INSTITUTIONAL CHALLENGES AND LEADERSHIP COMPETENCIES IN

CHINESE MINISTRY OF EDUCATION DIRECTED UNIVERSITIES IN

IMPLEMENTING THE 1999 CHINESE *ACTION SCHEME FOR*

INVIGORATING EDUCATION TOWARDS THE 21ST CENTURY

A Dissertation

by

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Submitted to the Office of Graduate Studies of
Texas A&M University
in partial fulfillment of the requirements for the degree of

DOCTOR OF PHILOSOPHY

December 2005

Major Subject: Educational Administration

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ABSTRACT

Institutional Challenges and Leadership Competencies in Chinese Ministry of Education

Directed Universities in Implementing the 1999 Chinese *Action Scheme for Invigorating*

Education Towards the 21st Century.

(December 2005)

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This study used the naturalistic inquiry method to explore the perceptions of the selected administrators from Chinese Ministry of Education Directed universities regarding what kind of institutional challenges their institutions confront and how their institutions function in the present, how their own roles have been affected by the changing situations they face in their own contexts, and consequently, what are the competencies that universities leaders will need in their universities in the near future. Special emphases are placed on the differences that exist in the challenges facing Chinese MOE directed universities located in differently geographical, cultural and economical contexts, and the differences among the perceptions of current university leaders, aspiring leaders, and retired university leaders regarding institutional challenges and leadership competencies.

In this study, eight kinds of challenges have been identified by selected Chinese university administrators. There are no substantial differences in perceptions of these eight kinds of challenges, for all these MOE-directed universities live in a similar policy environment; they are governed, funded and evaluated by the Ministry of Education. However, due to their personal background such as different ages, historical background and working experiences, they showed some differences in their perceptions more individually than as a group.

According to the respondents' reflections, the location of a university powerfully influences the university, positively or negatively. Being located in developed areas usually has a positive influence on a university. On the contrary, being located in undeveloped areas has a negative impact on a university.

There are four categories of leadership competencies identified by the respondents: personality and disposition, personal knowledge and skill, administrative competency, and social responsibility competency. It is not surprising that administrators from these universities did not show substantial differences in their perceptions of leadership competency because members of all the groups live in a similar policy environment. However, due to their personal background, they actually showed some differences in their perceptions as individuals rather than as a group.

The researcher found that university administrator training is absolutely necessary. However, the current training programs do not meet the demands, more needs to be done to improve the training programs through renewing training content and methods.

DEDICATION

To my dear husband Wang, Yaqi and my beloved daughter Xiaoxiao.

ACKNOWLEDGMENTS

I would like to thank and show my appreciation to the leaders and administrators from ten Chinese MOE-directed universities who enthusiastically participated in this study. They communicated with me so frankly and openly and showed me their eagerness, disappointments, and their dreams. Without their help, this study could never have been accomplished.

I want to acknowledge and express my gratitude to the chair of my committee, Dr. Bryan R. Cole. Dr. Cole always provided me mentorship and generosity throughout all my doctoral study period. He always encouraged me to try new things and trusted my judgments.

I would like to thank my committee members for their support, inspiration and guidance: Dr. Yvonna Lincoln, Dr. Homer Tolson, Dr. Jin Zhou, and a special thanks to Dr. Weihe Xie, who traveled from thousands miles away to attend my dissertation defense meeting and provided me with advice and guidance. All of your comments, observations, and suggestions have supported tremendously this study and the continuation for future research.

I also want to thank all my friends that encouraged and supported me through the years.

Finally, I gratefully acknowledge the important support received from the National Academy of Educational Administration of China.

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CHAPTER I

INTRODUCTION

During the transition in China that began in the 1980s, from a socialist planned economy system to a socialist market economy system, Chinese society has made significant changes in all aspects. To facilitate this transition, the Chinese government has initiated numerous reforms to its highly centralized higher education system.

On February 24, 1999, the Ministry of Education (MOE) formally promulgated the *Action Scheme for Invigorating Education Towards the 21st Century*. It was developed as an instrument for implementing the *Education Law of the People's Republic of China* and is an outgrowth of the *Guidelines for the Reform and Development of Education in China* promulgated by the Chinese Central Government in 1993. As a blueprint for cross-century educational reform and development in China, the *Action Scheme* made clear the objectives for the development of higher education in China from 2000 to 2010. Central to the *Action Scheme* for higher education are four key reform aspects—structural reform, institutional autonomy, the 211 Project and the 985 Project, and enrollment expansion (Ministry of Education, 1999a).

The former higher education system was very centralized and fragmented, with education provided by the central and local governments respectively and directly under their administration. There were too many single disciplinary higher education institutions and professional higher education institutions. Therefore, the structural

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The style and format for this dissertation follows that of *The Journal of Educational Research.*

reform of higher education has become a key factor for other higher education reforms as well. Guided by the principle of "joint-operation of institutions, readjustment of educational institutions and programs, collaboration between higher education institutions and research institutes and enterprises, and merging of institutions" (State Department, 1993), considerable restructuring has already occurred. From 1993-2002, 597 higher education institutions have been merged into 267 higher education institutions, 305 higher education institutions were directed by central ministries to shift into provincial governments' hands and 55 higher education institutions to the MOE's hand. A new two-level management system consisting of central and local governments has taken shape (Ministry of Education, 2004d).

