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Governance, Management and Leadership
in Higher Education

CONFERENCE PROCEEDINGS

CONTENTS

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Janet Turarbekova, Director, Department of Communication and Marketing, Nazarbayev University, Kazakhstan.

NOTES ON CONTRIBUTORS

Ali Ait Si Mhamed is Associate Professor at Nazarbayev University Graduate School of Education, Kazakhstan.

Alex James is Associate Professor and Department Chair of Electrical and Electronics Engineering at Nazarbayev University School of Engineering. He served as the chair of Faculty Senate in the term 2016-17 at Nazarbayev University, Kazakhstan.

Alexey Klyuev is Director of the Institute of Public Administration and Entrepreneurship, Ural Federal University, Ekaterinburg, Russian Federation.

Assylbek Kozhakhmetov is the President of Almaty Management University, Kazakhstan.

Sergey Kulpin is Head of Educational Department, Institute of Public Administration and Entrepreneurship, Ural Federal University, Ekaterinburg, Russian Federation.

Kairat Kurakbayev is Director of the Research Institute at Nazarbayev University Graduate School of Education, Kazakhstan.

David Lock is Secretary General of the Magna Charta Observatory. He directed the Kazakhstan Higher Education Senior Leaders' Development Programme from 2014-2016.

Lui Tai Lok is Vice President for Research and Development, Education University of Hong Kong, People's Republic of China.

Judith MacCormick is Managing Director, BoardFocus Advisory, Australia.

John Mahoney is Associate Dean of School of Medicine, University of Pittsburgh, USA.

Kamilla Mamatova is Student President at Nazarbayev University, Kazakhstan.

Colleen McLaughlin is Director of Educational Innovation, University of Cambridge Faculty of Education, UK.

Nina Nikiforova is Professor of Economics at Alma Management University, Kazakhstan.

Loretta O'Donnell is Vice Provost for Academic Affairs at Nazarbayev University, Kazakhstan.

Aida Sagintayeva is Dean of Nazarbayev University Graduate School of Education, Kazakhstan.

Peter Shon is a doctoral student at Nazarbayev University Graduate School of Education, Kazakhstan.

PREFACE

Kairat Kurakbayev and Aida Sagintayeva

This collection of papers is the sixth annual proceedings of the Eurasian Higher Education Leaders' Forum. Held on the 31st May – 1st June, 2017 at Nazarbayev University, Kazakhstan, the Forum provided a setting for the international discussion of issues linked to university governance, leadership and management. The key themes and the corresponding four sessions of the 2017 Eurasian Higher Education Leaders' Forum were as follows:

- academic leadership
- good management practices including issues of financial management and HR management
- university autonomy and governance models
- student leadership

Today in the complex global environment, leadership studies have received much attention on the part of both practitioners and researchers. Implications of globalization for higher education, the rapid rise of academic and research partnerships, intensification of technological and entrepreneurial dimensions of higher education all point to the necessity of different types and patterns of leadership on university campuses.

Facing challenges of volatility, uncertainty, complexity and ambiguity – the VUCA world (Johansen, 2009) – university presidents and leaders are likely to understand that the days of unilateral leadership, the type of a 'lone-wolf' leader, is ending. It is collegial leadership – the post-heroic leadership, as Hempsall (2014, p.384) puts it – that is now preferable on university campuses or at least it is so envisioned by leadership scholars. Indeed, as Bennis points out, "leadership itself is likely to become increasingly collaborative" (2007, p.4). The era of perceiving leadership as a vertical process has been challenged by distributed and shared leadership studies.

We believe that most of our readership would agree that studies focusing on different types and concepts of leadership and management are still relatively new to the post-Soviet educational discourse. It is worth noting that during the Soviet Union era, it was quite unthinkable to discuss meanings and values of leadership and management in the context centralized 'planned economy', entrenched teacher-focused, transmission pedagogies in both schools and universities and 'command-and-control regimes' of the society at large. Leadership succession planning and leadership development programmes were non-existent. There are still very few papers on higher education leadership and management written by post-Soviet scholars despite the increasing importance of leadership studies in the context of organisational changes in post-Soviet higher education institutions.

The cross-cutting themes of the Proceedings are examined in the context of global and international perspectives as well as country-specific cases. Over the last three decades, all the three concepts – *governance, leadership and management* – have become huge areas of educational inquiry especially in Australia, UK and US. Leadership development as well as higher education management and governance have gained increased scholarly attention in peer-reviewed papers and empirical studies (Day et al., 2014; Fullan, 1998; Middlehurst & Elton, 1992; Middlehurst, 1999). With these points in mind, these proceedings provide a springboard for discussing and reflecting on such simple but challenging questions as 'what is a leader?', 'what is a manager?' and 'what makes an effective leadership and management in the higher education sector?'.

Of all the three discussed concepts, *leadership* opens up a variety of philosophical considerations. Leadership means different things to different people based on their personal and professional stances and theories. These days leadership scholars discuss different types of leadership – *authentic, charismatic, distributed, effective, ethical, entrepreneurial, moral, servant, transformational, transactional leadership* – are just some of the examples. Leadership is a fuzzy and value-laden concept. The statement made by Bennis many years ago (1959, p. 259–260) that "ironically, probably more has been written and less is known about leadership than about any other topic in the behavioral sciences" still holds true today.

Within the scope of this preface, we believe it is important to differentiate leadership as a set of individual traits, behaviours and values and collective leadership of an organization, that is, shared leadership. As Bolden et al. point out, "a shared leadership perspective shifts the focus on leadership from person and position to process and is now widely advocated across public, private and not-for-profit settings where there is a need to influence and collaborate across organisational and professional boundaries" (2015, p. 3).

Knowing of different types of leadership is not enough. The gap between knowing ways of effective leadership and actually practicing it is quite dramatic. Demonstrating effective leadership in the particular social context is another aspect of leadership development challenge (Bryman, 2007). In their study on identifying capabilities that effective academic leaders have, Scott et al. conclude that "(…) effective leaders not only help their staff engage with and learn how to do necessary change, but they also set up an efficient and supportive environment that fosters productive engagement in such learning" (2008, p. xiv).

Within the overview of the individual chapters of these conference proceedings, we would like to start from discussing key concepts of effective higher education leadership. One of them, according to John Mahoney (Chapter 8), is establishing trust in an academic organization. Trust issues are gaining momentum in higher education leadership studies. They include, according to John Mahoney, the need for the leader to be trusted by their immediate team and their community of colleagues. In a similar vein, Hoff (1999, p. 319) states, "an environment of trust must exist in which there is trust among all groups and entities, not just trust in the designated leaders and managers. It is the role of the leader, in whatever position, to set the stage for establishing this environment of trust".

Just as the concept of trust is applicable to university leaders and whole academic institutions, the concept of service leadership is brought by Alex James in Chapter 2 of these proceedings. The author suggests "(…) to extend the idea of service leadership, not just to reflect academic leaders serving others, but a flagship university, such as Nazarbayev University, providing its services to the rest of the universities in the region to make the major transitions in building a robust and internationally relevant institutional culture".

Lui Tai Lok (Chapter 6) discussing issues of internationalisation of higher education admits that in order to compete at the regional and global levels, his home institution – Education University of Hong Kong – require both heavy investment from the government and major organisational restructuring within individual universities. Lui Tai Lok comes with a good question for higher education leaders and policy makers working hard on developing institutional profiles of local universities in the global higher education arena. He is asking the reader a very important and challenging question: "how contemporary universities are able to strike the balance between being competitive at the global level and being impactful (academically, intellectually, and socially) in the local context"

Judith MacCormick and Loretta O'Donnell (Chapter 7) draw parallels between the corporates and universities. According to the authors, both the corporate world and the higher education

sector can learn from each other. They go on to remind us that "corporates and universities are complex, socially significant and economically vital institutions. Governance policies, systems and practices need to effectively manage within these complex interdependencies".

It is worth noting that in post-Soviet higher education systems, as the era of the centralized state control of academic institutions is coming to an end, the need for effective and qualified leadership is strongly felt on university campuses. Aida Sagintayeva (Chapter 11) presents examples of the data analysis based on the survey conducted among 45 university rectors and 42 members of the boards of trustees in the context of institutionalizing governing boards on university campuses as the higher education system tries to leave the entrenched tradition of having the university rector as the single decision-making body responsible for university management.

The wide array of leadership types implies inclusiveness of different stakeholders and their voices in higher education leadership and management. Building students' leadership capacities has become one of the essential aspects of institutional goals and missions nowadays. In this context, Kamila Mamatova (Chapter 10) opens a discussion about the role of university in developing student leadership. The author is adamant that "it is necessary to highlight the idea that students' voice in determining the future of the university will be heard, otherwise students can become reluctant to participate". Amplifying the necessity of providing a student with effective feedback, Kamilla brings a persuasive example of student leadership in raising the quality of learning. She explains that "(...) sending students brief summary of their feedbacks and list of follow-up actions increases students' willingness to participate in quality assurance processes".

Peter Schon (Chapter 12) chairing the session on student leadership indicates benefits of cultivating the culture of student leadership on university campuses. Referring to international studies on student leadership, Peter Schon reminds us that "(...) involvement of students in the governance process as co-producers and partners are becoming essential in steering the university for the future". The author also states that students with strong leadership capacities transition to becoming alumni that can further contribute to the improvement of HEI governance by serving on governing board committees.

> *Colleen McLaughlin (Chapter 9) mentions that "the competing demands of accountability, bureaucracy and finance must be mediated and tamed if they are not to distort the academic purposes; coherence must be an aim and every action judged against the central purposes of research and teaching excellence".*

David Lock (Chapter 5) unpacks the concept of management in education and points out key elements for the effective management of Kazakhstan's universities. He is adamant that governance, management and leadership should be viewed in the context of the culture of a particular society or organization. David Lock's point can be amplified by the fact that higher education managers and leaders, as they try to emulate other countries' best practices of management in HEIs, are still bound to deal with local and cultural entrenchment (Perkins 2009, p. 75).

Assylbek Kozhakhmetov and Nina Nikiforova (Chapter 4) imply the necessity of developing different sets of competences and skills on the part of university leaders as "emergence of such an institutional model as an entrepreneurial university is associated with expansion of spheres of activity of universities, increased competition in the market of educational services and necessity to integrate education and business".

Discussing the role of endowment funds in the context of Russian higher education system, Alexey Klyuev and Sergey Kulpin (Chapter 3) suggest the concept of endowment fund can be regarded as the universities' attempts to follow the path of greater independence and autonomy from the state.

Ali Ait Si Mhamed (Chapter 1) is adamant that allowing a means-tested system to measure socio-economic status and build on criteria on which grants and loans can be distributed and tuition fees can be applied to ensure equity of access to higher education.

To conclude the chapters in these proceedings raise different concerns about higher education governance, management and leadership. The Proceedings are likely to be among the first contributions focusing on higher education leadership in the context of different social and academic contexts.

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ARE CURRENT COST SHARING POLICIES THE BEST RESPONSE TO CHALLENGES FACING HIGHER EDUCATION IN KAZAKHSTAN?

Ali Ait Si Mhamed

Abstract

This study is conducted on the basis of literature review on cost sharing. In light of that literature, Kazakhstani case of higher education is examined and the main conclusion drawn is that cost sharing, as it is currently being implemented, is suitable as the foundation. However, it has not achieved, and will not achieve equity of access unless such policy applies adequate measures of means-testing to provide valid and reliable information upon which policy decisions will rely on an equitable and equal system.

Introduction

Strategic goals for higher education which are being discussed in the scope of various research initiatives on higher education in Kazakhstan include increasing massification of higher education while maintaining its affordability, achieving internationalization, competitiveness, and enhancement of local context knowledge and skills. Along these lines, Kazakhstan has chosen to look for policy reforms that increase enrolments, increase high school graduation, and provide means of improving access to higher education. All these elements come with their challenges as far as costs. Obviously, with increasing rates of birth in the country and rates of high school graduates, it is perfectly normal for the fact that there is more demand for higher education, and for the government to face issues with financing higher education. Consequently, the government throughout the years has sought to increasingly overcome such challenges, either through austerity, increasing budget allocation, looking for means to increase financial aid, or equity in access to higher education via looking for additional revenue means to fund higher education. These policy initiatives have one thing in common: finding means to share costs of higher education. This paper seeks to study the role of cost sharing in Kazakhstani higher education in light of various literatures on policy reforms; and concludes with some policy remarks and policy options.

Cost-sharing in Kazakhstan: context

It is evident from studies conducted in Kazakhstan that over the years, the share of Kazakhstan's national wealth spent on higher education remained relatively stable between 2001 and 2014 at around 0.4% of GDP. Both as a percentage of GDP as well as in terms of expenditure per student, state funding for higher education is low in Kazakhstan in comparison to the EU and OECD averages (NUGSE2014; OECD2014). Nevertheless, in absolute terms the budget for higher education in Kazakhstan has increased significantly since 2001 (Canning et al., forthcoming). As public expenditure for higher education is relatively low, Kazakhstan's higher education relies heavily on private sources of funding. About 73% of students have to rely predominantly on their own family resources to pay the full cost covering tuition fees charged by private as well as public universities. Public funding is only available for about 27% of all students.

The current constellation of financing higher education in Kazakhstan was created in 1999. It has remained largely unchanged since then. Five elements constitute the funding mechanism: (1) the state grants system covering the tuition fees of high achieving and quotas for disadvantaged students; (2) tuition fees paid by students and their families; (3) public subsidies

for graduate programs (at masters and PhD level); (4) student loans and family savings plans; and (5) employers' contributions (Vossenstayn et al. 2016). These constellations are enough to indicate that cost-sharing policies have been implemented in the system to demonstrate main forms discussed in literature concerning the forms of cost sharing (Johnstone 2005):

- The implementation of tuition fees where they did not previously exist or the very sharp increase in tuition fees where they already exist.
- The implementation or sharp increase in other fees such as fees of food, lodging, transportation, etc.
- The freezing or otherwise reducing cost of living grants or stipends, having the effect of raising costs to students and families.
- Increasing interest rates on student loans.
- The policy-driven expansion of a more tuition-dependent private sector for the purpose of shifting costs from governments to parents and/or students.

Cost sharing in Kazakhstan: Background and Aims

In its efforts to achieve equity and equality, and to develop its economy, Kazakhstan has followed in the footprints of major economies to increase the quality of higher education. To do so, it is vital to increase the quality of instruction via providing infrastructure and enough resources (both human resources and instructional resources) to meet these goals. This comes with its costs and hence the only solution seen to help is cost-sharing. There is a large and growing literature on cost-sharing, the majority of which comes out of the University at Buffalo International Comparative Higher Education Finance and Accessibility Project with which the author of this paper was affiliated as a PhD student[1]. For the purpose of this paper, it should be important to draw on a comprehensive literature on cost sharing, which in turn will help us examine whether current policies of costs sharing are the best response to current challenges in Kazakhstani higher education.

Cost-sharing – that is, the shift of higher educational costs from exclusive or near-exclusive reliance on governmental (or tax-generated) revenue to being shared among taxpayers, parents or families, students, and philanthropists – is a worldwide trend that includes not merely the Anglo-Saxon countries, but Russia and countries of the former Soviet Union, much of Africa, most of Asia (including China and the other formerly Asian socialist/communist countries such as Vietnam and Mongolia), and increasingly the countries of Europe. France may be one of the last European countries to move toward cost sharing through introducing tuition fees. But Britain, the Netherlands, Portugal, Austria, and almost certainly in the next year or two Germany as well as the formerly communist countries of Eastern and Central Europe have all broken with the European tradition of free higher education (Johnstone 2003, 2004c, 2004b, 2004a, 2005); Johnstone et al. 2006).

Along the lines of the definition of costs sharing, it is evident that Kazakhstan has followed some specific economic rationales behind the case for students bearing a portion of the costs of their higher education. The highlighted rationale is that there are substantial private benefits, both monetary and non-monetary, that accrue to the student from higher levels of education. (Johnstone, 2003; Ait Si Mhamed et al. 2012).

Kazakhstan has not used cost-sharing to end substantial governmental support for higher education. Tuition fees as a percentage of the total costs of instruction range in Kazakhstan

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[1] See works by Johnstone in the references. See also the International Comparative Higher Education Finance and Accessibility Project website at http://www.gse.buffalo.edu/org/IntHigherEdFinance

between the public and the private sectors. At the same time, there are always taxpayer state grants (merit-based for most part) and loans (with high interest rates) to assure that students from poor families are not excluded from participation by tuition fees. Thus cost-sharing and tuition fees presume the continuation of governmental support, with the addition of parental and/or student revenues assumed to supplement government revenues (Johnstone, 2005; Yu & Ertl, 2010).

