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Supplementary Report to the HEFCE Higher Education Workforce Framework

based on the international

Changing Academic Profession (CAP) Study

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Executive Summary

1. This report provides analyses of the survey results from the international study of the Changing Academic Profession (CAP) to supplement the HEFCE Higher Education (HE) Workforce Framework. The core of the CAP study is a survey of academics in over 20 countries worldwide on aspects of change in the profession, including teaching and research activities, internationalisation, the management of higher education institutions and the attractiveness of an academic career. The UK part of the CAP study has been undertaken by the Centre for Higher Education Research and Information (CHERI), part of the Open University. The CAP survey results are also compared with a similar survey of academics in 1992.
2. Three themes that are most relevant to the HE Workforce Framework are addressed in the report: the internationalisation of the profession and academic work; international comparisons between UK respondents and academics from other countries participating in the study on aspects of academic work; and career trajectories. Findings from the survey are presented together with interpretations of the results, comparisons with other sources of evidence and discussion of their relevance to the HEFCE HE Workforce Framework.

Internationalisation of the profession and academic work

3. Non-British respondents, and particularly those with non-UK doctorates, are more likely to emphasise the international orientation of their teaching and research. Relatively few British academics study or work abroad and, when they do, this tends to be in English-speaking countries, mainly the US and some Commonwealth nations. Those remaining may rely in part on the internationalisation of the UK profession for their international and, especially, non-English speaking links. However, overall, these international links are heavily biased towards English-speaking countries.

International comparisons

4. Between 1992 and 2007, the median number of hours academics spent teaching and on administrative work decreased. Time spent on research, however, increased during that time, which reflects the growing influence of the periodic UK Research Assessment Exercise. However, UK academics are less likely to characterise their research as applied or practically-/socially-/commercially-orientated than most of their colleagues abroad. The time that UK respondents spend on administration is highest among the countries included here, but the total hours devoted to all activities other than teaching and research is similar to other countries because UK respondents appear to spend less time on service activities, including those external to their institutions, with the exception of peer review.
5. Together with Australia and Hong Kong, UK respondents believe they have less influence in shaping key academic policies in their institutions than respondents in the other countries included in this report. They are the least satisfied with their current job and are among the most dissatisfied. They are also less likely to rate highly the support infrastructure in their institution. However, within the profession there seems to be

considerable variation between different groups of academic staff, for example between established professors who have been in the profession for most of their careers, young and relatively recent entrants and mature academics who have moved into higher education from other professional occupations in the middle of their careers.

Career trajectories

6. Looking in more depth at career trajectories, it seems that older respondents (over 40 years) who have not become professors are the least satisfied and most dissatisfied with their current job, more likely to be critical of the management of their institution and least likely to feel they have personal influence in helping to shape key academic policies. They spend more time on teaching (especially at undergraduate level) and less time on research than their colleagues. This group of academics appears to be most at risk of being or becoming disaffected or even disengaged from their institutions.

Conclusion

7. Studies of academics and academic work in the UK can benefit hugely from comparison with developments in other higher education systems over time, especially as many of these systems are being influenced by global drivers and becoming ever more interconnected through the mobility of students, staff, funding and the provision of higher education itself.
8. The CAP study raises the key issue of how much we know about the existing academic workforce and, therefore, how it is changing and what it is changing to. National data collection on HE staff has developed relatively recently and is continually improving and deepening. But the very diverse nature of higher education, even within a single nation, makes this a problematic task. We need to be sure we are comparing like with like. Unless we know more about the existing characteristics of higher education and the people who work in it, it will be difficult to develop frameworks and plan strategically to bring about change.

Introduction

1. This supplementary report provides analyses of the survey results from the international study of the Changing Academic Profession (CAP) to support the HEFCE Higher Education (HE) Workforce Framework. The report addresses aspects of three themes, in particular the internationalisation of the profession and academic work; international comparisons between UK respondents and academics from other countries participating in the study on aspects of academic work; and career trajectories. Findings from the survey are presented, together with interpretations of the results, comparisons with other sources of evidence and discussion of their relevance to the HEFCE HE Workforce Framework. A more detailed report of the UK findings from the CAP study is published by Universities UK (UUK, 2010) and further information about the study, including details of other publications, can be found on the CHERI website (<http://www.open.ac.uk/cheri/pages/CHERI-Projects-CAP.shtml>).

The CAP study

2. The core of the international study is a survey of academics in over 20 countries worldwide. So far, 18 national research teams have supplied data:

Argentina	Australia	Brazil
Canada	China	Finland
Germany	Hong Kong	Italy
Japan	Malaysia	Mexico
Norway	Portugal	South Africa
South Korea	UK	USA
3. A follow-up European study will add partial data (about 80% of the original questionnaire) from a further five countries: Austria, Croatia, Ireland, Romania and Switzerland. Other countries (e.g. the Netherlands and New Zealand) may also join the study.
4. The international study is attempting to address six research questions:
 - (i) To what extent is the nature of academic work changing?
 - (ii) What are the external and internal drivers of these changes?
 - (iii) To what extent do changes differ between countries and types of higher education institution?
 - (iv) How do the academic professions respond to changes in their external and internal environment?
 - (v) What are the consequences for the attractiveness of an academic career?
 - (vi) What are the consequences for the capacity of academics to contribute to the further development of knowledge societies and the attainment of national goals?
5. It is focusing on four themes:

- **Relevance** refers to the growing requirements to justify and account for the ‘outputs’ as well as the processes of academic work, such as the employability of graduates, the usefulness of research and the accessibility of higher education to disadvantaged students and communities.
- It is also clear that higher education is becoming increasingly subject to **internationalisation**, with greater mobility of students and staff, its growth as a trans-national business and increasing international collaboration in research and teaching.
- Both the demands for relevance and growing internationalism have contributed to new forms of **management** in higher education institutions, which have helped to shape academic work and provide some academics with opportunities to progress their careers in new ways.
- Finally, as the nature of academic work changes, the **routes into – and preparation for – the profession** are also being transformed, with alternatives to the traditional ‘PhD – postdoctoral – first academic post’ path becoming more prevalent.

Methodology

6. The Centre for Higher Education Research and Information (CHERI), at the Open University, is undertaking the UK part of the CAP study. The target population was all academic professionals as defined by, and reported to, HESA, i.e. including full- and part-time academic professionals who undertake teaching and/or research. It included senior academic managers (up to, and including, vice-chancellor/principal level) and medical practitioners, dentists, veterinarians and other health care professionals who undertake lecturing or research activities, if appropriate to the institution. It did not include staff without a contract of employment (i.e. working on a consultancy or fees basis) or non-academic staff who do not have any kind of academic role (i.e. non-academic managers and other professionals, student welfare staff etc.)
7. In 2006/07, the year of the survey (spring 2007), the total number of academics included in this target population in the UK was 169,995 according to HESA. The number of responses to the UK CAP survey received was 1,667. The national datasets have been weighted according to four criteria: grade, subject, gender and institution type. The international dataset is planned to be made publicly available in 2011.

