2014-10-21

Report on the Survey of Governance and Adaptation to Innovative Modes of Higher Education Provision (GAIHE)

Andrew Gibson
Technological University Dublin, andrew.gibson@tudublin.ie

Ellen Hazelkorn
Technological University Dublin, ellen.hazelkorn@tudublin.ie

Barry Colfer
Technological University Dublin

Funder: European Commission

Report on the Survey of Governance and Adaptation to Innovative Modes of Higher Education Provision (GAIHE)

Andrew Gibson, Barry Colfer, Ellen Hazelkorn

Higher Education Policy Research Unit (HEPRU)

Dublin Institute of Technology

Ireland

Lifelong Learning Programme

Acknowledgements

This study is part of the project (Ref. No.: 539628-LLP-1-2013-1-NL-ERASMUS-EIGF) entitled: *Governance and Adaptation to Innovative Modes of Higher Education Provision* (GAIHE), funded by the Education, Audiovisual and Culture Executive Agency (EACEA) through the Lifelong Learning Programme.

This project has been funded with support from the European Commission. This publication reflects the views only of the authors, and the Commission cannot be held responsible for any use which may be made of the information contained herein.

The research consortium is made up of 11 partner Universities: Ecole Normale Supérieure de Lyon (France), University of Strasbourg (France), "Lucian Blaga" University of Sibiu (Romania), the Higher Education Policy Research Unit (HEPRU) of Dublin Institute of Technology (Ireland), Academic Unit of the University of Latvia, Comenius University and the University of Ss. Cyril and Methodius (Slovak Republic) the University of Maribor (Slovenia), the University of Salamanca and the University of Alicante (Spain) and RAND Europe (Cambridge). The consortium partners are coordinated by the School of Governance (SoG) of the University of Maastricht, Netherlands.

The authors of this report would like to thank all members of the GAIHE project consortium for their input and feedback, from the beginning of the survey design process to the final production of this report.

Table of Contents

List of Figures

List of Tables

1. PREFACE

Higher education around the world is undergoing significant change. Globalisation and competition from new modes of provision have sparked a strong debate about how to maintain the efficiency and effectiveness of higher education. These developments challenge the "traditional" model of university education and its future. How does the management of European universities adapt to these innovations? What are the new modes of education provision across Europe? What is the role of university governance and government policy in establishing and regulating innovative modes of education provision? What are the motivations, barriers and drivers for innovative education provision?

The definition of innovation used for this project is derived from the OECD's *Oslo Manual*[1], in which innovation is an implemented change with an increased added value. This concept comes from an understanding of innovation from economics that regards knowledge and technology as being responsible for growth, rather than a neoclassical view of growth flowing from capital and labour. In the context of this project, the place of innovation as an intersection between knowledge and technology is especially appropriate.

The Governance and Adaptation to Innovative Modes of Higher Education Provision (GAIHE) project is a consortium of higher education institutions (HEIs) from across Europe, and the study receives funding from the EU Lifelong Learning Programme. This project seeks to gather evidence about how European HEIs develop and strengthen their innovative capacity, and the associated governance and management challenges.

2. INTRODUCTION

This report provides initial findings and observations based on the 47 responses to the "Survey on the Governance and Adaptation to Innovative Modes of Higher Education Provision". In total, 31 respondents (66%) answered all of the 29 separate questions, and the remaining 16 respondents answered some of the questions. The survey was circulated on April 2014 to European higher education institutions (HEIs) based in 9 countries.

The Executive Summary provides an overview of the key findings and a conclusion. This is followed by details of the survey results: i) types of innovation in European HEIs, ii) drivers and barriers to innovation; iii) impact of innovation; iv) future changes. The methodology and the survey are included as appendices.

---

[1] http://www.oecd-ilibrary.org/docserver/download/9205111e.pdf?expires=1384342823&id=id&accname=ocid56013842&checksum=E1E7DA3E2312AB5F66F892C5734C9B0A

3. EXECUTIVE SUMMARY

This report attempts to answer a number of specific questions including:

1. How does the management of universities **adapt** to innovations?
2. What, if any, are the **new modes** of education provision?
3. What is the **role of university governance** in establishing and regulating innovative modes of education provision?
4. What are the **motivations, barriers and drivers** for innovative education provision?

Based on the responses a number of trends are clearly discernible.

3.1. Management of universities

It is generally accepted that significant innovation has taken place since 2008 throughout the HEIs surveyed as the universities indicated.

In terms of the "level" of innovation, there is evidence that "module" level innovations dominate over "programme" or "institution" levels.

3.2. New modes of education provision

The use of "new technologies" is seen as an emerging factor but their use has not always been seen to be successful.

Similarly there is evidence of varying degrees of participation and cooperation between institutions, with some institutions having merged, and many more (96% of respondents) describing the establishment of "partnership(s) with other institution(s)" since 2008. However the success or effectiveness of these moves is questioned by some participants.

Other measures such as a focusing on research-based study, work-placements, and real-life experiences have also been used as a way of innovating. Further measures including increases in "progressive internationalisation" and improvements related to "learning outcomes" and "graduation rates" are also mentioned.

3.3. Role of university governance in establishing and regulating innovative modes of education provision

As to the leadership of innovation, top management/rector-level and university teaching staff are regarded as significant for innovation/change leadership, while students, administrative staff, and library staff are regarded as relatively less significant, as are the media. The general public are also less significant, with least responsibility attributed to regional/local external administrative bodies.

The varying significance of government and local authorities in terms of institutional autonomy was observed, which may reflect different socio-political structures and traditions in different parts of Europe.

3.4. Motivations, barriers and drivers for innovative education provision

A range of other factors were posited by respondents in terms of innovations since 2008, including the need to respond to "societal/economic needs and regional accessibility", and the need for "efficiency and better use of resources".

A range of factors that are seen to inhibit innovation emerge from the survey, including insufficient financial resources, insufficient skilled personnel, absent/insufficient control mechanisms, lack of leadership to support/understand change, and related to this, insufficient vision for innovativeness.

Measures that emerge in this context include the decentralisation/transfer of greater responsibility for decisions and budgets to faculty or school level, and changes to HEI mission statements. This may indicate an institutional commitment to innovation, without necessarily recording any significant change.

The survey recorded an increase in the demands made on academic staff as well as (a relatively smaller) increase in demands of flexibility from administrative staff. Related to this, there is greater emphasis on information sharing and cooperation within institutions.

A trend that is apparent from throughout the survey shows that while students and indeed the wider public are not regarded as central to innovation, members of university staff are considered key to the process.

Challenges pertaining to HEI autonomy and academic freedom are mentioned in some specific cases.

In terms of future challenges, it is clear that respondents see the next years and decades as bringing significant challenges to HEIs. Improvements in technology, increased use of blended learning, improved teaching methods, internationalisation and search for funding and resources will be central to successful change. Academic staff are seen by the respondents as central to this change, and appropriate support for them will be essential.

3.5. Discussion

The survey raises a number of interesting issues as well as providing a snapshot of change in higher education across Europe. It is intended to provide a baseline study for the accompanying case studies. There are some discernible trends but given the small sample size the results are not necessarily generalizable across European higher education, either at a European or national level.

Since 2008, the survey highlights the fact that change has been a constant feature of European higher education and of these HEIs in particular. The rector and senior leadership level are considered the most significant group for leading innovation, followed by the university governance body. Academic teaching and administrative staff are considered only somewhat important.

Efficiency and better use of resources are considered equally important external factors responsible for driving innovation, along with need for improving learning outcomes. While resource constraints are an issue across the sector, the survey suggests that further significant change is required in order for individual HEIs to be competitive. A 2013 survey for *The Chronicle for Higher Education* undertaken by Pearson, *Attitudes on Innovation: How College Leaders and Faculty See the Key Issues Facing Higher Education*[2] paints a somewhat different picture. That survey found that in the U.S., 4-year, not for-profit HEIs put more emphasis on cutting costs and technology as 'innovative practices', rather than making changes to teaching and learning.

On the question of MOOCs, comparison with the Pearson report is again instructive. In response to the question as to whether MOOCs were positive or negative, both faculty and presidents responded that they believed MOOCs would have negative effects on American HE in the future (65 percent and 59 percent respectively). Those who believed MOOCs would be beneficial were in the minority (8 percent of faculty and 5 percent of presidents).[3] The contrast with this survey's respondents is telling, as European respondents were more equivocal, with a split between those who believed that MOOCs make HE better and those who disagreed (44 and 56 percent respectively).

When asked about internal factors facilitating innovation, new technology is an obvious driver. That said, ultimately it is managerial support, followed by academic staff support, and institutional financial support, that are considered the most important factors for facilitating and supporting innovation. Issues relating to university governance (such as changes to staffing, or offices dedicated to strategic management, as well as government financial support) were not found to be significant factors facilitating innovation.

In discussing desired changes in terms of governance and organizational structures, respondents from different countries pleaded an inability to introduce such changes due to the government's role in defining what can or cannot be done in HEIs. It may very well be that there are real barriers to innovation existing at the governmental level; however, it may also be the

---

[2] Pearson (2013) *Attitudes on Innovation: How College Leaders and Faculty See the Key Issues Facing Higher Education* (Washington, D.C.: The Chronicle of Higher Education).

[3] Ibid., p. 13.

perception by HEIs of such barriers which have become inhibitors of innovation. One way of clarifying this is via the idea of governance, risk management, and compliance (GRC). In the governance of higher education, especially public higher education, there may be more of an orientation towards compliance, "acting in accordance with established laws, regulations, protocols, standards, and specifications."[4] Risk here is understood in the broader sense of being outside of these set norms, and as such includes opportunities as innovation affords. Implementing innovation *by definition* requires an attitude aligned more with a risk mind-set, rather than one that focuses on compliance and following a set path. This is as true in higher education governance as it is in corporate and private-sector governance.

It could be argued, based on the findings, that HEIs made easy cosmetic changes, e.g. redrafting mission statements, greater emphasis on quality assurance, and redefinition of the role of different staff members. There seems to be relatively little evidence of structural change becoming manifest. Further evidence for this is found in the fact that many of the changes were made at the module level, rather than at the programmatic or institutional level. As such, changes could be described as "low-hanging fruit", and that further "real" innovations beyond this level would require significantly greater level of leadership, coordination and implementation.

Noticeably, more than one in four HEIs surveyed provided evidence about restructuring involving mergers. Relatedly, more than 90% of HEIs identified forming "partnerships" as an important form of innovation. The background and context for these changes is not evident from this survey, but given the size of the sample, the rate of change is nonetheless remarkable.

Ultimately, the survey throws up some confusion and uncertainty around the words "innovation" and "change"; they are often used interchangeably, and this is itself instructive. This survey attempted to capture (via the use and definition of the word "innovation" aforementioned) a focused understanding of changes to modes of provision and university governance. This definition stressed that an innovation is an *implemented* change with an *increased added value*. This increase in added value implies some sort of return that is greater than the costs incurred in implementing such a change. The question that arises from this survey is whether such a definition of innovation as value-adding is in fact widely understood or accepted. Is the value being added to learning? Or is it economic added value? In the economic sense of adding value, for instance, *all*

---

[4] A. Tarantino (2008) *Governance, Risk, and Compliance Handbook: Technology, Finance, Environmental, and International Guidance and Best Practices*, (London: John Wiley & Sons, 2008) p. 22.

respondents said that an "emphasis on efficiency and better use of resources" was a driving force for innovation, to a greater or lesser extent. At the same time, all respondents said that improvement of learning outcomes was a driving force.

What remains to be investigated, then, is whether respondents in fact described "changes" rather than "innovations". There are a number of ways of looking at this, and to tease out what kind and level of changes are being discussed:

- Were the changes simply *part of the normal ebb and flow* of development and evolution within an institution or across a system?
- Were they *intended* changes with a view to adding value, as the survey hoped to capture?
- Were they somewhere between these two extremes, the "low-hanging fruit" of easily implemented changes that could be the first steps in a more thorough-going process of value-adding innovation in education provision?

Understanding the degree of change or innovation, as above, is likely to be dependent upon different institutional, political, social, and historical contexts, the stage of development of the higher education system, and indeed of the institution itself. The transition from the low-hanging fruit of cosmetic changes to the realm of *real* and *deep* innovation may not be a simple, linear process. The sample size did not provide sufficient basis on which to make a more considered assessment, and future research would be helpful.

4. SURVEY RESPONDENT OVERVIEW

4.1. Country[5]

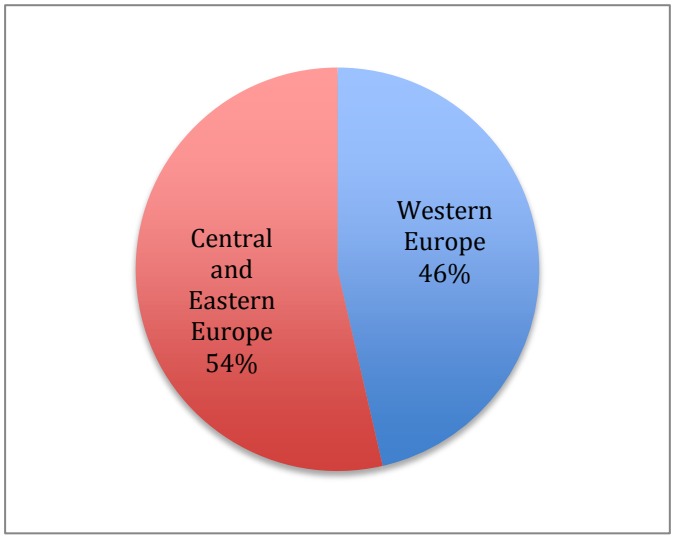
Table 1 Surveyed Countries, all questions

Answer Options	Region	Response (Percent)	Response (Count)
Austria	Western Europe	3.6%	1
France	Western Europe	7.1%	2
Ireland	Western Europe	7.1%	2
Latvia	Central and Eastern Europe	25.0%	7
Netherlands	Western Europe	7.1%	2
Romania	Central and Eastern Europe	10.7%	3
Slovakia	Central and Eastern Europe	14.3%	4
Slovenia	Central and Eastern Europe	3.6%	1
Spain	Western Europe	21.4%	6
Non-respondents			*19*
Total			47

28 respondents answered the question regarding their country, 19 skipped. At least one response comes from each of the "partner" countries. Dividing these into Western Europe and Central and Eastern Europe, the breakdown is that 54% of respondents are from Central and Eastern Europe, and 46% from Western Europe.

[5] Note that the numbering for this and all subsequent sections *does not* reflect the numbering found in the Survey Text of Appendix 2.

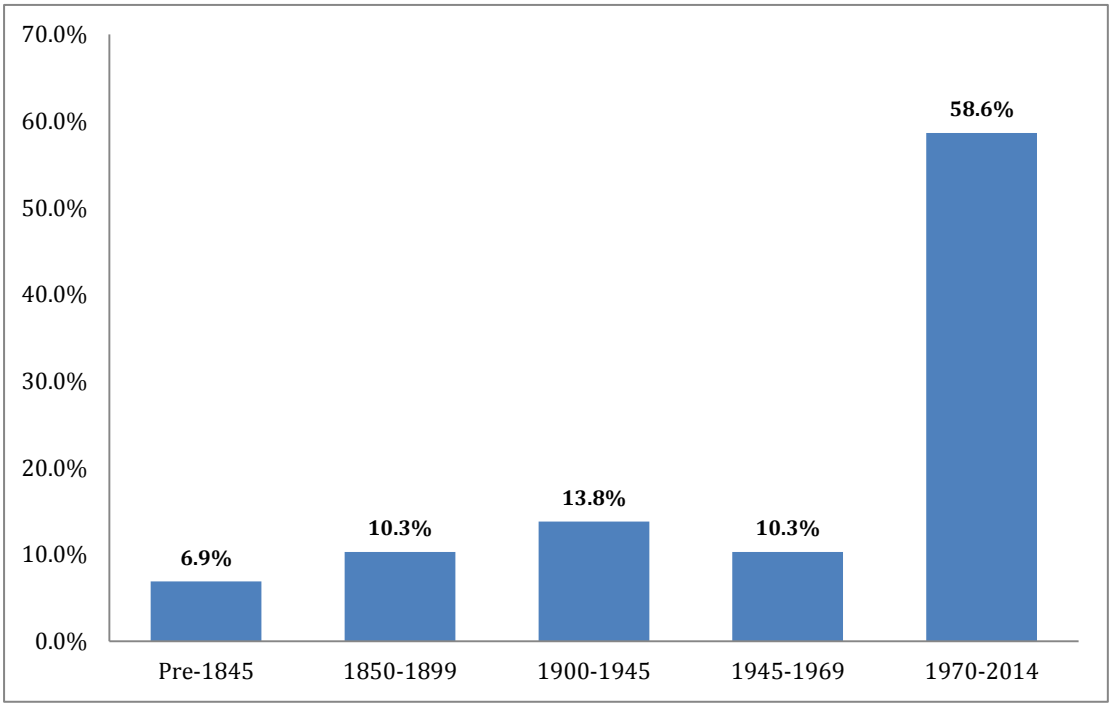
Figure 1 Surveyed countries, by region



4.2. Date of establishment

29 respondents answered the question, 18 skipped.