In recognition of the inability of any governments, no matter how wise and prescient, to manage more than 2000 entities as diverse and complex as universities, the second reform outlined by the Action Scheme is to devolve more authority to the universities. On January 1, 1999, the Higher Education Law of the PRC was enacted. The law in particular emphasizes: "Higher education institutions should be oriented towards societal needs, operate autonomously according to law, and practice democratic management" so as to enlarge the institutional autonomy of higher education institutions (Standing Committee of National People's Congress，1998). In 2003, the MOE published a report that 146 higher education institutions have evaluation authority over their professor positions, and 117 higher education institutions have evaluation authority over their associate professor positions (Ministry of Education, 2003). This report represents a dramatic shift in the autonomy of these institutions.

In order to improve higher education quality in teaching and research, and to enhance higher education institutions' capabilities in knowledge innovation, the "211 Project" and "985 Project" were initiated. The "211 Project", started in l995, focuses on the priority development of a number of higher education institutions and fields of study. This project has already laid an important foundation for training creative and innovative talents and developing the state innovation system (Ministry of Education, 2001). The "985 Project", started in 1998, focuses on the priority development of several universities and key fields of study and raises them into the world-class university category (Ministry of Education, 2004f).

In order to satisfy social needs for higher education, the Action Scheme required that the following goals be achieved: 1) by the year 2000, 11% of 18-22 years-old population will enter higher education, 2) by the year 2010, this rate should approach 15% (Ministry of Education, 1999a). Actually, by the end of 2002, there were two thousand and three higher education institutions with a total enrollment of 16,000,000 students, and the enrollment rate of 18-22 years-old population in higher education approached 15%. By the year of 2003, the total enrollment of higher education institutions had increased to 19,000,000 with the enrollment rate of 18-22 years-old population in higher education reaching 17% (Ministry of Education, 2004d). The enrollment expansion has pushed Chinese higher education into providing mass higher education.

The pre-1980 university was much like a factory or a production unit. The job of the university leaders was to carry out central governmental directives. With the many reforms under way, universities are confronted with more and more challenges. As a

result, the job of university leaders is much more complex and they need new leadership competencies (Johnstone, 2002).

This study is based on the perceptions, opinions, and interpretations of Chinese higher education administrators regarding what kind of institutional challenges their institutions confront and how their institutions function in the present, how their own roles have been affected by the changing situations they face in their own contexts, and consequently, what the competencies are that universities leaders will need in their universities in the near future. Special emphases are placed on the differences that exist in the challenges facing the Chinese MOE-directed universities located in different geographical, cultural and economical contexts, and the differences among the perceptions of current university leaders, aspiring leaders, and retired university leaders regarding institutional challenges and leadership competencies.

Statement of the Problem

Among more than two thousand higher education institutions in China, there are only 72 higher education institutions that report directly to the Ministry of Education. However, these higher education institutions play the most important role in the Chinese higher education system. They are at the forefront of higher education reform.

Regarding the structural reform, from 1992-2003, 55 higher education institutions directed by ministries other than the MOE have been changed to the MOE-directed higher education institutions, and more than 40 MOE higher education institutions have been merged. This has resulted in 72 MOE research universities (Ministry of Education,

2004e). Regarding the institutional autonomy, a total of 72 universities have enjoyed a continually increasing autonomy. For instance, all MOE research universities have evaluation authority of their professors (Ministry of Education, 2003). Regarding the 211 Project and 985 Project, 57 MOE-directed universities are 211 Project members (Ministry of Education, 2001), and 32 MOE-directed universities are 985 Project members (Wu & Lu, 2004). Regarding the enrollment expansion, the MOE universities play key roles in Chinese higher education development. Thus, reforms outlined in the *Action Scheme* present great challenges for these universities and their leaders.

There has been no study on influences of various higher education reforms on university internal administration and their leadership competencies in China. In order to support and enhance the capacity of the MOE institutions to implement the reform and to take the lead in Chinese higher education, it is necessary to identify the critical institutional challenges brought on by the reforms and the competencies needed by institutional leadership to achieve the goals of the reforms.

Purpose of the Study

The purpose of this study was to determine the most significant challenges facing the Chinese MOE-directed universities in implementing the *1999 Action Scheme for Invigorating Education Towards the 21st Century* as perceived by selected administrators of MOE-directed universities.

A second purpose was to identify institutional leadership competencies that leaders in the MOE-directed universities need to lead these universities in implementing the

1999 Action Scheme for Invigorating Education Towards the 21st Century as perceived by selected administrators of MOE-directed universities.

Research Questions

    Five research questions guided this study.

1. What are the main challenges facing the Chinese MOE-directed universities in implementing *the Action Scheme for Invigorating Education Towards the 21st Century* as perceived by selected Chinese university administrators?

2. How do the geographical differences between/among the Chinese MOE-directed universities influence the challenges facing these universities?

