

GOVERNANCE AND
MANAGEMENT IN HIGHER
EDUCATION

INNOVATIONS IN HIGHER EDUCATION TEACHING AND LEARNING

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INNOVATIONS IN HIGHER EDUCATION TEACHING AND
LEARNING VOLUME 43

**GOVERNANCE AND MANAGEMENT
IN HIGHER EDUCATION**

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SERIES EDITORS' INTRODUCTION

INNOVATIONS IN HIGHER EDUCATION TEACHING AND LEARNING

The purpose of this series is to publish current research and scholarship on innovative teaching and learning practices in higher education. The series is developed around the premise that teaching and learning is more effective when instructors and students are actively and meaningfully engaged in the teaching-learning process.

The main objectives of this series are to:

- 1) present how innovative teaching and learning practices are being used in higher education institutions around the world across a wide variety of disciplines and countries,
- 2) present the latest models, theories, concepts, paradigms, and frameworks that educators should consider when adopting, implementing, assessing, and evaluating innovative teaching and learning practices, and
- 3) consider the implications of theory and practice on policy, strategy, and leadership.

This series will appeal to anyone in higher education who is involved in the teaching and learning process from any discipline, institutional type, or nationality. The volumes in this series will focus on a variety of authentic case studies and other empirical research that illustrates how educators from around the world are using innovative approaches to create more effective and meaningful learning environments.

Innovation teaching and learning is any approach, strategy, method, practice or means that has been shown to improve, enhance, or transform the teaching-learning environment. Innovation involves doing things differently or in a novel way in order to improve outcomes. In short, innovation is positive change. With respect to teaching and learning, innovation is the implementation of new or improved educational practices that result in improved educational and learning outcomes. This innovation can be any positive change related to teaching, curriculum, assessment, technology, or other tools, programs, policies, or processes that leads to improved educational and learning outcomes. Innovation can occur in institutional development, program development, professional development, or learning development.

The volumes in this series will not only highlight the benefits and theoretical frameworks of such innovations through authentic case studies and other empirical research but also look at the challenges and contexts associated with implementing

and assessing innovative teaching and learning practices. The volumes represent all disciplines from a wide range of national, cultural and organizational contexts. The volumes in this series will explore a wide variety of teaching and learning topics such as active learning, integrative learning, transformative learning, inquiry-based learning, problem-based learning, meaningful learning, blended learning, creative learning, experiential learning, lifelong and lifewide learning, global learning, learning assessment and analytics, student research, faculty and student learning communities, as well as other topics.

This series brings together distinguished scholars and educational practitioners from around the world to disseminate the latest knowledge on innovative teaching and learning scholarship and practices. The authors offer a range of disciplinary perspectives from different cultural contexts. This series provides a unique and valuable resource for instructors, administrators, and anyone interested in improving and transforming teaching and learning.

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PART I

GOVERNANCE AND DAILY PRACTICES

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CHAPTER 1

INTRODUCTION TO GOVERNANCE AND MANAGEMENT IN HIGHER EDUCATION

Enakshi Sengupta, Patrick Blessinger and Nasiruddin
Nezaami

ABSTRACT

The current scenario of higher education is undergoing a paradigm shift due to, among other factors, globalization, internationalization, cross border exchange of students and student mobility. This socioeconomic change has prompted educational institutions to brace themselves to deliver education in new ways. The authors are living in an age marked by information revolution where the phenomena of physical distance have shrunk giving way to online education and other innovative pedagogies. With the advent of new ways to teach and learn, education the concept of autonomy, accountability and responsibility has become the new buzz words in academia. Universities need to be more flexible and incorporate the needs of society into their mission and vision. Since education at all levels has become a key driver in economic and social development, universities must reorient their focus on the needs of society and the economy. Autonomy in governance and management in education has become the prerogative of higher education institutions and optimum allocation and use of resources have become one of the chief aims of all higher education institutions.