Figure 2 Date of establishment N = 29



Noticeably, of the respondents, there is a much greater response rate from institutions established since 1970 (58.6%/17 respondents), compared with the other categories/institutions established earlier.

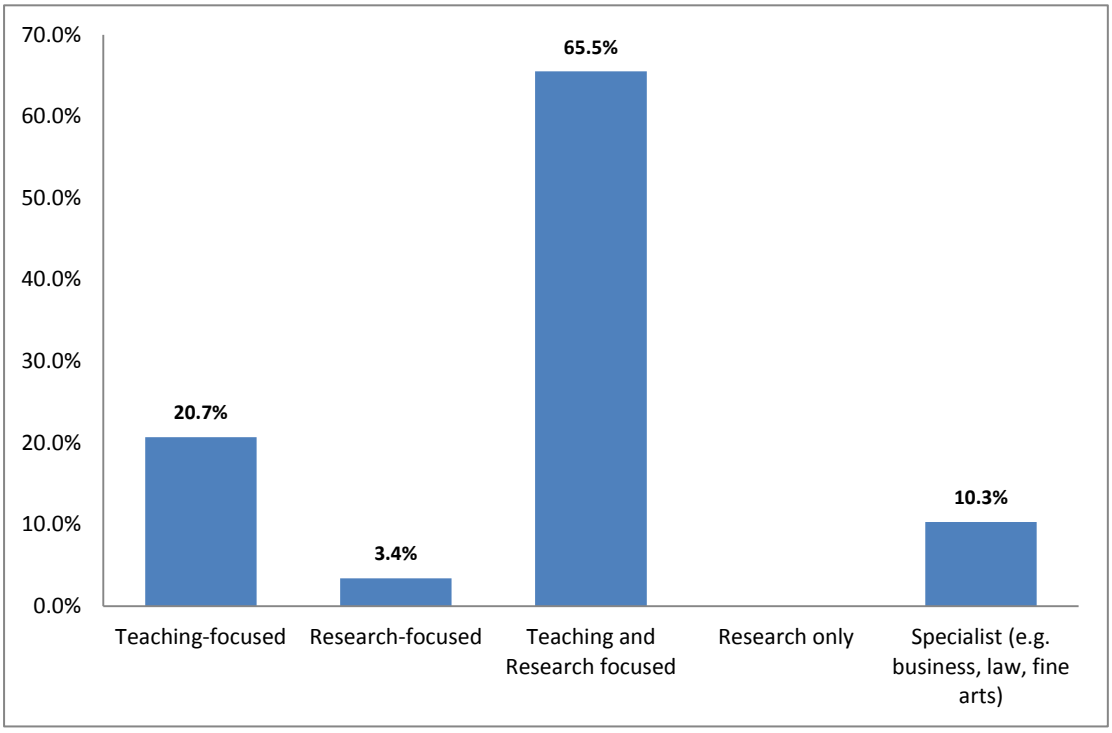
4.3. Description of type of institution (public/private)

29 respondents answered the question, 18 skipped. 72.4%/21 respondents indicated "public", the balance (27.6%/8 respondents) indicated "private".

4.4. Description of type of institution (focus)

29 respondents answered the question, 18 skipped.

Figure 3 Type of institution (focus) N = 29



65.5%/19 respondents indicate "Teaching and Research focused" and 20.7%/6 respondents indicated "Teaching-focused", and none were "Research only", 3.4%/1 respondent is "Research-focused", and 10.3%/3 respondents are "Specialist" (e.g. business, law, fine arts).

4.5. Range of degrees offered

28 respondents answered the question, 19 skipped.

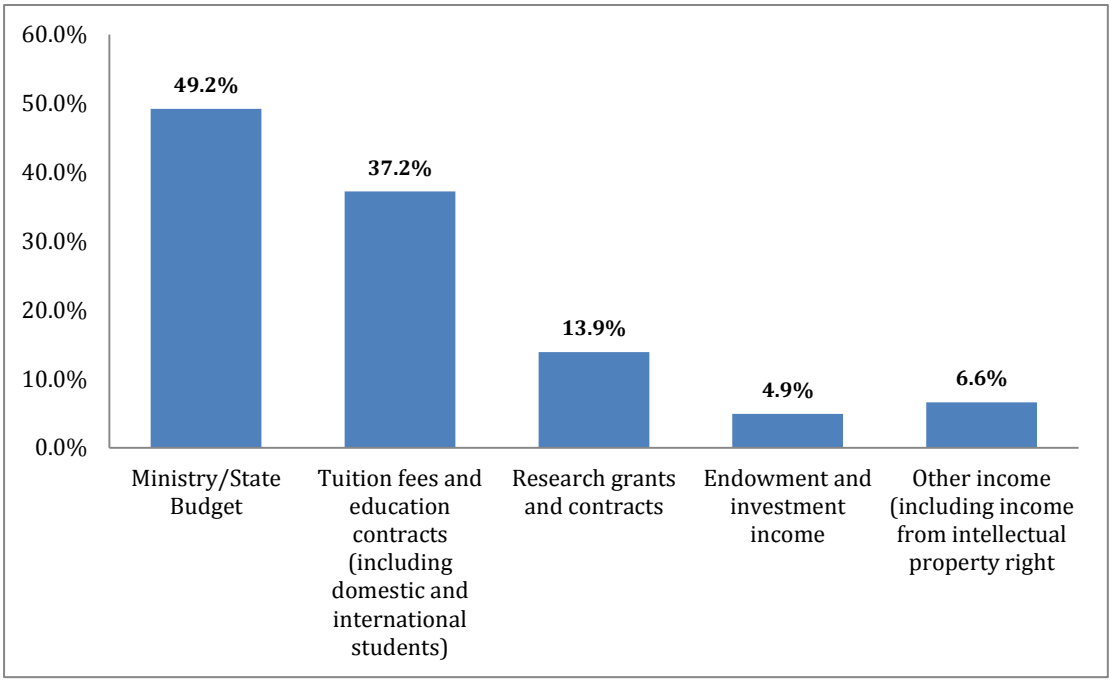
This questions asked respondents to give, to the best percentage approximation, the make-up of their student population. There was a wide variety of responses, with 26 respondents giving responses for their Bachelor's offerings, 28 for Master's, and 20 for PhD degrees. Of these responses, Bachelor's degrees tended to be in the majority, in terms of the proportion of total degree offerings. 8

respondents indicated that "Other" degrees made up as much as 12% of the range offered by their HEI.

4.6. HEI funding model

28 respondents answered the question, 19 skipped.

Figure 4 How is your HEI Funded? N = 28



In terms of funding, "Ministry/state budget" was most significant with 49.2%, and "tuition fees and education contracts" was 37.2%.

4.7. Specific funding allocation for "innovation" in teaching and learning

28 respondents answered the question, 19 skipped.

However, while 67.9%/19 respondents said "no", that there was no such specific budget or funding allocated, and 32.1%/9 respondents said "yes", only 3 provided details, and of these, one institution indicates a budget of €3 million. The other contributions refer to *"internal grants for researching including this subject"* and *"centre for educational development (sic)".*

4.8. Respondents' current job role

29 respondents answered the question, 18 skipped it.

50%/14 respondents are “Vice-rectors”, and 10.7%/3 respondents are “rectors”. 10.7%/3 respondents are “members of the faculty board”, and “academic/teaching staff” and “administrative staff” each received 14.3%/4 responses.

1 respondent chose “other”, indicating “Director of the academic development centre”.

Therefore it is clear that these findings identify a range of different types of respondents.

5. INNOVATION TYPES AND IMPLEMENTATION

5.1. Innovations in the organization of education provision since 2008

Response details

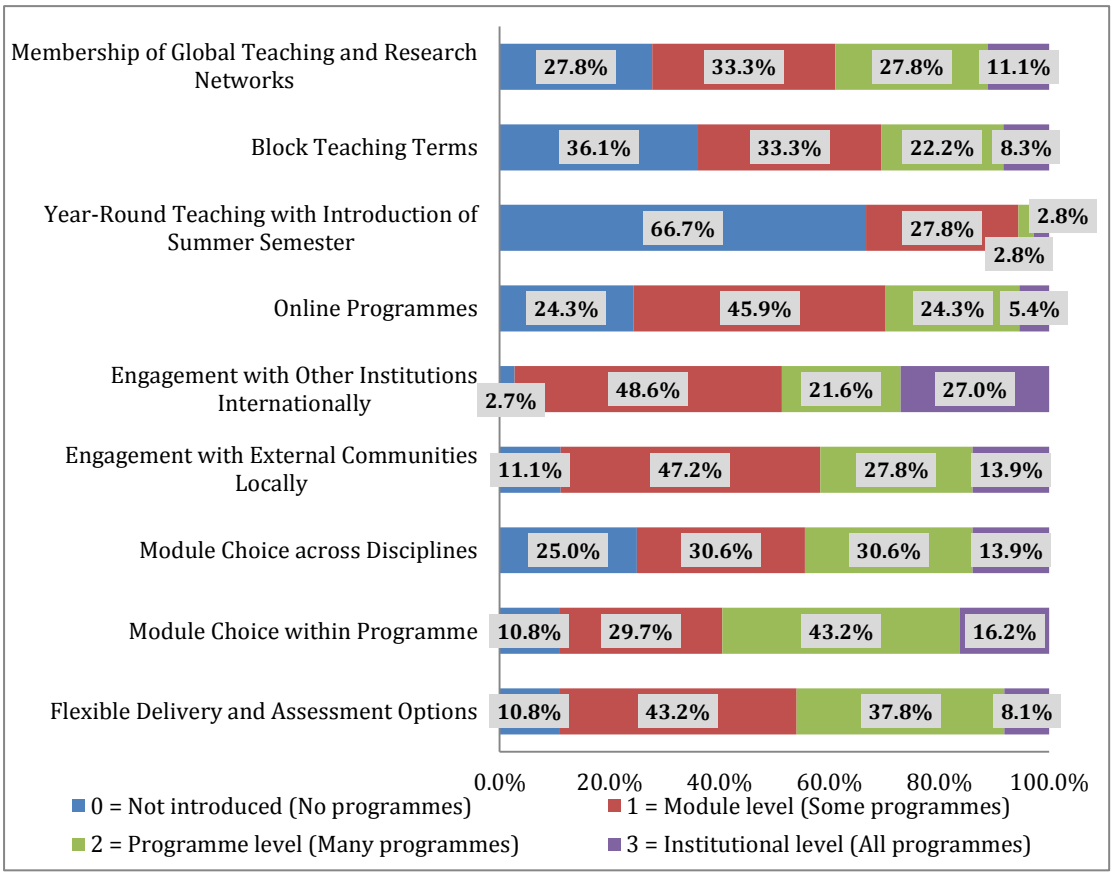
It is noticeable that 100% of the (42) respondents indicated "yes", saying that their institution had introduced such innovations. 5 skipped the question.

5.2. Innovations in education provision in programme organization

Response details

When it came to outlining these innovations in greater detail, 37 respondents answered the question, 10 skipped it. Of participating respondents, 5 skipped one variable each, and there were 2 "other" options provided.

Figure 5 What innovations in education provision has your HEI introduced in terms of PROGRAMME ORGANISATION? N= 37



Initial findings

There is an obvious tendency for respondents to opt for "1 or 2" when answering this question, i.e. avoiding the extremes (of 0 or 4) in most but not all cases. Exceptions include "0" for "year round teaching/summer semester" (UIC 11[6]) which received the highest single proportion of any variable in this question (66.7%/24 respondents), and "0" for "block teaching terms" (UIC 12) with 36.1%/13 respondents.

Given that there were 9 variables, and a scale of 0-3 (36 options in total), it is noticeable that there is a diverse range of answers given, and no clear dominant answers, with most of the more popular choices ranging from 30.6% - 48.6% across 1-2 on the scale. Only one option received above 50% of support (with the aforementioned 66.7%/24 responses of "0" for "year round teaching/summer semester"), and no option receiving 0% of responses.

It may be possible to infer from the above that the innovation/change context for programme organisation across the surveyed HEIs is diverse, with no outstanding trend in evidence.

An "other" option was provided which related to the introduction of an *"E-study system used for blended learning".*

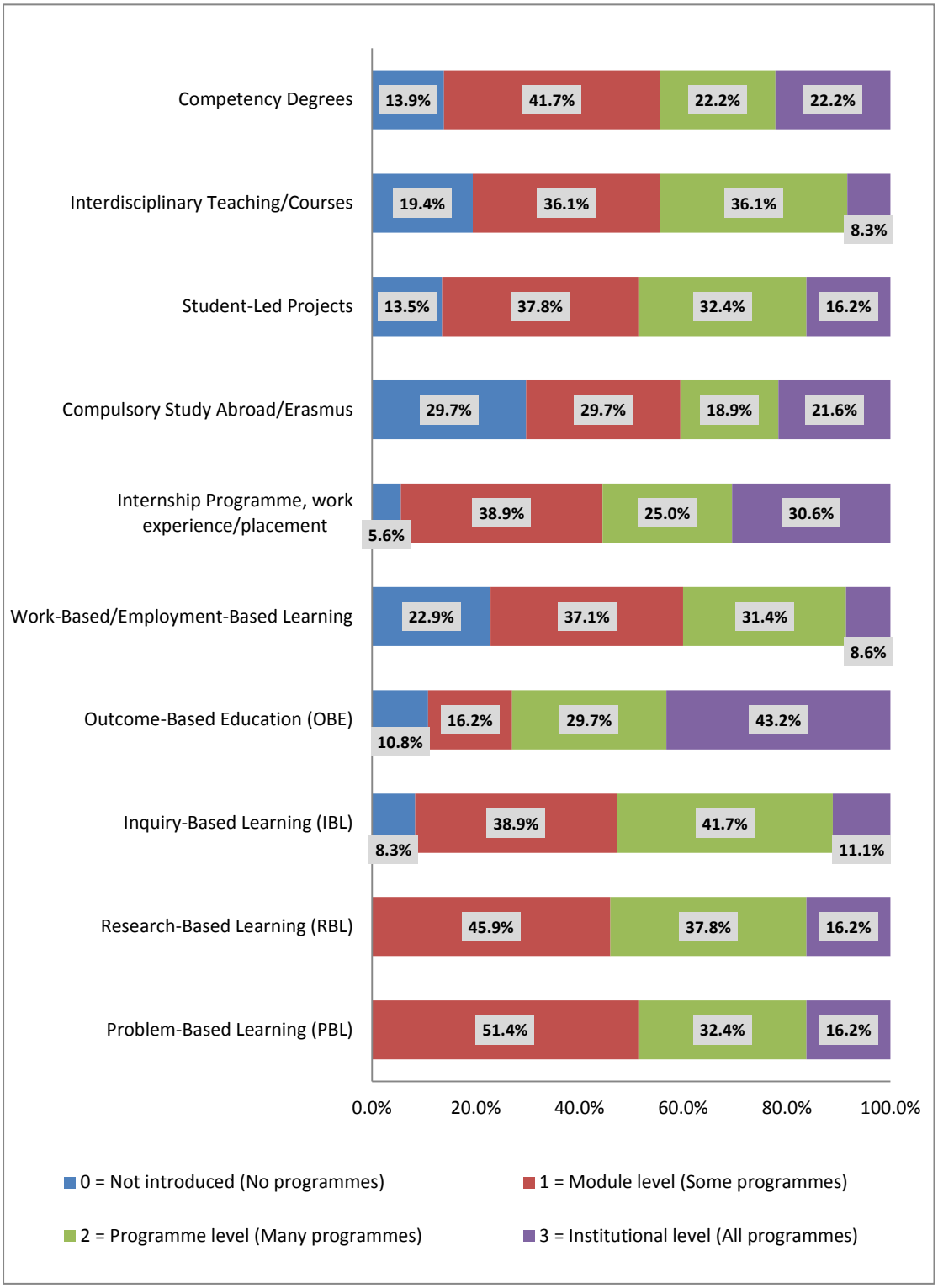
5.3. Innovations in education provision in curriculum delivery

Response details

37 respondents answered the question, 10 skipped it. Of participating respondents, 4 skipped one variable, and 2 skipped two variables. 2 "other" answers were provided.

[6] All UICs referred to in this report can be found in Appendix 3.