Kazakhstan is also not different from many other countries in terms of how they collect governmental revenues to fund higher education. These are virtually taxes on consumption collected from all citizens through personal income and property, and value added or business profits that are in turn passed on to all citizens via higher prices; while the expensive higher education is partaken of predominantly by the children of the upper middle and upper classes. (Johnstone 2004 b; Ait Si Mhamed & Kasa 2010).

Dual-track tuition which is also common in post-Soviet states, has an irresistible place in Kazakhstani higher education. The argument for this compelling and least politically or ideologically controversial degree of cost-sharing in the form of tuition fees is the observation that the increasing costs of quality higher education are simply beyond the ability of the government to fully fund, given the queue of other socially and politically compelling public needs also awaiting additional governmental funding. Such needs tend to be greatest in countries of similar low-middle economic size as Kazakhstan and include, for example: (a) the expansion and improvement of primary and secondary education; (b) improvements to public infrastructure, public health, and housing; and (c) the kinds of social safety nets such as unemployment compensation, retraining, and pensions (Johnstone 2004a).

Concluding remarks: Means-testing analysis as a comprehensive and inclusive plan for a better cost sharing

Although some forms of 'shy' resistance to cost sharing have taken place in different instances and different contexts, it is evident from practices worldwide that sharing costs of higher education is inevitable. Hence, the focus should be mainly on what cost sharing fits what context as one-size-fits-all approach is not the solution. Hence, for a better implementation of costs sharing higher education system in Kazakhstan, every aspect of cost sharing already implemented is helpful thus far with a fundamental overarching, comprehensive and inclusive policy reform needed which can be summarized in the notion of 'means-testing' system. For example, allowing access to higher education through merit-based grants and student loans with high interest rates may project reversed results than what may be expected. Allowing a means-tested system to measure socio-economic status and build on criteria on which grants and loans can be distributed and tuition fees can be applied should ensure equity of access to higher education. Along these lines, the following points can be considered to achieve a good cost sharing policy:

- Develop a means-tested mechanism to measure socio-economic status that is robust enough to select and target those students and families who cannot afford paying for higher education.
- Continue applying dual track tuition system as it already entrenched in the cultural context of Kazakhstani higher education. Still, it is highly recommended that a means-tested policy be in place to measure levels of who can pay up-front tuition and whose tuition can be deferred through talking a governmentally originated student loan program, not the current loan program which is more of private loans through banks than a student loan. The next point explains what this means.

- Strengthen student lending process via introducing a governmental subsidized student loan with a small interest rate that does not exceed 4 per cent, and which can be accessible to those who cannot afford to pay upfront tuition. The loans in this type can be means-tested to target those who cannot afford high tuition fees and are not awarded merit-based grants.

- Develop a stronger and more equitable system of need-based financial aid to discount for tuition fees. For instance, one of the leading private universities 'KIMEP' offers more than 50 per cent discount in tuition for social vulnerable categories of students on merit basis. The system (aka 'quotas'), which is already in place for specific types of students such as orphans, special-needs students, and other disadvantaged groups, can be carried out in such a way that it accounts for all the population in, or on their way to higher education.

- Differentiate tuition fees around programmes, less on the basis of higher underlying costs of instruction and more on greater market demand.

This recommended policy requires some on-going process of data to evaluate issues of affordability through means-tested analysis of grants, loans and tuition fees to achieve equity and deliver quality of higher education.

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SERVANT LEADERSHIP FOR EMERGING INTERNATIONAL HIGHER EDUCATION INSTITUTIONS

Alex James

Abstract

This paper presents a spectrum of views on servant leadership in higher education administration specifically in context of emerging universities. The article states the importance of servant leadership as a model to encourage excellence in leadership and to take fulfilment of service roles beyond quantitative boundaries imposed in research and teaching. The paper also covers the complex realities of the emerging universities and their emerging role in the development of education in the region.

Introduction

I will start this article with a statement that sums up my view on leadership – "to be served is a delight, but to serve others for me is nothing less than a divine deed."

Academics in modern research universities are under constant pressure to publish more; otherwise, they will get perished (Hynes, 2010; Munigal & Achala, 2016). This is why, a mature academic will provide advice on the trade secrets to boost the publication number by increasing the research collaborations (Morales, Grineski, & Collins, 2017; Saat & Salleh, 2010). In modern academic environments, there are several means to increase research outputs, leading to long work hours and, at times, having to develop excellent interpersonal skills for creating output driven collaborative networks, internal and external to the host institution.

Leadership quality measurement takes more than a quantitative assessment of research output, as the measures and means are equally important to reach the required set of goals. I would be skeptical to see a leader who claims loudly on their leadership abilities but cannot see the fundamental human values. Leadership is nothing less than a selfless attitude to the academic profession, leaving your interest and dedicating yourselves for the good of others (Farnsworth, 2007). It is not for everyone. Clearly, the sacrifices the leader makes may never be appreciated, but as the current Provost of Nazarbayev University, Professor Adesida Ilesanmi says, "the reward is in the heaven"; this is quite a compelling statement in the context of higher education leadership. Even in the toughest of times, the leader is expected to keep the morale of his team high and implement a vision to turn things around. No matter how great the efforts a leader puts in his role, true leadership will always require critical analysis of the situations to provide an environment that allows people to grow in the toughest of the times (Welch, 2000).

I have met several types of leaders, working in different academic settings, and every time, it has been a learning experience. I work closely with several chairs of departments or dean or director of academic institutes, and every time, you face a new leadership variant. There are obvious models that will not work in a modern international university, such as father or mother figure leadership, those that put all their energy in fighting incoming issues, those who take it as a role that does not go beyond a set of rules, those who take the job on a temporary basis waiting for someone to take it over, those who want to micromanage every aspect, and finally those who want to make everyone happy delaying those difficult decisions (Dean, 2014; Iken, 2005). There are also other successful model leaders who have a common characteristic of having an attitude of exemplary service to the profession. The difference I see is responsibility,

passion, commitment, and a selfless attitude, who can set long-term vision and priorities to build the never-ending future.

In academia, people often rise through the ranks, naturally from being a postdoc to professor, and it is a tiring journey for many. The tables turn dramatically as and when you become that administrator you complain a lot about; now, as a new department chair or dean, you realise you would are in the spotlight for deeds gone wrong anytime (Schuh, 2004; Seagren, Creswell, Wheeler, ERIC Clearinghouse on Higher Education, & Association for the Study of Higher Education, 1993). Everyone should understand that being a professor is one thing and being an administrative professor is an entirely different thing. Having said this, the difference, I believe, is that of taking more responsibility for what you say and how you behave with a primary interest in the progress of the department and its faculty.

Human behaviour has several intangibles that a leader must develop, knowing various dynamics of interpersonal relationships, being that supporting individual who is down to earth, the one who is available to listen, who can liaise with senior administrators, to be that person who upholds high values, and to be that person who can take stern actions at the right time, all of which requires several leaps in intellectual and emotional growth. Recognising the importance of human emotions is a critical aspect of leadership, the importance of which is often underestimated by bad leaders (Ashkanasy, Zerbe, & Härtel, 2002; Fox & Spector, 2002; Zineldin & Hytter, 2012). In modern universities, the faculty and research students fall under constant pressure to publish more in high-quality journals and conferences, find new funding, write proposals, build industry collaborations, participate in policy developments, and travel, making the life of individuals stressful. Adding to this natural pressure can be the inability of the leaders to listen, understand, and comprehend the problems faced by the faculty and students. Underestimating the emotional dynamics of the faculty members that can be expressive and non-expressive can be one of biggest leadership mistakes.

The not so experienced leader

Leaders come in all forms and ages, the young and the old – all have a story to tell and contribute. The scenario of more young leaders emerging in academia is driven by the rise of new global universities (Salmi, 2013). In the last decades, the number of universities across the globe that dream to be internationally competitive has increased, creating many more leadership positions at all levels of the university system. The growth in academia is usually slow, relative to the corporate world. It takes longer periods of time to reach the leadership ranks. However, this is changing dramatically, as in modern universities the solutions to the problems and challenges are output driven within limitations of time that often require the leader to generate a high level of understanding of information technologies and to understand the millennials' mindset and issues (Carraher, 2016). The senior leaders struggle to keep up in pace with such developments.

The young leaders apparently lack the experience to foresee a solution to a problem as it comes, which is not different from senior leaders. However, they are perceived less likely to be seen in the same light (Hendrickson, Lane, Harris, & Dorman, 2013). The number of variables and unknowns in the globally competitive academic space are much more than what was present a decade ago. That puts these perceptions to rest. There is a gradual and distinct positive shift in leadership thinking in academia from that driven by experience to that driven by abilities and results.

The leader is always on the move; the energy is finite, so is time and money. We live in a world of increasing constraints and changing international dynamics, and to adapt to the changes in

perfection require infinite energy, time, and money. This contradiction of aims and means to achieving it makes the leadership a challenging and a critical element in organisational growth and its quest for international excellence. This is where the experience of a leader plays a significant role – how to adapt to change and have a visionary approach to the ways and means of implementing the institutional goals. Can young leaders survive in such dynamics? Possibly, they might fail, but the ones that are truly leadership material rarely give-up. They are like the phoenix, always having a rebirth and a new life. The more important question though is the university's ability to provide support and an environment for them to excel (Cauthen, 2016).

The complex realities of a young university

One of the greatest priorities of an ambitious young university is to build a reputation in a short span of time (Altbach & Balán, 2007; Teferra, 2017). I have even heard from some of the non-academics saying we need to be in the top 50 in the next five years. To have realistic expectations requires people with great visions, from the department chairs to the provost. I have seen this to be a major challenge in start-up projects. It is never about the number of years in experience. It is the quality and brilliance of the individual's experience that talks louder in such complex and challenging environments.

Some of the major challenges in a new university are to do with the infrastructure development, hiring and promotion of right-minded and high-quality faculty members, recruitment of top notch students, selection and promotion of level-headed academic administrators, getting the right set of visionary leaders in the management, and the continued long-term significant political or/and financial support. All these are challenging and equally important. However, the academic and administrative leadership is the central pinning aspect that binds the multiple dimensions. Servant leadership principles are more relevant than ever in a new university than an established one; that includes priorities on service to others, to be a negotiator, create an environment for problem solving, taking responsibility at all levels, provide emotional support to the people, realise that means are as important as goals, to live in the present and have a vision for future, be all right with paradoxes and dilemmas, create an impact in society, practice the values that govern servant leadership, and finally mentor others towards becoming the next servant leaders (Dean, 2014).

Reflections and self-critiquing are an essential element of leadership, and they form the invaluable assets for the growth of the university culture (Looney & Looney, 2009; Trow, 1985). The distinguishing feature I find in good leaders is their ability to dig deeper into the critical analysis deriving from reflections of their actions and connecting it with the realities of the future. I find that great leaders can make the tangential and vertical connections of ideas across the broad spectrum of directions with ease. The ability to make tough decisions connected with people and organisation, such as a layoff, even by providing the required support for a smooth exit for the employee would more likely never have a full reconciliation; however, the leader must act on the greater good of the institution and its people, making the right choices on leadership changes and organisational changes. These tough decisions test the true colour of the leader as a service leader, who cares about the well-being of the institution and its people.

Language and cultural issues

Building an institutional culture for adapting to highly demanding requirements of international competitiveness in today's academic world requires organisations to speak in a single language of thought and vision (Douglas Toma, 2005). This is more easily said than done, as the elements of an implementation of the university's vision and mission run deep within the

organisation. The academic administrators at any level must have an exceptional commitment and belief in the vision of the university and need to have the same degree of trust towards their colleagues. The role of department chairs is critical in this sense to listen and to be sensitive to the faculty concerns and provide all the support needed for them to grow within the realms of the university vision laid out to them. Further, the chairs must develop their vision plans for the department that align with the vision of the University in consultation with the Dean, the provosts, and other senior leadership members. The language of communication is as important as its context and sincere efforts and goodwill to drive the change.

In universities around the world, it is now accepted that the scientific communication is English (Tardy, 2004; Thanky, Thanky, English, & Jamnagar, 2012). In a non-English speaking country, the influence and impact of local languages in scientific communications are reducing significantly (Ren & Rousseau, 2004) and non-existent in many parts of the world. This has more than a need driven by requirements of global competitiveness in scientific excellence and reputation of the university. Many universities in China have made this transition in the last 20 years, and their research is now visible to the rest of the world, making them internationally competitive with some of the top universities in the world. Russian universities have yet to make the transition, and the reluctance to adopt English in education and scientific communication has slow progress compared with Chinese universities. The universities in Kazakhstan are in the early stages of this debate, with an exception of Nazarbayev University leading the way as a model institution to this change.

As a case study, I will mainly, highlight the universities in Kazakhstan, with ambitious plans to grow and excel. I will isolate the flagship project of Nazarbayev University (NU) from the rest. Leaving aside NU, the challenges faced by the other universities in Kazakhstan include the inability to attract internationally competitive faculty and low faculty salaries that hinder all other aspects of institutional growth. Further, the language of communication is in Kazakh or Russian and rarely in English. In some universities, students get exposed to English-medium education through international visiting professors or exchange programmes. The quality and quantity of scientific publications are little, and a change in this requires the universities to break the language barrier. They need to be led by inspirational leaders at all levels of the organisation to turn the tide to a positive story. The responsibilities of an institution, such as Nazarbayev University, in assisting the other universities in the region to help make this transition are more important than ever in the history of Kazakhstan. I would like to extend the idea of service leadership, not just to reflect academic leaders serving others, but a flagship university, such as Nazarbayev University, providing its services to the rest of the universities in the region to make the major transitions in building a robust and internationally relevant institutional culture.

Flagship universities provide many opportunities for the growth of quality standards and benchmarks for other universities in the region. The effectiveness and efficiency of growth are closely tied to the ability of the leaders to be visionaries who are sensible and flexible to the needs of its stakeholders, upholding values and being an excellent servant who stays with the stakeholders, rather than the commanding boss that the stakeholder wants to get away from.

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ENDOWMENT FUND AS A TOOL TO DEVELOP AUTONOMY OF A HIGHER EDUCATION INSTITUTION

Alexey Klyuev and Sergey Kulpin

Abstract

Russian higher education institutions are experiencing an unprecedented transformation, including radical changes connected to institutional autonomy and academic freedom of universities. Manageralization of the universities' administration and strengthening state control over the activities of universities result in restriction of university autonomy and academic freedom. Modern higher education institutions are trying to find new mechanisms that would strengthen their stability and self-governance. Development of special-purpose capital funds, or endowment funds, is one of such mechanisms in the global practice. This is an outcome of the universities' attempts to follow the path of greater independence and autonomy from the state. Russian higher education institutions are actively adopting the practice of Western countries. Endowment funds have similar features across different countries. However, they can differ in the context of legislation, history of the country, culture, etc. This article suggests to assess the state of endowment funds in Russian higher education institutions, their appropriateness, major problems of formation, as well as the prospects for creating a sustainable economic mechanism to develop the autonomy of Russian higher education institutions on their basis. Academic novelty of the research includes actualization of the current state of endowment funds in Russian higher education institutions, as well as an attempt to assess their impact on the development of academic freedom and autonomy of Russian universities. This article will be useful to researchers of economic development of higher education institutions, financial staff of universities, as well as experts in the field.

Introduction

It must be stated that the role of endowment funds in the development of university autonomy has been researched insufficiently. Within this research, the authors made an attempt to assess the role of funds in development of the autonomy of the country's higher education institutions based on the analysis of research, reports and other public documents on the activities of leading endowment funds of Russian universities. The authors formulated the following hypotheses to achieve this goal:

- in the context of the strengthening role and impact of the state on universities and restrictions on their autonomy, endowment funds will show slow and falling growth and concentrate in a limited number of elite universities across the country;
- existing limited practice of interaction between Russian universities and communities, business and stakeholders, and a low level of implementation of the third mission of higher education institutions shape a very narrow pool of donors;
- endowment funds of Russian universities largely serve to the objectives and interests of donors and the most influential stakeholders, rather than to their own development strategies and autonomy.

The hypotheses and the arguments expressed in this paper are based on the data derived from the analysis of activities of 27 university endowment funds. Comparative calculations

were done on a range of indices and performance indicators, and an expert evaluation of the obtained data was carried out in order to test the hypotheses.

Development of endowment funds in the world

The issue of relation between endowment funds and development is explored in various aspects. For example, Kimball and Johnson (2012) explored the history of endowment development in the US. The authors note that while colleges have enjoyed permanent state subsidies for a long time, the special-purpose capital funds first gained importance in the US higher education between 1890 and 1930, when universities realised that their autonomy, stability and comparative advantage over competitors largely depended on the size of their financial capital. The universities that first began accumulating endowments focused their attention on expanding the funds in size and thus created the upper level of rich universities that had been maintaining this elite status over the next century.