This book explores the creation of knowledge and its dissemination in order to create significant impacts in society. The chapters talk about the highly competitive education market and the transformation it has undergone. Authors from across the globe have suggested interventions that will help in sustainable

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growth of universities while enhancing quality standards. The chapters present a better understanding of a philosophy of management, society, development and education.

Keywords: Management; governance; accountability; responsibility; growth; academia and innovation

INTRODUCTION

The difficult terrain of higher education is under tremendous pressure to change and is under severe duress from various social and economic factors. Many universities around the world have seen a dwindling of funds, withdrawal of governmental support, and increased tension to evolve in an ever-changing world. Universities are expected to become multi-faceted by providing knowledge, solving social issues, and improving equity and responding to its main stakeholders – the students – in a more efficient and responsive manner. Competition has increased significantly, compelling students and faculty to remain in touch with the latest research and pedagogical developments both locally and internationally. Rankings and grading of universities along with quality control remains as one of the biggest challenges that are faced by university leadership. In such a dynamic environment, universities need to ensure that their independence and autonomy remains one of the top priorities while promoting the socioeconomic objectives of the institution as well as the country.

Governance of higher education in many countries are combining the criteria laid down by the state and the market economy. Institutions are given a free hand to run their own affairs including the issues of funding. Governmental funds are allocated to institutions but they are falling short of the requirement and faculty members are encouraged to work on grants and projects that would help minimize the economic burden of the university. Universities are now accountable to their stakeholders, linking performance to quality. There is a strong emphasis to strengthen the university's market position and enrollment of students as a source of income remains a high priority. An institutional wide strategic plan is helping to shift focus from departmental enhancement to a university-wide growth and progress. External members are dominating the board and they bring their additional experience and knowledge for further enhancement. Academic members are chosen based on their leadership skills and they are expected to give guidance to the entire institution apart from their regular teaching and research duties.

Change management is never easy and is expected to create a lot of tension between teaching and non-teaching staff and the other stakeholders. A balance needs to be sought between academic capability and executive capacity. While universities are no longer mere educational institutions but entrepreneurial ventures,

such balance is delicate and requires careful handling. Governance remains a key issue not only for educational institutions but society as a whole. Excellence is required to balance financial viability and traditional values and leadership teams are finding it increasingly difficult to merge both. Universities are judged on the basis of the values they hold, their roles in society and the signals they give out to the greater public. Significant changes are ushered in with the turn of the century and equity and knowledge economy remains as the main goals of an institution. Universities are now scrutinized to retain the best faculty and students and respond positively to new, ever-evolving pressures and priorities.

LITERATURE REVIEW

In countries across the globe, universities are adopting new, more effective governance structures. In Hong Kong, the governance structure was revamped in eight government funded institutions ([University Grants Commission, 2002](#)) and Australia pointed out the need to implement a better management structure and governance in all universities ([Commonwealth of Australia, 2002](#)). UK highlighted, “a general crisis of governance appears to be engulfing Britain” ([Bargh, Scott, & Smith, 1996](#), p. 170). Emphasis has been laid on institutional autonomy to decide on the recruitment, resource allocation and to decide on the teaching curriculum ([Sporn, 2002](#)). Japan and Korea also reflected the concept of institutional autonomy where changes were made in the legal status of the universities into public corporations ([OECD, 2003](#)).

The issue of governance is dependent on the socioeconomic and political situation of a country and differs from region to region. What remains common among all universities is the phenomenon of public scrutiny and expansion of expectations by the stakeholders. Universities are no longer elite institutions operating without the consent of its stakeholders, immune to the socio-political situation in the country. Marginson and Considine (2000) stated that the current environment in every country can be divided into two opposing groups having an interest in the university. One group consists of the “outsiders,” which comprises of governments, the economic industry, the scientific research community, professional groups, groups with political affiliations and students seeking career advancement and alumni seeking another opportunity to grow. The “insiders,” are the “academic heartland” ([Clark, 1998](#)), who are based inside the university, and are increasingly urged to look outside in order to meet the increased expectation of stakeholders.