The 1992 Carnegie Study

8. The CAP study also aims to follow up the First International Survey of the Academic Profession in 1992, sponsored by the Carnegie Foundation and including 14 countries. The CAP questionnaire repeats 13 items from the earlier survey and allows us to compare responses to these questions from the two surveys. Unfortunately, the 1992 survey was limited to England only (Fulton, 1996) and so, for the sake of direct comparability, we have had to make comparisons with those respondents to the 2007 survey in higher education institutions (HEIs) in England only (1,003 respondents).

Section One: Internationalisation of the profession and academic work

9. In 2007/08, 38,240 academic staff were non-UK nationals, representing 22% of the total UK academic population (HESA, 2009) and this proportion has increased substantially in recent years (HEFCE, 2008). In 2007/08, 27% of full-time academic staff appointed came from outside the UK (HESA, 2009). A recent survey of HEIs found that the most common region for the recruitment of all levels of academic staff was the European Union (EU). For professors and lecturers, the next most common region was North America and for researchers it was East Asia (UCEA, 2008). The main countries of origin of foreign academics working in the UK are Germany, the Republic of Ireland, the United States, China, Italy, France and Greece. However, among professors, the largest non-UK national groups are from the United States, the Republic of Ireland, Germany and Australia. China provides the largest single group of non-UK nationals among researchers and this group constitutes approximately two-thirds of all Chinese staff in UK higher education institutions.

10. Overall, there are more academics coming into the UK than going out. This is particularly the case at the more junior grades, although there is some outflow at the more senior levels, including professors. Junior researchers account for about two thirds of migration in both directions and around half of these are non-UK nationals, including post-doctoral researchers who may spend fairly short periods in the UK. The CAP survey of UK academics found that a higher proportion of senior academics than junior academics had obtained their doctorate in the UK, a pattern that was not repeated in most of the other national surveys in the study (Bennion and Locke, 2010 forthcoming). In fact, in the UK there is a higher turnover of non-UK academics than UK nationals. In 2002/03, 48% of academic emigrants were non-UK nationals, compared with 53% of immigrants (data from Sastry, 2005). In particular, non-UK European researchers now appear to be viewing the UK as the place to establish their academic reputations and then return to their own countries (or move on elsewhere) – much as UK academics have viewed the US.

11. For the purposes of the analyses of the CAP survey results presented in this section, the respondents have been categorised in the following subsets:
 - All respondents
 - British respondents who studied for their doctorate at a UK HEI
 - British respondents who studied for their doctorate abroad
 - Non-British respondents who studied for their doctorate at a UK HEI
 - Non-British respondents who studied for their doctorate abroad

Internationalisation of teaching

12. As illustrated in Figure 1 below, non-British respondents and all those (including British academics) who have studied for their doctorate abroad tend to assert a more international focus in their courses (77%-80%), when compared with their British colleagues with UK doctorates (62%). However, a smaller proportion of non-British respondents believe that the number of international students has increased since they started teaching. This may be a reflection of the shorter time this group has spent teaching in the UK.

Figure 1: Views regarding teaching (% strongly agreeing/agreeing)¹

	All	British/ UK Doctorate	British/ Doctorate abroad	Non-British/ UK Doctorate	Non-British/ Doctorate abroad
In your courses you emphasis international perspectives or content	66	62	78	77	80
Since you started teaching, the number of international students has increased	61	64	67	58	58
Currently, most of your graduate students are international	31	31	44	38	45

The **highest** proportion in each row has been highlighted

13. Of those respondents who gained their doctorate abroad, 85% of the British and 47% of the non-British academics studied in English-speaking countries.

Internationalisation of research

14. A higher percentage of non-British academics who have studied for their doctorate abroad state that they research collaboratively with international colleagues (78%) (Figure 2). An even higher percentage of this group maintain that their primary research has an international scope or orientation (90%), especially compared with British academics – even those who have studied for their doctorates abroad (67%).

Figure 2: Research characteristics (%)

	All	British/UK Doctorate	British/ Doctorate abroad	Non-British/ UK Doctorate	Non-British/ Doctorate abroad
Collaborate with international colleagues	61	65	70	71	78
Primary research has an international scope or orientation	65	66	67	82	90

The **highest** proportion in each row has been highlighted

¹ The number of respondents in each subset are as follows: All: 1667; British/UK doctorate: 602; British/doctorate abroad: 14; Non-British/UK doctorate: 124; Non-British/doctorate abroad: 100. The number of British respondents with doctorates from abroad in the UK CAP sample is therefore small, but these data are not collected nationally, so it is not possible to assess how representative this is of the total population.

15. British respondents with doctorates from abroad appear more likely than their colleagues to co-author publications with colleagues outside the UK (Figure 3). The UK has one of the highest proportions (61%) of respondents from the 17 CAP countries currently included in the study reporting that they collaborated with international colleagues on research projects.
16. Non-British respondents with doctorates from abroad are slightly more likely to have published outside the UK.

Figure 3: Publication characteristics (%)

	All	British/ UK Doctorate	British/ Doctorate abroad	Non-British/ UK Doctorate	Non-British/ Doctorate abroad
Over 25% of publications co-authored with colleagues located outside the UK	42	44	50	36	39
Over 25% of publications published outside the UK	55	57	50	42	62

The **highest** proportion in each row has been highlighted

International strategy

17. Fewer British academics (18%) who have studied for their doctorates in the UK state that over a quarter of the external funding for their research came from international organisations, compared with 27% of non-British academics who studied for their doctorates abroad.

Discussion of findings on internationalisation

18. Whilst it might be expected that non-British respondents, particularly those with non-UK doctorates, are more likely to emphasise the international orientation of their teaching and research, perhaps the degree of difference with their British counterparts is a little surprising, given the long-term growth in international student recruitment to the UK and the importance given by the Research Assessment Exercise to research that is internationally recognised. As shown by the numbers responding to the UK CAP survey, relatively few British academics study or work abroad and, when they do, this tends to be in English-speaking countries, mainly the US and some Commonwealth nations. Those remaining may rely in part on the internationalisation of the UK profession for their international and, especially, non-English speaking links. However, overall, these international links are heavily biased towards English-speaking countries. This phenomenon might be termed ‘armchair internationalism’ as distinct from genuine internationalisation.