Researchers Tsikliras, Robinson, and Stergiou (2014) explored the relation between global rankings and university incomes, including endowment funds, and discovered a positive relationship for British and Canadian universities. The results of the research validate the hypothesis that funding (both autonomous and state support) of the university and its position in the global ranking are related.

The article by Meyer and Zhou (2017) notes the historically progressive role of endowments that enhance independence of universities from the state and their ability to carry out innovative and entrepreneurial experiments, which cannot be implemented at the expense of public funding alone. At the same time, the authors point at the drawback of this financial mechanism relying on the situation in the US. Many universities with significant endowment funds become unattainable in terms of development, thus creating economic inequality of higher education institutions, which is close to the concept of oligarchy.

Special attention in the research of Russian authors is paid to the modern understanding of the university autonomy. As noted by Volkov and Melnik (2017), the university autonomy should be understood through the prism of three main aspects. First of all, the university with autonomy is able to independently determine its development path, shape its institutional vision and its impact on the world. Secondly, it is academic freedom, namely the principles of freedom of teaching and freedom of research, which must be fundamental for contemporary research universities. Thirdly, the university autonomy assumes the possibility for a student to form their own path of study.

Much attention in many Russian studies is paid to the problems of fund creation in Russia. Kasenko (2016) and Sandler (2016) specify the following problems:

- lack of sufficient number of donors and underdevelopment of the values of charity and donations in the mentality of citizens;
- undeveloped toolkit of motivation for donations;
- immaturity of the Russian fund space;
- lack of sufficient tax benefits and advantages for patrons;
- undeveloped fundraising tools;
- disinterest of top management of higher education institutions in a high minimum threshold fund size (3 mln rubles);
- lack of sufficient experience in the fund trust management;
- dependence of interest in endowment funds on the dynamics of the economic situation.

Development of endowment funds in Russian universities

Establishment and development of endowment funds in Russia became possible after the adoption of the Federal Law dated December 30, 2006 No. 275-FZ. Statistical data on 27 most famous and largest endowment funds of the Russian higher education institutions were collected from open sources in the course of our research. Figure 1 shows the dynamics of development of the top 10 funds. A comparative analysis of the dynamics of development of the top endowment funds of Russian and American universities is also conducted (Figure 2).
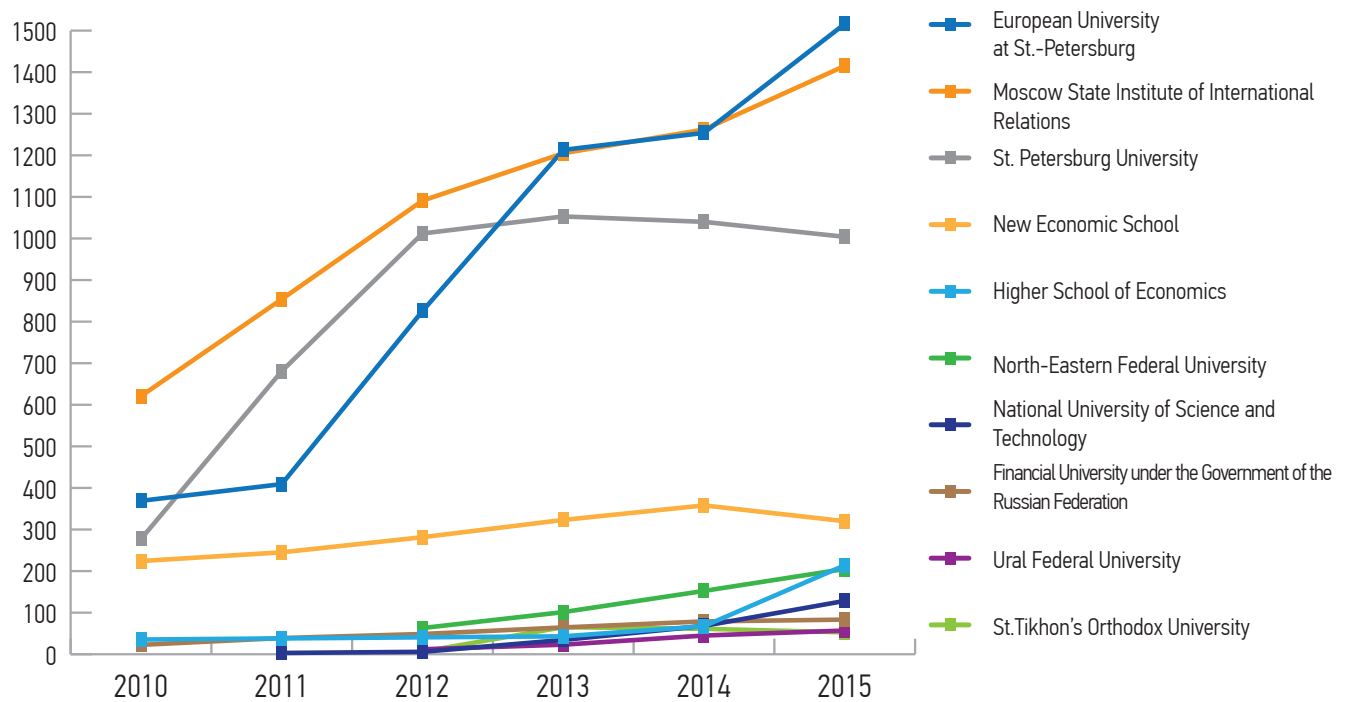
Figure 1. Dynamics of development of the top 10 endowment funds of the Russian higher education institutions, mln rubles[1].
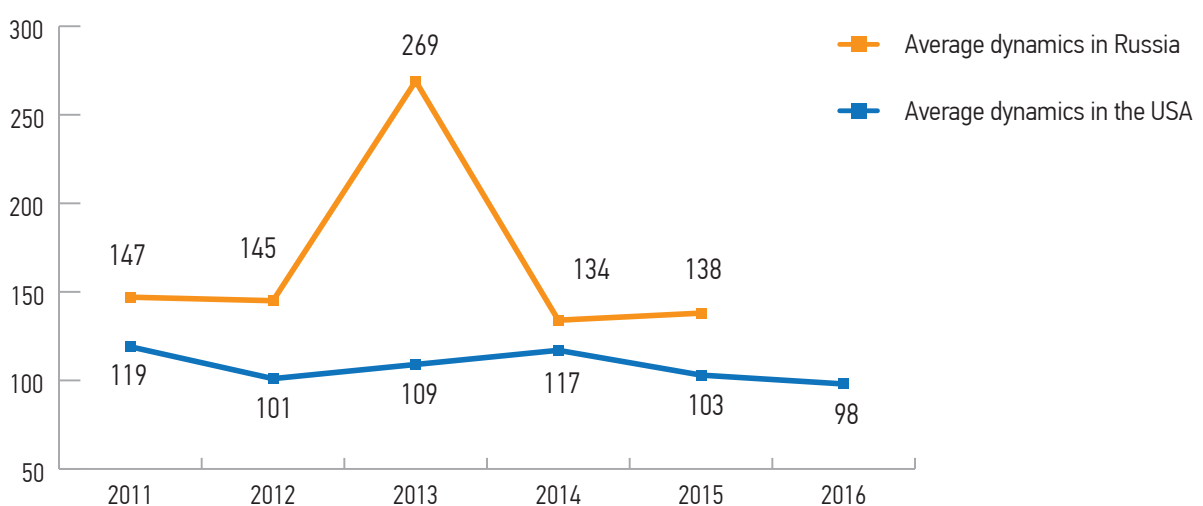
Figure 2. Comparison of the average dynamics of development of endowment funds in the USA and Russia.

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[1] Compiled by the authors using the data obtained from the official websites of universities.

Grouping of the placement of funds in federal districts of Russia was conducted by their number and amount of funds raised in order to identify the territorial aspects of development of endowment funds (Figures 3 and 4).

Legend		
■ North-Western Federal area	■ Ural Federal area	■ Southern Federal area
■ Central Federal area	■ Siberian Federal area	■ Povolzhsk Federal area
■ Far Eastern Federal area		
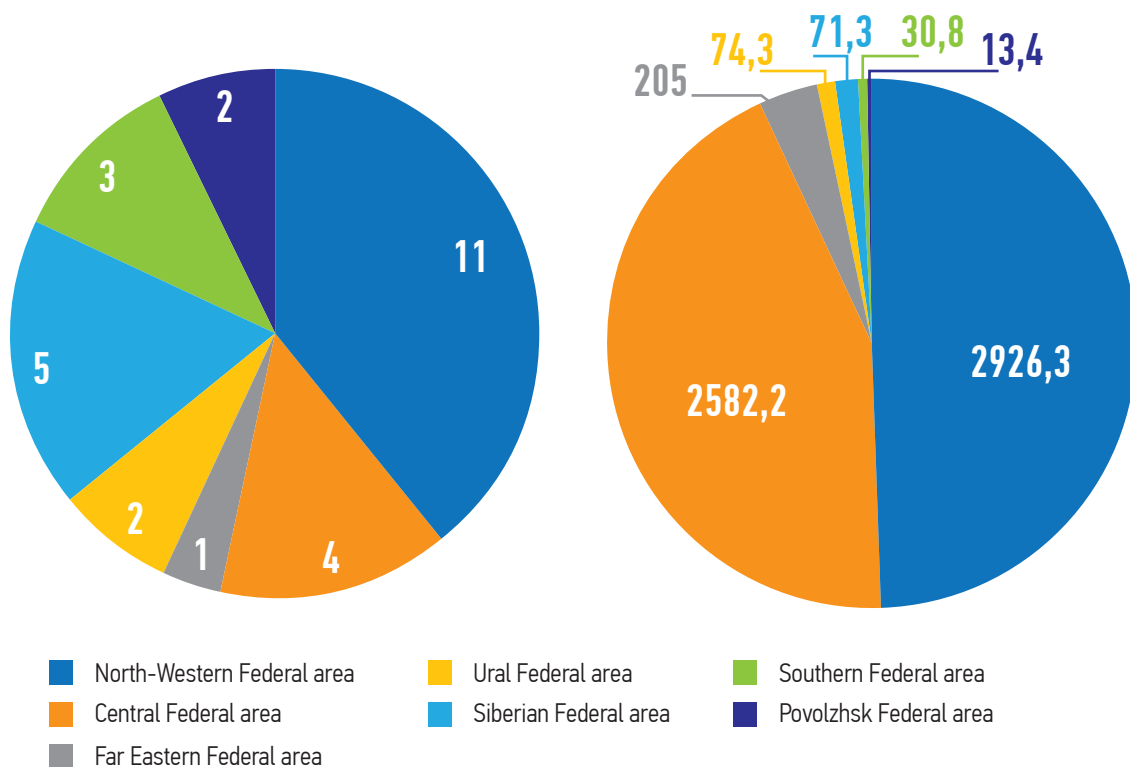
Figure 3. Number of funds by federal districts.   *Figure 4.* Total amount of funds by federal districts, mln rubles.

All funds were conditionally classified as emerging (up to 3 mln rubles), small (up to 50 mln rubles), medium (up to 500 mln rubles), and large (over 500 mln rubles). The distribution of funds by the size of the special-purpose capital is shown in Figure 5.
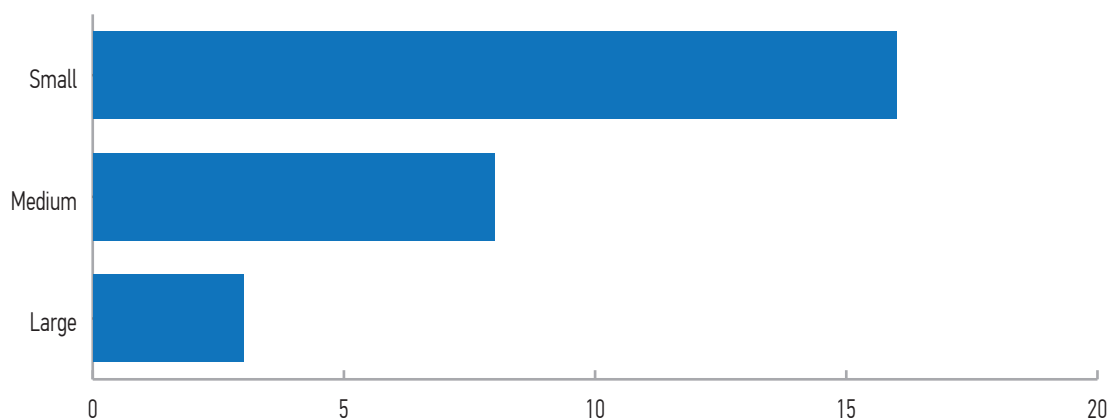
Figure 5. Distribution of endowment funds by size.

More than half of the researched funds are classified as small, which once again emphasises the "rudimentary" state of endowments in Russian universities.

As such, the analysis of the obtained data generally validates the hypothesis on the limited possibilities of development of endowment funds in the context of the strengthening state

regulation and control over the activities of universities, which was put forward by the authors. Only two funds show a steady growth. At the same time, fund of a private university is the most dynamically developing one, as the analysis of its strategy reveals the greatest focus on supporting the university autonomy.

Comparison of dynamics of the fund development in Russia reveals uneven paces by years. This is explained not only by the situation in the economy, but also by the attention of the state authorities to this issue. Falling interest of the country's governing bodies to endowment funds led to a sharp decline in the dynamics of their development in 2013–2014. At the same time, the funds of American universities developed quite successfully. Higher indicators of the dynamics of the development of the Russian universities' funds are explained by their low starting level.

The data of the funds territorial regulation also confirm their dependence on the administrative and financial resources of the territories: richer funds are situated in the two capitals of the country: Moscow and St. Petersburg.

Donors of Russian funds

The structure of donors of Russian endowment funds was analysed and compared with the structure of donors of the funds of American universities in order to test the second hypothesis (Figure 6). The analysis of this hypothesis was restricted by the fact that many Russian endowment funds do not disclose the structure of sponsors. Due to this, cases of several top endowment funds that disclose such information were examined (Table 1).

The collected statistical data validate the hypothesis on the weak links between Russian universities and their key stakeholders. The main donors are large enterprises and state corporations, which are exposed to pressure from the state. Independent donors – non-alumni, foundations, non-commercial organizations – almost do not participate in the creation of endowment funds of universities.

Figure 6. Dynamics of donations to higher education institutions in the US by donor category[2].

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[2] Compiled by the authors using the data from the annual reports Voluntary Support of Education. URL: http://cae.org.

Table 1. Categories of Donors of Russian universities
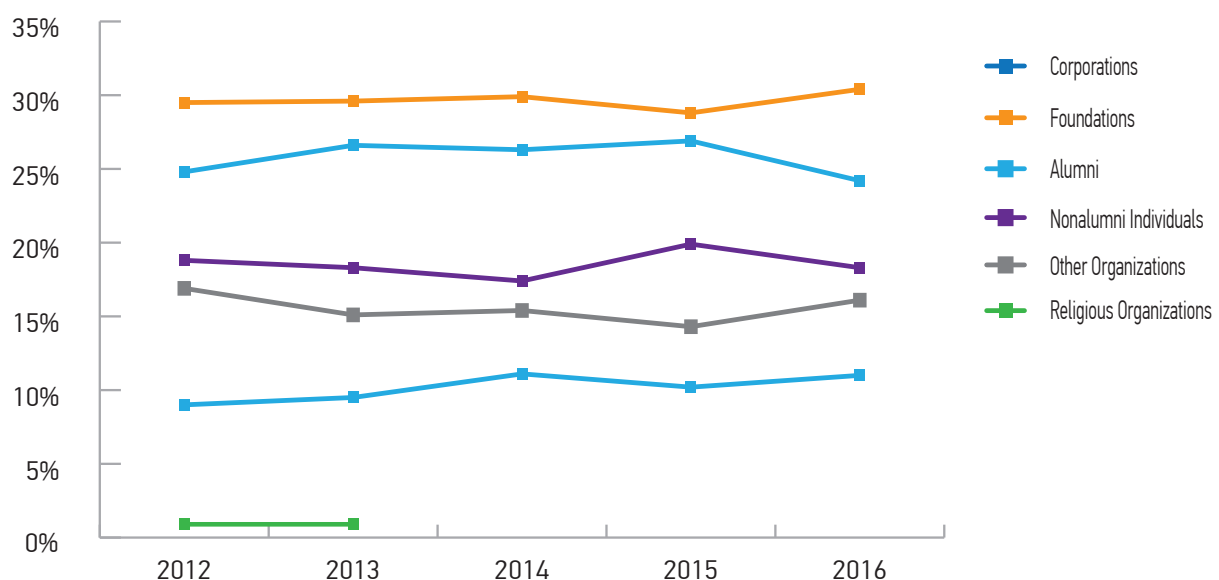
Donor categories	Higher education institutions%		
	MGIMO	SPBU	NEFU
Individuals – alumni	47,2	45,2	-
Nonalumni individuals	6,8	9,5	-
Corporations	43,2	42,3	93,7
Foundations	2,3	2,4	6,3
Religious organisations	-	-	-
Non-commercial organisations	-	-	-

Money in the funds and their role in the autonomy development

In order to assess the last hypothesis, the authors analysed the policies and cost structure of the funds and compared them with the indicators for assessing the level of university autonomy developed within the project for assessing the autonomy of European universities (Estermann et al., 2011).