Figure 6 What innovations in education provision has your HEI introduced in terms of CURRICULUM DELIVERY? N = 37



Initial findings

Noticeably, level 1 (Module level, some programmes) dominates with 8 of 10 highest averages coming from this level, and one tied between levels 0 (Not-introduced) and 1, namely Compulsory Study Abroad/Erasmus (UIC 21), scoring

29.7%/11 respondents across both, and one tied between levels 1 and 2 (Programme level, many programmes), namely Interdisciplinary Teaching Courses (UIC 23) with 36.1%/13 responses across both.

One highest average response came from level 2, with Inquiry-Based Learning (IBL) (UIC 17) receiving 41.7%/15 responses, and one highest average response from level 3 (Institutional level, all programmes), with 43.2%/16 responses for Outcome-Based Education (OBE) (UIC 18).

It may be fair to draw from this that significant innovation/change has occurred at this (module) level, compared with programme or institutional level across the surveyed HEIs.

Significantly, no respondents said that their institutions had not introduced PBL (UIC 15) or RBL (UIC 16), indicating a wide awareness and acceptance of these forms of curriculum delivery as established practices.

For the open-ended "other, please specify" option, one respondent stated that *"Soft skills workshops for PHD students had also been introduced"*, an area of training which may prove to be of growing importance in coming years in its own right, given that many of the benefits of the curriculum developments noted above (such as Work- and Employment-Based Learning, Student-Led Projects, Study Abroad) fall under this heading of "soft skills" which are of growing importance in the knowledge economy.

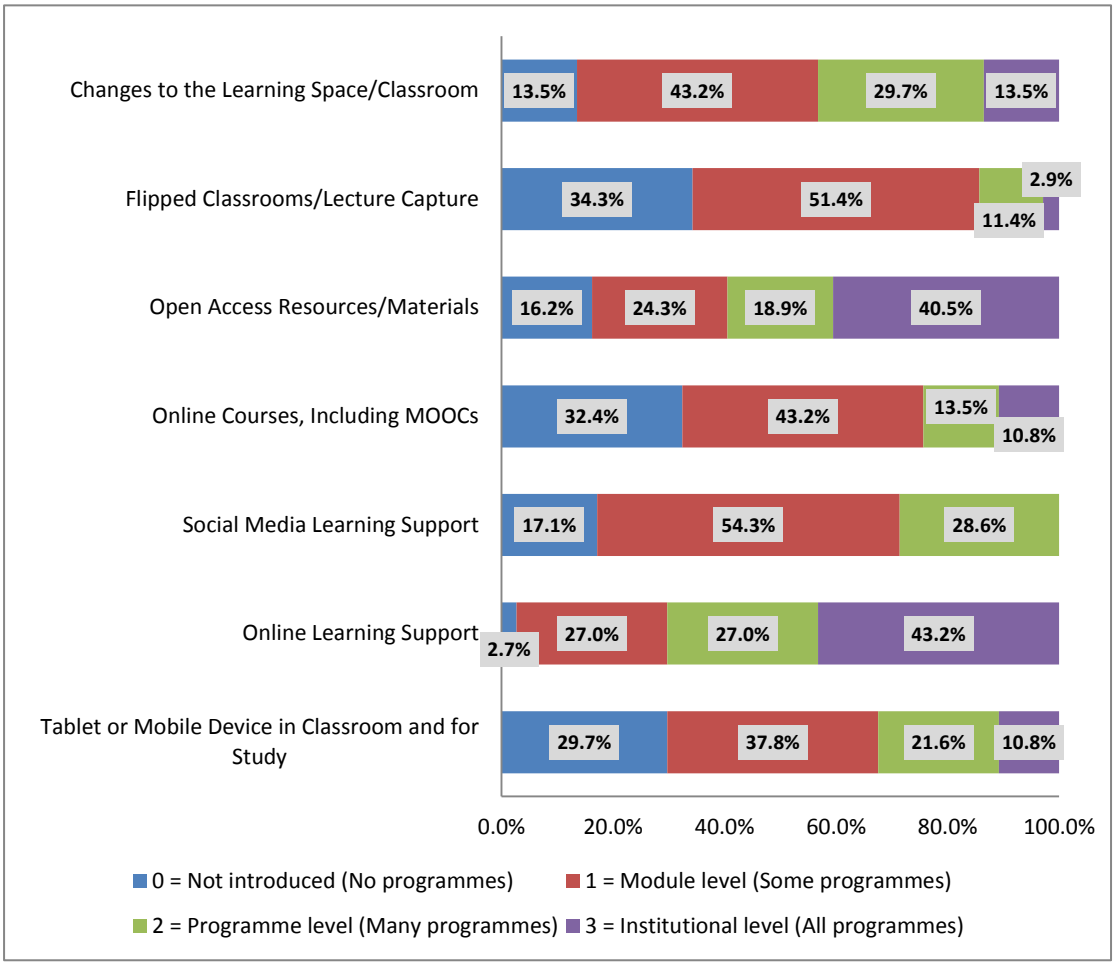
Another stated that *"many of these were introduced before 2008, so I ticked not introduced"*, and so it is to be remembered, for this question as for others, that absence of evidence for specific innovations is not evidence of absence.

5.4. Innovations in education provision in technology enriched learning environment

Response details

37 respondents answered the question, 10 skipped it. Of participating respondents, 2 skipped two variables, and no "other" options were provided.

Figure 7 What innovations in education provision has your HEI introduced in terms of the TECHNOLOGY ENRICHED LEARNING ENVIRONMENT? N = 37



Initial findings

54.3%/19 responses of "1" (Module level (Some Programmes) for Social Media Learning Support (UIC 28), and 43.2%/16 responses of "1" for introduction of Online Courses including MOOCs (UIC 29), indicate that the introduction of "new technologies" at the module-level has been an important form of innovation.

Table 2 Overview of all surveyed innovations

Programme Organization	Curriculum Delivery	Technology Enriched Environment
Flexible Delivery and Assessment Options	Problem-Based Learning (PBL)	Online Learning Support
Module Choice within Programme	Research-Based Learning (RBL)	Tablet or Mobile Device in Classroom and for Study
Module Choice across Disciplines	Inquiry-Based Learning (IBL)	Social Media Learning Support
Engagement with External Communities Locally	Outcome-Based Education (OBE)	Online Courses, Including MOOCs
Engagement with Other Institutions Internationally	Work-Based/Employment-Based Learning	Open Access Resources/Materials
Online Programmes	Internship Programme, work experience/placement	Flipped Classrooms/Lecture Capture
Year-Round Teaching with Introduction of Summer Semester	Compulsory Study Abroad/Erasmus	Changes to the Learning Space/Classroom
Block Teaching Terms	Student-Led Projects	
Membership of Global Teaching and Research Networks	Interdisciplinary Teaching/Courses	
	Competency Degrees	

5.5. Most successful innovations and contributing factors

Response details

25 respondents answered this question and 22 skipped it. Answers were open-ended.

Initial findings

There is a diverse range of responses including: more traditional emphasis on "research-based learning" (2 responses), the development of "real-life scenarios", including contact with "entrepreneurs themselves" and emphasis on "civic engagement" (3 responses), as well as technology-based responses including references to the introduction of MOOCs and new technologies (2 responses). This paints a picture of a mix of "clicks and mortar" involving both traditional and more modern forms of innovation.

Respondents also referred to the importance of a range of other factors including: “Open Access Materials”, “online learning support”, “the introduction of interdisciplinary courses and blended learning options”, and “the importance of flexible delivery of courses”.

5.6. Least successful innovations and contributing factors

Response details

20 respondents answered this question and 27 skipped it.

Initial findings

Responses related to “online activity/offering” (4 responses), “poor re-design of programmes and assessment” (1 response), and “engagement with other institutions” (1 response). This issue of the importance of increased engagement between different HEIs seems to be prevalent in some countries.

Furthermore, respondents suggested factors including: “mentoring programmes”, “flipped classrooms”, and the “mixing of students from across Bachelor’s and Master’s level in the same working environment” as having also been unsuccessful.

MOOCs are also specifically mentioned (four times) as being least successful; one respondent expressed scepticism in as to their place in the overall curriculum, and another noted the significant time and effort to get them started. The “poor implementation of online learning support” is also mentioned (twice), as is the “lack of long-term cooperation of the business actors in terms of work-based learning”.

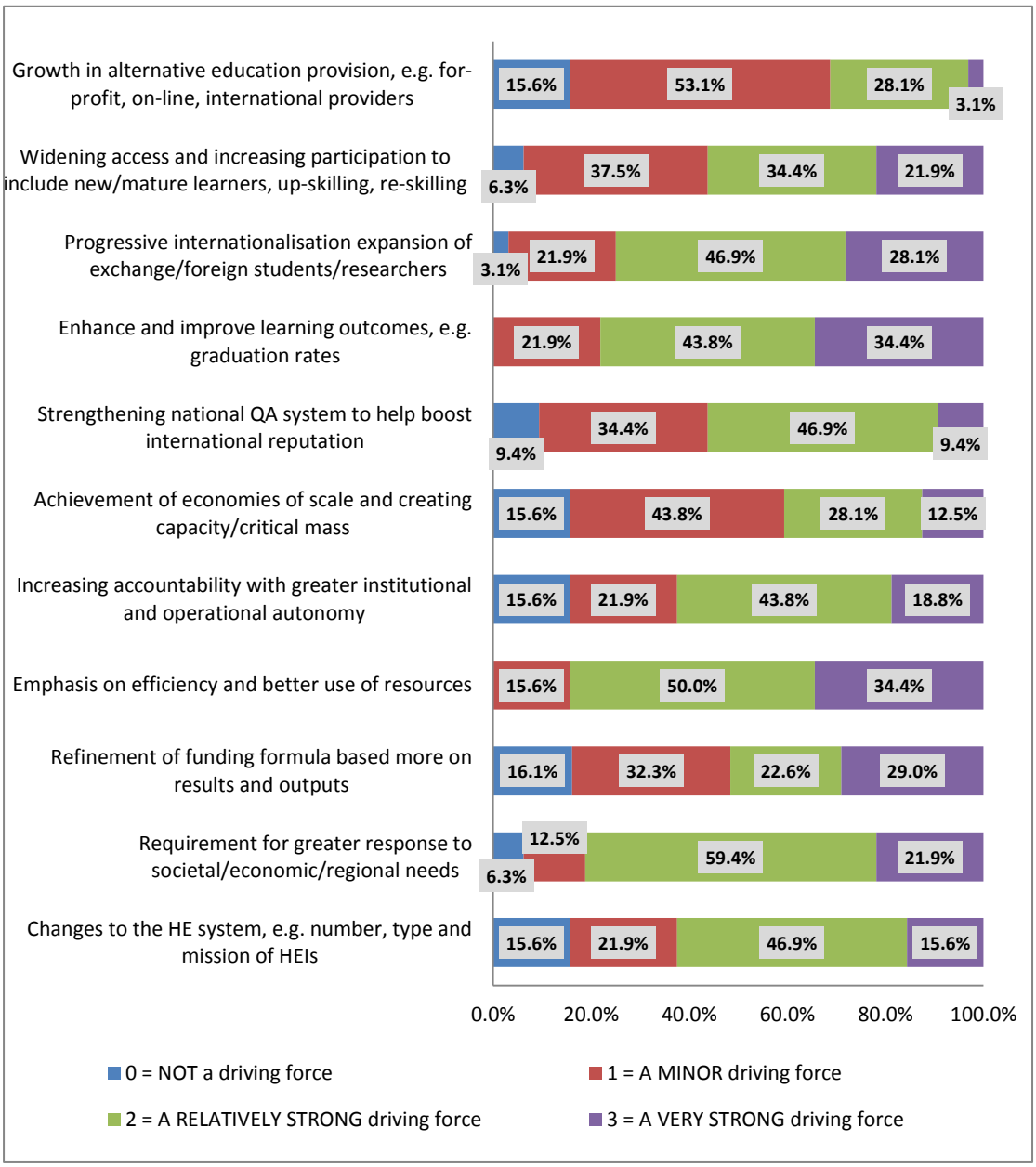
6. DRIVERS AND BARRIERS INFLUENCING INNOVATION IN HIGHER EDUCATION

6.1. Innovation drivers in education provision

Response details

32 respondents answered the question, 15 skipped it. Of participating respondents, one skipped one question, and all other respondents answered each question. One "other, please specify" answer was given.

Figure 8 To what extent are the factors below driving innovation in education provision at your HEI? N = 32



Initial findings

One thing that is noticeable is that, from the 44 available individual options, a relatively high number received low support (5 with 0% and 9 with 7.1%/1 response).

Furthermore, only 32 individual answers (from the 351 given) were in the "0" category, indicating that respondents in most cases identified each option as being a driving force to some extent, but to varying degrees.

Noteworthy are the 34.4%/11 responses of "3" (A very strong driving force for innovation) for both emphasis on efficiency and better use of resources (UIC 39) and enhance and improve learning outcomes (UIC 43). Furthermore it is noticeable that for this variable (UIC 43), no respondents assigned "0" (Not a driving force for innovation), 15.6%/5 respondents assigned "1" (A minor driving force for innovation), and 50%/16 respondents assigned "2" (A relatively strong driving force for innovation). This indicates that a majority (84.4%/27) of respondents regard efficiency and better use of resources as either a relatively strong, or a very strong driving force for change, highlighting the perhaps unsurprising challenges relating to resources and funding across the sector.

Noticeably, 59.4%/19 responses indicated "2" and 21.9%/7 respondents indicated "3" for "Requirement for greater response to societal/economic needs and regional accessibility" (UIC 37), which exhibits the view of the importance of managing the relationship between the HEI and the wider community in many cases.

Surprisingly however, 15.6%/5 respondents indicated "0", and 43.8%/14 respondents indicated "1" for "Achievement of economies of scale and creating capacity or critical mass" (UIC 41), which would appear to be at odds with the priorities based on information inferred from responses to other questions, where an emphasis on the importance of economies of scale can be inferred from responses given (see 2.3.3, page 8, this report).

Furthermore, 43.8%/14 of respondents indicated "2" (A relatively strong driving force for innovation) and 34.4%/11 indicated "3" (A very strong driving force for innovation) for "Enhance and improve learning outcomes, including graduation rates" (UIC 43).

As well as this, "progressive internationalisation via the expansion of exchange and foreign students and researchers" (UIC 44) received 46.9%/15 respondents for "2" and 28.1%/9 responses for "3", reflecting the discernible priority assigned to innovating through internationalisation at many HEIs.

There was one "other" response, which stated: "*students want study environment to reflect their lifestyles i.e. online; social media; anytime access to material".* This reflects the overall view of many respondents of the increased importance of

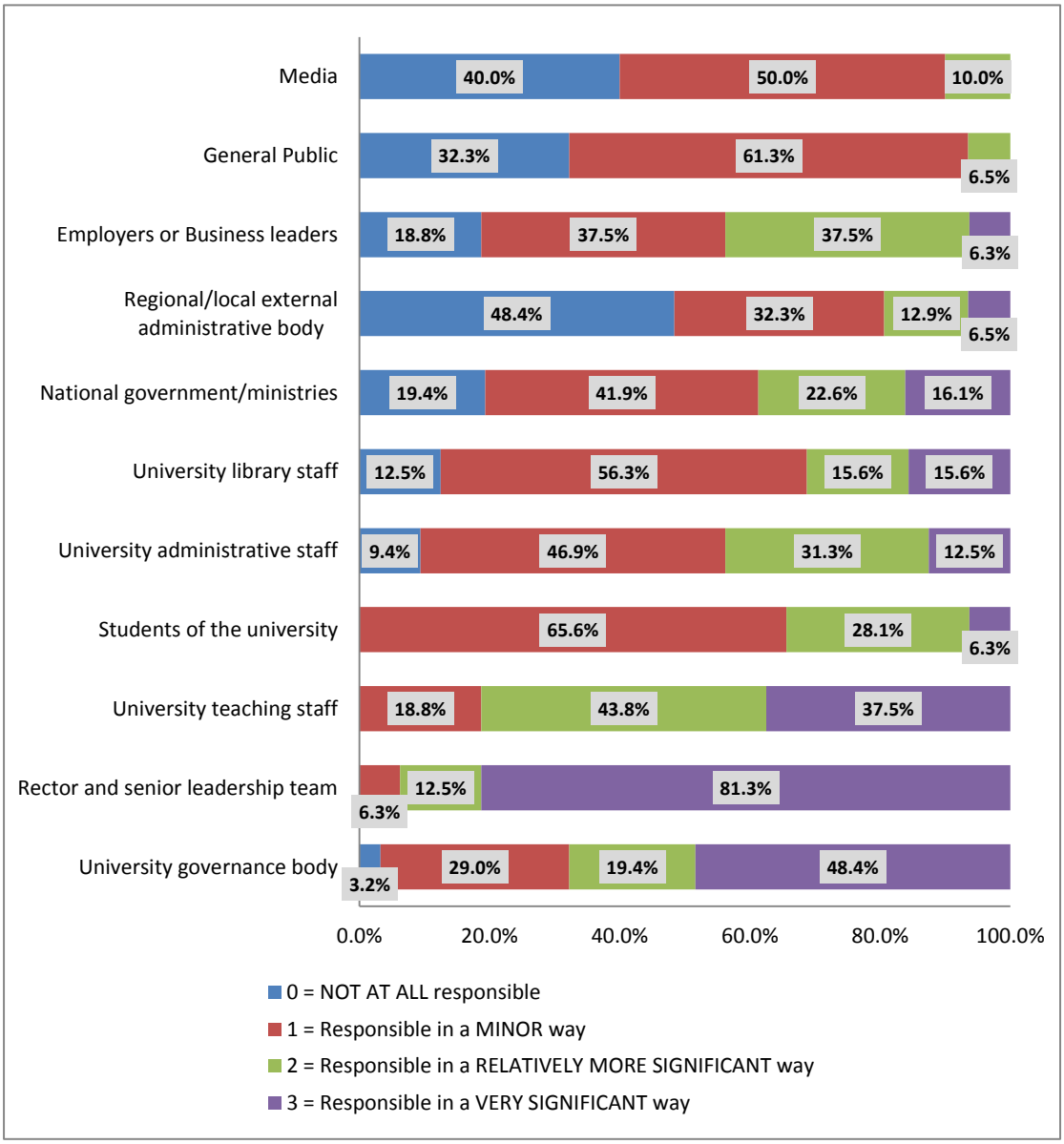
HEI's online offerings and need for flexibility in response to changing student lifestyles.