3. What differences exist in perceptions of challenges facing the Chinese MOE-directed universities in implementing *the Action Scheme for Invigorating Education Towards the 21st Century* among current university leaders, aspiring leaders, and retired university leaders?

4. What leadership competencies are needed by higher education administrators to lead these universities in implementing *the Action Scheme for Invigorating Education Towards the 21st Century* as perceived by selected Chinese university administrators?

5. What differences exist in perceptions of institutional leadership competencies in implementing *the Action Scheme for Invigorating Education Towards the 21st Century* among current university leaders, aspiring leaders, and retired university leaders?

Operational Definitions

Institutional challenges Difficulties and opportunities presented to the MOE-directed universities' internal administration in the areas of organizational structure, academic affairs, research, student affairs, financial administration, and personnel affairs as a result of the *Action Scheme*. All these difficulties and opportunities that will facilitate or hinder a university's development are referred to as institutional challenges.

Institutional leadership competencies are conceived as complex structures of attributes, such as knowledge, values, skills, abilities and attitudes that the Chinese MOE-directed university leaders, such as president, vice president, or secretary and vice secretary of the Committee of Communist Party of University (CCPU) need in order to manage the challenges presented by the *Action Scheme* and the current Chinese higher education external and internal environments.

Chinese MOE-directed universities There are more than two thousand higher education institutions in China. Among them, only 72 institutions are directed by the Ministry of Education (Ministry of Education, 2004a). These universities are the key lead research universities in the whole higher education system of China. They have many similarities in their administrative structure.

Selected administrators 1) Administrators of the MOE-directed universities who were trainees of National Academy of Educational Administration (NAEA) *Seminar for Senior Leaders,* which is for senior leaders of higher education institutions and officials from local education authorities. 2) Administrators of MOE-directed universities who were trainees of NAEA *Seminar for Middle Administrators,* which is for middle-level

administrators from higher education institutions who are potential leaders of their institutions.

Current university leaders University level leadership including the president, vice president, and secretary or vice secretary of CCPU of MOE-directed universities.

Aspiring leaders Middle level administrators of Chinese MOE-directed universities, such as college deans, department heads, or executive office directors who are or were sent to NAEA training programs to prepare for promotion into university leadership positions.

Retired university leaders Administrators retired from president, vice president, and secretary or vice secretary of CCPU of MOE-directed universities.

Assumptions

This study is based on the following assumptions:

1. Structural reform, institutional autonomy, the 211 Project and the 985 Project, and enrollment expansion in the Chinese higher education system have brought great influences and challenges to the MOE-directed universities' internal administration.

2. The institutional challenges from these four reform aspects have challenged institutional leadership of these universities and institutional leaders have to develop new leadership competencies to deal with these challenges.

3. The respondents understand what was asked of them, would have the required information, and were willing to share their views openly and honestly with the

researcher.

4. Sufficient data can be collected to ensure adequate treatment of the questions that comprise the study.

Limitations

1. The researcher assumed that the respondents were willing to share their views openly and honestly with the researcher.

2. Chinese higher education is undergoing a period of transformation. Thus new institutional challenges and leadership competencies will continue to arise. This study will capture only a small part of this transformation.

3. Because the study will involve 10 MOE-directed universities in China, inferences cannot be made to the whole Chinese higher education system. While transferability is impossible to achieve in a qualitative study, the researcher has provided "thick description" (Lincoln & Guba, 1985, P316) to enable those interested in making a transfer to reach their own conclusions about whether this is a possibility.

4. Interview and documentary data in this research will be received and recorded in Chinese. Translation and interpretation of these data will be conducted by the researcher. Variability in data from translation error may influence the findings.

Significance Statement

1. The findings of this research will help policy makers get feedback from

practical administrators' perspectives regarding the *Action Scheme* reforms and their influences on the MOE-directed universities' administration, and may help them improve their future policy-making capacity.

2. The findings of this research will help the MOE-directed university administrators recognize institutional challenges facing them and clarify what kind of leadership competencies they need to develop, and will be further beneficial in assisting them to become capable of dealing with institutional challenges.

3. The findings of this research will help NAEA improve and strengthen its training programs for future trainees.

4. The comparison of perceptions among current university leaders, aspiring leaders and retired leaders regarding institutional challenges and leadership competencies will help university administrators understand multiple, constructed and holistic realities (Lincoln & Guba, 1985, p.37) of institutional challenges and leadership competencies through multiple perspectives of past leaders' lessons, current leaders' experiences, and future leaders' vision.

5. This research is considered as a basic study for Chinese higher education leadership research. The findings of the research will be very important references for the researcher to develop new questionnaires or revise current western questionnaires for further Chinese higher education leadership research.

Contents of the Study

This study consists of five chapters. Chapter I is an introduction of the problem. Chapter II includes a review of literature which 1) describes the Chinese higher education system historically and currently, 2) introduces the role and competencies of higher education administrators in their unique Chinese context, 3) provides an international as well as a domestic perspective of higher education challenges and administrator competencies. The methodology used in the study is described in Chapter III. Chapter IV is the report of the data analysis from the interview of the selected higher education institutions and their administrators studied, and also from observations and analysis of documents made during the research trips. In addition, it includes a thick description of campuses and participants in the study. The last chapter includes a summary of the findings as well as conclusions, implications, and recommendations for further research.