Section Two: International comparisons

19. The major advantage of the CAP study is that the same survey instrument has been used in a large number of countries from most regions of the world at approximately the same time and under broadly similar conditions. This enables us to make some general comparisons between academic professions in different countries and types of higher education system. However, this is not straightforward and great care needs to be taken in making generalisations about groups of countries and, especially, all countries participating in the CAP study. There still needs to be careful interpretation of local conditions. Countries vary widely in their structure, provision and support of higher education and this is reflected in the career paths of academics, their circumstances and their views on academic work, the institutions they work in and the profession in general.
20. The career paths and employment conditions of academics are primarily influenced by the history, resourcing and governance of individual national higher education systems. The different systems determine the modes of preparation and training for the academic professions, recruitment practices, employment legislation, labour relations, forms and patterns of remuneration and the status and security of different segments of the profession. However, as common forces begin to transform these systems – expansion, massification, internationalisation, globalisation, and marketisation – we can begin to assess the balance of national particularities and global trends, of similarities and differences as experienced by academics in these systems and, in some cases, when moving between them. The CAP study provides insights into these similarities and differences, but the data need to be interpreted carefully in each national context as well as in their entirety before coming to firm comparative conclusions.
21. This section makes tentative comparisons between the UK and the seven CAP countries included in the ten that are covered by the report to HEFCE (that also accompanies the HE Workforce Framework) on *International Experiences of Human Resource Management in Higher Education*²:

Australia, Canada, Germany, Hong Kong, Malaysia, South Africa and the United States

This section includes responses from the CAP survey on workloads, academic activities, institutional management and job satisfaction.

² Nicola Dowds, 'International experiences of human resource management in higher education' (February 2010), available at www.hefce.ac.uk under Research & evaluation.

Workloads

22. Canadian academics appear to have the heaviest workload, averaging 50.7 hours per week (Figure 4). After Germany and Malaysia, UK academics report spending the least number of hours per week on all academic activities (43.7).
23. UK academics report spending the least amount of time on service activities (1.4 hours) and, after Germany, the fewest hours on teaching activities (16.1). However, UK academics report spending the most amount of time on administration (9.5 hours).

Figure 4: Time budget when classes are in session (arithmetic mean of hours per week)

	UK ³	AU	CA	DE	HK	MY	US	ZA
Teaching	16.1	17.5	19.6	11.4	20.2	17.7	20.9	20.7
Research	13.4	13.9	16	16.8	14.3	7.5	11.9	11.9
Service	1.4	2.9	4.3	5.4	3.6	2.8	4.5	4.5
Administration	9.5	8.8	7.9	3.5	7.2	6.7	7.5	7.5
Other academic activities	3.2	2.9	2.8	2.6	3.2	2.5	2.8	2.8
Total hours per week	43.7	46.1	50.7	39.6	48.5	37	47.7	47.7

The **highest** and *lowest* figures in each row have been highlighted

Definitions used in the questionnaire:

Teaching (including preparation, advising students, assessing student work, curriculum development)

Research

Service (including services to clients and/or patients, unpaid consulting, public or voluntary work)

Administration (including committees, departmental meetings, paperwork)

Other academic activities (including professional activities not clearly attributable to any of the categories above)

Academic activities

24. After Germany and Australia, a higher percentage of academics working in the UK report a primary interest in research (27%) (Figure 5).
25. More than half the Canadian respondents stated a primary interest in both, but leaning towards research.

³ UK = United Kingdom, CA = Canada, HK = Hong Kong, US = United States, AU = Australia, ZA = South Africa, DE = Germany, MY = Malaysia.

Figure 5: Primary interest in teaching and research (%)

	UK	AU	CA	DE	HK	MY	US	ZA
Teaching	10	7	6	10	11	8	27	18
Both, but leaning towards teaching	23	23	26	20	28	45	31	35
Both, but leaning towards research	40	40	54	38	49	43	33	37
Research	27	29	15	31	12	4	10	9

The **highest** and *lowest* figures in each row have been highlighted

26. Given the small amount of time that German academics report spending on teaching, it is not surprising that so few state an involvement in the specific teaching activities listed in Figure 6. More academics in the UK (82%) state being involved in individualised instruction compared with the other seven countries reported on here, although this is not that much higher than Australia, the US, Canada and Hong Kong.

Figure 6: Involvement in teaching activities (%)

	UK	AU	CA	DE	HK	MY	ZA	US
Classroom instruction	95	93	98	91	97	99	92	99
Individualised instruction	82	81	78	37	78	72	75	79
Learning in projects	57	51	45	37	59	78	41	54
Practice instruction/ laboratory work	44	41	39	46	38	66	34	40
ICT-based learning	42	42	24	12	29	49	26	23
Distance learning	20	35	11	2	9	15	48	24
Development of course material	82	88	88	31	77	70	86	86
Curriculum/ programme development	69	75	62	27	62	68	70	73
Face-to-face interaction with students outside of class	83	85	94	42	88	86	83	92
Electronic communication (email) with students	93	92	96	43	89	78	77	92

The **highest** and *lowest* figures in each row have been highlighted

27. Of UK academics, 66% report conducting research that is applied or practically-orientated – the lowest of the eight countries reported on here, although still a majority (Figure 7). Fewer than half are undertaking research that is socially-orientated/intended for the betterment of society, and this lags behind all of the other countries except Germany. In common with most of the countries included here, less than one-fifth of UK academics are conducting commercially-orientated research or research that is intended for technology transfer.

Figure 7: Characteristics of research (%)

	UK	AU	CA	DE	HK	MY	US	ZA
Basic/ theoretical	55	51	58	57	59	66	52	50
Applied/practically-oriented	66	77	69	70	71	74	68	75
Commercially-oriented/intended for technology transfer	17	19	14	20	11	38	19	22
Socially-oriented/intended for the betterment of society	41	62	48	32	49	60	49	66
International in scope or orientation	62	68	57	54	63	51	39	51
Based in one discipline	39	19	36	35	35	42	34	38
Multi-/interdisciplinary	62	73	68	61	66	63	64	62

The **highest** and *lowest* figures in each row have been highlighted

28. These findings may be linked with the relatively low numbers of UK respondents who have worked with a local, national or international social agency, served as an elected officer or leader in professional/academic associations/organisations or served as a member of national/international scientific committees/boards/bodies.

Figure 8: Additional academic roles (%)

	UK	AU	CA	DE	HK	MY	ZA	US
Served as a member of national/international scientific committees/boards/bodies	30	33	49	29	55	43	34	32
Served as a peer reviewer	81	81	91	48	78	51	61	72
Served as an editor of journals/book series	23	23	25	33	30	30	17	22
Served as an elected officer or leader in professional/academic associations/organisations	16	31	33	37	30	39	26	31
Served as an elected officer or leader of a union	5	3	7	1	5	18	5	2
Been substantially involved in local, national or international politics	5	6	5	4	6	1	5	15
Been a member of a community organisation or participated in community-based projects	29	49	39	0	36	47	29	52
Worked with local, national or international social agencies	14	14	15	30	21	17	14	21

The **highest** and *lowest* figures in each row have been highlighted

Institutional management

29. After Canada, the UK has the highest average percentage of academics who regard faculty committees as having primary influence over the range of decisions included in this survey⁴ (Figure 9). Although still a minority, more respondents in the UK than from the other countries included here perceive individual academics to have primary influence on decision-making.