The academic space in higher education is now cluttered with different concepts

the rapid growth of service-learning, community-based learning, and other forms of experiential learning in which faculty lead students in the “active construction of knowledge” ([Colby, Ehrlich, Beaumont, & Stephens, 2003](#)) requires the teacher and the students to consider the impact of their work on others and engage in democratic practices that advance democratic partnerships, scholarship, and learning. (in [Hendrickson, Lane, Harris, & Dorman, 2013](#), p. 16)

Paquet (1998, p. 6) to argues that “the pattern of governance – the process through which a system steers or coordinates itself is likely to emerge rather than be crafted.” The emerging pattern of governance is that of a partnership between learner and faculty and not just autocratic ownership of knowledge. Governance involves a decision-making structure and a measuring of performance evaluation. The issues of governance become complex in the case of higher educational institutions as there are no identifiable owner and at times has multiple sources of funding with multiple sources of grants and donations. There is confusion as to what governance model can be applied to such organizations? (Pandey, 2004).

CHAPTER OVERVIEW

The Role of Enterprise-Wide Risk Assessment in Developing Resilient Higher Education Institutions by *Christopher Bamber* is about global Higher Education (HE) sector which is increasingly becoming more competitive and has experienced a significant amount of transformation. Within the last 20 years, changes occurred within legal frameworks, governing funding schemes, quality assurance systems and apprenticeship programs for industry across a widening range of HE provisions that support the upskilling of the workforce. This chapter shows that Higher Education Institutions (HEIs) are constantly seeking alternative ways of developing and consolidating new financial streams (partnering with other HEIs, geographical growth, portfolio development) that allow a sustainable development while maintaining high-quality standards. The chapter shows that governments and experts believe enterprise-wide risk management (EWRM) can help HEIs reduce risk but also shows that it is not widely implemented in the HE sectors. This chapter critically discusses the implementation of EWRM, in the context of a private HEI case study example with the purpose of ensuring business continuity and sustainable growth, while maintaining and enhancing quality standards. The importance of EWRM is discussed and illustrated through the case study research approach where the author analyzes the importance of risk management starting from preparation to program evaluation. This case study review provides a comprehensive and detailed answer as to how adoption of EWRM has been applied through adopting international standards approach and utilizing the improvement cycle of Preparation, Plan, Do, Check and Act (P2DCA). The chapter aligns well with the scope of the book as it provides theoretical and practical insights related to EWRM which is very important in assisting HEI governors and leaders in developing resilient and competitive educational establishments.

Building Trust and Collaborative Participation in the Strategic Plan: Exploring the Interplay of Governance and Daily Practices at Williams College by *Damien Boutillon* provides an ethnographic look at higher education strategic planning, through the lens of Williams College’s 2018–2020 effort to develop a 20-year plan for the institution. The critical analysis of Williams’ multi-community engagement contributes to studies of higher education and to literature in the

sociocultural anthropological field of “policy as a practice of power,” by applying core tenets of the field to strategic planning analysis. Drawing on 12 months of participation-observation and documentary research, the investigation brings into focus Williams’ heterarchical leadership structure and the negotiation practices that contributed to establish the legitimacy and appropriation of William’s strategic plan values. The chapter also shifts toward a contextualized perspective of strategic planning, highlighting campus community divides and the practices that contributed to bridge these fault lines and foster trust during the Fall 2019 campus-wide outreach process. Through the chapter, the analysis reinterprets beliefs of strategic planning and implementation as a top-down, normative imposition, and brings an ethnographic lens to reveal practices of negotiation, convergence, and value appropriation.