CHAPTER II

REVIEW OF LITERATURE

The historical development of the Chinese higher education system will first be described by outlining the influence of Chinese centuries-old history. Furthermore, some of the political, economic, and cultural factors that affect Chinese higher education institutions will be explained to provide an understanding of the challenges that Chinese higher education institutions confront. In addition, the environmental influences on Chinese higher education and their administration and the challenges they present will be addressed.

Historical Review of Chinese Higher Education

Traditional Education Period (770 B.C. Zhou Dynasty--- 1842 A.D. Qing Dynasty)

Chinese higher education has a long tradition. Ancient Chinese higher education dates back three thousand years, to the Zhou Dynasty, and flourished in the Han Dynasty, two thousand years ago. During that period, a system of formal higher education in China was called "taixue"（太学）, which meant highest institution of learning (Qu, 1993). Throughout this period, education was the privilege of the elite few, and for the most part existed for no other purpose than to produce government officials. Early on, the curriculum centered on the so-called "Six Arts": Rites, Music, Archery, Chariot-Riding, History, and Mathematics (Qu, 1993). The purposes and content of higher education were similar to ancient Greek and Roman eras of higher education, which was the origin of Western higher education.

However, based on the teachings of Confucius (551-479 B.C.)，during the Spring and Autumn and Warring States periods (770-221 B.C.), the curriculum gradually gave way to one based on The Four Books and The Five Classics. The Four Books are *the Analects of Confucius, Mencius, the Great Learning* and *The Doctrine of the Mean*. The Five Classics include *the Book of Odes, the Book of Documents, the Book of Rites, the Book of Change* and *the Spring and Autumn Annals* (Qu, 1993). These works outlined the principles of society and government, as well as codes for personal conduct, and collectively defined Confucian philosophy, which exerted a fundamental influence on virtually all aspects of life, and certainly on education, at least until the Liberation and ascent to power by the Communists in 1949. The imperial government had an active hand in education through its administering the various levels of the imperial or civil service examinations called Keju (科举), which were used for the selection of imperial officers. The exams themselves consisted of essay questions that tested the candidate's understanding of Confucius' teachings. The students could prepare for these examinations by enrolling in the private institutions of higher education of the say, the *shuyuan*（书院），which existed for no other reason than to prepare students for the civil service examinations. Shuyuan was one form of private education in Chinese higher education history. During the Tang Dynasty (619-907), Shuyuan had started to appear, and persisted all the way through to the late Qing Dynasty (1636-1911) (Hao & Long, 2000).

Shaping Period of Modern Chinese Higher Education (1842 to 1922)

Throughout the thousands of years of imperial rule, even as one dynasty gave way to the next, the Chinese were steadfast in their belief that socially and intellectually they had no peers, especially as compared with Western cultures. However, with the humiliating defeat at the hands of the British in the Opium War (1840-1842), the Chinese were forced to grudgingly re-evaluate their dominance, at least in the areas of science and technology (Qu, 1993). Before this, China had been such a self-contained nation that it was reluctant to open to the world. Now the door was open. Chinese people began to accept, with great agony, the backwardness in their national development level. Various endeavors were made to save the nation. Education modernization was among the most important attempts.

Following the defeat in the Opium War and the ensuing cessation of Hong Kong to Great Britain, Western education gradually began to take root in China, for the most part through schools founded by Christian missionaries. While the majority of Chinese gentry looked upon these developments with a sense of humiliation and extreme suspicion, a few more pragmatic and liberal-minded officials saw the opportunity for a balanced approach to education, where Confucian classics would continue to form the core, augmented by a component of Western technology. They began to found many new language schools, military schools and technological schools to educate some students with new technological and language skills. Jingshi Tong Wen School was the first modern school founded by Qing government in 1862, which taught foreign languages (Wang, Guo &Liu, 1985).

With the defeat in the Sino-Japanese War in 1895, the Chinese senior officials had a one-hundred-day political reformation, called "Wu Xu Bian Fa". It was quickly defeated by the conservatives. The only result of this reformation was Jing Shi Da Xue Tang (the Metropolitan University) of the Qing Dynasty, which opened in December 1898. This university was the first modern university founded by the government. The University was then not only the most prestigious institution of higher learning but also the highest administrative organization of education in China. In May 1912, the Metropolitan University was renamed "Peking University". In 1917, its presidency was taken up by Mr. Cai Yuanpei, an outstanding scientist, educationist and democratic revolutionary, who played an active role in the reform and development of the university. By 1919, the university developed into the country's largest institution of higher learning, with 14 departments and an enrollment of more than 2,000 students. Many historians see the foundation of Peking University as the emergence of modern Chinese higher education (Wang, Guo &Liu, 1985).

In 1905, the civil service examination system was dismantled, and a series of reform measures were issued by the Qing Dynasty court calling for the old academies to be reorganized into a modern system of primary, secondary and tertiary levels of education, to be based on Western models (Wang, Guo &Liu, 1985).