Areas of spending of special-purpose capital funds are usually stipulated in the statutory documents in the process of creating endowment funds and include such areas as:

- quality of education;
- science and research;
- talented youth;
- talent pool;
- promotion of the university brand, etc.

Following the analysed documents, only one non-state university has revealed a clear focus of the policies of universities on spending the endowment money on supporting autonomy. Other universities either do not declare their policies in this field or provide the broadest lists of areas of spending.

The methodology developed within the project for assessment of university autonomy by the European University Association was used to assess the existing practices of spending endowment money and identify real trends in the development of the university autonomy (Estermann et al., 2011). Spending of a number of universities was estimated using the indicators of this methodology (Appendix 1).

Besides, other spending of funds in the total share of spending was grouped (Appendix 2). The analysis in general confirms the limited investment of higher education institutions in the development of their autonomy via the funds and the predominance of the desire to solve the broadest range of university problems using these resources.

Conclusion

The conducted analysis demonstrates the initial stage in the formation of endowment funds in Russian universities as one of the mechanisms to develop their institutional autonomy. A number of hypotheses were tested within the study that were generally validated. At the same time, it is worth noting that a number of the conclusions are hypothetical and require additional analysis for a number of reasons – first of all, due to the low level of publicity of the activities of endowment funds and the insufficient disclosure of information about them.

Appendix 1. Academic Autonomy in Russian Universities according to the Criteria of the European University Association

		SPBU	NEFU	MISIS	HSE
1	Capacity to decide on overall number of students	+	+	+	+
2	Capacity to decide on admission mechanisms for Bachelor degrees	-	-	-	-
3	Capacity to decide on admission mechanisms for Master's degrees	+	+	+	+
4	Capacity to decide on the introduction of Bachelor degrees	-	-	-	-
5	Capacity to decide on the introduction of Master's degrees	-	-	-	-
6	Capacity to decide on the introduction of doctoral degrees	-	-	-	-
7	Capacity to decide on the termination of degree programmes	+	+	+	+
8	Capacity to decide on the language of instruction for Bachelor degrees	+	+	+	+
9	Capacity to decide on the language of instruction for Master's degrees	+	+	+	+
10	Capacity to select quality assurance mechanisms	+	+	+	+
11	Capacity to select quality assurance providers	+	+	+	+
12	Capacity to decide on the content of degree programmes	+	+	+	+

Appendix 2. Areas of spending of endowment funds

Cost items	SPBU	NEFU	MISIS
Administrative costs	3,7%	6,0%	0,0%
Promoting the higher education institution	-	-	0,9%
Funding the academic events	-	9,8%	-
Developing the university infrastructure	-	30,0%	5,5%
Providing teaching and research conditions	-	14,7%	-
Funding the sociocultural events	-	-	0,8%
Supporting student projects and initiatives	0,3%	0,7%	0,7%
Scholarships for students and social support for staff	68,5%	8,1%	1,8%
Developing educational programmes	17,4%	-	-
Academic mobility of staff and students	10,0%	35,6%	-

In general, the following issues are promising areas of studying the role of endowment funds in the development of the university autonomy:

- analysis of stakeholder interests and their impact on the university autonomy;
- new models for the development of the university autonomy and institutions of its development;
- involvement of stakeholders in university administration and autonomy.

Acknowledgments

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UNIVERSITY AUTONOMY AND MODELS FOR MANAGING HIGHER EDUCATION INSTITUTIONS

Assylbek Kozhakhmetov and Nina Nikiforova

The transition to a knowledge economy forces higher education institutions to look for new institutional models that will provide them with competitive advantages in the new conditions of higher education governance and management. This paper discusses issues that reveal the essence and significance of granting autonomy to higher education institutions in the context of Kazakhstan. The paper examines problems of forming a new management model that meets the requirements of an innovative economy. The authors explore the concepts of "academic freedom" and "autonomy" in order to identify their distinctive features and the relationship between them. Despite the fact that much ink has spilled discussing issues of university autonomy around the world, there is still no single approach in defining the essence and role of such definitions as "academic freedom", "university autonomy" and mechanisms for their implementation in practice. Theoretical and practical aspects of these concepts in the higher education management remain to be insufficiently developed. The authors consider 'university autonomy' as a certain independence in the development of institutional strategy and the choice of methods for its implementation, determining the personnel and institutional policies in educational, research, economic, financial and other activities in accordance with the current legislation and a university's own charter. In the process of the study, the following three models of universities were identified: educational, research and entrepreneurial with the latter considered to be the most dynamically developing type of university structure. The authors believe that an innovative-entrepreneurial model of university management becomes of great significance in modern conditions of higher education governance.

Introduction

The arrival of the third millennium has been accompanied by new challenges that require reforming the Kazakhstani system of higher education in terms of its structure, curricula and quality of education and effectiveness. The entry of Kazakhstan's higher education institutions into the world's scientific and educational space presupposes awareness of the need for serious organisational and managerial transformations. At the same time, there are a number of serious problems facing modern universities and forcing them to rethink their mission and strategic goals: globalisation of the education market, availability of higher education to the masses, management of university structures, commercialisation and privatisation of education and science and the changing nature of the knowledge demanded by society.

The new conditions for the existence of universities raise the question of whether it is possible for them to preserve the old ways of operating or to adapt to new conditions by actively integrating with the market. Ideas about regarding goals and functions of higher education institutions as sociocultural objects (creating conditions for the development of the individual, transferring and preserving the scientific and cultural heritage, creation and dissemination of knowledge) were basically formed in the twentieth century, which were achieved through the decentralization of management and delegating some authority to higher education institutions. This contributed to the formation of higher education institutions' own individual profiles and the expansion of their autonomy.

Academic freedom and autonomy of the university

Now in the practice of national higher education there is a popularisation of the ideas of university autonomy and academic freedom. According to Lima Declaration on Academic Freedom and Autonomy of Institutions of Higher Education, academic freedom is presented in the following interpretation "the freedom of members of the academic community, individually or collectively, in the pursuit, development and transmission of knowledge, through research, study, discussion, documentation, production, creation, teaching, lecturing and writing" (Lima Declaration, 1988). Such an interpretation of this concept has been supported by scholars in the post-Soviet space. For instance, Fiapshev defines 'academic freedom' as "the freedom of teaching, research, in financial and economic activities of the university, the freedom of students in the formation of their educational trajectory" (Fiapshev, 2007).

In comparison with the term 'academic freedom', the concept of 'autonomy' in relation to higher education institutions is characterised as a separate, relatively independent activity of HEIs and their employees in conditions of the freedoms granted to them. Unlike academic freedom, academic autonomy of faculty and students is characterised by the number of the following factors:

- External factors that include a degree of academic freedom, legislation in the field of education, the state structure of the country, methods and forms of financing, academic environment of the university.
- Internal factors – the desire and willingness of faculty and students of the university to act autonomously.

According to the Magna Charta Universitatum, university autonomy is considered as one of the most important principles of the activities of universities (Magna Charta Universitatum, 1988). The autonomy of universities, as a management principle, reflects the degree of decentralisation, the development of self-organisation, and the university's self-governance. The Lisbon Declaration of 2007 states that academic autonomy is "organisational autonomy of the university, financial and economic autonomy, autonomy in the selection and placement of personnel, academic freedom in determining the content of curricula and the content of teaching, as well as in the selection of thematic research methods" (EUA Lisbon Declaration, 2007).

Thus, university autonomy assumes independence in determining the development strategy, building a management structure, developing and implementing personnel and tuition policy, planning, organising and implementing educational, research, financial, economic, and international and other activities in accordance with the current legislation and the charter of the university.

It worth noting that in the context of higher education transformation, the growing need for effective management and the adaptation of curricula to the demands of the labor market remain to be the main subject of debates in regards of boundaries of academic freedoms and university autonomy. At the same time, autonomy cannot be brought into the university from outside or be imposed from above. It is necessary to strive for autonomy and it should be experienced. At the same time, we should not forget that the most important requirement of the Bologna Process is to ensure a close connection between the autonomy of the institution, its responsibility and the quality of the educational services that it provides.

Modern models of university autonomy

In the world practice, there is a liberal, centrist and market model of university autonomy (Table 1).

Table 1. Models of University Autonomy

Models	Countries	Features of the Model
Liberal model	Canada, UK, USA	Broad autonomy of universities. The Ministry of Education and other authorities form the strategic priorities and parameters for the development of the higher education system, develop a common financial and academic policy. Significant administrative powers are concentrated in state-public or professional-public organisations, which are responsible for licensing and accrediting educational programmes and assessing the quality of educational services. An important role is played by the Board of Trustees as a link between the university and the society.
Centrist model	Germany, Kazakhstan, Russia, Ukraine, France	Universities are autonomous in educational, research, administrative, and financial activities. Despite a certain university autonomy, the structure and functions, curricula and programmes of universities are largely determined by the instructions of state educational authorities.
Market model	Australia, Canada, USA, and Japan	Strong decentralisation. Educational institutions are subordinate to local, professional government bodies. There is no state monopoly on the creation of educational institutions. There are various types of educational institutions and programmes.
Mixed model	People's Republic of China	A federal system with a certain academic autonomy, limited by legislative frameworks.

In Kazakhstan's context, the discussion of granting institutional autonomy to local universities has been prompted and acknowledged by the National Plan "100 Concrete Steps to Implement the Five Institutional Reforms of President Nursultan Nazarbayev". More specifically, Step 78 points out "gradual expansion of the academic and managerial independence of universities, taking into account the experience of Nazarbayev University. Transforming private universities into non-profit organisations in accordance with the international practice (National Plan, 2015). In addition, one of the most important tasks of the State Programme for the Development of Education in the Republic of Kazakhstan for 2011–2020 is the implementation of autonomy in Kazakhstani universities (State Programme, 2010).

The globalisation and democratisation processed developing in Kazakhstan's society, the impact of international factors on the academic autonomy, and the increased requirements for the training of qualified specialists who meet the requirements of domestic and international labour markets are the triggers that signify the relevance of solving the above-mentioned task.

In accordance with the Dublin Descriptors, the three-tiered system of education is implemented in the Republic of Kazakhstan. Students are given academic freedom to choose one's individual learning trajectory and to obtain knowledge and skills that will enable them to acquire competitive advantages and realise personal aspirations and intellectual potential.

Meanwhile, the academic autonomy of Kazakhstani universities is limited. In accordance with the Classifier of Specialties of Higher and Postgraduate Education as of March 20, 2009 No. 131-OD., higher education institutions can carry out educational activities only in those specialties that appear in that Classifier. We believe that an autonomous institution of higher education should be able to determine independently the starting and ending dates of the academic year, develop its own

regulations for student reenrollment and transfer, conduct professional development and training programmes for faculty staff, expand the list of educational services and independently approve curricula programmes by taking into account the requirements of the current market developments.

Further expansion of the university autonomy will become possible on condition that a number of changes would be made in the regulatory framework of higher education: the Law on Education, the Law on Science and charters of universities. Modern universities perform a number of traditional functions: educational, research, professional, preservation and transfer of accumulated scholarly knowledge, and cultural heritage. In the context of the formation of a global information space, the capacity of higher education institutions undergoes radical changes to perform the above-mentioned functions. Universities embedded in their one-size-fits-all, traditional organisational framework is no longer able to ensure effective implementation of those functions. At the same time, the responsibility of universities to the society for the performance of these functions and their participation in the transition to a knowledge-based economy makes it necessary to look for new structures and institutional models that reflect the content of the university. Studying domestic and international practices has allowed us to distinguish the three models of universities:

- Teaching-only university – the main task is providing training (transfer of knowledge).
- Research university – this Humboldtian model, developed in Germany approximately two hundred years ago, maintains a strong connection between research and teaching (knowledge generation).
- Entrepreneurial university – developed in the late 20th century, the main features of which were formed by Clark (1998) and Ropke (1998). The main task is the entrepreneurial impact on the development of the economy of the city, region and country. (Generation of innovations).

Entrepreneurial university is one of the dynamically developing structures of a modern higher education institution. The main difference of this model from the traditional one is the innovational-entrepreneurial approach and the change of the administrative paradigm, without which no university in modern conditions can remain competitive. A number of European and Russian universities have successfully implemented this model.

Discussion

In modern conditions, higher education institutions need a management model that would ensure the consistency of the university, business and government interests, their quick adaptation to the conditions of forming an innovative economy as well as the realisation of university's social-cultural and creative functions.

The importance of the problem of effective university management has increased due to the fact that the existing management model has become unsuitable to efficient work in the new conditions and does not meet the requirements of innovative development. Modern approaches to university management as the fundamental basis of institutional self-determination and its capacity to operate in a competitive environment are beginning to involve ideas and principles of entrepreneurial university.

Scholars and practitioners, researching this problem in order to overcome the shortcomings of existing management models and bring them in line with new requirements, offer a variety of scenarios for managing the university:

- Structural and functional model of university management.
- Concept of educational and university management.

- Innovative – entrepreneurial model.
- Designing the organisational structure of the university based on a viable cycle model.

At present, the innovative-entrepreneurial model of university management is becoming more important, proceeding from the fact that the educational system as an integral part of the national economy is considered in the context of innovative development. Therefore, innovation should become a key condition for improving the quality of education. Table 2 shows the difference between entrepreneurial education and the traditional one.

Table 2. Distinctive Features of Traditional and Entrepreneurial Universities (Kozhakhmetov, 2017)

Criteria	Traditional University	Entrepreneurial University
Resources	The state; self-financing	Self-financing in a larger volume; Financial investments of large corporations and other investors
Field of activity	Education and research	Technology transfer and commercialisation of ideas and business projects
Culture	Traditional academic culture	A new academic culture (Risk culture, entrepreneurial culture)
Management	Hierarchical	Programme and project based
Environment	Stable, well-established	Creative, dynamic, innovative

As noted earlier, the transformation of a classical institution into an entrepreneurial one assumes a new management paradigm based on strengthening the managerial core and proposing an appropriate adjustment of management structures in the following directions:

- Combining traditional academic values with strong managerial functions.
- Developing entrepreneurial skills among the university's administrative personnel.
- Establishing strong relationship ties between the university, businesses, and community.
- Applying the market management methods with careful attitude to the most important academic values.
- Developing an entrepreneurial culture based on principles that are oriented towards research and entrepreneurship.
- Integration of academic and research units of the university based on the implementation of project initiatives that correspond to innovative methods of knowledge production.
- Introduction of new IT tools/approaches of information technology to improve the efficiency of the university.
- Transformation of the university's internal environment based on establishing new elements in its structure: research teams, business incubators, various business centres, and project teams.
- The optimal balance between centralisation and decentralisation of university management (excessive centralisation will deter staff initiatives while the excessive decentralisation would lead to the loss of university's integrity).
- Ensuring an effective interaction between academic traditions and financial indicators. As an example, in the absence of competent managers, academic personnel can remain in the old niches, and, on the contrary, in the absence of academic staff, managers would focus on efficiency and forget about educational values.
- University management that is based on principles of programme and project management that complements the linear-functional management structure that is transformed with

regard to new tasks and functions. At the same time, the organisational structure of the university represents a matrix framework.

The application of this management model assumes the reorganisation of the university's management structures that are expected to enhance the professionalism of its management at different levels, based on the involvement of executives who have entrepreneurial thinking and strategic competences. At the same time, higher education leaders should be wary that "(...) a blunt and unstructured transformation of the university can result in reduction in prestige, decrease in academic quality, uncertain long term financial performance, and reduction in the number of students and sponsors. The transformation of a university into an entrepreneurial one must be adequately managed and controlled (Arnaut, 2010, p. 151).

An important step towards improving the level of university autonomy in Kazakhstan is the decision of the Ministry of Education and Science of the Republic of Kazakhstan on establishing Boards of Overseers at local state universities. Boards of Trustees and Overseers operate as an important link in the management structure of internationally reputed universities in the world. We believe that the corporate governance system, implemented by the Board of Overseers resolves challenges of securing academic freedom and university's institutional transparency. It also provides expansion of public-private partnerships in education.