Figure 9: Primary influence on all decisions made (%)

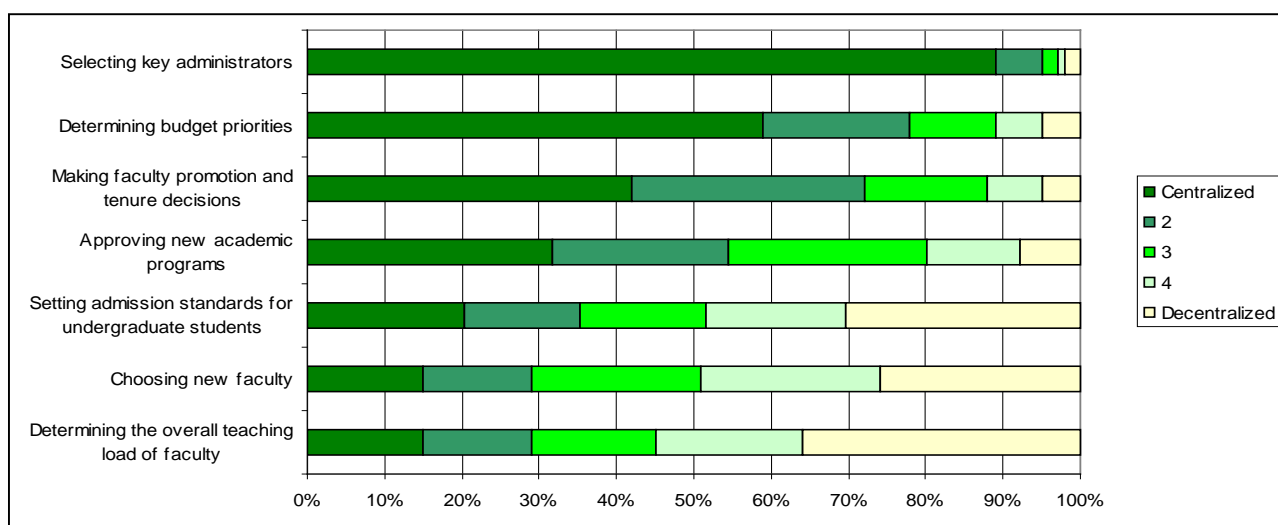
	UK	AU	CA	DE	MY	US	ZA
Government or external stakeholders	3.9	2.4	2.6	16.6	8.3	2.4	4.3
Institutional managers	28.5	37.9	26.8	31.1	33.4	31.9	36.2
Academic unit managers	19.8	20.9	23.9	20.3	40.1	32.2	24.7
Faculty committees	30.3	26.3	34.4	18.7	14.9	26.4	22.2
Individual faculty	15.8	10.6	7.8	11.3	3.2	5.2	11.6
Students	1.3	1.9	4.6	2.7	0.1	2.2	1.6

The **highest** and *lowest* figures in each row have been highlighted

30. This question did not entirely match the 1992 survey, which asked how centralised ('controlled by top administrators') or decentralised ('controlled by faculty') decision-making was, although the seven original examples of decisions were all included in the 2007 survey along with four new examples. In the 1992 survey, only one of the seven decisions had been described by respondents as decentralised - 'determining the overall teaching load of faculty' (Figure 10).

⁴ The range of decisions included in the survey were; selecting key administrators; recruiting new academic and research staff, making promotion decisions; determining budget priorities; determining the overall teaching load of faculty; setting admission standards for undergraduate students; approving new academic programmes; evaluating teaching; setting internal research priorities; evaluating research; establishing international linkages.

Figure 10: Perceptions of centralisation of governance, 1992 (%)



31. Apart from Hong Kong, a lower proportion of respondents in the UK report have a personal influence in helping to shape key academic policies at departmental level. Academics from the US appear to feel they have the most personal influence at departmental, faculty and institutional levels (Figure 11).

Figure 11: Personal influence in helping to shape key academic policies (% stating very influential/somewhat influential)

	UK	AU	CA	DE	HK	MY	US	ZA
At the level of the department or similar unit	37	42	60	57	36	48	65	56
At the level of the faculty, school or similar unit	19	17	27	21	16	31	42	34
At the institutional level	9	7	11	12	7	12	19	10

The **highest** and **lowest** figures in each row have been highlighted

32. In all eight countries included in this report, students are regarded by a substantial majority (86%) as one of the key evaluators of teaching. However, compared with the other seven countries, a higher percentage of UK academics regard peers in their department (64% in the UK compared with a 40% average across the eight countries) and external reviewers (32% in the UK compared with an average of 16% across the eight countries) as the main evaluators of teaching.

33. Similarly, with regard to research, a higher percentage of UK academics perceive peers in their department as evaluators (47% in the UK compared with an average across the eight countries of 39%).

34. German academics appear to feel less supported by institutional management, with only 27% of respondents reporting a supportive attitude of administrative staff towards teaching and research. Similarly, only 22% report professional development for administrative management. Apart from Australia (70% and 76%), more respondents in

the UK than in the other countries report a cumbersome administrative process in their institution (73%).

35. Compared with the other seven countries included in this analysis, fewer (25%) UK academics agree that top-level administrators are providing competent leadership (compared with a 36% average across the eight countries).
36. Similar to Germany (35%), Australia (28%) and South Africa (31%), only around a third (31%) of UK respondents report that their institutions emphasise the consideration of teaching quality when making personnel decisions (Figure 12).

Figure 12: Perceptions of teaching and research related institutional strategies (% agreeing or strongly agreeing)

	UK	AU	CA	DE	HK	MY	US	ZA
Performance based allocation of resources to academic units	47	49	34	52	57	35	38	33
Evaluation based allocation of resources to academic units	33	36	21	31	50	37	0	28
Funding of departments substantially based on numbers of students	70	70	70	42	67	41	49	49
Funding of departments substantially based on numbers of graduates	30	38	34	23	34	34	27	45
Considering the research quality when making personnel decisions	62	50	50	53	68	40	48	40
Considering the teaching quality when making personnel decisions	31	28	33	25	44	45	52	31
Considering the practical relevance/applicability of the work of colleagues when making personnel decisions	29	25	19	24	27	38	31	25
Recruiting faculty who have work experience outside academia	23	27	15	34	22	38	30	25
Encouraging academics to adopt service activities/entrepreneurial outside the institution	30	36	17	55	23	35	38	25
Encouraging individuals, businesses, foundations etc. to contribute more to higher education	36	51	42	47	46	41	65	37

The **highest** and **lowest** figures in each row have been highlighted

37. Of UK, Australian and Canadian academics, 70% agree or strongly agree that the funding of departments is substantially based on numbers of students.

Job satisfaction

38. Malaysia aside, a lower percentage of UK academics rate facilities, resources and personnel as excellent or good particularly with regard to classrooms, computer facilities, their office space, telecommunications and research funding (Figure 13).
39. However, apart from computer facilities, a higher percentage of academics in 2007 rated facilities, resources and personnel as excellent or good compared with 1992.