Shortly thereafter, in 1911, the Qing Dynasty itself was overthrown in the bourgeois revolution, and a Republican form of government was established (Wang, Guo &Liu, 1985). By this time, there were already European, American and Japanese educational models on Chinese soil. Because of Japan's successful adaptation, their system was tried

first, implemented by a large number of Japanese-trained Chinese scholars. During the chaotic warlord period of the early 1920s, this gradually gave way to a system more closely patterned on American models. In 1922, the Kuomingtang government enacted a new educational system, and built up a regular educational system from kindergarten to higher education. Historians usually see it as the mark of the formation of modern Chinese higher education (Wang, Guo &Liu, 1985; Qu, 1993). In summary, the modern Chinese higher education system is the result of learning from and interaction with other countries.

Reconstruction of Higher Education System in People's Republic of China (1949-1976)

After the founding of the People's Republic of China in 1949, governments and the Communist Party of China at various levels attached more and more importance to the development of higher education. In 1949, there were 205 institutions of higher education and 117,000 students on campus (Wu & Yian, 2001).

At that time, a new educational system-- the Soviet Model was imported. As before, the motivation was driven by technological needs, and the Soviet Union was now held as the new prototype for success. China learned from the Soviet Union in a comprehensive manner and copied its educational system, education content, teaching methods, curriculum, and examination system (Liu, 2001b). Most of the energy during this period was devoted to developing and restructuring higher education. As a result of this restructuring, the number of comprehensive universities diminished, while the number of specialized colleges showed a significant increase. Higher education institutions were

classified according to disciplines. Except for a few that still kept several disciplines, a vast majority of institutions had only one discipline. Universities and colleges were divided into 12 types including liberal arts and science (also called general university), engineering, agriculture, forestry, medical, teacher training, languages, finance and economics, politics and law, arts, sports, and ethics. Usually liberal arts and science institutions or institutions with more than three disciplines were called a university, and one-discipline institutions were called colleges. The Ministry of Higher Education was given a stronger role in overseeing the administration of the comprehensive and polytechnic universities, as well as the teacher-training institutions (Wu, 2002).

Unfortunately, by 1961, China suffered political movements, natural disasters and the breaking of relations with the Soviet Union that thwarted further progress of Chinese higher education. In 1966, the Cultural Revolution began, and it proclaimed that bourgeois intellectuals had controlled education. Through this revolution, campuses were controlled in turn by propaganda teams of Red Guards, soldiers from the People's Liberation Army, and finally workers and peasants. Primary education was shortened from six years to five or even four years. The secondary schools (including junior and senior secondary) likewise shortened their programs, from six years to as few as three years. The curriculum was reconstituted so as to conform to practical needs, resulting in the elimination of coursework in such subjects as history, geography or literature. Even such core science subjects as physics and chemistry gave way to courses in industrial skills. Upon graduation, middle school students were sent to the countryside "to learn from the workers, peasants, and soldiers." This was in response to Secretary Mao's call--

--"Go up to the mountain and down to the countryside". In June of 1966, the system of university entrance examinations was halted. However, few colleges and universities admitted new students until the early 1970s, and selection of students was based on political virtue. Those from families of workers, peasants or soldiers were deemed the most "virtuous," and were among the first admitted (Wu & Yang, 1989).

In all, the period of the Cultural Revolution was a very disruptive one for Chinese society in general and its education in particular. The educational infrastructure was decimated as a result of the revolution struggles.

Rehabilitation and Reform in Higher Education (1976-1999)

In 1976, with the ascension to power by Xiaoping Deng, the Cultural Revolution finally ended. The educational policies reverted to those that had been initiated during the early 1960s. The guiding principle was to bring about educational reforms to realize the "Four Modernizations," viz., significant advances in the areas of agriculture, industry, national defense, and science and technology.

The process of regularization in the schools was resumed, whereby academic standards were reintroduced at all academic levels. One of the first changes in higher education after the end of the Cultural Revolution was the restoration of the national unified college entrance exams in 1977. Further reform borrowed heavily from two important documents of the early 1960s: the "Decision on Unifying Management in the Higher Education System," and the "Sixty Articles of Higher Education." Very briefly stated, the former document was a regularization decree inasmuch as it called for the

setting of academic standards, and empowered the Ministry of Education as the final authority and facilitator. The second document was a resolution that the institutions of higher education were to train the experts needed for socialist construction. The definitive reformulation of these earlier decrees came in 1985 with the *Reform of China's Educational Structure: Decision of the CPC Central Committee*. This has been the guiding document of reform since then.

The Chinese economic system used to be very highly centralized and was called a centrally planned economic system. To adapt to that, the former higher education system was also centralized, with education provided by the central and local governments respectively and directly under their administration. The overall reform of China's political and economic system started with the introduction of free market mechanisms in the late 1970's. Following these political and economic changes of society, the Chinese higher education system entered into its reform era.

The reforms of higher education consisted of five parts: reforms of education management, investment, recruitment and job-placement, and the inner-institute management, among which management reform was the most important and difficult. The overall objectives of higher education reform were to smooth the relationship among government, society and higher education institutions, setting up and perfecting a new system in which the state was responsible for the overall planning and macro management while the higher education institutions followed the laws and enjoyed the autonomy to provide education according to the needs of the society (State Department, 1993).