Improving Operational – Developmental Connections: Creating Positive “Butterfly Effects” in Universities by *Russell Foote* and *Eglantina Hysa*, presents several current issues that are representative of chinks’ in the armor of university administration today. This study brings into attention the importance of Chinks-in-the-Armor Framework positioned within and informed by broader understandings of philosophy, society, development and education, that serve to identifying, strengthening the operational-development nexus in higher education institutions such as universities. The objectives are to (i) draw the attention of administrators to these “chinks” in the armor of university operations; (ii) indicate how their resolution can strengthen the operations- development nexus; and (iii) encourage continuous reflection on the interdependence of both against the background of better understandings of a philosophy of management, society, development and education. It is argued that if several required adjustments are made to eliminate these “chinks,” the resulting incremental impacts are likely to “snowball” into large visible unprecedented developmental outcomes for the university, it’s community and the wider society. These small outcomes that become incrementally bigger are called “butterfly” effects. They often unfold in a nonlinear fashion to produce visible and impressive positive qualitative impacts (Mandel, 2018; Rouvas-Nicolis & Nicolis, 2009). These positive “butterfly effects” constitute a transitioning of university operations to another state. Such transitioning, one must agree, will be characterized by varying degrees of uncertainty, variability and flux even as the unfolding scenarios activate new learnings.

HE Professional Services Staff as Regulatory Policy Actors: An English Case Study by *Françoise McKay* speaks about case study research which was undertaken in Spring 2019. It uncovered that only a small percentage of a university workforce were able to engage with a large, influential teaching regulation. This “exclusivity” impacted on the relationships in the academic schools studied and by extension, the capacity that the regulation had to enhance teaching. Key findings included the regulatory agenda elevating the status of some workers whilst increasing the precariousness of others, an inability to agree on a local definition of excellence and general confusion, ambivalence and disdain surrounding structural and cultural changes. This chapter uses the example of the English Teaching Excellence Framework (TEF), a relatively new centrally imposed quality

framework, to explore “frontline” professional services staff as policy actors. The chapter will use the study’s findings to explore the complex identities, tensions, and workplace dynamics of staff working to implement regulation locally and provide a reflection of the case study methodology used to expose these findings. In its exploration of the complex reality of policy enactment, the author hopes to encourage institutions to consider local engagement with regulation by repositioning them within institutional discourse as opportunities rather than threats. This study should speak to those that are navigating HE governance and management to meet commanding central regulation.

Academic Municipalities: Understanding University Governance as Urban Politics by *Ryan Litsey* and *Jon McNaughtan* talks about conceptualizations of university governance that have varied over time, with some scholars focused on the structure of stakeholder groups such as faculty, staff, and students in relation to how institutions make decisions, others focus on the competing spheres of political influence guiding institutional development, and most recently that higher education has adopted business management structures, or academic capitalism. Each of these conceptualizations offered new insights into how universities make decisions and evolve. The interactions between the non-profit aspects of higher education institutions and their effect on the internal governance structures has been underdeveloped. In this chapter, the authors propose an urban governance approach to understanding how actors and their institutions make decisions. The authors dissect these models and propose a shift in perspective described as academic municipalities. Prior models on university decision-making and its impact on institutional constituents all make certain sacrifices when attempting to conceptualize the complex organizational functions of the university. Birnbaum and Tierney in their arguments do not provide enough value to the structure imposed on higher education institutions by virtue of their non-profit status. The corporate concept does not account for the political ramifications to university functions that reach beyond corporate models. Academic Capitalism explains the shift of the university to account for changes in the global marketplace but it does not explain the latent functions of the university, such as contributing to the public good, housing, libraries, public services, and other non-market-based activities. What is needed is an explanation that accounts for both market and political forces at play in the university.

Processes for Managing Risk in Higher Education by *Rebecca Page-Tickell* and *Graeme Sloane* explores perception and communication of risk for organizations that are highly topical and difficult to address in higher education (HE) due to its complexity and variety of structures, processes and identities. The omnipresence of managerialism in HE currently also impacts organizational innovation. This is interrogated in terms of the form and effect of innovation and improvisation (Cunha, Neves, Clegg, & Rego, 2015). The development of tools to manage risk perception is discussed alongside perceptions of risk and their potential management through agile processes to enable a university-wide collaboration across services to enable a unified and streamlined proactive management of risk and its corollaries of loss. The focus of the chapter is on the daily management