions</i>																				
Encouraging academics to adopt service activities	18	33	19	55	16	20	17	38	31	37	26	18	21	28	14	23	25	30	29	26
Encouraging individuals, businesses, foundations, etc. to contribute more to higher education	43	64	25	52	25	23	22	39	41	60	28	37	47	33	26	27	35	54	38	38

Question E6: To what extent does your institution emphasise the following practices?

Mean: The national percentages summed up and divided by the number of countries

^aResponses 1 and 2 on a scale from 1 = very much to 5 = not at all

Table 6.12.2 Strong perceptions of teaching and research-related institutional strategies (percent^a): juniors at universities

	CA	US	FI	DE	IT	NL	NO	PT	UK	AU	JP	KR	HK	AR	BR	MX	SA	CH	MY	Mean
<i>Funding decisions</i>																				
Performance-based allocation	38	39	58	49	29	51	52	17	39	47	22	46	55	15	31	44	36	54	36	40
Evaluation-based allocation	28	0	38	26	22	35	23	17	30	36	27	49	48	15	26	42	34	47	38	31
Funding based on numbers of students	69	48	39	42	52	64	49	47	68	62	28	48	65	35	25	33	54	52	38	48
Funding based on numbers of graduates	35	29	71	21	23	60	55	27	32	41	8	30	36	10	8	26	49	37	37	33
<i>Personnel decisions</i>																				
Considering the research quality	56	56	44	53	20	59	35	21	59	55	68	48	65	21	34	46	35	62	42	46
Considering the teaching quality	33	46	21	21	10	28	26	15	28	28	37	18	44	26	32	37	28	53	46	30
Considering the practical relevance/applicability of the work of colleagues	22	38	28	20	10	17	24	10	32	27	20	21	31	24	23	31	25	58	39	26
Recruiting faculty who have work experience outside of academia	18	38	15	26	9	19	14	27	27	27	23	6	26	19	22	31	24	52	37	24
<i>External relations decisions</i>																				
Encouraging academics to adopt service activities	16	42	16	49	12	15	12	26	30	35	23	26	23	10	16	20	29	34	38	25
Encouraging individuals, businesses, foundations, etc. to contribute more to higher education	41	68	19	44	19	22	19	33	32	52	15	30	45	15	28	25	42	54	41	34

Question E6: To what extent does your institution emphasise the following practices?

Mean: The national percentages summed up and divided by the number of countries

^aResponses 1 and 2 on a scale from 1 = very much to 5 = not at all

Table 6.12.3 Strong perceptions of teaching and research-related institutional strategies (percent^a), seniors at other HEIs

	US	FI	DE	NL	NO	PT	AU	JP	KR	BR	MX	CH	MY	Mean
<i>Funding decisions</i>														
Performance-based allocation	25	41	42	24	74	18	51	28	32	29	33	39	32	36
Evaluation-based allocation	0	21	14	23	25	18	41	25	31	32	34	41	41	27
Funding based on numbers of students	51	77	65	81	45	37	84	65	67	42	35	53	50	58
Funding based on numbers of graduates	26	71	41	75	45	11	36	6	23	20	19	25	28	33
<i>Personnel decisions</i>														
Considering the research quality	24	9	25	27	39	31	48	54	28	27	29	42	37	32
Considering the teaching quality	71	54	51	53	39	15	41	39	22	50	31	43	56	43
Considering the practical relevance/ applicability of the work of colleagues	29	45	36	46	31	18	35	28	12	39	26	47	37	33
Recruiting faculty who have work experience outside of academia	21	62	88	50	7	26	36	22	17	43	26	42	51	38
<i>External relations decisions</i>														
Encouraging academics to adopt service activities	41	40	61	39	13	33	48	27	27	26	28	22	17	32
Encouraging individuals, businesses, foundations, etc. to contribute more to higher education	59	15	45	52	15	44	57	15	27	43	36	48	49	39

Question E6: To what extent does your institution emphasise the following practices?

Mean: The national percentages summed up and divided by the number of countries

^aResponses 1 and 2 on a scale from 1 = very much to 5 = not at all

Table 6.12.4 Strong perceptions of teaching and research-related institutional strategies (percent^a); juniors at other HEIs

	US	FI	DE	NL	NO	PT	AU	JP	KR	BR	MX	CH	MY	Mean
<i>Funding decisions</i>														
Performance-based allocation	27	35	51	18	37	14	45	34	41	28	32	44	42	35
Evaluation-based allocation	0	17	17	10	16	13	31	31	40	28	37	41	41	23
Funding based on numbers of students	44	69	66	83	55	34	77	39	63	47	40	54	41	53
Funding based on numbers of graduates	27	61	39	65	47	17	31	4	20	18	21	39	24	30
<i>Personnel decisions</i>														
Considering the research quality	33	15	55	9	31	21	36	45	37	25	33	47	28	33
Considering the teaching quality	73	34	57	34	28	19	20	31	26	43	41	45	48	38
Considering the practical relevance/ applicability of the work of colleagues	25	42	47	33	37	17	21	25	19	34	34	47	38	33
Recruiting faculty who have work experience outside of academia	33	49	71	54	22	39	25	20	24	39	36	50	47	38
<i>External relations decisions</i>														
Encouraging academics to adopt service activities	37	29	46	26	18	36	34	32	35	24	36	32	38	32
Encouraging individuals, businesses, foundations, etc. to contribute more to higher education	68	14	49	40	7	24	42	18	27	41	41	51	43	36

Question E6: To what extent does your institution emphasise the following practices?

Mean: The national percentages summed up and divided by the number of countries

^aResponses 1 and 2 on a scale from 1 = very much to 5 = not at all

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