After several years, structural reform of higher education had accomplished a great deal. The old system in which the government undertook the establishment of all higher education institutions had been broken, and a new system in which the government assumed the main responsibility with the active participation of society and individuals had taken shape. The development of higher education institutions based on social forces are fully encouraged and supported.

In 1998, there were all together 1,984 higher education institutions, of which 1,022 were regular higher education institutions and the other 962 were higher education institutions for adults. From 1990 to 1998, the number of college students and university students increased from 3,729,000 to 6,231,000, and graduate students increased from 93,000 to 198, 900 (Ministry of Education, 1999b).

In 1999, the Third National Educational Work Conference made a significant decision about Chinese higher education development to increase the higher education enrollment rate to 15 percent by 2005. This policy represents the primary influence of politics on higher education development. This influence is still shaping a more effective and modern higher education system.

On February 24, 1999, the Ministry of Education (Ministry of Education) formally promulgated the *Action Scheme for Invigorating Education towards the 21st Century*. It was developed as an instrument for implementing the *Education Law of the People's Republic of China* and is an outgrowth of the *Guidelines for the Reform and Development of Education in China* promulgated by the Chinese Central Government in 1993. As a blueprint for cross-century educational reform and development in China, the

Action Scheme made clear the objectives for the development of higher education in China from 2000 to 2010.

Only time will be the final arbiter as to whether China has found a workable formula for its educational system. However, China is part of the international community, and developments in China's educational system will have an increasingly profound influence on the other systems of the world, just as so many of them have influenced the present Chinese system of education.

The Context of Higher Education in China

Chester Barnard and Herbert Simon hold the view that organizations are not only influenced by environments, but also dependent on them (Hoy and Miskel, 2001). Chinese scholars (Zheng & Xue, 1988) also pointed out that political, economic, cultural, demographic and geographic conditions in the society and environment always influence education and its organization. On the other hand, education, especially higher education, affects the development of politics, economy, technology, and culture. Rowley (1997) considered that researches of contexts could help people acquire a better understanding of the studied institutions and their leaders. In this section, an extensive description of Chinese higher education context will be given to help understand the environment in which the institutions and their administrators live.

Political Context and Policy Environment

Among all the factors influencing higher education, politics is the first element to

influence higher education policy. During its centuries-old history, Chinese higher education has never escaped political influence. In ancient times, the higher education examination system was the one and only method for the selection of imperial officers. In its early modern time, Chinese higher education was the main way to save the nation from its scientific and technological lag and invasion by the Western world. Since the founding of the People's Republic of China in 1949, higher education has become one of the primary ways to construct a socialist society. In essence, the basic purpose of Chinese higher education was to serve the development of the country and meet the needs of the industrialization of the country. "Higher education was no longer taken as a means by which people sought their own highest development, but an instrument of the country designed to provide the personnel needed for national construction. Universities had become training centers for professional engineers and skilled technicians rather than places of learning where knowledge is pursued for its own sake" (Hsu, 1964).

Political movements exerted great negative influence on Chinese higher education. During the 1950s to 1970s, unceasing political movements, such as the "Anti-Rightists Movement", the 'Great Leap Forward" and the "Cultural Revolution", the development of Chinese higher education experienced abrupt ups and downs in its development. The college entrance examination system was abolished at the beginning of the Cultural Revolution. The leadership in higher education institutions was paralyzed during the Cultural Revolution and was replaced by factory workers and men from the People's Liberation Army. The Ministry of Higher Education was disassembled in 1966. The number of higher education institutions was greatly reduced from 434 in 1965 to 328 in

1971. The length of schooling in higher education was also significantly shortened, with four to six year undergraduate programs shortened to two to three years. Chinese higher education lost at least 100,000 post-graduates and 1,000,000 graduates during this decade (Wu & Yang, 1989).

A CPC (Communist Party of China) document in 1985 summarized the problems of Chinese higher education during this decade: "for many years since the late 1950s, due to the Party's failure to shift focus to economic development and the influence of the 'Left' theory that stressed 'class struggle as the key link', education was not given the prominence it deserves. Instead, it was constantly disrupted by 'Left' political movements. The 'Left' error reached its culmination in the years of the Cultural Revolution, when the need for knowledge was negated and education abolished. As a consequence, the Chinese educational cause was seriously damaged and large numbers of educational workers were bitterly persecuted. The education of a whole generation of young people was disrupted, and the educational gap between China and developed countries, which had been narrowing, widened again" (Shanghai Educational Committee, 1998, p4). Political movements, especially the Cultural Revolution brought about the historical tragedy of an abrupt halt of education and the desolation of education, bringing disastrous consequences to its higher education business.

On the other hand, the changes in politics and its influence on higher education policy environment have had a positive impact on Chinese higher education development. In 1977, the Cultural Revolution ended and the college entrance examination system was resumed. Higher education in China stepped into a new phase

of development. In December 1978, the Third Plenary Session of the 11th Central Committee of the CPC announced that the Party's work would be shifted to socialist modernization (Yang, 2001b). Since then, tremendous economic reform throughout the country has taken place.