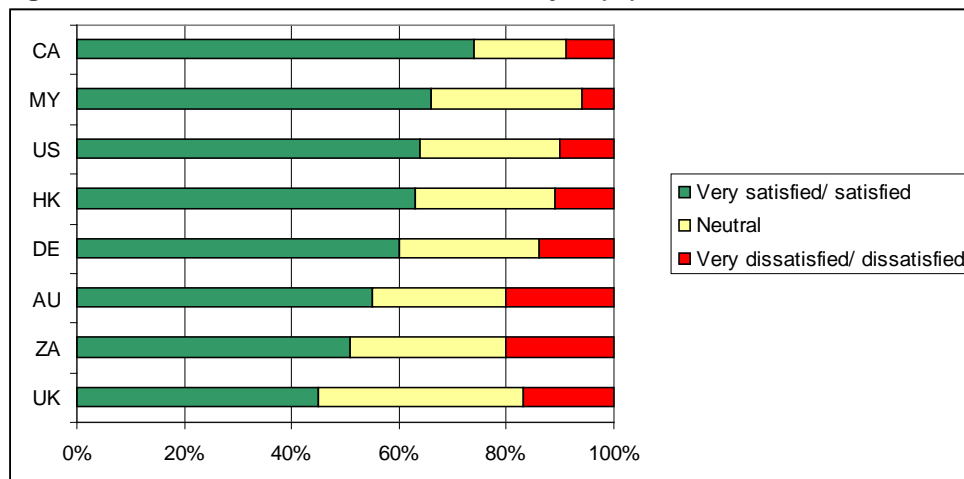
Figure 13: Evaluation of facilities, resources and personnel in support of individual work, 2007 (% rating excellent/good)

	UK	AU	CA	DE	HK	MY	US	ZA
Classrooms	37	47	50	51	68	43	54	40
Technology for teaching	42	51	60	55	71	45	65	39
Laboratories	43	41	32	60	49	38	44	36
Research equipment and instruments	39	42	36	59	51	27	40	37
Computer facilities	45	62	55	68	74	54	63	60
Library facilities and services	52	75	66	54	81	51	60	69
Your office space	42	62	63	64	57	48	57	57
Secretarial support	34	27	43	49	47	24	45	36
Telecommunications	52	67	71	82	78	55	73	70
Teaching support staff	35	28	32	26	36	29	34	29
Research support staff	32	25	30	32	30	22	25	26
Research funding	17	23	23	31	29	26	19	30
MEAN SCORE	39.2	45.8	46.8	52.6	55.2	38.5	48.3	44.1

The **highest** and *lowest* figures in each row have been highlighted

40. The proportion of UK academics claiming that they are very satisfied or satisfied with their job is much lower than in the other seven countries represented here, although the proportion of UK respondents who are dissatisfied or very dissatisfied is lower than those in Australia and South Africa.

Figure 14: Overall satisfaction with current job (%)



Discussion of findings on international comparisons

41. Perceptions about long working hours among UK academics are not borne out by the UK CAP survey, especially when compared with the other countries included in the international study. Indeed, between 1992 and 2007, responses to the two surveys suggested that the median number of hours academics spend teaching and on administrative work has decreased. Time spent on research, however, has increased since 1992, which reflects the growing pressure on academics to produce high quality

research outputs suitable for submission to the periodic UK Research Assessment Exercise. It also follows an increase in the number of research-only staff employed since 1992 and a growing emphasis on research for career progression in, and between, institutions. Although the time that UK respondents spend on administration is highest among the countries included here, the total hours devoted to all activities other than teaching and research is similar to other countries because UK respondents appear to spend less time on service activities. This is confirmed by their generally lower involvement in academic activities external to their institutions, with the exception of peer review.

42. UK respondents' primary interest in research seems to be shared by academics in other mature higher education systems, except for the US (where research universities only made up about a third of the national sample). But they are less likely to characterise their research as applied or practically-/socially-/commercially-orientated or undertake service with external bodies, associations and agencies than most of their colleagues abroad. Also, apart from their Australian and Hong Kong colleagues, UK respondents are more likely to describe their research as being international in scope or orientation. The influence of the Research Assessment Exercise and the Research Councils' historical funding priorities may be seen in these responses, and it is interesting to speculate on the likely effect of the Research Excellence Framework and the greater priority to be given to the societal and economic impact of research.
43. In terms of influence, along with Australia and Hong Kong, UK respondents believe they have less influence in shaping key academic policies than respondents in the other countries included in this report. They are also more likely to believe that faculty committees and institutional managers (rather than individual academics – even at the level of the department or similar unit) have primary influence on a range of management decisions. The shifts in the balance of governance in UK universities have been well documented by Middlehurst (2004), Shattock (2001, 2002, 2006) and others. Increasingly business-like management styles have tended to go hand-in-hand with more corporate-style governance arrangements in HEIs, with a reduction in the size of governing bodies, which now feature a majority of external members drawn largely from business sectors. In parallel, academic self-governance has been weakened, the influence of academic senates has declined and part of the academic community feels marginalised. Whether this has brought about a crisis in the governance and management of HEIs in which the collegial tradition of dualistic or shared decision-making between academics and other stakeholders has largely been replaced by managerialist corporatism, is open to debate (Locke and Bennion, 2010 forthcoming). What is increasingly difficult to deny, however, is that some academics feel disengaged from the governance and management of their institutions and alienated from their leadership (Macfarlane, 2005, 2006; McNay 2008).
44. Of the countries included here, the academics surveyed from the UK are the least satisfied with their current job and are among the most dissatisfied. They are also less likely to rate highly the support infrastructure in their institution. Responses to statements about the academic career support these findings, with respondents from the UK more likely than those from other countries to agree with assertions that: 'This is a poor time for

any young person to begin an academic career in my field', 'If I had to do it over again, I would not become an academic' and 'My job is a source of considerable personal strain'. However, within the profession there seems to be considerable variation. Commentators in the UK contend that there are variations between different groups of academic staff: research-only and teaching staff (Bryson, 2004); pre-1992 and post-1992 university staff (Casey, 1997) and junior and senior staff (Martin, 1999).

45. The data from the CAP survey presented in the next section help to refine our understanding further, illustrating a complex and diverse picture of satisfaction among academics. In particular, the dimensions of age, time in the profession and grade appear to be key factors in explaining differences in views on a range of aspects of academic work.