6.2. Innovation leaders in education provision

Response details

32 respondents answered the question, 15 skipped. Of participating respondents, 1 respondent skipped 2 questions, and 2 respondents skipped 1 question. One open-ended "other" answer was given

Figure 9 Who are responsible for leading innovation in education provision at your HEI, and to what degree are they responsible? N= 32



Initial findings

Noticeably there was diversity in the highest average answers across the 12 variables, with 1 scoring "0" (not at all responsible for leading innovations in education provision), 7 scoring "1" (Responsible for leading in a minor way), 2 scoring "2" (Responsible for leading in a relatively more significant way), and 2 scoring "3" (Responsible for leading in a very significant way).

It is worth mentioned the importance of top-management leadership in this sample. The variable, "rector and senior leadership team" (UIC 48) was marked "3" by 81.3%/26 responses. Equally, "university teaching staff" (UIC 49) are regarded as significant for innovation/change leadership, with 81.3% also choosing either "2" (43.8%/14 responses) or "3" (37.5%/12), indicating the importance of teaching staff in this regard.

Notably, a range of other stakeholders are regarded as being relatively less responsible for leading change, including students of the university (UIC 50) (65.6%/21 receiving "1"), University administrative staff (UIC 51) (46.9%/15 receiving "1"), and University library staff (UIC 52) (56.3%/18 receiving "1").

Outside of the internal HEI environment the role of media (UIC 57) is regarded as relatively unimportant, with 90% of respondents assigning a score of "0" (40%/12 respondents) or "1" (50%/15 respondents). This is remarkable given the nature and extent of the debate in the national media regarding university rankings and public expenditure on higher education in many countries. It is also worth noticing that 94.5% of responses indicated either "0" (32.3%/10 responses) or "1" (61.3%/19 responses) for the significance of the "general public" (UIC 56) in terms of innovation leadership. This is a view worth noting, in terms of the public-service dimension of higher education in Europe.

Remarkably in terms of the debate surrounding the need for higher education to meet the needs of industry, the significance of employers and business leaders (UIC 55) across the sample varies considerably, with 56.3% of respondents assigning either a score of "0" (18.8%/6 respondents) or "1" (37.5%/12 respondents), and 37.5%/12 respondents assigning a score of "2", and only 6.3%/2 respondents assigning a score of "3".

More detailed research may discover clear divisions throughout Europe in terms of the significance of government and local authorities, with more than 60% of respondents indicating "0" (19.4%/6 respondents) or "1" (41.9%/13 respondents) for the significance of national governments/ministries (UIC 53), while others assign relative importance (22.6%/7 respondents indicating "2", and 16.1%/5 respondents indicating "3"). This is discussed further in the open-ended questions outlined below (see questions 3.4.3 page 12 and 3.4.4 page 13, this report).

Furthermore, Regional/local external administrative bodies (UIC 54) are deemed not to be a significant factor in leading change, with 48.4%/15 responses indicating "0" and 32.3%/10 responses indicating "1", and only 6 responses in total indicating differently (12.9%/4 responses for "2", and 6.5%/2 responses for "3").

One "other" answer was given, emphasising the very significant role of the "school's alumni" in this context.

6.3. Facilitating and supporting innovation in education provision

Response details

32 respondents answered the question, 15 skipped it. One "other" answer was provided. This was a relatively longer question with 16 variables. In this question answers ranged significantly across the 0-3 scale.

Initial findings

The highest individual support was a rating of 59.4%/19 responses for "2" (regularly but now always) for "New process and procedures" (UIC 67) and the lowest was a split score of 34.4%/11 responses for both "0" (Not at all) and "2" (regularly but not always) for "Office dedicated to strategic/project management" (UIC 70). This variation in answers may indicate a wide variety of experiences and viewpoints from the sample.

Indeed for many of the other variables, a divided picture emerges in the answers.

For the significance of "government financial support" (UIC 58), 43.8%/14 respondents indicated "0" (not at all), while 37.5% indicated "2" (regularly but not always).

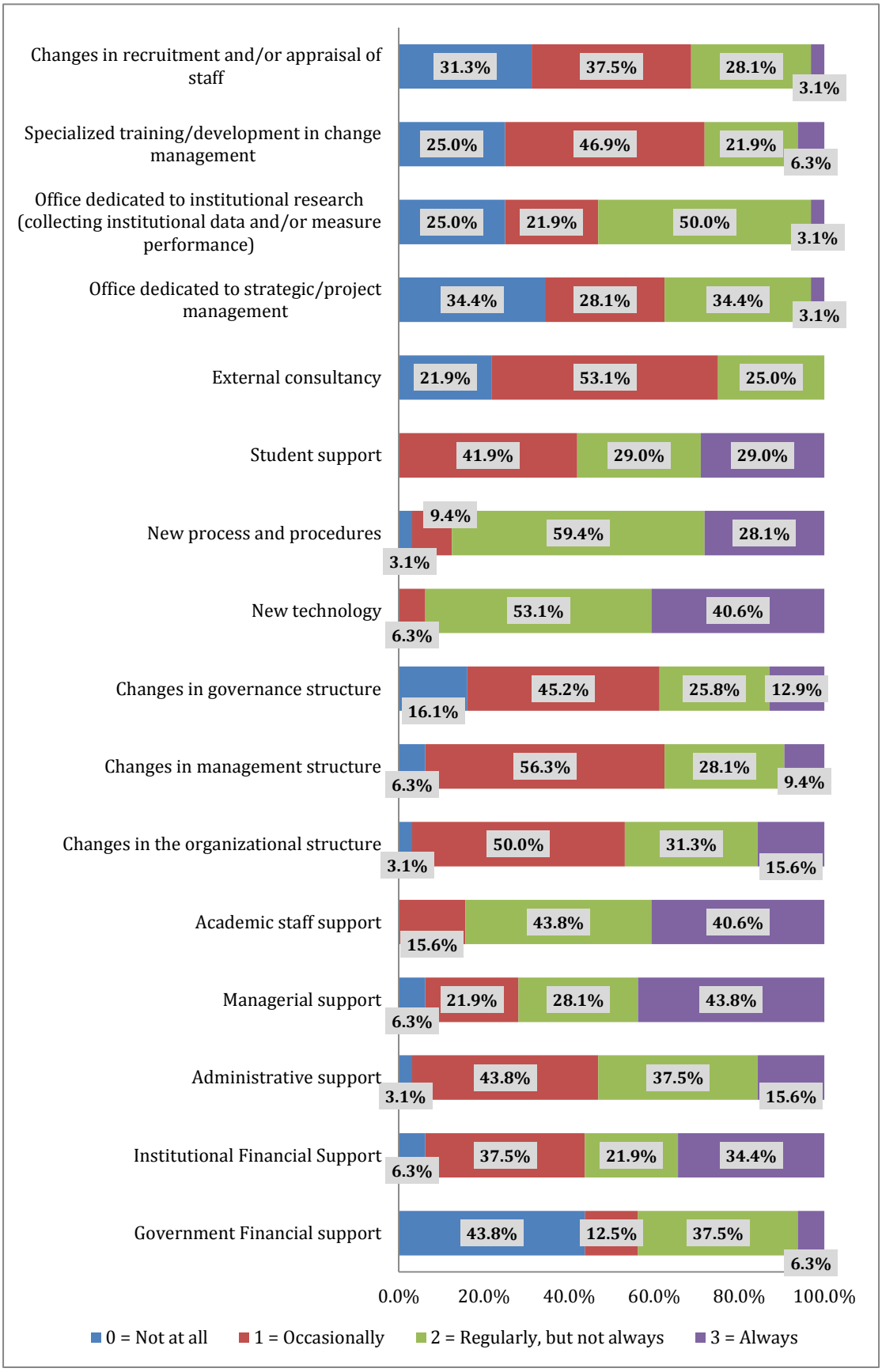
The significance of "institutional financial support" (UIC 59) also varies with 37.5%/12 respondents indicating "1", 21.9%/7 respondents indicating "2", and 34.4%/11 respondents indicating "3".

A similar picture emerges regarding other variables including "administrative support" (UIC 60), "managerial support" (UIC 61), "academic staff support" (UIC 62), "changes in governance structure" (UIC 65), "student support" (UIC 68), "Office dedicated to strategic/project management" (UIC 70), and "Changes in recruitment and/or appraisal of staff" (UIC 73), with significance variation in answers, which may indicate little convergence in this area.

The one "other" answer indicated the importance of "*access to IT on/offsite".*

As such, it may be fair to conclude that further study may establish significant variation regarding what factors facilitate and support the provision of education across the sample.

Figure 10 To what extent did the following factors facilitate and support innovation in educational provision at your HEI? N = 32



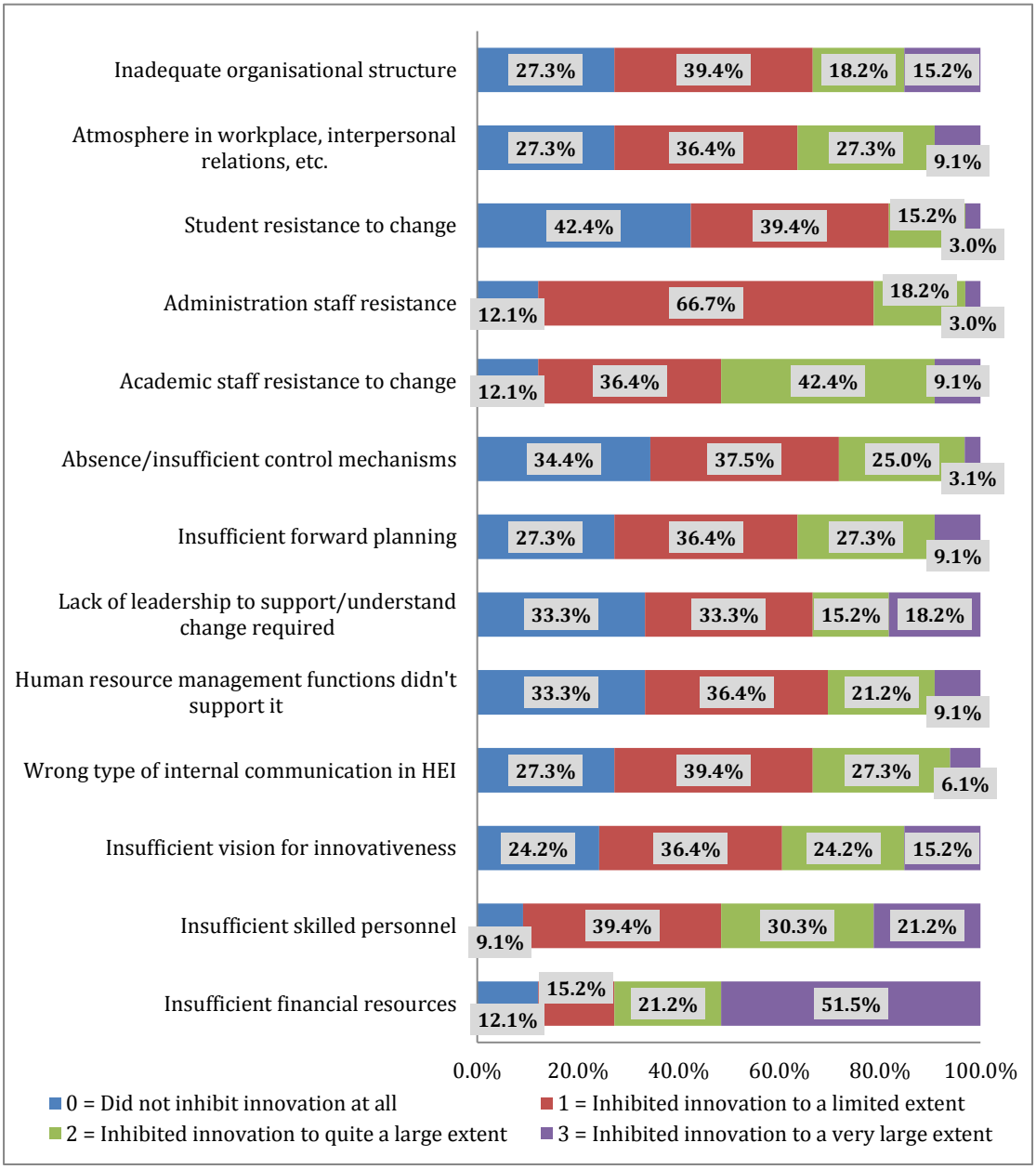
6.4. Factors inhibiting or preventing innovation in education provision

Response details

33 respondents answered the question, 14 skipped. This was a relatively longer question with 13 different variables.

Many of the variables elicited a wide range of answers, with each variable receiving answers from each of 0-3, which, as in the previous question, may indicate no clear stand-out trends in terms of which factors inhibited innovation in terms of education provision.

Figure 11 Which of these factors have inhibited or prevented the introduction of innovations in education provision at your HEI? N = 33



Initial findings

From a HR (human resources) perspective, with respect to "Administration staff resistance to change" (UIC 84) 12.1%/4 respondents indicated "0" (did not inhibit innovation at all) and 66.7%/22 respondents indicated "1" (Inhibited innovation to a limited extent), with, perhaps diplomatically, 3.1%/1 respondent answering "3" (Inhibited innovation to a very large extent).[7]

Notably, student resistance to change (UIC 85) scored more than 81.8% in either "0" (42.4%/14 responses) or "1" (39.4%/13 responses). This is significant in terms of the trend that is apparent from throughout the survey, that while students and indeed the wider public are not regarded as central to innovation, university staff are regarded as central to the process.

Insufficient financial resources (UIC 75) 72.7% indicated either "2" (21.2%/7 responses) or "3" (51.5%/17 responses), and the highest individual average of 3.12. This reflects the widely-acknowledged challenge of limited resources in the HEI sector across Europe.

Noticeably, when compared with the views of respondents regarding "insufficient skilled personnel" (UIC 76) as an inhibiting factor in terms of innovation, the picture is less clear, with 39.4%/13 respondents indicating "1", 30.3%/10 respondents indicating "2", and 21.2%/7 respondents indicating "3". As such, while scarce financial resources are generally seen as a definite inhibiting factor to innovation across the sample, the perception of a lack of skilled personnel varies more widely.

Finally, more than 70% of respondents indicate "0" (34.4%/11 responses) or "1" (37.5%/12 responses) regarding "Absence/insufficient control mechanisms" (UIC 82), which indicates that despite the clear view of change and innovation having taken place throughout HEIs, decision-makers may feel that they lack the control mechanisms to manage this change. This is worthy of note, but may be beyond the scope of this study.

Related to this (and a point that perhaps sheds light on the previous contention) sees more than 65% of responses indicating either "0" (33.3%/11 responses) or "1" (33.3%/11 responses) with respect to "Lack of leadership to support/understand change required" (UIC 83), and a similarly divided set of responses for "Insufficient vision for innovativeness" (UIC 77) with more than 60% indicating "0" (24.2%/8 responses) or "1" (36.4%/12 responses), and a similar picture emerging for "Insufficient forward planning" (UIC 81), with 27.3%/9 respondents indicating "0", and 36.4%/12 respondents indicating "1".

[7] Remarkably of the 28 respondents who indicated their current job role in questions 5.10, only 14.3%/4 respondents selected Administrative staff.

This set of views perhaps paints a picture of a leadership crisis in some HEIs, in terms of the processes of innovation.