The pre-Premier, Deng Xiaoping (1984) pointed out that "education must meet the requirement of our country's economic development" (p.123). "The key to achieving modernization is the development of science and technology", and "unless we pay special attention to education, it will be impossible to develop science and technology"(p.53). He further set the direction of Chinese education reform as that "education must look to modernization, the world, and the future" (Yang, 2001a).

In May, 1985, a remarkably important education policy document, entitled *Reform of China's Educational Structure*, was released by the Communist Party of China. It paved the way for Chinese higher education reform. In this document, the tasks of Chinese higher education are set forth, "institutions of higher education are charged with the important tasks of training advanced specialized personnel and of developing science, technology and culture", and "the key to restructuring higher education lies in eliminating excessive government control over the institutions of higher education" (Shanghai Educational Committee, 1998).

In March 1993, another important education policy document, entitled *Program for China's Educational Reform and Development,* was issued by the State Council. It marked the second wave of education reform. The program suggested that "a far-sighted view is urgently needed to map out China's education plan and to meet the challenge of

the next century". The ongoing education reform will be "driven by the need for an educational system that, instead of reflecting a planned economy, matches a socialist market economy and its accompanying political and technological change" (Shanghai Educational Committee, 1998).

In 1995, the National People's Congress passed the *Education Law of the People's Republic of China.* This Law codified many of the previous policies and decrees, especially those of 1985 mentioned above. The *Law* shows a clear commitment to a universal education, as well as to one that will produce both scholar/scientists and skilled laborers.

In 1999, the Chinese Higher Education Law was enacted and set out that: "In developing socialist higher education, the State adheres to Marxism-Leninism, Mao Zedong Thought and Deng Xiaoping Theory as its guide and follows the basic principles laid down in the Constitution". "Higher education shall be conducted in adherence to the educational principles of the State, in the service of the socialist modernization drive and in combination with productive labor, in order that the educatees shall become builders and successors for the socialist cause who are developed in an all-round way, morally, intellectually and physically". "The task of higher education is to train people to become senior specialists imbued with the spirit of creativeness and the ability of practice, to develop science, technology and culture and to promote the socialist modernization drive." (Standing Committee of National People's Congress, 1998)

In 1999, the Fifteenth National Congress of the Communist Party of China set the grandiose goals and trans-century task of socialist modernization, and mapped out the

overall plan for implementing the strategies for invigorating China through science and education. To fulfill the task and achieve the goal set by the Fifteenth National Party Congress to implement the strategy for invigorating China through science and education, the Ministry of Education formally promulgated the *Action Scheme for Invigorating Education towards the 21st Century* as a blueprint for 2000 to 2010 educational reform and development in China.

All these policies and laws from the Chinese Central Government and the National Congress of Communist Party have tremendously and powerfully impacted Chinese higher education development in this decade. Besides these negative and positive influences from political movements and reforms, the political context has given Chinese higher education a very unique characteristic— a dual leadership system in institutional administration.

China is under the leadership of the Communist Party of China; the Party assumes absolute control over decision-making at all levels in the country. Chinese higher education is no exception. Almost all universities and colleges have the same administration system: a president responsible under the leadership of the Party Committee. In other words, there is a dual administration system—a Party Committee system and an executive system in higher education, starting with the Party Group in the Ministry of Education at the top down to the Party branches in an institution's department on the bottom. In a university, the political governing body is the CPC university committee, while the administrative body is the university council (Han, 1993). Each has a separate organizational system. The executive mechanism alone

consists of 10, or even 20 departments and offices; The Party Committee system consists of the office of the Party Committee, organizational department, propaganda department, United Front Work Department and commission for inspecting discipline, youth leagues and labor unions. In every college or department, there is also a sub-committee of the Party committee.

Article 39 of The Higher Education Law of China addresses**: "**In higher education institutions run by the State, the system shall be applied under which the presidents take over-all responsibility under the leadership of the primary committees of the Communist Party of China in higher education institutions. Such committees shall, in accordance with the Constitution of the Chinese Communist Party and relevant regulations, exercise unified leadership over the work of the institutions and support the presidents in exercising their functions and powers independently and responsibly. In exercising leadership, the committees shall chiefly perform the following duties: to adhere to the guidelines, principles and policies of the Chinese Communist Party, to keep to the socialist orientation in running the schools, to provide guidance to ideological and political work and moral education in the institutions, to discuss and decide on the internal structure and directors of departments of the institutions, reform, development and basic management systems of the institutions and other important matters, and to ensure fulfillment of all the tasks centering on the training of students" (Standing Committee of National People's Congress, 1998).

In theory, the Party Committee sets out principles for the higher education management system, whose duty includes strategy planning, supervising cadre and

making personnel policy and making important decisions. The task of the Standing Party Committee at each university is to ensure that the Party guidelines for the university are followed, and to be responsible for the political education of university administrators, faculty and staff, and students. The executive system is responsible for operational administration. The role of the Party in the university executive administration was defined as one of supporting and monitoring the president and the administration in implementing the governmental and the Party's policies. In practice however, the distinction between the two systems are blurred. Problems in schools or departments cannot be solved unless the president and the chair of the Party Committee, or the deans of each department and the chair of each branch Party Committee are on good terms, or unless they can reach a common agreement. Otherwise, numerous conflicts occur. Sometimes important decision-making is delayed, or opportunities for development are missed.