Section Three: Career trajectories

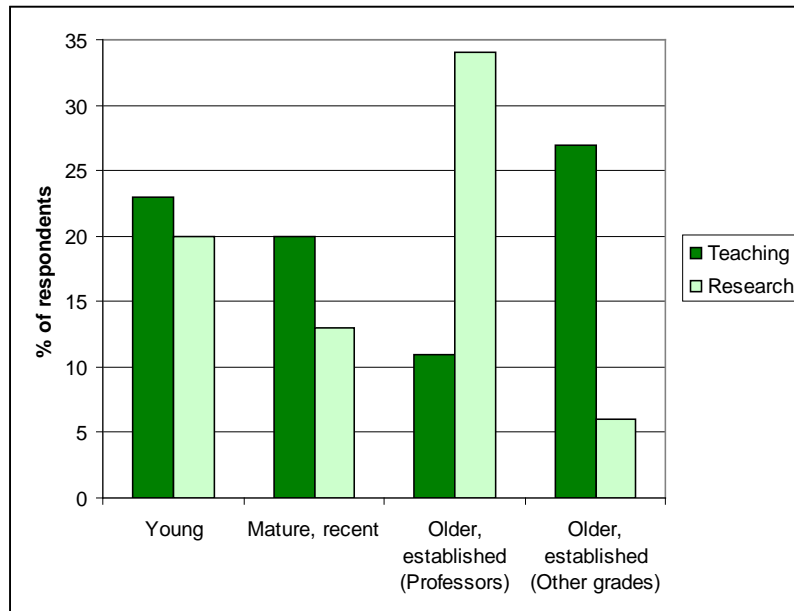
46. HEFCE's HE Workforce Framework (HEFCE, 2010) outlines the age and grade profile of academics in England. The report indicates the potential impact of a gradually ageing profession, together with the likely raising or abolition of the retirement age, on the opportunities for career progression for those currently in their early careers. It also notes the three main routes into the profession: newly qualified PhD students, those who have moved from other public and private sectors and international recruits. We analysed the responses of academics from outside the UK in Section One of this supplementary report. Here we use the dimensions of age, time in the profession and grade to tease out the different views and circumstances of respondents to the CAP survey by career trajectory.
47. For the purposes of the analyses reported in this section, academic respondents have been categorised as: young; mature, recent; or older, established, with the last of these further differentiated by grade/rank. The first group (young) represents respondents under the age of 40, the majority of whom have entered the profession via the traditional route direct from formal education, including a PhD and perhaps postdoctoral study. The second group (mature, recent) encompasses academics who are over the age of 40 and have entered the profession within the past 10 years. Many of these academics have had a previous career in another profession, including 29% who have worked in other government or public sector institutions and 26% who have been employed in industry or other private sector institutions. The third group (older, established) represents academics over the age of 40 who have been in the academic profession for more than 10 years. This group is further divided between professors and those on other grades/academic ranks.
48. We use these categories of respondents to analyse differences in their workloads, balance of interests, views on the management and administration of their institutions and satisfaction with their job.

Workloads

49. The key findings are:
- Older, established professors report working the most hours, at an average of 49 hours per week during term time.
 - Older, established professors report spending more time than any other group on service, administration and other activities.
 - However, these types of activity still only take up a small amount of respondents' time, ranging from four to five hours per week in term time.
 - As would be expected, the majority of academics' time is dedicated to teaching and research activities. Yet there are variations among the different groups highlighted in Figure 15.

- Over 25% of older, established academics on non-professorial grades are spending more than 25 hours per week, in term time, on teaching and almost 35% of professors are spending more than 25 hours a week on research related activities (Figure 15).

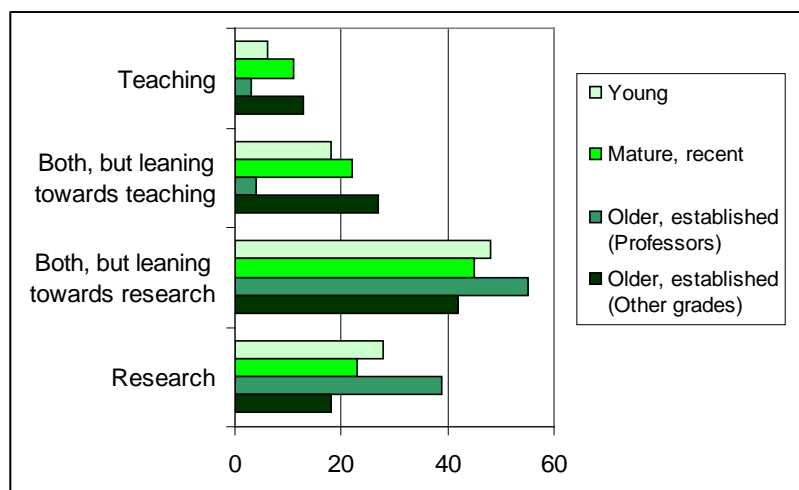
Figure 15: UK academics spending more than 25 hours a week on teaching or research (%)



Balance of interests

50. More older, established non-professors state a primary interest in teaching or teaching and research, but leaning more towards teaching, than any other group, although this is still a minority (Figure 16).
51. The highest percentage of academics stating a primary interest in research or both, but leaning towards research, is found among older, established professors.
52. Fewer older, established academics on grades other than professor have a primary interest in research than those in the other groups, although this is still a majority.

Figure 16: Primary interests in teaching and research (%)



53. Given that a higher proportion of older, established academics on grades other than professor state a primary interest in teaching (Figure 16), it is hardly surprising that a higher percentage of this group report involvement in various teaching activities, ranging from curriculum development (84%) to face-to-face interaction with students outside class (94%).

54. Older, established academics on grades other than professor spend the highest percentage of their teaching time on undergraduate teaching (66%). Conversely, professors spend the least time (52%).

55. The different groups of academics reported on here appear to be involved in different types of research (Figure 17). A higher percentage of older, established professors are conducting basic/theoretical research (65%), which is multi/interdisciplinary (68%) and international in scope or orientation (81%). A higher percentage of mature, recent academics than other respondents report an emphasis on socially-oriented research or research intended for the betterment of society (50%).

Figure 17: Research emphasis (%)

	All (1,667)	Young (227)	Mature, recent (289)	Older, established (Professors) (193)	Older, established (Other grades) (489)
Basic/ theoretical	55	61	57	65	48
Applied/practically-oriented	66	62	66	66	70
Commercially-oriented/ intended for technology transfer	17	15	16	11	18
Socially-oriented/intended for the betterment of society	41	46	50	41	42
International in scope or orientation	62	67	65	81	58
Based in one discipline	39	36	42	36	46
Multi-/interdisciplinary	62	67	65	68	54

The **highest** and *lowest* figures in each row have been highlighted

56. Given that older, established professors report spending more time on research, it is not surprising that a higher percentage report involvement in research related activities such as supervising a research team (69%, compared with 25% for all respondents) and writing academic papers (96%, compared with 49% for all respondents).

Institutional management and administration

57. At all levels – department, faculty/school and institution – more older, established professors believe they have a personal influence in helping to shape key academic policies (Figure 18). Much fewer mature, recent and older, established non-professors feel this way. Not surprisingly, young academics appear to perceive themselves as having the least personal influence at all three levels of department, faculty and institution.

Figure 18: Personal influence in helping to shape key academic policies (% stating very influential/somewhat influential)

	All ⁵	Young	Mature, recent	Older, established (Professors)	Older, established (Other grades)
At the level of the department or similar unit	37	34	48	77	50
At the level of the faculty, school or similar unit	19	22	23	45	20
At the institutional level	9	3	7	18	9

The **highest** and *lowest* figures in each row have been highlighted

58. Given that a higher proportion of older, established professors state a primary interest in research (Figure 16) and spend more time on research (Figure 15), it is not surprising to see a higher percentage claiming that members of other departments, senior administrative staff and external reviewers evaluate their research (Figure 19).