7. IMPACTS OF INNOVATION

7.1. Innovations in education provision and changes in HEIs

Response details

In response to the question whether innovations in education provision have led to any changes in their HEI, 35 respondents answered the question, 12 skipped. Of participating respondents, each variable was rated. 85.7%/30 respondents indicated "yes" and 14.3%/5 respondents indicated "no".

Respondents indicating "no" are directed to go directly to question 4, without answering the intervening questions.

7.2. Impacts of innovation in governance structures

Response details

27 respondents answered the question, 20 skipped it.

Of the 11 variables, 5 received 70% or more support for one of the two options.

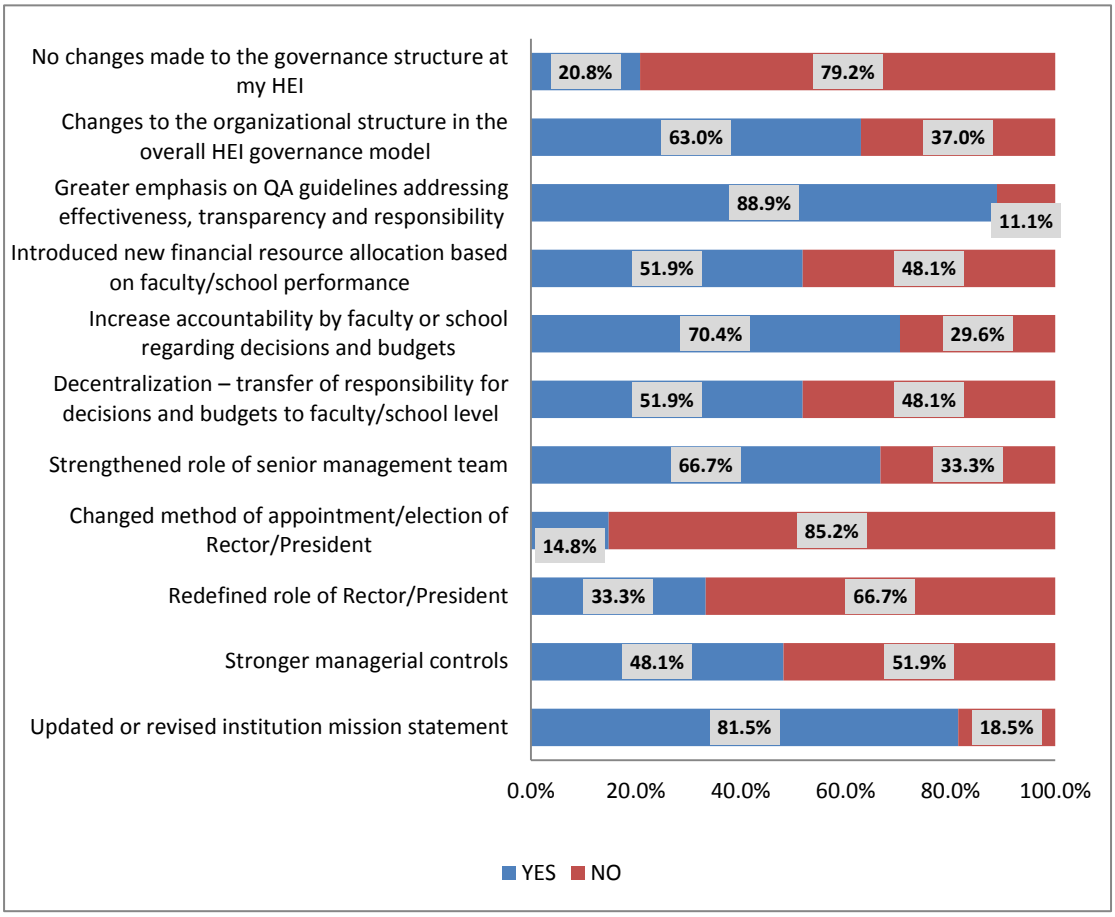
Initial findings

Noticeably, 66.7%/18 respondents indicate "no" for "redefined role or Rector/President" (UIC 94) and 85.2%/23 respondents indicate "no" for "change of method of appointment/election of Rector/President" (UIC 95).

This was alongside 48.1%/13 respondents who indicate "yes" for "Stronger managerial controls" (UIC 93) and 66.7%/18 responses indicating "yes for "strengthened role of senior management team" (UIC 96). Furthermore, 79.2%/19 respondents indicate "no" for "no changes made to the governance structure at my HEI" (UIC 102). From this it may therefore be inferred that a high number of respondents believe changes to the role of management and the governance structure at their HEI has occurred.

There is a relatively widely held view that no significant changes to the role of the Rector/President and how they are appointed/elected has occurred, despite a reported increase in the strength of the senior management team. However, the rendering of "stronger managerial controls" and "strengthened role of senior management team" as separate variables, may have caused some confusion for respondents.

Figure 12 What are the impacts of innovation in education provision in regard to the GOVERNANCE STRUCTURE at your HEI? N = 27



In terms of the structure of HEIs, the "Decentralization – transfer of greater responsibility for decisions and budgets to faculty or school level" (UIC 97) was close to a 50/50% split between respondents (with 51.9%/14 respondents indicating "yes", and 48.1%/13 respondents indicating "no"). Understanding the landscape of this greater decentralised responsibility, and the above-mentioned view of increase in the "strengthened role of senior management team" (UIC 96) (66.7%/18 responses saying yes) perhaps raises more questions than answers.

Noticeably a greater focus on quality assurance has been seen as an important factor in the respondents' institutions, with 88.9%/12 respondents indicating "yes" for "Greater emphasis on QA (Quality Assurance) guidelines addressing effectiveness, transparency and responsibility" (UIC 100).

Associated to this, the widespread indication of "updated or revised institution mission statement" (UIC 92) (81.5%/22 respondents saying "yes") may exhibit a clear intention to innovate, despite this change/intention not necessarily becoming manifest.

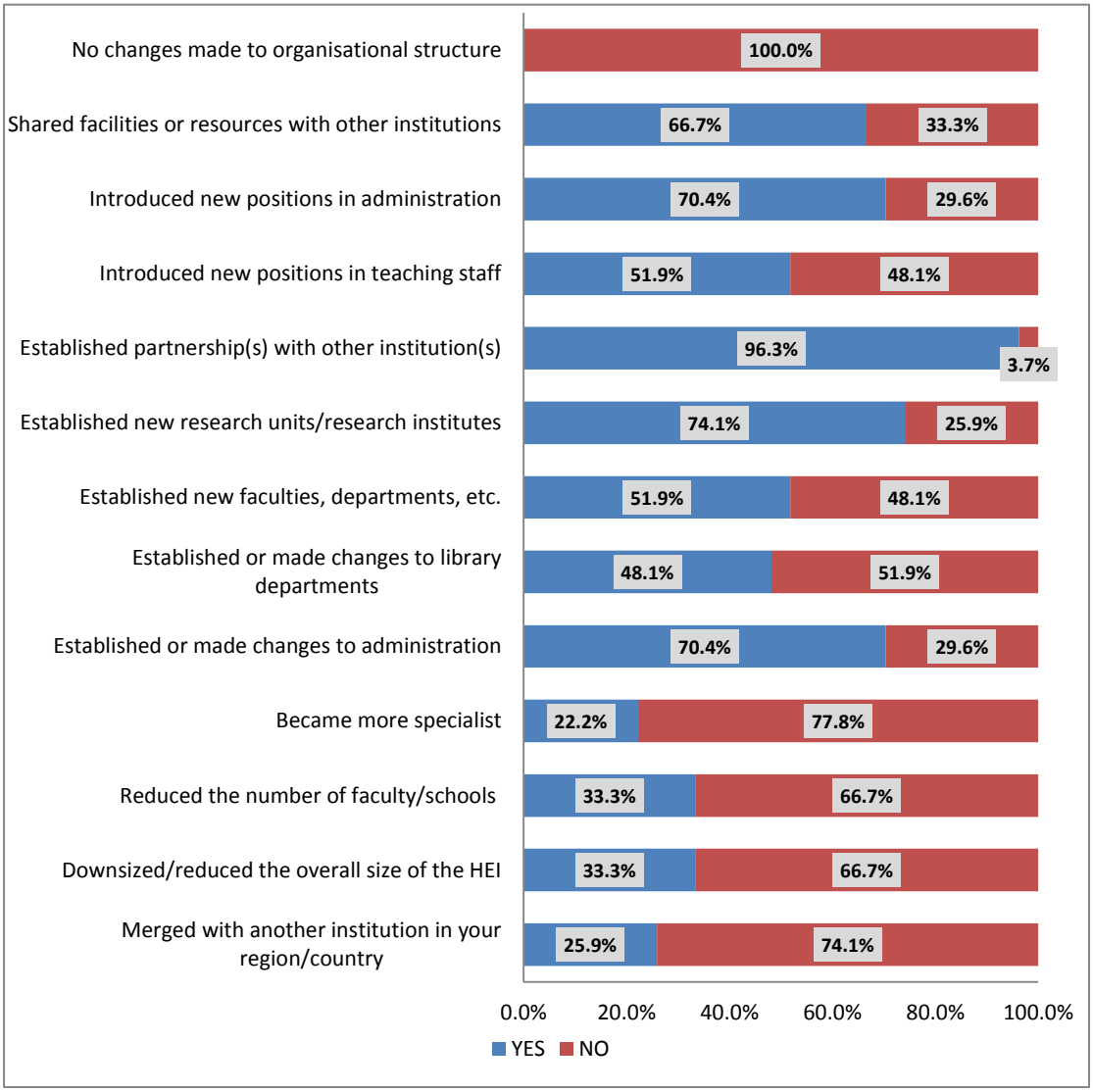
7.3. Innovations in education provision and organizational structures

Response details

27 respondents answered the question, 20 skipped.

Of the 13 variables, 7 received 70% or more support for one (of two) variable(s), and 3 received between 65% and 70% support for one variable over the other. This may be taken to indicate a noticeable degree of commonality/shared views across responses.

Figure 13 Have the innovations in education provision (teaching & learning) led to any changes in the overall ORGANISATIONAL STRUCTURE of your HEI? N = 27



Initial findings

Again, and perhaps significantly, "no change made to organisational structure at my HEI" (UIC 116) received 100%/25 responses for "no". This confirms the

general view that innovation and change has occurred throughout the surveyed HEIs.

Perhaps significantly, 25.9%/7 respondents indicated "yes" for "Merged with another institution in your region/country" (UIC 104). In terms of organisational restructuring, this is significant for any institution, and it affects more than 1 in 4 of the institutions in the sample.

Furthermore, 96.3%/26 respondents indicated "yes" for "Established partnership(s) with other institution(s)" (UIC 112). It would be noteworthy to tease out the reasons and factors for these changes, and what these partnerships (and mergers) look like, the details of which have not been captured by the survey, i.e. seeking economies of scale, attempting to gain new specialities, attempting to attract students/staff.

Furthermore, 66.7%/18 respondents indicated "no" for "Downsized/reduced the overall size of the HEI (e.g. number of fields or students)" (UIC 105), and 66.7.6%/18 respondents rated "no" for "Reduced the number of faculty/schools" (e.g. merged or abolished faculty/schools) (UIC 106) and 77.8%/21 respondents indicated "no" for "Became more specialist (e.g. focusing on a smaller number of disciplines) (UIC 107). This was alongside 70.4%/19 respondents indicating "yes" to "Established or made changes to administrative departments" (UIC 108), and 51.9%/14 respondents who indicated "yes" for "Established new faculties, departments, or other educational units" (UIC 110). Each of these changes are significant for the HEIs involved, but may indicate that significant structural/organisational changes have come about since 2008 in a relatively small number of cases.

7.4. Innovations in education provision and working conditions or expectations of academic staff

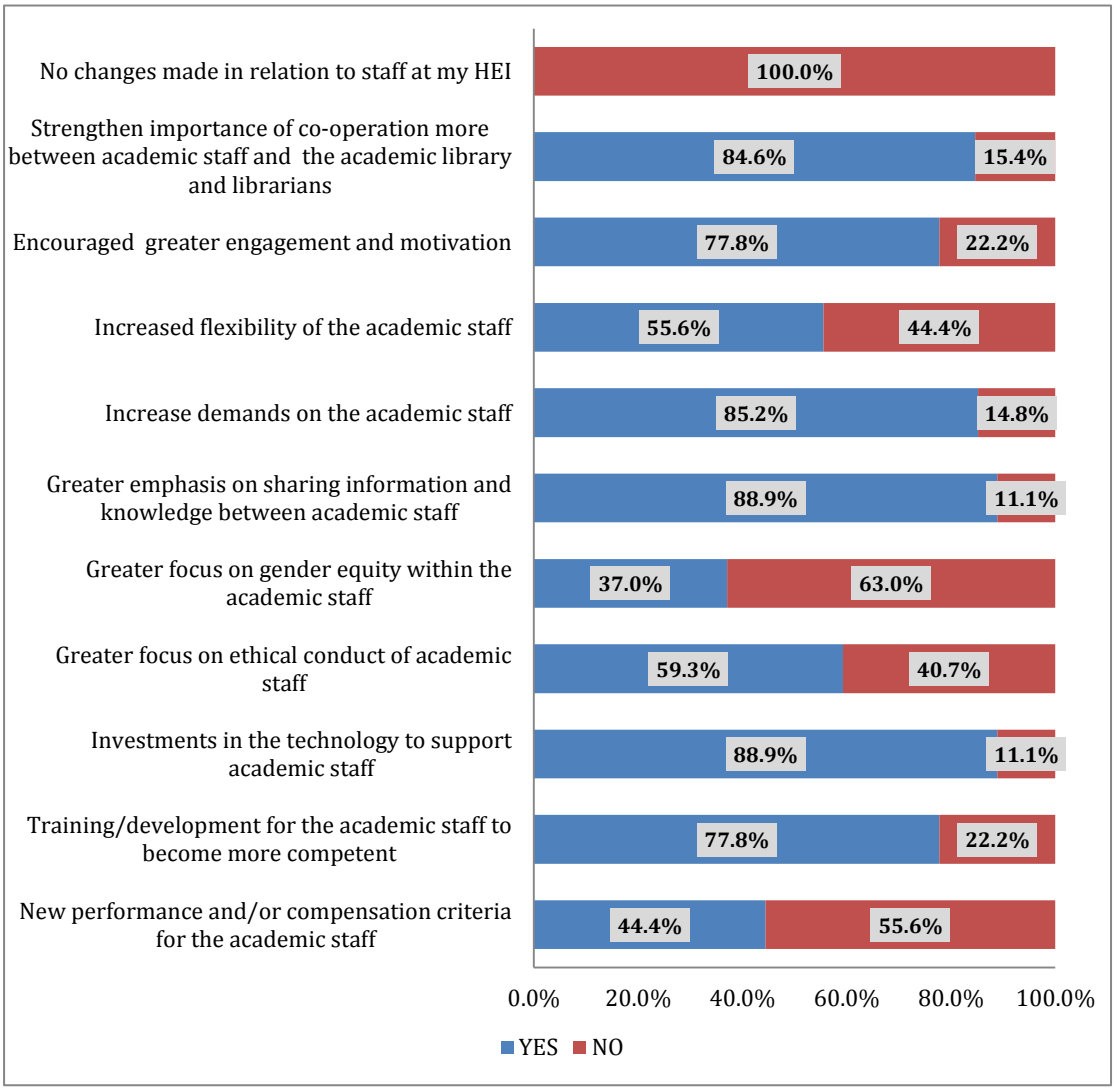
Response details

27 respondents answered the question, 20 skipped.

Initial Findings

Perhaps significantly, given the sensitivity of the questions asked, and the cutbacks to budgets that have been experienced, and other factors outlined earlier in this survey, 100%/25 respondents indicated "no" for "No changes made in relation to staff at my HEI" (UIC 128). It is therefore clear, as has been in evidence from the responses provided throughout the survey, that the working lives of staff in HEIs throughout Europe have changed since 2008.

Figure 14 Have the innovations in education provision led to any changes to the WORKING CONDITIONS OR EXPECTATIONS OF ACADEMIC STAFF at your HEI? N = 27



Again, of 11 variables, 6 received 77.8% or higher. This indicates some clear commonalities and trends that can be taken from this part of the survey.

Tellingly, the "Increased demands on the academic staff" (UIC 124) received 85.2%/23 "yes" responses, but "Increased flexibility of the academic staff" (UIC 125) received a smaller 55.6%/15 responses of "yes". Furthermore, 77.8%/21 responded "yes" to "Training/development for the academic staff to become more competent" (UIC 119), and 88.9%/24 responded "yes" for "Investments in the technology to support academic staff" (UIC 120). This may beg the question of what form the "increased demands" are taking, and if it is a case of increased volume of work, or if roles are changing in any significant way(s).