Conclusion

Emergence of such an institutional model as an entrepreneurial university is associated with expansion of spheres of activity of universities, increased competition in the market of educational services and necessity to integrate education and business. In the republic prerequisites have been created for formation of a new type of university (entrepreneurial), which organically combines the principles of a classical university and innovative activities, based on the best educational traditions.

The basis of an entrepreneurial university are still traditional university structures, which represent an operational base of a university, are platforms for teaching, research and places where majority of academic work is traditionally conducted.

At the same time, universities need new subdivisions to perform new functions, beyond a traditional framework. As a rule, such departments take the form of centers which solve research problems and provide training, receiving assignments from outside.

Such subdivisions lead to creation of project teams, in which teachers from traditional ones participate. These subdivisions differ by organizational flexibility, which allows them to initiate easily, develop and implement innovative projects. Performing the function of overcoming the old borders, they will become intermediaries between university departments and the outside world. At the same time, they must bring to university an income received from development and implementation of various projects important for social and economic development of the region and the whole country.

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ENABLING MANAGEMENT

David Lock

Introduction

To exercise autonomy responsibly, universities must have sound and effective systems of governance, leadership and management. This paper explores good management practices. It does so by setting out the purposes of management, looking at the cultural aspects of Kazakhstan which impinge on management, how management can add most value, some impediments to the effective management of universities in other countries. The paper concludes by suggesting some key elements of effective management for the universities of Kazakhstan.

The purposes of management

Millions of words have been written about management and within them there are thousands of definitions. Normally these are culturally and industry specific. Reducing these to the essential elements one might be left with the following definitions. *To organise and coordinate the activities of an organisation in order to achieve defined objectives*. Seen from another perspective, a definition might read: *To align the inputs of many employees to achieve corporate objectives*.

The academic roots of the science of management come from several disciplines. From economics, we would recognise 'the effective combination of land, labour and capital' to which some would add 'entrepreneurialism'. The disciplines of psychology and organisational development would emphasise different aspects of the process.

The concept of management is distinct from those of governance, leadership and administration. Management is generally understood as being the organization and coordination of the activities of a business in order to achieve defined objectives (Online Business Dictionary). Leadership can be summarised as the processes of developing a clear vision, sharing that vision with others needed to implement it and enabling and motivating them to implement it to the satisfaction of the stakeholders. Administration is generally perceived as the day to day processes which ensure the operation of policies and procedures to achieve the objectives of an organisation although some define it more broadly.

One final point in this section is that all of governance, management, leadership and administration need to be seen in the context of the culture of the society or organisation in which they are employed.

Management in the cultural and higher education context of Kazakhstan

Kazakhstan has a relatively centralist culture with a legacy of command and control. It also has the 2050 State Plan of the President which is set out in more detail in the National Plan "100 Concrete Steps" and the State Programme for the Development of Education and Science 2016–19. These recognise the need for innovation and knowledge input and the need for universities to operate more autonomously. To achieve this, resources are being granted for capacity development which it is hoped will serve to build trust between the various Ministries and universities.

How university management can add most value

In his seminal work for the leaders of education systems in the UK 'Educational Administration' (Society of Education Officers 1989), Kenneth Brooksbank, one time Chief Education Officer of Birmingham, UK, says: 'The task of an education officer is to create an environment in which things of worth can happen.' The term 'manager' can be substituted for 'officer'. The cultural context of this is an autonomous education system.

The elements of this definition to emphasise are 'create' (as distinct from control), 'environment' (rather than a part or sub-system thereof) and the lack of definition of 'things of worth' – there being trust between the controlling authority and the educational unit to determine these.

It is argued that management seen in this context adds greater value, and is more likely to lead to the achievement of the President's plan, than when management is seen merely as a tool for command and control.

Impediments to effective management

On being tasked with the creation of a British University in Dubai (BUiD) the current author reviewed his 22 years of management experience in higher education to identify those features which should be avoided in the new institution so as to improve its effectiveness.

The listed included:

- A culture of 'them' and 'us'; both between academic and administrative staff and also between, on the one hand, schools and departments of the university and on the other, the central management and service departments. This led to one party not appreciating the perspective of the other, blaming the other when things did not go to plan and general inefficiencies.
- Undue focus on departmental rather than central corporate goals.
- Lack of engagement in or commitment to strategic planning and the implementation of plans.
- The convenience of the department and its staff being given priority over the needs of its clients (students and staff).
- Inadequate or inaccurate data or reports thereof – resulting in challenges to the credibility of plans and performance reports and complicating budget setting and planning processes.
- The values of the university not being understood and lived throughout the university.
- A lack of transparency.
- A lack of effective leadership.

In determining the management processes of BUiD the author designed processes and established leadership norms which endeavoured to avoid these impediments.

Key elements for the effective management of Kazakhstan's universities

Consideration of the above defects, the context of the current practices in Kazakhstan and its aspiration for universities to operate more autonomously has led to the identification of a number of key elements which, if implemented, should enable the universities of Kazakhstan to be managed effectively.

- Each university should have a comprehensive strategic planning process. This should be university wide but should be supported by integrated departmental and implementation plans. The plan, or a summary thereof, should be communicated to staff and stakeholders as

appropriate. There should be clearly stated performance expectations of all departments, the achievement of which should be reviewed periodically.

- All academic and departmental managers should be involved in the production and review of the university strategic plan and there should be effective iterative cascading with staff.

- There should be purposeful leadership development both for those currently in-post and those preparing to assume management positions. This should aim to develop leadership skills and simultaneously enable these to be applied in the context of the development of initiatives and operations which support the achievement of the strategic plan.

- There should be clear processes and procedures which are well documented and operated transparently, consistently and inclusively.

- There needs to be good, timely and accurate data. Ideally this should be gathered once, from original or reliable sources. It should then be trustworthy, shared with all needing it in bespoke reports with the data items and level of detail being appropriate for each user. The cost of collecting each element of data should be less than the value of that data. The suite of data collected should be capable of meeting the reasonable data requirements of the relevant Ministries and other authorities without additional data collection or processing costs.

- Annual budgets should be prepared in consultation with those managers who have responsibility for achieving them. They should be based on the strategic plan and performance against it to-date. They should be well communicated, with a clear delegation of responsibility and limits of authority for making financial commitments and achieving income targets. Performance against the budget should be periodically monitored and variances investigated. Action should be taken where possible to ensure that the budget is achieved by the year end.

- Other financial procedures should be sound and sufficient to ensure that university funds have been used for the purposes for which they were intended.

- An internal audit function will both increase the confidence of external auditors and also enable the university to improve its effectiveness or 'value for money' by reviewing systems.

- The Human Resources (HR) strategy and procedures should be designed to achieve the strategic plan. They should be transparent, objective and meritocratic. Recruitment to posts should be against an analysis of the skills, experience and attitudes required for successful performance and ideally the values of those appointed should align with the values of the university. A transparent system of recognition, promotion and rewards which reflects performance should serve to generate individual commitment to the university's goals. The performance of staff should be appraised periodically with staff development needs being identified as well as areas of performance which should be rewarded and those which could be improved.

- Management positions should be clearly defined, objectively graded and remunerated. Each manager should be assigned SMART objectives (Specific, Measurable, Attainable, Relevant and Time-framed) related to the Key Performance Indicators (KPIs) necessary for the achievement of the strategic plan and people with passion and experience should be appointed to them.

- Information Technology systems should be comprehensively designed and used effectively. Sub-systems should be well integrated. Data should be shared among all systems needing it and duplication of processing avoided. Systems should be robust with appropriate levels of back-up.

- Communications should be intelligent and accurately targeted to both internal and external stakeholders. The media and frequency should be appropriate in each case.
- The effective use of the discipline of risk management will give rise to more confident decision making and in turn, the generation of greater confidence and trust between the Ministries and universities.
- Periodically there should be effectiveness reviews of the different departments of the university and the extent to which they are contributing most effectively to the achievement of the university's goals. The quality of their performance and the means by which that quality is assured should also be reviewed.
- All of the objectives and processes of the university should be underpinned by agreed and lived university values. Ideally these should be set as the product of an iterative process with staff and stakeholders and periodic reviews should be undertaken as to their relevance and impact.

In conclusion

It is not suggested that this is a complete list but each of the above will help a university to manage itself in a way that will enable it to achieve its objectives more fully and increase the level of confidence and trust between it and its stakeholders.

Management can be made more effective if all staff are committed to achieving those objectives. Good leadership and effective communications can enable that along with appropriate recognition and rewarding of staff achievements.

The relevance and quality of the experience that universities provide for their students and research clients and the extent of innovation can then be improved and through this universities can aid Kazakhstan to achieve its 2050 objectives.

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ACADEMIC LEADERSHIP UNDER GLOBALISATION: A LATE-DEVELOPER'S PERSPECTIVE

Lui Tai Lok

Introduction

Higher education is currently under enormous pressure arising from globalisation. Previously, universities were simply institutions for preparing the local talented young people for careers in the civil service, professions, and/or the business world. While there existed competition among the universities, the order of the league and the status of each of the constituents were relatively stable. But once universities are opened to the changes brought about by globalisation, all of them have to adjust to the new environment.

One of the major features of this new environment is the rapid growth of international students enrolling in tertiary education outside country of their own origin. It is estimated that currently there are about five million students studying abroad. And it is expected that the number will further increase to eight million in less than ten years from now. Such a drastic growth of international student mobility is driven by a change in the composition of the population of foreign students – whereas previously a large share of international students are pursuing postgraduate education, the trend is moving towards an increase in foreign students enrolling in overseas undergraduate programmes. There is a growing demand for higher education and such demands are particularly strong from Asia countries like China and India. With the drastic increase in international student mobility, higher education institutions in different parts of the world are expected to internationalise their campuses and programmes in order to capture their shares of such growing demands from abroad and to ensure that their own local students will not be disadvantaged because of a lack of international exposure.

As a result, competition among universities intensifies and universities have to compete not only at the local level but also at the levels of the regional and the global. Performance of universities is measured vis-à-vis international benchmarking. International standard has become the yardstick for the evaluation of universities' strengths and weaknesses. A new kind of frame of reference or consciousness of global higher education and inter-university competition is in the process of formation. In the midst of such macro changes, academic leadership stands out as one of the most crucial qualities to ensure that university will continue accomplish its mission as an academic institution to pursue academic excellence as well as to be socially contributive to the home country.

My paper is an attempt to look at academic leadership in the context of globalisation. More specifically, I shall examine higher education under globalisation from the perspective of late-development (cf. Gerschenkron, 1966; Amsden, 1989). This emphasis highlights the difference between universities in the USA, UK, Australia, and some European countries on the one side, and those out of these so-called core countries on the other. For example, in the case of Hong Kong, we are rather new to this game of the internationalisation of higher education. In order to compete at the regional and global levels, we require both heavy investment from the government and major organisational restructuring within individual universities. Without either one of these two major ingredients, I believe it would be very difficult for universities outside the core to compete at the global level.

A Late-developer's Perspective

The situation is similar to our observation of late development in the literature on industrialisation and economic development. A developmental state will help – both in terms of developing a sense of direction and assisting the catching-up process. The internationalisation of higher education does require a lot of resources, ranging from the provisions of scholarship for overseas students to the longer-term development of competitive advantage in selected areas of research and teaching. In the context of East Asia, other than a few cases in Japan and South Korea, most of the leading and competitive universities within the region are government-funded institutions. Indeed, government funding plays a key role in the facilitation of these universities' success in the past two decades.

However, government's financial support is only a part (significant, though) of the recipe of success of the East Asian universities. Equally important is finding the means of driving organisational changes in the higher education sector. Here the specificities of higher education deserve our serious attention:

a. Unlike a business enterprise or a government bureau, university works with a different time frame. It is not a business that would generate profit immediately. Normally it would take a longer cycle to build a new intellectual environment and to deliver the expected deliverables. Nor should it behave like a government bureau that tends to be responsive to immediate concerns. University's development requires vision and commitment.

b. Autonomy is the key to university's success as an academic institution and intellectual powerhouse. Though autonomy as such cannot guarantee success, it is difficult to see how a university can strive without an organisational framework to ensure its autonomy. As academic institution, university has its own logic of development – intellectual curiosity, tolerance of diversity, respect of freedom of expression, and continuous efforts of exploration and innovation are all key elements for the success of an academic institution. Institutional autonomy must be upheld in order to ensure that universities will continue to innovate and create new ideas.

c. The challenge is about how to strike a balance between control and autonomy. This leads to the question of university governance. It is necessary to develop an institutional framework for the purpose of establishing quality assurance (in research as well as teaching and learning). This is partly a matter of accountability (i.e., universities must perform after receiving funding from the government and donation from the wider community). This is also a question about driving university towards excellence. While the government can use the tool of budgetary control to manage its universities, the more desirable approach is to emphasise international benchmarking (as a kind of normative control). The performance of the higher education institutions is made reference to their peers' standard and achievement. To become regional and/or global is not to compete in terms of university ranking as such but to work towards benchmarking – putting ourselves into the map of world-class universities. This helps define what is achievable and cultivate new expectations/goals.

d. University also needs to retain its autonomy in order to respond to local challenges. In East Asia, there are competitive universities. But there are also quite a number of universities finding themselves 'lost in globalisation'. Universities are supposed to be the institutions for the creation of knowledge, the promotion of innovation, and the cultivation of future elites. They are expected to lead and to be impactful. How contemporary universities are able to strike the balance between being competitive at the global level and being impactful (academically, intellectually, and socially) in the local context is one of the most important challenges to higher education institutions in the globalising milieu. Universities must be given the room and autonomy to explore and to find their own directions. Otherwise, it is difficult to see how they will continue to strive and to ensure that their achievements are sustainable.

Academic Leadership

This relates to the importance of academic leadership. As noted above, it is easy for late-developer universities to get 'lost in globalisation'. Once the global and regional competition gets started, many of them simply concentrate their efforts and focus their attention on world ranking. Movement in the league table becomes a major concern. Such a response has two negative effects on university development. First, it changes their time perspective. University requires long term commitment to build up its academic strengths and specialisation; its performance is not based upon turnover on a yearly basis. Second, rather ironically, the pursuit of world ranking generates complacency. Instead of daring to be different, willing to take up new challenges, and being responsive to social needs, nowadays many universities are very happy to follow the so-called best practices and/or established successful models. Instead of really trying to reach the world standard and to be qualitatively distinctive, many universities just turn themselves into followers. It is in such a changing context of inter-university competition that we see the value and importance of academic leadership.

Academic leadership is most crucial to assist universities to stand firm on their ground in the face of mounting pressure arising from globalisation. It is the key factor that helps universities to position as well as re-position themselves in the midst of rapid changes. An academic leader will adapt to and lead changes. But at the same time, they will also ask: what for? Universities are centres of new ideas and knowledge. They are also expected to be impactful – to address community concerns at the local, regional, and global levels. In order to do this, universities must have their own character.

Concluding Remarks

There is no easy answer to the question of building world-class universities (especially among the late-developers) under globalisation. Ensuring university's institutional autonomy is the starting point. This is particularly important for universities outside of the core. They will need heavy government funding to assist them in catching up. Accordingly, they will also need to be accountable. Good governance is the answer to the question concerning how to strike a balance between control and autonomy.

The real challenges are finding the appropriate governance structure (so that universities would be flexible, innovative, and responsive to changes) and developing the visions and perspectives for longer term development. As noted above, the organisational peculiarities of university are issues that we must attend to. University should not be managed like a business organisation. Nor should it be seen simply as an extension of a government bureau. Being both accountable and autonomous is the key to the success of a university.

Universities should dare to be different. They must also be very conscious of their own mission and vision. At the end of the day, they must also be impactful. Academic leadership plays a key role in assisting universities in steering their ways towards playing their role as centres of ideas and knowledge in the midst of growing competition at the global level. How this can be done is an art of its own.

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GOVERNANCE 4.0.
GENERATIVE LESSONS FOR
CORPORATE AND UNIVERSITY GOVERNANCE

Judith MacCormick and Loretta O'Donnell

Rob Ashgar, in a Forbes article (Nov. 15, 2013) likened a university president to the mayor of a city and noted that "leaders in other sectors have much they can learn from good higher education governance". He quotes Herman Wells, the former president of Indiana University, that the ideal university president would combine "the physical charm of a Greek athlete, the cunning of Machiavelli, the wisdom of Solomon, the courage of a lion, the skin of a rhino ...and the stomach of a goat".