59. The higher proportion of younger academics claiming that peers in their own department evaluate their research clearly reflects the fact that they are in the early stages of their research careers.

⁵ The number of respondents included in 'All' is greater than the total for the four categories used in this section because not all respondents completing this question provided sufficient information about their age, length of time in the profession or grade in order for them to be included in the disaggregated figures for each category of respondent. The percentages for 'All' responses are so different from the average of the percentages for each category in this question in particular because of the diversity of views between the various categories of respondent.

Figure 19: Evaluators of academics' research (%)

	All	Young	Mature, recent	Older, established (Professors)	Older, established (Other grades)
Your peers in your department	45	60	45	32	40
The heads of your department	64	65	55	64	66
Members of other departments	21	22	19	23	21
Senior administrative staff at your institution	23	22	21	33	20
Your students	3	4	3	2	3
External reviewers	62	65	63	69	60
Yourself	51	55	60	41	49
No one	6	5	4	5	6

The **highest** and *lowest* figures in each row have been highlighted

60. Respondents were asked whether they agree with a number of statements about the management of their institution. In the following table, the first two statements are negative, the following two indeterminate and the remaining five are positive. Apart from the first two – negative – statements in Figure 20, a higher percentage of older, established professors than other respondents agree with these statements. Compared with other countries in the CAP study, a higher percentage of academics in the UK – and particularly the older, established group of non-professors – agree with the two negative statements.

61. In general, a minority of all respondents agree or strongly agree with the positive statements, with the lowest proportions agreeing there is good communication between management and academics and collegiality in decision-making processes. On these positive statements there is a clear divergence of views between the two categories of older, established respondents – professors and others – with the greatest difference on the matter of whether administrative staff have a supportive attitude towards research activities.

Figure 20: Views on the management of own institution (% agreeing or strongly agreeing)

	All	Young	Mature, recent	Older, established (Professors)	Older, established (Other grades)
A cumbersome administrative process	77	73	79	73	81
A top-down management style	72	63	74	72	77
A strong performance orientation	68	66	63	72	69
A strong emphasis on the institution's mission	62	54	61	66	65
A supportive attitude of administrative staff towards teaching activities	44	44	42	47	42
Professional development for administrative/management duties for individual faculty	42	35	37	52	43
A supportive attitude of administrative staff towards research activities	34	31	30	47	30
Good communication between management and academics	23	23	22	30	19
Collegiality in decision-making processes	21	23	14	27	18

The **highest** and **lowest** figures in each row have been highlighted

62. Additional divergences are also apparent in responses to further statements about the administration, and faculty involvement in respondents' institutions (Figure 21). Interestingly, a higher proportion of older, established professors agree that the 'administration supports academic freedom'. Mature, recent respondents are most likely (40%) to agree that students should have a stronger voice in determining policy that affects them. Established professors are much less likely (18%) to agree with this.
63. Only 34% of older, established academics on non-professorial contracts agree that they are kept well informed about what is going on at their institution and only 24% feel that top-level administrators are providing competent leadership. Mature, recent respondents are much more positive about these statements, with a majority agreeing or strongly agreeing in both cases. Older, established non-professors are most likely to agree that the lack of faculty involvement is a real problem. These answers may be related to respondents' overall levels of satisfaction with their current jobs (see Figure 24 below).

Figure 21: Views on administration and faculty involvement (% agreeing or strongly agreeing)

	All	Young	Mature, recent	Older, established (Professors)	Older, established (Other grades)
Lack of faculty involvement is a real problem	42	40	37	41	47
I am kept informed about what is going on at this institution	41	44	62	51	34
The administration supports academic freedom	40	40	33	49	39
Students should have a stronger voice in determining policy that affects them	31	30	40	18	33
Top-level administrators are providing competent leadership	26	28	52	35	24

The **highest** and *lowest* figures in each row have been highlighted

64. A majority of all respondents report that their institutions emphasise the ‘funding of departments substantially based on numbers of students’ and the ‘performance-based allocation of resources to academic units’ (Figure 22).
65. A majority in all categories of respondent report that their institution emphasises ‘considering the research quality when making personnel decisions’, compared with a minority who report their institution ‘considering the teaching quality when making personnel decisions’. The practical relevance and applicability of work when making personnel decisions is emphasised by an even smaller minority of respondents. Only 22% of respondents believe their institution emphasises ‘recruiting faculty who have work experience outside academia’, although this percentage increases to 35% for the group of mature, recent academics.
66. Mature, recent respondents are more likely than other groups to report their institution’s emphasis on ‘encouraging academics to adopt service or entrepreneurial activities outside the institution’ and ‘encouraging individuals, businesses, foundations etc to contribute more to higher education’, although they are still in the minority.

Figure 22: Emphasis of practices by institutions (%)

	All	Young	Mature, recent	Older, established (Professors)	Older, established (Other grades)
Funding of departments substantially based on numbers of students	72	66	71	73	73
Considering the research quality when making personnel decisions	66	63	57	78	68
Performance-based allocation of resources to academic units	51	42	45	59	55
Encouraging individuals, businesses, foundations etc to contribute more to higher education	38	34	44	43	38
Evaluation-based allocation of resources to academic units	35	33	28	47	33
Considering the teaching quality when making personnel decisions	34	31	33	44	30
Funding of departments substantially based on numbers of graduating students	32	28	32	33	31
Encouraging academics to adopt service activities/entrepreneurial activities outside the institution	30	27	37	30	27
Considering the practical relevance/applicability of the work of colleagues when making personnel decisions	26	30	27	24	24
Recruiting academic staff who have work experience outside academia	22	20	34	13	21

The **highest** and *lowest* figures in each row have been highlighted

Job satisfaction

67. Older, established professors view their working conditions most positively in the UK, with the exception of 'secretarial support', 'teaching support staff' and 'research support staff' (Figure 23). Young respondents are most likely to rate these support staff as excellent or good.
68. Older, established respondents who are not professors are the most critical of the facilities, resources and personnel in support of individual work, especially support and funding for research.