One noticeable trend from the responses in this question is the tendency towards more cooperation/rationalisation/economies of scale between departments within HEIs, with 88.9%/24 respondents indicating "yes" for

“Greater emphasis on sharing information and knowledge between academic staff” (UIC 123), and a similarly high rate of 84.6%/22 “yes” responses for “Strengthen importance of co-operation more between academic staff and the academic library and librarians” (UIC 127). Arguably, here we see HEIs attempting to “do more with less”.

However “Greater focus on gender equity within the academic staff” (UIC 122) received only 37%/10 “yes” responses, while “Greater focus on ethical conduct of academic staff” (UIC 121) receives 59.3%/16 “yes responses”, perhaps indicating that since 2008, the priorities for HEI governance have been elsewhere.

8. THE FUTURE OF INNOVATION IN EUROPEAN HEIs

8.1. Perceptions of change and innovation in higher education

Response details

32 respondents answered the question, 15 skipped.

Initial findings

Of the 15 variables, it is noticeable that a relatively small number indicated "strongly disagree" for any option, with only 20 of the 469 individual answers coming in the "0" category (strongly disagree).

However, there remains a diversity of answers spread across the Disagree/Agree/Strongly Agree categories, with only three of these with averages of above 60%.

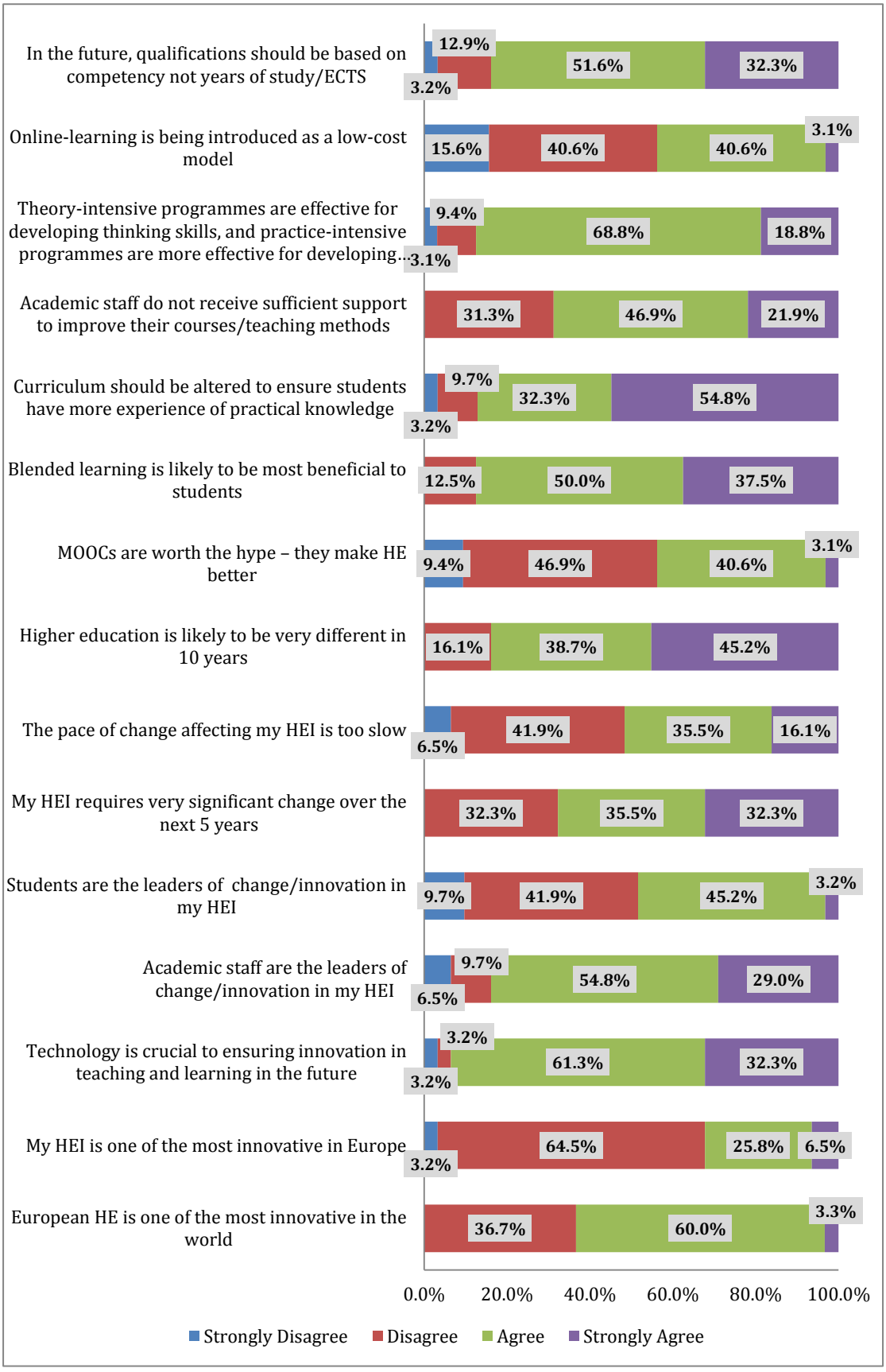
In terms of the use of technology, 61.3%/19 respondents agree, and 32.3%/10 respondents strongly agree that "Technology is crucial to ensuring innovation in teaching and learning in the future" (UIC 132), and 50%/16 respondents indicated "2" (agree), and 37.5%/12 respondents indicating "3" (strongly agree) that "Blended learning i.e. a mixture of both online and traditional classroom components) is likely to be most beneficial to students" (UIC 139).

Regarding whether "MOOCs are worth the hype and make HE better" (UIC 138), 9.4%/3 respondents and 46.9%/15 respondents strongly disagree and disagree respectively, while 40.6%/13 respondents agree. The same number (40.6%/13 respondents) respondents agree that "Online-learning is being introduced as a low-cost model" (UIC 143). This perhaps indicates strong feelings regarding support for online offerings including MOOCs, but a wide variety of views regarding their significance and efficacy.

Some HEI staff-attitudes may be observed from these answers. Views as to whether "Academic staff do not receive sufficient support to improve and redesign their courses and/or teaching methods" (UIC 141) are split, with 31.3%/10 respondents disagreeing, 46.9%/15 respondents agreeing, and 21.9%/7 respondents strongly agreeing. Furthermore, and significantly, 54.8%/17 respondents agree, and 29%/9 respondents strongly agree (more than 80% in total) that "Academic staff are the leaders of change/innovation in my HEI" (UIC 133)[8]. This indicates a belief that "change/innovation" comes from "within" and "throughout" institutions, and not purely from senior management.

[8] Notably, of the 28 respondents who indicated their current job role in question 5.10, only 14.3%/4 respondents selected Academic/teaching staff.

Figure 15 Perceptions of change and innovation in higher education. N = 32



Views regarding "Students are the leaders of change/innovation in my HEI" (UIC 134) are split, with 45.2%/14 answers for both "2" (agree), and 41.9%/13 indicating "1" (disagree), exhibiting a divided picture.

Regarding the "My HEI requires very significant change over the next 5 years" (UIC 135), no respondents indicating "0" (Strongly disagree), while a relatively even split exists across the remaining options, with 32.3%/10 respondents indicating "1" (disagree), 35.5%/11 respondents indicating "2" (agree) and 32.3%/10 respondents indicating "strongly agree". This still amounts to nearly 70% of respondents' views that significant change is needed.

Related to this, 41.9%/13 respondents disagree that "The pace of change affecting my HEI is too slow" (UIC 136), while 35.5%/11 respondents agree and 16.1%/5 respondents strongly agree with the same statement.

A total of 83.9%/19 respondents either agree or strongly agree that "Higher education is likely to be very different in 10 years" (UIC 137). This clearly shows a shared view from across the sample of the need for change in the years ahead, as well as the clear view that change has occurred over the past 5 years.

8.2. Fostering future innovation in education provision

Response details

In response to the request to "provide examples of your HEI's plans to foster innovation in education provision over the next six years", 21 respondents answered the question, 26 skipped it. This was an open-ended question. A summary of responses is laid out below.

Initial findings

A wide range of responses were given relating to matters including: improvements to IT architecture, internationalisation and cooperation with foreign institutions (mentioned 5 times, once particular in relation to joint doctoral programmes), greater flexibility and of changing courses/joint course being offered (mentioned twice), and further delivery of blended/practice oriented learning (mentioned 3 times).

One respondent specifically mentions the adoption of "*the framework for an Entrepreneurial University"* according to the EU 2020 Strategy.

Speaking quite specifically, one respondent noted:

> *The following five main priorities of the university cut across the strategy – internationalization, interdisciplinarity, organisational efficiency, financial efficiency and infrastructure efficiency. Few examples of specific targets for next 6 years: Employment of graduates one year after completing the studies 97%; The share of foreign*

students in the total number of students 10%; Persons involved in lifelong learning and professional improvement 3% annual increase, compared to the previous year; The share of foreign guest lecturers in the total number of academic staff 10%.

Another respondent outlined the introduction of a *"new administrative department"*:

Knowledge transfer centre in order to foster cooperation with industry and increase the project work in order to achieve university goals. Find a financially reasonable solution to offer a range of various disciplines with small number of students (sic).

8.3. Desired changes to support innovation in education provision

Response details

This question asked respondents to discuss desired changes in terms of governance structure, organizational structure, and/or working conditions to support innovation in education provision. Specifically they were asked to "indicate what changes, if any, your institution might like to introduce", including HRM-related issues. 20 respondents answered the question, 27 skipped it. This was an open-ended question.

Initial findings

Similarly a wide-range of responses was received, many of which addressed issues raised already in the survey, including internationalisation, attracting qualified people, and an increased role of the rector and senior management team

Two responses refer to problems associated with relations with government and ministers (see question 2.2.2 pages 5-6):

A significant shift from state control of higher education to state steerage; HEIs need the HRM toolkit to manage their own affairs. Contracts are too rigid to support flexible and innovative initiatives

My HEI has very limited autonomy due to centralized and ministerial power. The first step ought to be to gain full autonomy and responsibility (sic).

Furthermore, two responses refer to overall "restructuring" of the HEI, and two refer to "changed/improved educational skills and techniques for academic staff", with one in particular mentioning that this should occur alongside a "strengthening of academic rights and freedoms".

One respondent acknowledged the importance of *"Refurbishing the buildings and course rooms for better learning and working conditions"* and another noted the importance of "*Campus development with new and well equipped buildings for faculties and research labs".*

Another respondent noted the:

> *Merging of several faculties, introduce innovation awards or remunerations, finding passionate staff members who go for innovations (sic).*

8.4. Comments on the governance of innovation at HEI or national level

Response details

14 respondents answered the question, 33 skipped. This was an open-ended question.

Initial findings

Of the completed responses, some are conflicting to varying degrees.

Related to the previous question, responses to this question indicate a fraught relationship in some HEIs between the institution and government:

> *My HEI is very dependent on national programmes and incentives that unfortunately change each time the minister of education and/or higher education changes, which is quite often (18 to 24 months). This means that HEIs in my country tend to stay on a survival track scrounging for limited funds rather than prospecting future possibilities.*

However, another respondent notes contrastingly that:

> *governance is defined by statute offering little opportunity to innovate staff conditions strictly defined by teaching load and do not facilitate flexible delivery or other innovative provision.*

This shows a wide variation in the degree of involvement of government departments and ministers in different HEIs.

Also similar to the previous question, a further comment remarked about the need for further "academic freedom in creating study programmes, a process that is dynamic supported by governmental and EU funds aiming to increase quality of HE programmes

Finally, one respondent noted that "*there is an obvious need for re-designing the financing scheme of public HEIs"*, and in a similar fashion, another regarded what they see as the *"Critically low financing for HE in general in Latvia"* as *"the first issue to be solved"*.

APPENDIX 1 - METHODOLOGY

On 25th January 2014 at a meeting of the Governance and Adaptation to Innovative Modes of Higher Education Provision (GAIHE) consortium in Dublin, it was decided to implement a survey as part of the GAIHE project.

The survey is designed to generate evidence and to contribute to the development of evidence-based policy analysis to further understand the adaptation to, and role of, university management in the diffusion of innovative teaching and learning practices since 2008, by examining innovations and changes that have been conceived and implemented at European HEIs. The survey aims to gather evidence of how the leadership at European HEIs develop and strengthen their innovative capacity, as well as details of associated governance and management challenges.

The questions broadly ask: "how does the management of universities adapt to these innovations? What, if any, are the new modes of education provision? What is the role of university governance in establishing and regulating innovative modes of education provision? What are the motivations, barriers and drivers for innovative education provision?"

Determining the appropriate number and profile of participants for a given study is one of the most important parts of the survey development process[9]. The consortium decided to circulate the survey to representatives at 47 HEIs based in 8 countries. This selection was designed to provide a representative sample of European HEIs, accounting for size, institution type and geographical location, and individual GAHIE partners were tasked with helping to generate support and enthusiasm for the completion of the survey by appropriate respondents.

8.5. Survey Design and Circulation

The initial draft survey was created from 4-15 March 2014. A draft pilot survey was circulated to partner institutions, and feedback was sought. Appropriate amendments were made, and the survey was finalized, from 15-31 March 2014.

The survey was made up of 29 separate questions, comprised of a total of 129 sub-questions and was rendered on *SurveyMonkey*[10], and made available via weblink[11]. The survey was "open" and could be answered by anyone who received the weblink.

An identifier system was implemented to allocate a unique code to each question, category and variable of the survey (UIC) to allow for easy reference to

---

[9] M.P. Couper (2008) *Designing Effective Web Surveys* (Cambridge: Cambridge UP)

[10] http://www.surveymonkey.com

[11] https://www.surveymonkey.com/s/3NZN5HW

different parts of the survey. The coding for these UICs is found in Appendix 3 below.

As outlined above, the final survey was circulated on April 1st, April 8th, April 22nd, and April 29th 2014 to 47 potential respondents. An initial deadline was set (for April 18th), which was subsequently extended to May 2nd.

8.6. Survey Content

The survey began with two pages of instructions, where the respondents were advised that the survey should take no more than 20 minutes to complete, that it could be navigated via the "previous" and "next" button on each page, and that respondents could "exit" the survey at any time once it has been started (via the "exit survey" link in the top left hand corner), and could return to complete it at a later stage.

The survey was divided into 5 sections, namely:

- Innovations in the Modes of Education Provision
- Factors Linked with Innovation in Education Provision
- The impact of Innovation
- Future Challenges
- Institutional profile

A range of question-types were deployed in order to best capture the sentiments of the respondents, including both open-ended and close-ended formats[12].

Questions contained "instructions" that gave respondents information about how to answer the questions. Each question was optional, which meant respondents could skip individual questions.

Binary yes/no questions were used in some instances (questions 1.1, 3.1, 3.2, 3.3, 3.4, 4.1)[13].

A Likert scale was used to ask respondents to rank the significance of different variables on a scale ranging from lowest to highest (questions 2.1, 2.2, 2.3, and 2.4).

Some questions contained a matrix of choices where respondents were asked to choose from among a range of options in relation to a given variable (questions 1.2.1, 1.2.2, 1.2.3).

---

[12] H. Gunn (2002) "Web-based Surveys: Changing the Survey Process", *First Monday*, 7(12), http://dx.doi.org/10.5210/fm.v7i12.1014

[13] If respondents answer "no" to 3.1, they were automatically directed to section 4.

Comment/essay boxes were used in some instances to give respondents space to express their views, (questions 1.3, 1.4, 4.2, 4.3, and 4.4).

For several cases an "other" option was provided to allow respondents to provide further details if they wished (questions 1.2.1, 1.2.2, 1.2.3, 2.1, 2.2, 2.3, 2.4, 3.2, 3.3, 3.4)

Dropdown menus, text boxes, and matrices of choices (one answer per row) were used in section six to gather information about the profile of the respondents' institutions.

The survey was presented in a clear, systematic way that enables eligible participants to complete it using any compatible device at a time of their choosing. Each participant's responses were downloaded into a database so that the results could easily be manipulated and analyzed statistically[14] .

[14] K.E. Rudestam, *Surviving Your Dissertation: A Comprehensive Guide to Content and Process* (London: Sage, 2008)

APPENDIX 2 - SURVEY TEXT

Lifelong Learning Programme

PILOT SURVEY: Governance and adaptation to innovative modes of

Introduction

The GAHIE project seeks to gather evidence about how European higher education institutions (HEIs) develop and strengthen their innovative capacity, as well as the governance challenges associated with introducing and leading innovation.

For the purposes of this survey, an innovation is an IMPLEMENTED change with an increased ADDED value, replacing an existing product or production method.

Thus, this project looks specifically at:

• How HEIs innovate their modes of education provision, or introduce NEW ways to learn while respecting the quality of higher education;

• How HEIs enable and facilitate innovation, and the uses and impacts of these innovations.