The global economy is reshaping expectations around business and higher education. Universities are facing intensifying competition, intense scrutiny, and expectations around 'impact.' At the same time, corporates are being pressured by multiple stakeholders, fueled with easy access to information, to recognise their obligations beyond those who own shares in their company. The demands are amplifying for Boards across all sectors to enhance their governance. But what is this amorphous process which we call 'governance'? What can we learn from both corporates and universities to create a model of generative governance that truly adds value?

A decade ago, the term 'corporate governance' was barely heard. Today, like climate change and private equity, corporate governance is a staple of everyday business language and 'good governance' is now expected across all sectors, for profit, not-for-profit including non-government organisations (NGOs), government departments and Universities. Good governance is not an end in itself. The practice of good governance substantially helps an organisation achieve its objectives. Conversely, poor governance, as noted by the IMF (2017), will be 'clearly detrimental'[1] and at the organisational level may bring about the decline or even demise of an organisation[2].

But what is (corporate) governance? A practical definition was established in a ruling handed down by Justice Owen in Australia in 2003. Justice Owen (2003) defined corporate governance as "the framework of rules, relationships, systems and processes within and by which authority is exercised and controlled in corporations". He continued by noting that governance encompasses the mechanisms by which companies, and those in control, are held to account.

Governance, presided over by a Board, influences how the objectives of the organisation are set and achieved, how risk is monitored and assessed, and how performance is optimised. Effective governance structures encourage organisations to create value through innovation, development, entrepreneurialism, and exploration, and provide accountability and control systems commensurate with the risks involved.

This is as relevant for a university that is accountable to the society which sponsors it, as to a multinational corporation, or a start-up that wants to create a highly desirable company, albeit

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[1] IMF Fact Sheet, 2017, IMF and Good Governance, August
http://www.imf.org/en/About/Factsheets/The-IMF-and-Good-Governance

[2] CCH, 2004, Public Sector Governance – Australia, Sydney, p.10–101

the 'sophistication' of these elements must be tailored to the context. Governance practices must evolve to meet the changing circumstances of the organisation and its context.

Institutions across all sectors, including listed corporations, universities, non-government organisations and private firms, work collectively to provide the glue that holds modern societies together. Disruptive change, hyperconnectivity, big data, and ubiquitous information, mean the need for good governance is even more significant. With both the scrutiny and voice of multiple stakeholders, good governance balances the need to drive institutions forward to enable continuing success whilst ensuring prudent control. However, good governance is not just about structural elements. Good governance is also about culture, that is, the collective behaviour, or as Christine Lagarde, International Monetary Fund Managing Director challenges us, "the way things are done around the organization (when no one is looking!)"[3].

Such behavior is driven from the top, as eloquently illustrated in Professor Bob Garratt's governance text book "The Fish Rots from the Head" (2010). What the governing body does, and says and the decisions it takes will have a direct influence on the culture through what it attends to and rewards, and equally what it punishes or ignores. Does the organisation regard employees as costs, yet furniture as assets? Are whistleblowers shut down or applauded? Does outperformance get as much scrutiny as underperformance? Are failures openly discussed, recognised as a route to innovation when challenging outdated paradigms, or are they un-contemplatable? What behaviours in universities are condoned by turning a blind eye? In a world now commonly characterised as VUCA[4] – volatile, uncertain, complex and ambiguous, what governance lessons can universities learn from corporates, and, conversely, what can corporates learn from universities?

Complementary challenges and learnings across Corporate and University Governance

There is significant pressure on universities to look and behave more like corporates in terms of accountability, stakeholder management and prudential use of resources. At the same time, corporates are looking to the 'for purpose' sector to create meaning as a way of engaging their workforces and releasing their discretionary effort.

Universities are among the most enduring organisations our societies have ever created. However, with pressures on funding, new sources of competition (including Massive Online Open Courses – MOOCs, Artificial Intelligence, consulting firms, startup accelerators) and societal expectations around return on investment in publicly sponsored institutions, the role of universities has never been more complex and more hotly debated.

Are universities designed to develop future leaders? Or are universities designed to train a workforce for the short term? Or both? Is it possible, or desirable to achieve both outcomes at the same time? Economic growth and scientific and technological advances are necessary but not sufficient purposes for a university. Even within the hard sciences, as Drew Faust (2010) reminded us, universities have a distinctive obligation to nurture and fulfill the deep human desire to understand ourselves and the world we inhabit and inherit – even when there is no practical application close in view and even as we rightly accelerate our efforts to harvest new technologies from knowledge in its most basic form. Most transformatively, useful scientific discoveries often trace their origins to research born of sheer curiosity about who we are

[3] One useful reference for this concept is: Paine, Lynn S. (1994) "Managing for Organizational Integrity," Harvard Business Review, March-April, 1994.

[4] The VUCA was coined in the early 90s by the US Army War College to refer to the multilateral world that emerged after the end of the Cold War and was characterised as being more Volatile, Uncertain, Complex and Ambiguous than ever before.

and how we can fathom the most intriguing mysteries of the natural world. Products such as penicillin grew from this origin.

The stated role of a university governing body is barely distinguishable from that of a corporate board, apart from the titles used for the governing bodies and for the executives within the different institutions. As universities also feel the pressures of demands to deliver value and accountability, University governance can learn lessons from the corporate world.

Even jaded faculty from the University of Harvard, noting the recent departure of Drew Faust as President, acknowledge that universities are changing. Freeland (2017) notes:

> "Recent scholarly and professional discussions of the [university] presidency tend to stress the changing nature of the role. One line of argument emphasizes [that] (...) academic institutions today must run more like businesses than in the past and that future presidents will need skills in corporate style strategic planning (...) or (...) heightened fundraising skills, or for public sector presidents, sophistications in political advocacy. (...) Another line of discussion stresses the changing nature of the university itself (...) one such center of power is the faculty, whose increased autonomy and expectations of influence can seemingly limit executive action..."

Freeland concludes that top down executive leadership is no longer working in a changing context. This observation raises another question: What does performance and accountability for a university look like in this context?

Lessons from the corporate world

Corporates have delivered enormous advantages and wealth to good, and less good, ends. They have been able to do so through effective systems and processes, and efficient application of 'rules'. Those that have been successful, have been adaptable and quick to make decisions and effectively manage risk. We have examples of admirable new firms like Atlassian, Netflix and Google, as well as the firms that have "stood the test of time" like Johnson & Johnson, IBM, General Electric and others described in Collins and Hansen in "Great by Choice" (2011). These firms illustrate systems and processes that are adaptable and agile and enable accountability without being bureaucratic. In this sense, they provide lessons for universities. Rather than bemoan big data, universities may choose to exploit data analytics to make their institutions efficient and effective while leveraging historical capabilities of managing multiple stakeholders over the long term.

Problems for corporates

On the other hand corporations are increasingly under pressure to recognise their interdependence with their social context. In developed economies such as Australia, the community response to socially or environmentally controversial corporations is ever more complex, nuanced and public. For instance, mining companies which aim to mine lucrative seams of coal seam gas (CSG) have learned from farmers on the Liverpool Plains of NSW that communities will refuse them access to mine sites. Corporates increasingly require a "social licence to operate" if they are to attract investment – or face divestment. Environmental, Social and Governance (ESG) responsibility is now part of most corporate lexicons. Fund managers, activist investors and proxy advisors recognise that ESG measures provide powerful indicators of a company's sophistication, maturity and potential future earnings. For example, independent investment advisors such as Morningstar now score mainstream mutual funds and exchange traded funds on ESG factors.

As big data, AI and connectivity disrupt our world at speed, corporates increasingly engage the hearts and minds of multiple stakeholders, both inside and outside the organization. Simple competition has given way to complex co-opetition, defined by DeBono (2015) as cooperation between competitors, as well as sophisticated networks. Human capital is now the most employed resource in production and innovation is its greatest output.

Lessons from Universities

So where can corporates look for deep and sophisticated competencies in managing multiple, often competing and ambiguous interests at the broadest and highest levels, whilst engaging their staff in a purpose beyond shareholder return? Fund managers interested in examples of institutions which successfully manage multi-million, or even billion-dollar budgets and a complex array of stakeholders, may be advised to look to the higher education sector. Universities have for centuries engaged the hearts and minds of their core constituencies – faculty, researchers and students, and have also more recently developed high levels of skill in managing the complex and competing interests of: competitors (other higher education institutions, including commercial providers), employees (faculty and staff), international collaborators, government, agencies (rating and ranking agencies, standards associations, professional associations) and regulators, both domestic and international. Similar to corporates, universities may also be held hostage to exchange rates, a decisive factor in attracting a major source of income (international students), and the proclivities of political events including funding and deregulation.

The top management teams in universities, Vice-Chancellors, Chancellors, Presidents, Rectors, Pro-Vice Chancellors, are daily faced with these kinds of challenges. Managing a corporation and managing a modern university requires an understanding of each of the four elements of management noted by Bolman and Deal (2003): symbolic, political, human resources and structural. Successful university and corporate leaders understand the deep interdependence of each of these frames of reference. Each frame is required for the institution to deliver tangible and intangible outcomes, in the short term and the long term. University leadership, like corporate leadership, is not for the faint-hearted.

Structural frames of reference, as per Bolman and Deal (2003), are relatively easy to plot on a powerpoint slide or explain to a Board of Trustees or to a corporate board. However, the human resources implications of structural changes is not always well understood. Leaders may find themselves focused on one or even two frames of reference, only to be blind-sided by one or two other frames of reference which may negate all the success in the other frames.

As institutions that are at once enduring and thought leading, university governance requires collaboration and co-operation of the highest order, managing the interests of multiple stakeholders across the spectrum of society in addition to providing a platform/space/context for disruptive thinkers and educating the citizens and citizen-leaders for our society. The concept of shared governance, as carefully espoused by universities such as Oxford, Cambridge, University of Wisconsin Madison and University of Pennsylvania, is essential to a collegial view of strategy.

Is the focus so very different for corporates? The symbolic power of the CEO, the Chair of the Board and the University President are significant. Freeland observes (2017): "In my view, how faculty and staff feel about their president affects the quality of their work and, therefore, the education of students, just as the leader of any organization or unit of government affects the morale and commitment of members of that community (…). Even if the president did nothing but occupy the office and articulate the value of the institution, the role would matter a lot".

Corporates and universities are complex, socially significant and economically vital institutions. Governance policies, systems and practices need to effectively manage within these complex interdependencies.

Leaders in universities and leaders of corporations are increasingly compelled to have sophisticated, nuanced and proactive leadership skills incorporating all four frames of references: symbolic, political, structural and human resources. While modern university leaders have much to learn from corporate leaders, it is equally true that university leaders, who truly understand symbolic and political frames of reference, also have much to teach the corporate world.

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MANAGEMENT AND LEADERSHIP CONCEPTS IN HIGHER EDUCATION

John Mahoney

Abstract

Effectiveness as a leader can be enhanced by making deliberate efforts in key areas. Certain management and leadership concepts that are readily observed in settings such as health care and manufacturing are also highly relevant to higher education leadership. These concepts include establishing trust, demonstrating consistency, embracing the organizational mission, and providing transparency in budgeting. Efforts in these areas can improve relationships with colleagues and help the organisation achieve its goals.

Before I was a dean, I was an emergency medicine physician. This experience turned out to be excellent preparation for being an academic manager and leader. In this brief essay, I will highlight a handful of practical and generalisable leadership concepts, many of which I first encountered while learning to lead clinical teams in the hospital setting.

Imagine we are in the hospital Emergency Department, late at night. There has been a car crash. A patient arrives with serious injuries, and the medical team gets to work in the chaotic scene. You have probably seen something like this on television. However, things in real life are not always quite as they are on television. In my emergency department, chaos is rare. There has been deliberate planning and training to prepare for this type of patient, and it is reflected in the smooth functioning of the team. The team leader, a senior physician, takes their place at the head of the bed, where they can support the patient's breathing and oversee all of the treatment. The other six doctors and nurses each have a place around the patient, and each assumes their position as precisely as if there had been a sticker on the floor with their name on it. They have assigned duties, they know what to do and when to do it, and they know what their colleagues are doing, too. Ultimately, they know the common goals, and work together to achieve them – even if this exact team has never worked together as a single unit.

The team trusts the leader, and the leader trusts and listens to their team. Though the lead doctor may make the ultimate decisions, anyone on the team can speak up and add information, and perhaps question the decisions. The team leader will accept and value the team's input. Throughout the patient's emergency care, the leader is making decisions based on a bare minimum of information about this newly-arrived patient.

This case in the emergency department has a great deal in common with leading in an academic setting. One similarity is that in both places, progress will come easier if you can become comfortable making decisions based on incomplete information. A key part of being empowered to function in this type of environment, one where you must act before you have explored every possible aspect of a question, is to be in an organisation where your superiors will not second-guess your decisions or be overly critical once more details are known. Of course, this assumes you are skilled and thoughtful, and that you tend to be right far more often that you are wrong!

A foundation for making good decisions is understanding your organisation's ultimate goals. In the emergency department, we aim to resuscitate the patient, relieve their suffering, and to get the patient to the operating room or intensive care unit quickly – and we have all committed to these goals. Most organisations have a mission statement that articulates the shared goals.

You do not need to be a slave to the mission statement, but if there is no mission or vision, and so no goal, it is not possible to know if you are putting your resources into the correct initiatives. For a manager or mid-level leader, the key is to understand how your unit fits into the overall organisation, and to assure that you are aligning your department-level activities with your organisation's strategic priorities. To achieve your shared goals, you and your colleagues need to understand and embrace your organisation's mission statement.

This leads to a very practical point: Budget, the organisational mission, and behaviour are inextricably linked. A disconnect between your stated goals (or those of your organisation) and how you do or do not allocate funds can be crippling. People can try to work toward the goals, but failure to provide resources to support the mission-critical work will frustrate anyone who is really trying to reach the goals. At some point, the best people will stop trying or leave.

As a leader, consistency is a vital trait. People need to know what to expect from you, meaning that you should generally be predictable in your decision-making (Hurley, 2006). Your staff can be most productive if they can anticipate how you will want to proceed, and prepare to work in that direction. Ultimately, this is the foundation for individuals to grow to be increasingly independent and to require less oversight. In contrast, if you are unpredictable in your decision-making, your staff may struggle with working independently as they are unable to anticipate your needs or decisions.

Decisions about budgeting are an area where consistency and transparency are particularly useful. Consider the case of a leader who is making decisions about the annual budget. Everyone wants funding for their project or idea, but there is never enough money to fund every request. As the leader sorts through the requests to decide what gets funded and what does not, individuals at any degree of distance from the leader may not see why various decisions were made. It may appear arbitrary, or that the leader is targeting favorite projects or people. To avoid this situation, describe and share the values that drive your behavior and decision-making as a leader, so that people see consistency rather than unpredictability.

Underlying all of these suggestions is the need for the leader to be trusted, by their immediate team, and throughout their greater community of colleagues. Trust is a complex concept, one that is comprised of several inextricable components (Hurley, 2006). Being viewed as credible is essential to establishing trust. For a leader to be trusted, they must also have an emotional connection to their colleagues and a shared set of goals on a common ground (Conger, 1998). Trusted leaders consistently demonstrate respect and benevolent concern for their colleagues. From foundations of trust and a shared understanding and investment in the organisation's mission, great things can be accomplished. I saw this in action when I visited a company that manufactured mannequins used to teach cardiopulmonary resuscitation (CPR). The company's leader was completely committed to excellence in every mannequin, and so were the factory workers. As I toured the production floor I asked workers about what they were making. They did not tell me "I'm assembling mannequins". They described how they were making products that were going to save lives – so they had to be perfect. I was simultaneously amazed at the workers' insightfulness and jealous of how effectively the company had brought everyone together around the shared mission.

I am working on bringing this level of focus to my university. When I walk through the school and see our custodians cleaning and our painters brightening fading walls, I pause and let them know that what they are doing is making the environment better for our students. Their actions help the students to be more comfortable in their school and concentrate on being better doctors. Their reactions have been uniformly positive to being included in the mission and to having their contribution toward the goal be recognised as valuable.

The achievements of a higher education institution are the products of the efforts of its talented faculty and staff. Their ability to achieve the institution's goals is critically dependent upon having effective leadership. I suggest that you ask yourself how your effectiveness as a leader can be enhanced by making deliberate efforts in key areas. How can you establish trust, demonstrate consistency, and help your colleagues embrace your organisation's mission?