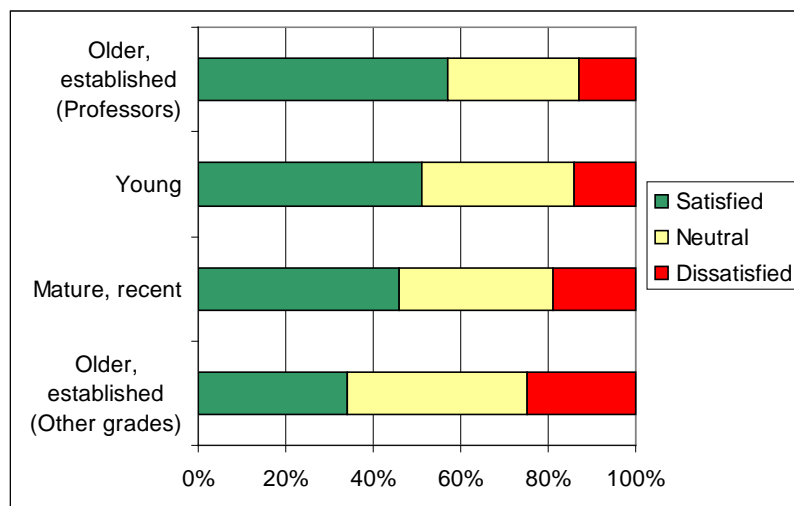
Figure 23: Evaluation of facilities, resources and personnel in support of individual work (% rated excellent/good)

	All	Young	Mature, recent	Older, established (Professors)	Older, established (Other grades)
Classrooms	37	37	32	38	30
Technology for teaching	42	44	44	44	37
Laboratories	43	41	36	47	32
Research equipment and instruments	39	32	29	46	28
Computer facilities	45	47	40	51	40
Library facilities and services	52	48	46	49	51
Your office space	42	46	42	59	41
Secretarial support	34	40	30	32	29
Telecommunications	52	53	49	56	50
Teaching support staff	35	39	37	28	38
Research support staff	32	35	30	33	28
Research funding	17	17	14	20	11
MEAN SCORE	39.2	39.9	35.8	42	34.6

The **highest** and *lowest* figures in each row have been highlighted

69. Overall, older, established professors appear to be the most satisfied group (57%) of academics and older, established academics in other grades the least satisfied (34%) and the most dissatisfied (25%) of all four categories (Figure 24).

Figure 24: Overall satisfaction with the academic profession (%)



Discussion of findings on career trajectories

70. Mature, recent respondents do not appear to stand out from the other categories identified here, although the degree to which this is a homogenous group would warrant further investigation (for example, by gender, subject and institution). Nevertheless, from the UK CAP survey, it appears they are:

- more likely than the other categories of respondent identified here to emphasise socially-orientated research intended for the betterment of society;

- less likely to perceive collegiality in decision-making processes and more likely to agree that students should have a stronger voice in determining policy that affects them; and
- more positive about the administration of their institution and more likely to acknowledge their institution's efforts to engage with external – particularly business – expertise.

71. However, this analysis of career trajectories, whilst intended to highlight the characteristics and perceptions of mid-career entrants to the academic profession from other sectors has actually revealed more significant findings about academics aged over 40 years who have taken a more traditional career path, but not achieved the rank of professor. The HEFCE HE Workforce Framework highlights how the proportion of academics who are professors has grown in recent years, but this is still only just over 10% of the total UK academic population (including part-time) and only 12% of those over 55 years of age.

72. In summary, older, established respondents who are not professors are:

- Spending more time on teaching (especially at undergraduate level) and less time on research than the other categories identified here;
- More likely to state a primary interest in teaching or in both teaching and research, but leaning towards teaching than the other categories of respondent, although this is still the minority; and conversely
- Less likely to state a primary interest in research or in both, but leaning towards research, although this is still the majority;
- Less likely to feel they have personal influence in helping to shape key academic policies;
- More likely to be critical and less likely to be positive about the management and administration of their institution and less likely to be positive about the facilities, resources and personnel available to support individual work, especially support and funding for research;
- The least satisfied and most dissatisfied with their current job.

73. This group of academics appears to be most at risk of being or becoming disaffected or even disengaged from the institution especially if, as it seems, they are being channelled into teaching when they would rather undertake research or both do research and teach, with a leaning towards the former. Further, qualitative, research is required to investigate the experiences and motivations of this group of academics. But the evidence from the UK CAP survey suggests that efforts to enhance employee engagement and in reforming academic career progression should include a focus on this group in particular.

Concluding comments

74. The UK CAP study has generated considerable data on the circumstances, careers and perceptions of academics. This report has only included a small fraction of the findings from our analyses of these data so far. Further findings are presented and explored in the research report published by Universities UK (2010) and in a series of publications listed on the CHERI website. These include analyses by institutional type, discipline, age, gender, ethnicity, nationality, grade and mode and duration of employment. However, there are many more analyses, and more sophisticated investigations of the data that could be undertaken. Together with the international dataset of, potentially, 25 or more countries and the findings from the 1992 Carnegie survey of 14 nations, this represents a major resource for comparative and historical study. Studies of academics and academic work in the UK, let alone just England, can benefit hugely from comparison with developments in other higher education systems over time, especially as many of these systems are being influenced by global drivers and becoming more interconnected, through the mobility of students, staff, funding and the provision of higher education itself. The impact of regional developments, such as the creation of the European Higher Education Area, the European Research Area and increased research and development targets also needs to be assessed. The overall demand for, and mobility of, highly qualified expertise in all types of 'knowledge industries' may also impinge on higher education's capacity to attract – and retain – the 'brightest minds' (Bennion and Locke, forthcoming 2010).
75. This report has raised questions about the nature of internationalisation in UK higher education from the perspective of academics and their interests. It has compared some aspects of UK academics' conditions and views of their job, and the institution they work in, with respondents from selected countries participating in the CAP study. Further questions have been raised about the degree of focus on research in the UK and the way this activity is characterised by UK academics. Of greater concern, perhaps, are respondents' criticisms of the governance and management of their institutions and their feelings of relative powerlessness to influence decision-making, even at departmental level. Surveys of satisfaction may need careful interpretation (Watson, 2009), but the variations between different groups of staff, in particular, differences between generations and those with varying career trajectories, have revealed interesting distinctions and qualifications.
76. Yet, the quantitative data generated by the CAP study has limitations and, perhaps, begs more questions than it answers and raises more issues than it resolves. It will require qualitative follow-up investigation of the complexities of academics' personal histories, the subtleties of institutional settings and the nuances of individuals' perceptions in order to complete the picture – which, in any case, is a moving one. Nevertheless, the CAP study raises the key issue of how much we know about the existing academic workforce and, therefore, how it is changing and what it is changing to. National data collection on HE staff has developed relatively recently and is continually improving and deepening. But the very diverse nature of higher education, even within a single nation, makes this a problematic task. We need to be sure we are comparing like with like. The HEFCE HE

Workforce Framework and its associated research reports also raise the issue of the involvement of professional and support staff in academic work and the blurring boundaries between these categories and roles. Unless we know more about the existing characteristics of higher education and the people who work in it, it will be difficult to develop frameworks and plan strategically to bring about change.

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List of abbreviations

AU	Australia
CA	Canada
CAP	Changing Academic Profession (Study)
CHERI	Centre for Higher Education Research and Information
DE	Germany
EU	European Union
HE	Higher Education
HEFCE	Higher Education Funding Council England
HEI	Higher Education Institution
HESA	Higher Education Statistics Agency
HK	Hong Kong
MY	Malaysia
UCEA	University Continuing Education Association
UK	United Kingdom
US	United States
UUK	Universities UK
ZA	South Africa