The GAHIE project will generate evidence and will develop evidence-based policy analysis in order to better understand the adaptation to, and the role played by HEI leadership in, the diffusion of innovative teaching and learning practices and processes. It will also promote the diffusion of best practices in governing HEIs.

The study is being conducted by a consortium of HEIs from across Europe, with funding from the EU Lifelong Learning Programme. This questionnaire forms a vital part of the evidence-gathering part of the study, and seeks to gather the views of HEI leaders and senior administrators.

While you are asked to provide some information about your institutional profile, the anonymity of each institution will be respected in all resulting publications.

Please complete this questionnaire as soon as possible, and no later than FRIDAY, 18th APRIL 2014. If you have any questions, please do not hesitate to contact Mr Barry Colfer on GAIHE.survey@gmail.com.

Thank you very much for your interest and time.

Professor Ellen Hazelkorn, on behalf of the GAIHE Consortium

PILOT SURVEY: Governance and adaptation to innovative modes of

Completing the survey

The questionnaire asks five different sets of questions:

- Innovations in the Modes of Education Provision
- Factors Linked with Innovation in Education Provision
- The impact of Innovation
- Future Challenges
- Institutional profile

It should take approximately 20 minutes to complete.

To navigate between the pages, please use the PREV and NEXT buttons at the bottom of each page rather than the Back and Forward buttons of your internet browser toolbar.

If you cannot complete the survey in one sitting, you can click the EXIT SURVEY tab in the top right corner and your answers will be automatically saved. You must re-enter the survey from the same computer and you will be taken to the last question you answered and you will be able to amend questions that you have previously answered.

You are asked to indicate your replies by selecting the appropriate box(es) or by typing your answers into a text box.

Choices within questions do not reflect any particular priority or ordering.

To submit the completed survey, please click on the DONE button on the last page. After doing this you will be unable to edit your answers.

PILOT SURVEY: Governance and adaptation to innovative modes of

Section 1: Innovations in the Modes of Education Provision

This section asks about innovation in education provision in terms of programme organisation, curriculum delivery and the use of technology in the learning environment.

An innovation is taken to mean an IMPLEMENTED change with an increased ADDED value. In other words, changes in HOW learning takes place or the learning environment, and how it is ORGANISED, rather than WHAT is learned.

1.1 Has your HEI introduced any innovations in the organisation of education provision since 2008?

INSTRUCTIONS: If Yes – then answer questions below. If No – then go to Question 2.4

- ◯ YES
- ◯ NO

PILOT SURVEY: Governance and adaptation to innovative modes of

Section 1: Innovations in the Modes of Education Provision

1.2.1 What innovations in education provision has your HEI introduced in terms of PROGRAMME ORGANISATION?

INSTRUCTIONS: Please rate all items in the table on a scale of 0 – 3, where:

0 = Not introduced (No programmes)
1 = Module level (Some programmes)
2 = Programme level (Many programmes)
3 = Institutional level (All programmes)

	0 = Not introduced (No programmes)	1 = Module level (Some programmes)	2 = Programme level (Many programmes)	3 = Institutional level (All programmes)
Flexible Delivery and Assessment Options (e.g. new programme formats, weekend & part-time offerings, more project work & continuous assessment)	◯	◯	◯	◯
Module Choice within Programme	◯	◯	◯	◯
Module Choice across Disciplines	◯	◯	◯	◯
Engagement with External Communities Locally	◯	◯	◯	◯
Engagement with Other Institutions Internationally	◯	◯	◯	◯
Online Programmes	◯	◯	◯	◯
Year-Round Teaching with Introduction of Summer Semester	◯	◯	◯	◯
Block Teaching Terms	◯	◯	◯	◯
Membership of Global Teaching and Research Networks	◯	◯	◯	◯

Other (please specify)

PILOT SURVEY: Governance and adaptation to innovative modes of

1.2.2 What innovations in education provision has your HEI introduced in terms of CURRICULUM DELIVERY?

INSTRUCTIONS: Please rate all items in the table on a scale of 0 – 3, where:

0 = Not introduced (No programmes)
1 = Module level (Some programmes)
2 = Programme level (Many programmes)
3 = Institutional level (All programmes)

	0 = Not introduced (No programmes)	1 = Module level (Some programmes)	2 = Programme level (Many programmes)	3 = Institutional level (All programmes)
Problem-Based Learning (PBL) i.e. learning through the experience of problem solving	◯	◯	◯	◯
Research-Based Learning (RBL) i.e. focussing on the development of research skills	◯	◯	◯	◯
Inquiry-Based Learning (IBL) i.e. seeking information and knowledge by questioning	◯	◯	◯	◯
Outcome-Based Education (OBE) i.e. identifying what students will know and be able to do at the end of an educational process	◯	◯	◯	◯
Work-Based/Employment-Based Learning	◯	◯	◯	◯
Internship Programme or work experience or work placement	◯	◯	◯	◯
Compulsory Study Abroad/Erasmus	◯	◯	◯	◯
Student-Led Projects	◯	◯	◯	◯
Interdisciplinary Teaching/Courses	◯	◯	◯	◯
Competency Degrees i.e. emphasis being placed on specific knowledge and skills designed to accomplish certain tasks or to build the abilities to do so	◯	◯	◯	◯

Other (please specify)

PILOT SURVEY: Governance and adaptation to innovative modes of

1.2.3 What innovations in education provision has your HEI introduced in terms of the TECHNOLOGY ENRICHED LEARNING ENVIRONMENT?

INSTRUCTIONS: Please rate all items in the table on a scale of 0 – 3, where:

0 = Not introduced (No programmes)
1 = Module level (Some programmes)
2 = Programme level (Many programmes)
3 = Institutional level (All programmes)

	0 = Not introduced (No programmes)	1 = Module level (Some programmes)	2 = Programme level (Many programmes)	3 = Institutional level (All programmes)
Tablet or Mobile Device in Classroom and for Study	◯	◯	◯	◯
Online Learning Support	◯	◯	◯	◯
Social Media Learning Support	◯	◯	◯	◯
Online Courses, Including MOOCs (Massive Open Online Courses)	◯	◯	◯	◯
Open Access Resources/Materials	◯	◯	◯	◯
Flipped Classrooms/ Lecture Capture	◯	◯	◯	◯
Changes to the Learning Space/Classroom	◯	◯	◯	◯

Other (please specify)

1.3 Name the MOST SUCCESSFUL innovation introduced at your HEI. What factors contributed to its success?

1.4 Name the LEAST SUCCESSFUL innovation introduced at your HEI. What factors contributed to its lack of success?

PILOT SURVEY: Governance and adaptation to innovative modes of

Section 2: Factors Linked with Innovation in Education Provision

This section asks some questions about the factors driving or hindering change and innovations in education provision at your HEI since 2008.

2.1 To what extent are the factors below driving innovation in education provision at your HEI?

INSTRUCTIONS: Please rate all items in the table on a scale of 0 – 3, where:

0 = NOT a driving force for innovation
1 = A MINOR driving force for innovation
2 = A RELATIVELY STRONG driving force for innovation
3 = A VERY STRONG driving force for innovation

STATEMENT

	0 = NOT a driving force for innovation	1 = A MINOR driving force for innovation	2 = A RELATIVELY STRONG driving force for innovation	3 = A VERY STRONG driving force for innovation
Changes to the HE system, e.g. number, type and mission of institutions	◯	◯	◯	◯
Requirement for greater response to societal/economic needs and regional accessibility	◯	◯	◯	◯
Refinement of funding formula based more on attainment of results and outputs	◯	◯	◯	◯
Emphasis on efficiency and better use of resources	◯	◯	◯	◯
Increasing accountability accompanied by greater institutional and operational autonomy	◯	◯	◯	◯
Achievement of economies of scale and creating capacity or critical mass	◯	◯	◯	◯
Strengthening national Quality Assurance system to help boost country's international reputation	◯	◯	◯	◯
Enhance and improve learning outcomes, including graduation rates	◯	◯	◯	◯
Progressive internationalisation via the	◯	◯	◯	◯

PILOT SURVEY: Governance and adaptation to innovative modes of

expansion of exchange and foreign students and researchers				
Widening access and increasing participation to include new and mature learners, up-skilling and re-skilling opportunities	○	○	○	○
Growth in alternative education provision, such as for-profit, on-line, international providers	○	○	○	○

Other (please specify)

PILOT SURVEY: Governance and adaptation to innovative modes of

2.2 Who is responsible for leading innovation in education provision at your HEI, and to what degree are they responsible?

INSTRUCTIONS: Please rate all items in the table on a scale of 0 – 3, where:

0 = NOT AT ALL responsible for leading
1 = Responsible for leading in a MINOR way
2 = Responsible for leading in a RELATIVELY MORE SIGNIFICANT way
3 = Responsible for leading in a VERY SIGNIFICANT way

STATEMENT

	0 = NOT AT ALL responsible for leading innovations in education provision	1 = Responsible for leading in a MINOR way	2 = Responsible for leading in a RELATIVELY MORE SIGNIFICANT way	3 = Responsible for leading in a VERY SIGNIFICANT way
University governance body	◯	◯	◯	◯
Rector and senior leadership team	◯	◯	◯	◯
University teaching staff	◯	◯	◯	◯
Students of the university	◯	◯	◯	◯
University administrative staff	◯	◯	◯	◯
University library staff	◯	◯	◯	◯
National government/ministries	◯	◯	◯	◯
Regional/local external administrative body	◯	◯	◯	◯
Employers or Business leaders	◯	◯	◯	◯
General Public	◯	◯	◯	◯
Media	◯	◯	◯	◯

Other (please specify)

PILOT SURVEY: Governance and adaptation to innovative modes of

2.3 To what extent did the following factors facilitate and support innovation in educational provision at your HEI?"

INSTRUCTIONS: Please rate all items in the table on a scale of 0 – 3, where:

0 = Not at all used
1 = Used occasionally
2 = Used regularly, but not always
3 = Used always

STATEMENT

	0 = Not at all	1 = Occasionally	2 = Regularly, but not always	3 = Always
Government Financial support	◯	◯	◯	◯
Institutional Financial Support	◯	◯	◯	◯
Administrative support	◯	◯	◯	◯
Managerial support	◯	◯	◯	◯
Academic staff support	◯	◯	◯	◯
Changes in the organizational structure	◯	◯	◯	◯
Changes in management structure	◯	◯	◯	◯
Changes in governance structure	◯	◯	◯	◯
New technology	◯	◯	◯	◯
New process and procedures	◯	◯	◯	◯
Student support	◯	◯	◯	◯
External consultancy	◯	◯	◯	◯
Office dedicated to strategic/project management	◯	◯	◯	◯
Office dedicated to institutional research (collecting institutional data and/or measure performance)	◯	◯	◯	◯
Specialized training/development in change management	◯	◯	◯	◯
Changes in recruitment and/or appraisal of staff	◯	◯	◯	◯

Other (please specify)

PILOT SURVEY: Governance and adaptation to innovative modes of

Section 2: Factors Linked with Innovation in Education Provision

2.4 Which of these factors have INHIBITED or PREVENTED the introduction of innovations in education provision at your HEI?

INSTRUCTIONS: Please rate all items in the table on a scale of 0 – 3, where:

0 = Did not inhibit innovation at all
1 = Inhibited innovation to a limited extent
2 = Inhibited innovation to quite a large extent
3 = Inhibited innovation to a very large extent

STATEMENT	0 = Did not inhibit innovation at all	1 = Inhibited innovation to a limited extent	2 = Inhibited innovation to quite a large extent	3 = Inhibited innovation to a very large extent
Insufficient financial resources	◯	◯	◯	◯
Insufficient skilled personnel	◯	◯	◯	◯
Insufficient vision for innovativeness	◯	◯	◯	◯
Wrong type of internal communication in HEI	◯	◯	◯	◯
Human resource management (HRM) functions did not adequately support the change required	◯	◯	◯	◯
Lack of leadership to support/understand change required	◯	◯	◯	◯
Insufficient forward planning	◯	◯	◯	◯
Absence/insufficient control mechanisms	◯	◯	◯	◯
Academic staff resistance to change	◯	◯	◯	◯
Administration staff resistance to change	◯	◯	◯	◯
Student resistance to change	◯	◯	◯	◯
Atmosphere in workplace, interpersonal relations, behaviour of certain groups	◯	◯	◯	◯
Inadequate organisational structure	◯	◯	◯	◯

PILOT SURVEY: Governance and adaptation to innovative modes of

Other (please specify)

PILOT SURVEY: Governance and adaptation to innovative modes of

Section 3: The impact of Innovation

This section asks how innovations in education provision affected the governance model, organizational structure, and working conditions at your HEI?

3.1 Have the innovations in education provision led to any changes at your HEI?

INSTRUCTIONS: If No, please go to Section 4.

- ◯ YES
- ◯ NO

PILOT SURVEY: Governance and adaptation to innovative modes of

Section 3: The impact of Innovation

3.2 What are the impacts of innovation in education provision in regard to the GOVERNANCE STRUCTURE at your HEI?

INSTRUCTIONS: Please give Yes/No responses

	YES	NO
Updated or revised institution mission statement	◯	◯
Stronger managerial controls	◯	◯
Redefined role of Rector/President	◯	◯
Changed method of appointment/election of Rector/President	◯	◯
Strengthened role of senior management team	◯	◯
Decentralization – transfer of greater responsibility for decisions and budgets to faculty or school level	◯	◯
Accountability – increase accountability by faculty or school regarding decisions and budgets	◯	◯
Introduced new financial or resource allocation model(s) based on faculty/school performance	◯	◯
Greater emphasis on QA (Quality Assurance) guidelines addressing effectiveness, transparency and responsibility	◯	◯
Changes to the organizational structure in the overall HEI governance model	◯	◯
No changes made to the governance structure at my HEI	◯	◯

Other (please specify)

PILOT SURVEY: Governance and adaptation to innovative modes of

3.3 Have the innovations in education provision (teaching & learning) led to any changes in the overall ORGANISATIONAL STRUCTURE of your HEI?

INSTRUCTIONS: Please give Yes/No responses

	YES	NO
Merged with another institution in your region/country	○	○
Downsized/reduced the overall size of the HEI (e.g. number of fields or students)	○	○
Reduced the number of faculty/schools (e.g. merged or abolished faculty/schools)	○	○
Became more specialist (e.g. focusing on a smaller number of disciplines)	○	○
Established or made changes to administrative departments	○	○
Established or made changes to university library departments	○	○
Established new faculties, departments, or other educational units	○	○
Established new research units/research institutes	○	○
Established partnership(s) with other institution(s)	○	○
Introduced new positions in teaching staff	○	○
Introduced new positions in administration	○	○
Shared facilities or resources with other institutions	○	○
No changes made to organisational structure at my HEI	○	○

Other (please specify)

PILOT SURVEY: Governance and adaptation to innovative modes of

3.4 Have the innovations in education provision led to any changes to the WORKING CONDITIONS OR EXPECTATIONS OF ACADEMIC STAFF at your HEI?

INSTRUCTIONS: Please give Yes/No responses

	YES	NO
New performance and/or compensation criteria for the academic staff	◯	◯
Training/development for the academic staff to become more competent	◯	◯
Investments in the technology to support academic staff	◯	◯
Greater focus on ethical conduct of academic staff	◯	◯
Greater focus on gender equity within the academic staff	◯	◯
Greater emphasis on sharing information and knowledge between academic staff	◯	◯
Increase demands on the academic staff	◯	◯
Increased flexibility of the academic staff	◯	◯
Encouraged greater engagement and motivation	◯	◯
Strengthen importance of co-operation more between academic staff and the academic library and librarians	◯	◯
No changes made in relation to staff at my HEI	◯	◯

Other (please specify)

PILOT SURVEY: Governance and adaptation to innovative modes of

Section 4: Future Challenges

4.1 Perceptions of change and innovation in higher education

INSTRUCTIONS:

	Strongly Disagree	Disagree	Agree	Strongly Agree
European HE is one of the most innovative in the world	◯	◯	◯	◯
My HEI is one of the most innovative in Europe	◯	◯	◯	◯
Technology is crucial to ensuring innovation in teaching and learning in the future	◯	◯	◯	◯
Academic staff are the leaders of change/innovation in my HEI	◯	◯	◯	◯
Students are the leaders of change/innovation in my HEI	◯	◯	◯	◯
My HEI requires very significant change over the next 5 years	◯	◯	◯	◯
The pace of change affecting my HEI is too slow	◯	◯	◯	◯
Higher education is likely to be very different in 10 years	◯	◯	◯	◯
MOOCs are worth the hype – they make HE better	◯	◯	◯	◯
Blended learning i.e. a mixture of both online and traditional classroom components) is likely to be most beneficial to students	◯	◯	◯	◯
Curriculum should be altered to ensure students have more experience of practical knowledge, such as student-led projects and problem-based learning in my HEI	◯	◯	◯	◯
Academic staff do not receive sufficient support to improve and redesign their courses and/or teaching methods	◯	◯	◯	◯
Theory-intensive programmes are	◯	◯	◯	◯

PILOT SURVEY: Governance and adaptation to innovative modes of

particularly effective for developing thinking skills, and practice-intensive programmes are more effective for developing creativity, teamwork, and leadership skills.				
Online-learning is being introduced as a low-cost model	◯	◯	◯	◯
In the future, qualifications should be based on competency not years of study/ECTS	◯	◯	◯	◯

4.2 Please provide examples of your HEI's plans to foster innovation in education provision over next six years? Be specific about some particular strategies and goals.