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GOVERNANCE, MANAGEMENT AND LEADERSHIP IN HIGHER EDUCATION: A PROVOCATION

Colleen McLaughlin

I want to stimulate some thinking about the purposes of governance, management and leadership in higher education, for if we are not clear about these then we have no direction for our processes of governance, management and leadership, hence my title. I will raise some questions about universities in the twenty first century. I want to begin with the question: What are universities for and especially in our current global context? Countries have very different traditions and purposes for university education and there are many discourses being used to describe the purposes of higher education. In some places, they are seen as post-secondary technical colleges, in others the most important salary is that of the head coach of the football team, and in others it is the measurement of the research productivity that matters (Collini, 2012). What is also clear is that universities change and evolve in their purposes, from the medieval monk to the 'multiversity'. However, there are some common elements as well as differences of emphasis, some of which are detected in the discourses that Universities use to describe themselves and what they choose to display as indicators of their success. So, what are the common discourses and debates we see today?

What are universities for?

The economic

I have put this first since I dare to suggest it is the dominant discourse at the moment in my own country of the UK and is to be seen globally. World Rankings are the example of its supremacy. This view sees universities as indelibly linked to the economy of the country and see universities in many ways like businesses. The language is that of the marketplace and the world rankings are an example of this view. Universities are seen as improving the economic capital and are an extension of the vocational aspects of education. They are also seen by some as economic liberation i.e. enabling those who have not had access to have access through education to the top jobs and salaries. An example of this economic view is in the UK Teaching Excellence Framework, which measures the effectiveness of universities by their post-graduation employment rates. The degree is to some extent seen as a commodity. Students judge their teachers according to their satisfaction with them and their teaching. An alternative view emphasises not satisfaction and comfort but rather disturbance and challenge.

The critical voice

The phrase that is often used to exemplify this is that of Speaking the Truth to Power, originally found in a 1955 book, *Speak Truth to Power: A Quaker Search for an Alternative to Violence,* published by the American Friends Service Committee, but the claim is that it goes back to the 18th century. This phrase I think is trying to capture notions of independence of voice and criticality. This view of the university sees it as a place in which criticality is developed and where ideas are evaluated, debated and challenged. Where the discourse is one of disputation, experimentation and questioning. But even this is a cultural tradition for there are cultures that see the role of the student as taking the knowledge and repeating it, in the order of passing on traditions.

The European tradition from which I come is one which values the critical. Independence and autonomy are part of the valued assets of the university, which are obviously linked to the critical voice. The freedom to debate and the freedom from control, particularly by powerful forces and figures, are prized. Control, be it financial or otherwise, is viewed with suspicion. The university is an organisation that is seen as being able and free to speak the truth to power be it MacDonald's or a government.

Understanding and knowledge creation

The third purpose I want to identify is that of understanding. Collini (2012) puts it this way, 'one way to begin to think about their [universities] distinctiveness is to see them as institutions primarily developed to extending and deepening human understanding. This is a pretty outrageous idea: no other institutions have this as their primary purpose.'

Contribution to the public good

The final purpose is that of contributing to the society in which they operate. Some would emphasise economic contribution but others would identify wider purposes of forming a positive civil contribution and improving the quality of life for people.

So there are many different purposes for universities and for Onora O'Neill, the philosopher, who spoke at a lecture in Cambridge, diversity is here to stay, "even if you regard some if its [the University's] manifestations, such as MacDonald's University and company in-house programmes, as probably a bit impertinent". She argues that what is needed is more clarity about precisely what these diverse missions are. (The Guardian, 2011)

A personal reflection

I have worked in two universities in the UK – Sussex and Cambridge – very different in emphasis, tone and management or leadership practices. Both have mottos, phrases that are aimed at capturing the essence of something. Sussex's motto is *Be still and know*: Cambridge's is *From this place, light and sacred drafts*. Both of these stress the privilege of knowledge creation and its 'sanctity,' echoing the monastic origins of many universities. They also capture the notion of a quiet or thinking space within universities in which new thoughts and experiments can happen.

So, different purposes but some common ideas: of relating to society, of being more than an economic servant to the society, being concerned with freedom and autonomy, knowledge and understanding. The public statement below of the mission of Cambridge demonstrates these purposes.

Table 1. The Mission of Cambridge University

Mission	Core values
The mission of the University of Cambridge is to contribute to society through the pursuit of education, learning, and research at the highest international levels of excellence.	The University's core values are as follows: • freedom of thought and expression • freedom from discrimination

Table 1. (continued)

Education	The University's relationship with society
- the encouragement of a questioning spirit - an extensive range of academic subjects in all major subject groups - quality and depth of provision across all subjects - the close inter-relationship between teaching, scholarship, and research - strong support for individual researchers as well as research groups - residence in Cambridge as central to most courses - education which enhances the ability of students to learn throughout life	- the widest possible student access to the University - the contribution which the University can make to society through the pursuit, dissemination, and application of knowledge - the place of the University within the broader academic and local community - opportunities for innovative partnerships with business, charitable foundations, and healthcare - concern for sustainability and the relationship with the environment

I have so far presented these purposes as almost in harmony and it is true that many of these can coexist. However, I do think that there are tensions and that managers, leaders and governors will have to make choices regarding the prime purposes that they enforce. I think that the purposes permeate every choice that a manager or leader makes and that they are what we often call 'the culture' of a particular university.

Governance, leadership and management

Who governs, how and to what purpose is one example of the choices open to a university. Are the governors independent? Do they have autonomy and to what end? The speed, pace, purpose and expectations of managers and leaders are communicated through the accountability mechanisms, the administrative processes and the restrictions and expectations placed on academic staff. In situations where the accountant is demanding one thing and it is having an impact on academic freedom, which way does the university manager or leader go? How are difficulties dealt with? Is efficiency and similarity or compliance expected from all?

I am not being naive about the need for there to be accountability mechanisms or administrative systems but the analysis of the little moments or 'the way we do things around here' will tell much about the purposes that are valued in a university. Sometimes the freedoms or purposes must be fiercely protected against marauding tribes. Each of these purposes, if dominant, has a managerial style and a discourse which parallels it. The discourse or language we use to justify decisions matters.

I am arguing that in a university focused upon the wider purposes of higher education the leadership must protect fiercely what in Cambridge are called 'the self governed community of scholars.' The competing demands of accountability, bureaucracy and finance must be mediated and tamed if they are not to distort the academic purposes; coherence must be an aim and every action judged against the central purposes of research and teaching excellence – this focus must be unrelenting if the university is to achieve its purposes. Autonomy, freedom and flexibility should be evident. Independence from constraint, freedom and criticality should be prized.

Postscript – what we need most now

We live in a very particular global climate amidst some extraordinary national and international events in a time of surprise, unpredictability and change. In the midst of these events and shifts I think there are some trends which make some of the core purposes of universities essential and precious. We live in what has been called a 'post truth' society and where the core intellectual values which universities aspire to promote – honesty of argument; the valuing of criticality, transparency and adherence to the value of evidence versus dogma; the striving for balance; the ability to value difference and constructive disagreement are threatened in many societies around the globe. I think the commitment of university managers and leaders and governors to the wider purposes of universities is very important indeed to peace, knowledge creation and democracy.

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STUDENT LEADERSHIP AND PARTICIPATION IN THE UNIVERSITY GOVERNANCE: STUDENT VIEW

Kamilla Mamatova

Abstract

This paper is intended to introduce student perspective on the topic of student leadership and the role of students in the university governance. It discusses how student leadership can enhance university prestige and consequently popularity among applicants. This paper defines student leadership as an ability to shape the world around and discusses how students can actually shape the world around them. Further, it elaborates on the personal characteristics of student leaders. Finally, this paper discusses the role of the university in fostering development of leadership competences and importance of having a platform where students' voice can be heard.

Student Leadership and participation in the University Governance: Student View

This paper is intended to introduce student perspective on the topic of student leadership and the role of students in the university governance. This paper defines student leadership as an ability to shape the world around and discusses how students can actually shape the world around them. Further, it elaborates on the personal characteristics of student leaders, such as being enthusiastic and having strong values. Finally, this paper discusses the role of the university in fostering development of leadership competences and highlights the importance of having a platform where students' voice can be heard.

Competition among educational institutions is no longer something new. Universities are concerned with enrollments rates and attracting best students. Prospective students' choice of the university tends to be influenced by their parents and relatives (Johnston, 2010). Parents are usually concerned about future employment opportunities and university prestige, because these factors potentially affect wages and consequently the future well-being of their children. The prestige of the university is highly tied with its alumni. Therefore, prospective students may consider alumni of the university and their accomplishments to assess the quality of an educational institution. In order to sustain an influential alumni network, it is necessary to have ambitious current students. Students with leadership skills tend to be successful in their future careers and endeavors. Therefore, for every university it is important to ensure that it provides its students with the opportunities to develop their leadership potential.

What is student leadership?

The definition of the word "leader" is very broad. The most common one is the person who holds a superior position within the group, organisation, etc. However, nowadays in order to be a leader, it is not enough to just lead something. According to Michael Fullan (2001), the source of leadership lies within five core competences, such as having broader moral purpose, understanding change process, building relationships, sharing knowledge and creating coherence in organizations. As practice shows people, who hold superior positions do not always meet those requirements. From my perspective, authentic leadership complies with Fullan's competences and requires having courage and passion to shape the world around you. The concept of shaping the world may sound too ambitious or maybe too ambiguous. It is important to understand that shaping the world around you does not necessarily mean to introduce drastic changes

straight away, it is about bringing out the best in other people, nurturing leadership in other people and identifying problems and areas that need improvement in the daily life and deal with them. With regard to student leadership, it can take the form of helping classmates with academic challenges or any other problems, increasing their self-confidence and empowering others, negotiating living conditions and rules of the dormitory, introducing new traditions or even promoting some policies at the university level. Klemencic (2012) states that not only students' participation in the university governance, but also taking part in the activities that contribute to the "overal student experience" can foster academic democracy. There are people among my fellow students, who are not holding leadership positions, but actively take part in positively shaping university environment through extra-curricular activities. Working on projects to improve university experience and student life, which are consistent with student's life principles and values can be considered student leadership

Characteristics of student leader

A student leader is not necessarily a person who holds a superior position. Leaders emerge by being attentive to their surroundings, which allows them to see a clear picture with all problems and consequently find a solution. Being a leader implies being always enthusiastic, ready to innovate and introduce changes that make world around a better place. Fullan (2001) argues that there is interconnectedness between being "energetic-enthusiastic-hopeful leader" and matching above mentioned core leadership competences. An enthusiastic leader is likely to have those competences and further develop them, meanwhile having those competences makes leader even more energic, enthusiastic and hopeful (ibid). Since higher education institutions are usually complex and quite bureaucratic, practicing student leadership can be challenging. For instance, introducing changes at the university level requires approval of the different stakeholders, so that this process may take a very long time and will not necessarily be successful. In this case the person who is not enthusiastic may simply give up rather than achieve his or her goal. Enthusiasm helps not to lose hope and be future oriented, so that a student can continue to think what can be done in the future, rather than think about unsuccessful past experience.

Another point that distinguishes leaders is a set of strong values and principles that drive them. One of the Fullan's competences is to have a broader moral purpose. It implies being concerned with both end goals and means, such that while striving to make positive differences in the lives of others, a leader should be able to find proper means (Fullan,2001). With regard to student leadership, a broader moral purpose refers to enhancing lives of fellow students, while being respectful to other stakeholders. The set of values and principles does not have to be universal for student leaders, but it should contain commitment to the common greater good. This force does not allow them to stay aside and simply follow, it pushes them to make a contribution. And every time, the change they make will be more and more substantial.

University's role in developing student leadership

In 2010, Kazakhstan became a part of the Bologna Process. Bologna Process implies student centered learning, student mobility and student involvement in higher education governance. According to Klemencic (2012), student involvement can take the form of participating in the quality assurance processes, such as surveys on courses, programme quality and facilities, evaluation and representation on the different level committees. Participation in higher education governance helps to develop student leadership skills, because students gain real life experience in negotiation, expressing their views and are given opportunities to make changes.

While in Europe students' involvement in the university governance has relatively a longer history, in Kazakhstan it has started to evolve quite recently.

The university's role in fostering student leadership should not be underestimated. The most important thing the university can and should do is to show that every student can have an impact by making their own contribution. It is necessary to highlight the idea that students' voice in determining the future of the university will be heard, otherwise students can become reluctant to participate. For example, since course evaluations are usually conducted at the end of the course, for students it is hard to track changes in the previously evaluated courses. Consequently, students are not aware whether their feedback was heard, which creates reluctance to participate in the future course evaluations. Meanwhile sending students brief summary of their feedbacks and list of follow-up actions increases students' willingness to participate in quality assurance processes. People are much more likely to act and use their leadership potential when they feel that they are able to change something and that their future is in their hands. Otherwise, they just do not feel responsible for the things that happen around them and prefer to go with the flow. Therefore, university should maintain dialog with its students.

To encourage student participation in the university governance student representatives can be included as legitimate members of different committees within the university. For instance, UW-Madison has a practice of shared governance committees, which implies students being able to participate in important decision making in over 70 different committees along with faculty and staff. In the University of Cambridge, the Council, a policy-making body of the University, includes three student members. With regard to Kazakhstan, in Nazarbayev University students are represented in academic committees, including the Academic Council, while in KIMEP students are also involved in Tender and Budget Committees.

However, it is vital to ensure that presence of the students in the committees is meaningful, rather than just formal. Meaningful presence implies that students are heard and their comments are taken into consideration. Magolda (2005) argues that student leaders in high-performing institutions favor advisors who form with them "genuine" partnership, able to listen, share responsibility, give advice and "help get things done". Such practices show the students that they are treated as full and equal partners and their opinion matters in decision making. Moreover, students are exposed to the variety of personalities, meet different faculty and staff and consequently become more self-confident (ibid) That is what students really need to gain motivation for actions and to develop their authentic leadership skills.

Overcoming potential challenges for students' involvement in university governance

The widespread concern that may arise in Kazakhstan is that students are not experienced enough to be capable of being involved in such important processes and cannot express their views at the same level as university administration and faculty. These issues can be solved by providing training, informational sessions and workshops for student representatives. According to Bergan (2003), in addition to being present on Committee's meeting students should have an understanding of rights and responsibilities they have during the meetings. Therefore, informational sessions should contain material about general rules and procedures. It can be argued that this information can be accessed online, but for some students it might be helpful to be able to have a dialog rather than set of instructions. Training and workshops can be focused on negotiation, building argumentation, collecting feedback from students, increasing self-confidence or other topics student representatives may struggle with. These sessions can be conducted by faculty, staff or more-experienced student representatives. For example, in

Nazarbayev University Academic Quality Enhancement department conducted such sessions for newly-elected Student Council members. Such training helped students to understand the idea of being student representatives and become more self-confident.

Another part of overcoming this challenge is to ensure a supportive environment during the meetings. For instance, the Committee Chair can facilitate a discussion during the meeting and ask representative to express views of the student community. According to Lizzio and Wilson (2009), students are influenced by the perception and expectations of more experienced members. Therefore, the Chair can increase student self-confidence and make discussion more fruitful. In addition to this, other members of the committee will be more likely to take student's comments more seriously. Therefore, respectful attitude of the other more experienced members and their willingness to listen and hear students' perspectives play its role. Students who experienced supportive environment understand that the university cares about students' views, that there is a space for them to make some improvements, propose changes and be heard. Involvement in the university governance encourage students to take responsibility, because they are the ones who should care about their educational process. It can be argued that there is a mutual reinforcement between faculty's positive perception on students and students' professionalism. The more reinforcement in terms of appreciation and respect students get, the more confident they become. Consequently, students become able to express their views more effectively, such that faculty's perception of students further improves.

Role of students in university governance

Students' ability to see the whole educational process from different angles is vital for the healthy functioning of the university. According to Magolda (2005), students' involvement can help to create win-win scenario for all stakeholders. It allows to come up with solutions in faster and more efficient way, since several stakeholders work together on resolving the issue and consequently can share their expertise, perspective and vision of the better status-future. For instance, students' involvement in quality assurance processes helps faculty to enhance course content and quality. Another aspect is that an educational system becomes more transparent and academic democracy becomes stronger. Also, students start to think more critically, question established regulations and come up with new solutions for existing issues.

Impact of participation in university governance on students' future

Experience, that is gained in the committee meetings can become a valuable asset for involved students. It shows students how the university actually works and allow them to gain competences in negotiation, makes them more socially active and promotes active citizenship. According to previous studies, students' participation in university governance positively affect critical thinking, psychosocial development, cognitive development, ethical development, self-esteem, academic performance, and acquisition of social capital (Trowler and Trowler, 2010). These competences will be beneficial for students in their future career and personal endeavors. It can be noted that high academic performance no longer remains to be the only determinant on the employee selection. For instance, such companies as McKinsey and Co, BCG and Bain state on their online resources that prospective candidates should be able to make personal impact, have leadership competences and be result-oriented.

Conclusion

Student leadership means having courage and passion to shape the world around you that can take different forms: from introducing modest changes to proposing major policy reforms at

university level. Authentic leaders match Fullan's leadership competences and are enthusiastic and driven by strong values and principles (2001). Increasing students' competences in becoming effective representatives might be challenging, but training sessions and "partnership" relations with faculty can help to overcome this issue. Therefore, universities can and should play their role in developing leadership competences among students. It can be accomplished through providing students with a platform where their voice is respected and heard, so that students can have an impact – this could be done by ensuring meaningful student presence in decision-making committees.

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UNIVERSITY AUTONOMY IN KAZAKHSTAN: PERSPECTIVES FROM UNIVERSITY RECTORS AND BOARD MEMBERS

Aida Sagintayeva

I believe that this international event could not have happened at a more appropriate time as both the state and universities are revisiting their relationship and degree of their interdependence in Kazakhstan where the market has started to play a more significant role these days (Clark, 1986). Let me acknowledge that having both local and international speakers at this Forum gives us a unique opportunity to discuss the state of the art of higher education management, governance and leadership around the world. In fact, having a privilege of seeing things from my both local and international perspectives, I want to notice that the three key concepts in the title of this year's Forum – *management, governance and leadership* – are still evolving in the current higher education discourse. Nowadays, in the context of institutional self-governance and university autonomy, higher education institutions are likely to experience a strong need in 1) facilitative governance systems, 2) effective management mechanisms; 3) academic leadership and shared governance as well as 4) development of student voice on campus.

Recent trends of university autonomy bring about transformational changes on many campuses around the world. Managing changes is a complex process that requires different skills and qualities of effective leadership (Bryman, 2007). University leaders have to act as the interface between their local campus community and the social environment. Higher education leaders are nowadays expected to lead and be proactive not only inside the institution but also outside. The changing context of the state – university relationships has emphasised the issue of higher education leadership. In times of economic austerity measures, national and global competition, higher education leaders have been pressed *to realise full potential against high standards*.

In Kazakhstan's case, the State is working on enhancing the legislative framework for the higher education to function. Strategic policy documents – among which the Law "On Education" and the State Programme for the Development of Education and Science for 2016–2019 – envision the transition towards institutional autonomy. Also, the institutionalisation of boards of trustees and the introduction of mechanisms to select university rectors contribute to the effective higher education governance and decentralisation of higher education (Hartley et al. 2016).

With the movement to higher education decentralisation, there is good reason to ask if university leaders are ready to embrace principles of institutional self-governance. In order to see the current situation with the transition towards university autonomy, Nazarbayev University Graduate School of Education has conducted a survey of 45 university rectors of both public and private universities as well as 42 board members as part of the international project with the University of Pennsylvania Graduate School of Education in 2016. Just very briefly, let me highlight some key findings from the Project:

- Rectors of both public and private institutions have similar views on most challenging areas to make progress in institutional autonomy;
- It is interesting to note that for both respondent categories (rectors and board members) financial autonomy is the most challenging area of institutional self-governance to implement while academic autonomy comes second in terms of difficulty and staffing autonomy is defined as the easiest area to make progress on;

- Relevant to the point above, 84% rectors and 83% board members agree to the statement that the board of trustees as a new institutional constituency has facilitated the financial stability of their academic institutions;
- 82% rectors agree with the statement that their university governing boards are able to define and set priorities for the strategic institutional development;
- Three-quarters of rectors indicate that their boards continue to evolve as the university gains more autonomy. However, this means that for a quarter of rectors, their boards have advanced very little in the way governance operates on their university campuses;
- Effectiveness and efficiency of both university rectors and governing boards is an important issue to consider in the context of higher education management. According to 54% of all the surveyed rectors and 43% of all the surveyed board members admit that the meetings of the university leadership and the board of trustees is based on the rector's reporting to the board rather than a lively discussion of the points placed on the agenda;
- According to the surveyed rectors, the main agenda items of the board meetings comprise of the following themes (the order of the themes is given from highest frequency to lowest): 1) realization of the strategic goals of the university; 2) attracting external funds; 3) effective management of a university; 4) developing the university image and competitiveness; 5) developing university facilities; 6) external relations and communications.
- More than half of private university leaders report that their universities do not provide orientation to board members. Meanwhile almost 80% of public institutions board members benefit from an orientation;
- The areas of greatest frustration by the rectors include 1) lack of sufficient funds; 2) difficulty in developing leadership pipelines at their university settings; 3) lack of time to engage with their academic and research pursuits; and 4) lack of time to stop and think and lack of a more general (helicopter) view on the university management.

The ways forward for most universities identified by many rectors and board members is through improved governance, including a better understanding among board members about their individual roles and about how effective boards should function overall (Michael et al. 2000). To address these issues, boards and rectors may benefit from professional development and training as well as resources and materials related to effective governing boards.

To conclude, with the brief presentation of the findings, I wanted to signal that there are many concerns on the part of both university leaders and governing boards when it comes to the process of transitioning towards institutional autonomy in Kazakhstan.

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DEVELOPING STUDENT LEADERSHIP IN KAZAKHSTAN: VOICES OF UNIVERSITY STUDENTS AND HIGHER EDUCATION LEADERS

Peter Shon

Abstract

Participants for the third panel session of the Eurasian Higher Education Leaders' Forum 2017 (henceforth, Forum) were engaged with the topic of student leadership in its relations to the governance, management and leadership of higher education institutions (HEI) in Kazakhstan. The importance of student leadership was emphasised by various speakers of the opening plenary session. As the role of the student government in the classroom and in the academic arena continues to expand, HEIs are assessing their current institutional culture and organisational structure to see if they foster and develop student leadership. As HEIs are adapting to the changing education landscape by reforming their governance and management systems, involvement of students in the governance process as co-producers and partners are becoming essential in steering the university for the future. HEIs worldwide are also facing the challenge to create a culture of openness to include more students as stakeholders in the decision-making process of university governance. The following summary will reflect on multifaceted and complex roles of universities in the era of globalisation, the purpose of its governance, and the function of student leadership within the university governance by weaving the conversations from the Forum with current literature as a route to answer the inquiry.

Participants for the third panel session of the Eurasian Higher Education Leaders' Forum 2017 were engaged with the topic of student leadership in its relations to the governance and management of higher education institutions (HEI) in Kazakhstan. As the role of the student government in the classroom and in the academic arena continues to expand, HEIs in Kazakhstan are assessing their current institutional culture and organisational structure to see if they foster and develop student leadership.

Importance of Student Leadership

The importance of student leadership was emphasised by various speakers of the opening plenary session at the Forum: President Shigeo Katsu of Nazarbayev University (NU) stressed the "need for the students to be in the center of the discussion in governance, management, and leadership". Dean of NU Graduate School of Education, Aida Sagintayeva, mentioned the need to "develop the voices of students". Provost of NU, Ilesanmi Adesida, also noted that "core mission of the university is to take the young minds and to turn them into fine young minds, independent and participating in the discourse to help the society at large". While there are HEIs in Kazakhstan such as Nazarbayev University, KIMEP University, KAZGUU University and Eurasian National University that are embracing a culture to support the voices of the students, this may or may not be the norm for other universities. There were many probing questions about student leadership in relations to the development of the country of Kazakhstan:

- What can universities do to allow greater student leadership?
- What is a feasible model of student leadership involvement?
- How do students overcome the perception that students are not experienced enough or capable of being involved in the university governance process?

- Will the students be able to express their views at the same level as university administration and faculty?

The following summary will reflect on multifaceted and complex roles of universities in the era of globalisation, the purpose of its governance, and the function of student leadership within the university governance by weaving the conversations from the Forum with current literature as a route to answer the inquiry.

Universities in the Era of Globalisation

Universities are influenced by the contexts of traditions (Austin & Jones, 2016) and governance and management of HEI occur within a specific cultural, historical, and contextual environment (Mortimer & Sathre, 2006). In the global era, HEIs are driven by "demands of the new knowledge economy which focuses on the advanced training for human capital development" (Austin & Jones, 2016, p. 8). Suffice to say, HEIs have become the major driver of economic competitiveness worldwide. Because of new challenges introduced by the forces of globalisation (Mortimer & Sathre, 2006) HEIs are in the constant state of flux. There has been a shift of the public perception of higher education from being a "public good" to a "private good" (Hayward & Ncayiyana, 2011) and by the same token, due to the growing demands of the global market and various stakeholders, internal affairs of the HEIs are moving toward autonomy for efficiency due to competitive pressure (Schneider & Sadowski, 2015). Starting in the 1980's, countries worldwide allowed reforms to take place in the governance of higher education systems to adapt to these global forces by taking the measures to "increase higher education systems' productivity and efficiency, align them to national priorities, increase access, bring in private sources of funding, associate science more closely with technology needs of the business sector, and reinforce accountability" (Rojas & Bernasconi, 2011, p. 34). HEIs around the world are evolving with the changing education landscape by reforming their governance and management systems.

Higher Education Governance

What is higher education governance? According to Shattock (2006), university governance is defined as the "constitutional forms and processes through which universities govern their affairs" (p. 1). Although HEIs have a history of shared governance, the range of stakeholders involved in shared governance has been limited (Kezar & Lester, 2009) and there is no consensus about what the term shared governance means among actors in universities (Mortimer & Sathre, 2006). Regardless of its limitations and ambiguity, the ultimate objective of governance structure of the HEI is to accomplish its mission while being accountable to its mission as a reference point (Austin & Jones, 2016). These debates about shared governance layout the set of values which give legitimacy to the HEI, and in turn, define the identity of the HEI. By distributing authority and power "in ways that ensure that those who have the relevant expertise and competence are in decisive roles" (Mortimer & Sathre, 2006, p. 79), exemplary collaborative universities have allowed input from all affected stakeholders by creating a culture that is highly inclusive (Hendrikson et al., 2013). Governing board of HEI integrate various stakeholders into the function of management and governance via "practices such as cross-functional teams, student and academic affairs collaboration, distributed leadership, shared governance, and joint planning and budgeting" (Kezar & Lester, 2009, p. 54). In other words, topic of HEI governance must consider institutional culture and tradition, function and mission of the governance, and identify stakeholders who are involved with making informed decisions (McCaffery, 2004).

Stakeholders of the University

Who are the stakeholders of the university? According to Austin & Jones (2016), stakeholder theory assumes that an organisation has "multiple stakeholders in its...environment to whom it has to respond and to whom it is responsible" (p. 136). Key stakeholders of the university consist of board members, faculty members, administration, alumni, and students (Hendrikson & Lane, 2013) in which internal stakeholders are defined as faculty and staff while the external stakeholders are defined as the government, non-governmental organisations, students, and private citizens (Austin & Jones, 2016). Buller (2015) views faculty, administration, and governing board as the "key players with genuine decision-making authority in the shared governance" (p.23) while Rojas & Bernasconi (2011) categorises students as "transient members of the organization" (p. 42). On the other hand, Hayward & Ncayiyana (2011) argue that "students are an important constituency of the university community and must be represented on all committees and working groups" (p. 17). Austin & Jones (2016) agree that there is considerable consensus about the importance of student involvement in the governance and functioning of universities, especially when the students are viewed as "co-producers [in which] governance is more cooperative and egalitarian and invokes notions of students as stakeholders with a strong sense of institutional ownership" (p. 142). In many universities, alumni not only provide financial support, but they get directly involved in the HEI governance for the long-haul by serving on committees or boards (Kezar & Lester, 2009). The effective involvement of students in the governance process is determined by the mission of the university and its long-term objectives (Austin & Jones, 2016). It may be in the best interest of the HEIs to view student leadership as co-producers and partners in steering the university for the future.

History of Student Leadership and University Governance

When viewed historically, students were always involved in the governance of HEI in the West. According to Austin & Jones (2016), medieval universities first established in the 12th century in Paris and Bologna were "guild-like organisations of professors (guild masters) and students (scholars)" (p. 8) in which the governance of the University of Bologna remained in the hands of the guild of students. The Oxbridge model derived from this medieval concept of a guild of masters (McCaffery, 2004) to hold "primacy of the academic self-governance" (Shattock, 2006, p. 5). The Scottish ancient universities' model involved students directly in university governance by "its appointment of the rector, a position elected by the student body" (p. 79) with "clear separation of power between the courts and senates with provision for a rector elected by students" (McCaffery, 2004, p. 38). The American model of university governance was influenced by both the Swiss Calvinists and Scottish universities in which the authority was "vested in trustees, partners, or undertakers...who constituted a board which chose a president" (Austin & Jones, 2016, p. 11). While the Soviet education system excelled at identifying talented individuals and concentrating their resources on priority projects (Balzer, 1988), HEIs stifled compared to the West due to its excessively structured nature and leaving students little freedom of choice (Kresin, 1988). Because Kazakhstan became a part of the Bologna Process in 2010, HEIs can anticipate student centered learning, student mobility, and student involvement as part of the university governance. Furthermore, HEIs in Kazakhstan are reminded "not [to] be constrained by academic tradition or prior institutional norms" (Kezar & Lester, 2009. p. 56). HEIs worldwide are facing the challenge to create a culture of openness to include more students as stakeholders in the decision-making process of university governance.

Comments from the Panel Session

Going back to the panel session discussion, the four panelists who spoke on student leadership represented pertinent diversity: three different higher education institutions (NU, ENU, and KIMEP); four different majors (engineering, economics, law, and international relations); three different stages in life; and first female student government president of NU giving the keynote address. Ms. Kamilla Mamatova gave the keynote address on defining student leadership. She spoke on the importance of the systematic support from the university which provides platform for the voices of the students. She also shared her personal experience of how being a student representative on Academic Quality Committee (AQC) contributed to her evolvement as a leader. Mr. Daniel Dushmanov described leadership as raising the levels of student behavior, encompassing creativity and independence, and taking the initiative to implement the vision to align with the development of the country. Mr. Nurseit Kurmantayev mentioned that when student leaders discover their competences with the freedom of ideas, they can do anything that they put their minds to. Mr. Magzhan Otantayev spoke about leadership as it relates to democratic fairness which allows talent and confidence to flourish. With the innovation drive, new generation of student leaders could be cultivated for the future of the country of Kazakhstan.

Role of Student Leadership

What is the role of student leadership and how are they developed? Gmelch and Buller (2015) state that "leadership is often about helping individual find his or her place within a larger group of people" (p. 37). The goals of HEI is to bring about individual change and growth (Hendrikson et al, 2013) and to produce leaders who excel both academically and socially. Pascarella & Terenzini (2005) place college years as being crucial in developing leadership skills since "university and campus environment and experiences are powerful determinant of and have direct correlation to student leadership development" (p. 237). Ms. Kamilla Mamatova reminded us about the important role of the university in fostering student leadership. In fact, she stated that the most important thing a university can do is to empower its students to take positive actions and to allow them to make contributions to the school community. HEIs not only shape student values directly during the college years, but beyond by "giving them access to influential social networks and associational memberships by means of the social capital that education confers" (Pascarella & Terenzini, 2005, p. 587). HEI governing board should not forget the transformational power and value of leadership opportunities.

Conclusion

In conclusion, this summary examined the roles of universities in the era of globalisation, the purpose of its governance, and the function of student leadership within the university governance. Student government organisations in Kazakhstan were recommended to network with one another with the objective of creating constructive dialogue, allowing over one hundred student leadership voices to be heard possibly in a future symposium. What if we multiplied the words of Ms. Kamilla Mamatova who stated, "I was no longer willing to stand aside. I was inspired to make my own impact on the student community"? Dr. Judith MacCormick, the speaker of the plenary session, mentioned the necessity of taking risks and leaving enough room for failure. What better way than to start with the student leaders who are already willing to take the initiatives to make positive contributions for their country and for their home institutions.

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NAZARBAYEV
UNIVERSITY

Nazarbayev University (NU) is a brand-new academic institution located in Astana, the capital of Kazakhstan. The University was founded in 2009 with the personal initiative of President Nursultan Nazarbayev to prepare the next generation of leading researchers and professionals.

To achieve quality education and research, the University is collaborating with the leading universities and institutions in developing its schools and centers among which are University of Cambridge, University of Pennsylvania, University College London, Duke University, University of Wisconsin-Madison, National University of Singapore and University of Pittsburgh.

Currently, there are eight schools at Nazarbayev University:

Graduate School of Business	gsb.nu.edu.kz
Graduate School of Education	gse.nu.edu.kz
Graduate School of Public Policy	gspp.nu.edu.kz
School of Engineering	seng.nu.edu.kz
School of Medicine	nusom.edu.kz
School of Humanities and Social Sciences	shss.nu.edu.kz
School of Science and Technology	sst.nu.edu.kz
School of Mining and Geosciences	smg.nu.edu.kz