4.3 Please indicate what changes, if any, your institution might like to introduce in terms of Governance structure, Organizational structure, and/or Working conditions (including HRM-related issues) to support innovation in education provision? Be specific about the particular strategies and goals for promotion of an innovative organizational culture at your HEI.

4.4 Would you like to make any other comments on the governance of innovation at your HEI, or in your country?

PILOT SURVEY: Governance and adaptation to innovative modes of

Section 5.: Institutional Profile

Name of institution:

Country:

Date of establishment:

Tick the most appropriate response

- ◯ Pre-1845
- ◯ 1850-1899
- ◯ 1900-1945
- ◯ 1945-1969
- ◯ 1970-2014

Description of type of institution:

Tick the most appropriate response

- ◯ Public
- ◯ Private

Description of type of institution:

Tick the most appropriate response

- ◯ Teaching-focused
- ◯ Research-focused
- ◯ Teaching and Research focused
- ◯ Research only
- ◯ Specialist (e.g. business, law, fine arts)

PILOT SURVEY: Governance and adaptation to innovative modes of

Range of degrees offered:

INSTRUCTIONS: please provide answers as PERCENTAGE (or best approximation) of annual graduates.

Please note that your answers must add up to 100%.

Bachelors	
Masters	
PhD	
Other	

How is your HEI funded?

INSTRUCTIONS: please provide answers as PERCENTAGE (or best approximation) of overall funding..

Please note that your answers must add up to 100%.

Ministry/State Budget	
Tuition fees and education contracts (including domestic and international students)	
Research grants and contracts	
Endowment and investment income	
Other income (including income from intellectual property right	

Is there a specific budget/funding allocation at your HEI for 'innovation' in teaching and learning. If so, please provide details.

- ◯ YES
- ◯ NO

Details if relevant

Contact email for person completing questionnaire

Please note: This information is only for background information; anonymity will be respected.

PILOT SURVEY: Governance and adaptation to innovative modes of

Please Indicate your current job role

- ◯ Rector
- ◯ Vice-rector
- ◯ Member of the management board
- ◯ Head of faculty
- ◯ Academic/teaching staff
- ◯ Administrative staff

Other (please specify)

6. Thank you

Thank you for participating in this survey. Your responses will make an important contribution to our understanding of the governance of innovation in higher education.

Would you be willing to be contacted for further information?

- ◯ YES
- ◯ NO

APPENDIX 3 – UIC IDENTIFIERS

QUESTION AND OPTIONS	*QA CODE*	*UNIQUE IDENTIFIER CODE*
SECTION 1: INNOVATIONS IN THE MODES OF EDUCATION PROVISION		
Q 1.1 Has your HEI introduced any innovations in the organization of education provision since 2008?	Q1.1	UIC 1
YES	A1.1.1	UIC 2
NO	A1.1.2	UIC 3
Q 1.2.1 What innovations in education provision has your HEI introduced in terms of PROGRAMME ORGANISATION?	Q1.2.1	UIC 4
Flexible Delivery and Assessment Options (e.g. new programme formats, weekend & part-time offerings, more project work & continuous assessment)	A1.2.1.1	UIC 5
Module Choice within Programme	A1.2.1.2	UIC 6
Module Choice across Disciplines	A1.2.1.3	UIC 7
Engagement with External Communities Locally	A1.2.1.4	UIC 8
Engagement with Other Institutions Internationally	A1.2.1.5	UIC 9
Online Programmes	A1.2.1.6	UIC 10
Year-Round Teaching with Introduction of Summer Semester	A1.2.1.7	UIC 11
Block Teaching Terms	A1.2.1.8	UIC 12
Membership of Global Teaching and Research Networks	A1.2.1.9	UIC 13
Q 1.2.2 What innovations in education provision has your HEI introduced in terms of CURRICULUM DELIVERY?	Q1.2.2	UIC 14
Problem-Based Learning (PBL) i.e. learning through the experience of problem solving	A1.2.2.1	UIC 15
Research-Based Learning (RBL) i.e. focusing on the development of research skills	A1.2.2.2	UIC 16
Inquiry-Based Learning (IBL) i.e. seeking information and knowledge by questioning	A1.2.2.3	UIC 17
Outcome-Based Education (OBE) i.e. Identifying what students will know and be able to do at the end of an educational process	A1.2.2.4	UIC 18
Work-Based/Employment-Based Learning	A1.2.2.5	UIC 19

Internship Programme or work experience or work placement	A1.2.2.6	UIC 20
Compulsory Study Abroad/Erasmus	A1.2.2.7	UIC 21
Student-Led Projects	A1.2.2.8	UIC 22
Interdisciplinary Teaching/Courses	A1.2.2.9	UIC 23
Competency Degrees i.e. emphasis being placed on specific knowledge and skills designed to accomplish certain tasks or to build the abilities to do so	A1.2.2.10	UIC 24
Q 1.2.3 What innovations in education provision has your HEI introduced in terms of the TECHNOLOGY ENRICHED LEARNING ENVIRONMENT?	Q1.2.3	UIC 25
Tablet or Mobile Device in Classroom and for Study	A1.2.3.1	UIC 26
Online Learning Support	A1.2.3.2	UIC 27
Social Media Learning Support	A1.2.3.3	UIC 28
Online Courses, Including MOOCs (Massive Open Online Courses)	A1.2.3.4	UIC 29
Open Access Resources/Materials	A1.2.3.5	UIC 30
Flipped Classrooms/ Lecture Capture	A1.2.3.6	UIC 31
Changes to the Learning Space/Classroom	A1.2.3.7	UIC 32
Q 1.3 Name the MOST SUCCESSFUL innovation introduced at your HEI. What factors contributed to its success?	Q1.3	UIC 33
Q. 1.4 Name the LEAST SUCCESSFUL innovation introduced at your HEI. What factors contributed to its lack of success?	Q1.4	UIC 34
SECTION 2: FACTORS LINKED WITH INNOVATION IN EDUCATION PROVISION		
Q. 2.1 To what extent are the factors below driving innovation in education provision at your HEI?	Q2.1	UIC 35
Changes to the HE system, e.g. number, type and mission of institutions	A2.1.1	UIC 36
Requirement for greater response to societal/economic needs and regional accessibility	A2.1.2	UIC 37
Refinement of funding formula based more on attainment of results and outputs	A2.1.3	UIC 38
Emphasis on efficiency and better use of resources	A2.1.4	UIC 39
Increasing accountability accompanied by greater institutional and operational autonomy	A2.1.5	UIC 40

Achievement of economies of scale and creating capacity or critical mass	A2.1.6	UIC 41
Strengthening national Quality Assurance system to help boost country's international reputation	A2.1.7	UIC 42
Enhance and improve learning outcomes, including graduation rates	A2.1.8	UIC 43
Progressive internationalization via the expansion of exchange and foreign students and researchers	A2.1.9	UIC 44
Widening access and increasing participation to include new and mature learners, up-skilling and re-skilling opportunities	A2.1.10	UIC 45
Growth in alternative education provision, such as for-profit, on-line, international providers	A2.1.11	UIC 45
Q 2.2 Who is responsible for leading innovation in education provision at your HEI, and to what degree are they responsible?	Q2.2	UIC 46
University governance body	A2.2.1	UIC 47
Rector and senior leadership team	A2.2.2	UIC 48
University teaching staff	A2.2.3	UIC 49
Students of the university	A2.2.4	UIC 50
University administrative staff	A2.2.5	UIC 51
University library staff	A2.2.6	UIC 52
National government/ministries	A2.2.7	UIC 53
Regional/local external administrative body	A2.2.8	UIC 54
Employers or Business leaders	A2.2.9	UIC 55
General Public	A2.2.10	UIC 56
Media	A2.2.11	UIC 57
Q2.3 To what extent did the following factors facilitate and support innovation in educational provision at your HEI?"	Q2.3	UIC 159
Government Financial support	A2.3.1	UIC 58
Institutional Financial Support	A2.3.2	UIC 59
Administrative support	A2.3.3	UIC 60
Managerial support	A2.3.4	UIC 61
Academic staff support	A2.3.5	UIC 62
Changes in the organizational structure	A2.3.6	UIC 63

Changes in management structure	A2.3.7	UIC 64
Changes in governance structure	A2.3.8	UIC 65
New technology	A2.3.9	UIC 66
New process and procedures	A2.3.10	UIC 67
Student support	A2.3.11	UIC 68
External consultancy	A2.3.12	UIC 69
Office dedicated to strategic/project management	A2.3.13	UIC 70
Office dedicated to institutional research (collecting institutional data and/or measure performance)	A2.3.14	UIC 71
Specialized training/development in change management	A2.3.15	UIC 72
Changes in recruitment and/or appraisal of staff	A2.3.16	UIC 73
Q 2.4 Which of these factors have INHIBITED or PREVENTED the introduction of innovations in education provision at your HEI?	Q2.4	UIC 74
Insufficient financial resources	A2.4.1	UIC 75
Insufficient skilled personnel	A2.4.2	UIC 76
Insufficient vision for innovativeness	A2.4.3	UIC 77
Wrong type of internal communication in HEI	A2.4.4	UIC 78
Human resource management (HRM) functions did not adequately support the change required	A2.4.5	UIC 79
Lack of leadership to support/understand change required	A2.4.6	UIC 80
Insufficient forward planning	A2.4.7	UIC 81
Absence/insufficient control mechanisms	A2.4.8	UIC 82
Academic staff resistance to change	A2.4.9	UIC 83
Administration staff resistance to change	A2.4.10	UIC 84
Student resistance to change	A2.4.11	UIC 85
Atmosphere in workplace, interpersonal relations, behaviour of certain groups	A2.4.12	UIC 86
Inadequate organizational structure	A2.4.13	UIC 87
SECTION 3: THE IMPACT OF INNOVATION		
Q 3.1 Have the innovations in education provision led to any changes at your HEI?	Q3.1	UIC 88
YES	A3.1.1	UIC 89
NO	A3.1.2	UIC 90

Q. 3.2 What are the impacts of innovation in education provision in regard to the GOVERNANCE STRUCTURE at your HEI?	Q3.2	UIC 91
Updated or revised institution mission statement	A3.2.1	UIC 92
Stronger managerial controls	A3.2.2	UIC 93
Redefined role of Rector/President	A3.2.3	UIC 94
Changed method of appointment/election of Rector/President	A3.2.4	UIC 95
Strengthened role of senior management team	A3.2.5	UIC 96
Decentralization – transfer of greater responsibility for decisions and budgets to faculty or school level	A3.2.6	UIC 97
Accountability – increase accountability by faculty or school regarding decisions and budgets	A3.2.7	UIC 98
Introduced new financial or resource allocation model(s) based on faculty/school performance	A3.2.8	UIC 99
Greater emphasis on QA (Quality Assurance) guidelines addressing effectiveness, transparency and responsibility	A3.2.9	UIC 100
Changes to the organizational structure in the overall HEI governance model	A3.2.10	UIC 101
No changes made to the governance structure at my HEI	A3.2.11	UIC 102
Q 3.3 Have the innovations in education provision (teaching & learning) led to any changes in the overall ORGANISATIONAL STRUCTURE of your HEI?	Q3.3	UIC 103
Merged with another institution in your region/country	A3.3.1	UIC 104
Downsized/reduced the overall size of the HEI (e.g. number of fields or students)	A3.3.2	UIC 105
Reduced the number of faculty/schools (e.g. merged or abolished faculty/schools)	A3.3.3	UIC 106
Became more specialist (e.g. focusing on a smaller number of disciplines)	A3.3.4	UIC 107
Established or made changes to administrative departments	A3.3.5	UIC 108
Established or made changes to university library departments	A3.3.6	UIC 109
Established new faculties, departments, or other educational units	A3.3.7	UIC 110
Established new research units/research institutes	A3.3.8	UIC 111
Established partnership(s) with other institution(s)	A3.3.9	UIC 112

Introduced new positions in teaching staff	A3.3.10	UIC 113
Introduced new positions in administration	A3.3.11	UIC 114
Shared facilities or resources with other institutions	A3.3.12	UIC 115
No changes made to organizational structure at my HEI	A3.3.13	UIC 116
Q 3.4 Have the innovations in education provision led to any changes to the WORKING CONDITIONS OR EXPECTATIONS OF ACADEMIC STAFF at your HEI?	Q3.4	UIC 117
New performance and/or compensation criteria for the academic staff	A3.4.1	UIC 118
Training/development for the academic staff to become more competent	A3.4.2	UIC 119
Investments in the technology to support academic staff	A3.4.3	UIC 120
Greater focus on ethical conduct of academic staff	A3.4.4	UIC 121
Greater focus on gender equity within the academic staff	A3.4.5	UIC 122
Greater emphasis on sharing information and knowledge between academic staff	A3.4.6	UIC 123
Increase demands on the academic staff	A3.4.7	UIC 124
Increased flexibility of the academic staff	A3.4.8	UIC 125
Encouraged greater engagement and motivation	A3.4.9	UIC 126
Strengthen importance of co-operation more between academic staff and the academic library and librarians	A3.4.10	UIC 127
No changes made in relation to staff at my HEI	A3.4.11	UIC 128
SECTION 4: FUTURE CHALLENGES		
Q 4.1 Perceptions of change and innovation in higher education	Q4.1	UIC 129
European HE is one of the most innovative in the world	A4.1.1	UIC 130
My HEI is one of the most innovative in Europe	A4.1.2	UIC 131
Technology is crucial to ensuring innovation in teaching and learning in the future	A4.1.3	UIC 132
Academic staff are the leaders of change/innovation in my HEI	A4.1.4	UIC133
Students are the leaders of change/innovation in my HEI	A4.1.5	UIC 134
My HEI requires very significant change over the next 5 years	A4.1.6	UIC 135
The pace of change affecting my HEI is too slow	A4.1.7	UIC 136
Higher education is likely to be very different in 10 years	A4.1.8	UIC 137

MOOCs are worth the hype – they make HE better	A4.1.9	UIC 138
Blended learning i.e. a mixture of both online and traditional classroom components) is likely to be most beneficial to students	A4.1.10	UIC 139
Curriculum should be altered to ensure students have more experience of practical knowledge, such as student-led projects and problem-based learning in my HEI	A4.1.11	UIC 140
Academic staff do not receive sufficient support to improve and redesign their courses and/or teaching methods	A4.1.12	UIC 141
Theory-intensive programmes are particularly effective for developing thinking skills, and practice-intensive programmes are more effective for developing creativity, teamwork, and leadership skills.	A4.1.13	UIC 142
Online-learning is being introduced as a low-cost model	A4.1.14	UIC 143
In the future, qualifications should be based on competency not years of study/ECTS	A4.1.15	UIC 144
Q. 4.2 Please provide examples of your HEI's plans to foster innovation in education provision over next six years? Be specific about some particular strategies and goals.	Q4.2	UIC 145
Q 4.3 Please indicate what changes, if any, your institution might like to introduce in terms of Governance structure, Organizational structure, and/or Working conditions (including HRM-related issues) to support innovation in education provision? Be specific about the particular strategies and goals for promotion of an innovative organizational culture at your HEI.	Q4.3	UIC 146
Q 4.4 Would you like to make any other comments on the governance of innovation at your HEI, or in your country?	Q4.4	UIC 147
SECTION 5: INSTITUTIONAL PROFILE		
Name of institution	Q5.1	UIC 148
Country	Q5.2	UIC 149
Date of establishment	Q5.3	UIC 150
Description of type of institution	Q5.4	UIC 151
Description of type of institution	Q5.5	UIC 152
Range of degrees offered	Q5.6	UIC 153

How is your HEI funded? INSTRUCTIONS: please provide answers as PERCENTAGE (or best approximation) of overall funding. Please note that your answers must add up to 100%.	Q5.7	UIC 154
Is there a specific budget/funding allocation at your HEI for 'innovation' in teaching and learning? If so, please provide details.	Q5.8	UIC 155
Contact email for person completing questionnaire Please note: This information is only for background information; anonymity will be respected.	Q5.9	UIC 156
Please Indicate your current job role	Q5.10	UIC 157
Thank you Thank you for participating in this survey. Your responses will make an important contribution to our understanding of the governance of innovation in higher education. Would you be willing to be contacted for further information?	Q5.11	UIC 158