This dual leadership system is the unique characteristic that the Chinese political context marks on the Chinese higher education system. Under an expanded international and market-economic environment, it becomes one of the challenges that higher education institutions and their administrators have to confront and to resolve. This will be further addressed in Chapter IV.

Economic Context and Policy Environment

The economic system and economic development level are also major elements influencing higher education policy. Social and economic prosperity is the basis for

higher education development. With the coming of the knowledge economy, the intimacy between higher education and the economy will be unprecedented and could be the center of the economy as well as of the whole society. At the moment that the new century was dawning, Zemin Jiang (Jiang, 2002), the former President of China, pointed out that: "In today's world, scientific and technological progress marked by the advancement of information techno1ogy happens with each passing day. The speed at which high-tech achievements transform into actual productive forces has become even faster. The emerging knowledge economy foretells the coming of new and enormous changes in the socio-economic life of mankind" (Ministry of Education, 1999a). Since the knowledge economy with high-tech at the core will dominate, the comprehensive strength and international competitiveness of the nation will increasingly depend on the level of educational development and innovation in science and technology and knowledge, and educational development must remain a strategic priority.

Higher education development and economic development complement each other. The history of Chinese higher education development reveals that the speed and dimension depend much on economic development: higher education development will slow down if economic development lags behind. Further, higher education development will move faster if economic development speeds up. In the 1950s-1970s, because of political movements and their damage to the Chinese economy, the general scale of education, especially higher education was very limited. After several decades of rapid economic development, especially after the reform and opening-up of the 1980s, higher education made great progress in all aspects. In 2000, college student and junior college

student enrollment was 77 times higher than that of 1949 (Wang, 2002b).

In addition, the Chinese economic system and its reform have made their distinct marks on Chinese higher education. In the past half century, the Chinese economic system experienced construction of a socialist planned economy system and then shifted to a market-oriented and socialist economy system. The Chinese higher education system has been strongly influenced by the economic reforms.

Since 1949, the People's Republic of China began to construct a socialist country following the Soviet Union model with a centrally planned economic system. Under this system, all economic activities were arranged and controlled by the central government according to strict planning. Higher education institutions were viewed as a subordinate part of government. Thus it was also centralized, with education provided by the central and local governments respectively and directly under their administration. In 1952, higher education reorganization included institutional restructuring, innovation in instructional approach, and unified enrollment and graduates' job assignment system (Wu & Yang, 1989). In order to support the socialist central planning economy, the Chinese higher education system changed into a central planning system. Under this system, all higher education institutions were under the direct leadership of the government, implementing unitary instructional plans, course syllabi and textbooks in all the colleges and universities throughout the country, and the enrollment and graduates job assignment were unified according to the centralized national planning, so that higher education could best serve the centrally planned manpower needs. The government was not only responsible for running all higher education institutions, but

also for covering student costs of tuitions and fees, medical care, and partial living expenses (Hao, 1995).

The 1952 reorganization marked the completion of government control over Chinese higher education. However, the structure and administrative pattern of Chinese higher education remained very much the same until mid-1980. The disadvantages of this system were that the state undertook too much responsibility and the schools lacked the flexibility and autonomy to provide education according to the needs of the society. With central departments and local governments providing education separately, the structure of education was irrational and segmented. There was a considerable amount of overlap in institutions' missions and their academic programs. With the disciplines overlapping, the already limited resources could not be efficiently allocated and utilized. This created a large amount of waste. Consequently, the reform of higher education has become a key for Chinese higher education development.

The overall reform of China's political and economic system started in the late 1970's, focusing on the transition of the planned economy to the socialist market economy. The new economic system was described as placing the market mechanism in a key position to distribute all social resources. Under this system, the government would no longer interfere with enterprise operation. The old way of governing the higher education system could not fit into the development of the new economic system. The rigid administrative control over universities and colleges hampered the development of Chinese higher education.

The Reform of China's Educational Structure of 1985 set out that "Decision-making power should be extended for colleges and universities. So long as State policies and decrees are executed and State plans fulfilled, institutions of higher education should have the power to accept commissions for training students and enroll self-supporting students outside State plans, to redefine the goals of different specialties, draw up teaching plans and syllabi, compile and select teaching materials, accept commissions, cooperate with other units scientific research and technological development and form associations for teaching, scientific research and production, appoint or remove vice president and other officials at various levels, decide how to use the funds allocated by the state for capital construction and other purposes, use the funds collected by themselves for educational and academic exchanges with other countries and so on" (Shanghai Educational Committee, 1998, pp.11).

The 1980s' witnessed a diversification in sources of funding for higher education in China, which developed even more rapidly in the 1990s'. It included tuition fees, income from sales and services, as well as other funds, in addition to government appropriation. With the rapid expansion of higher education, government appropriated funds for higher education could hardly keep up with its expansion. There was a move to diversify sources of funding for Chinese higher education in the 1980s' due to government financial difficulties. Now the pattern of diversified sources has taken shape and raises new requirements for the Chinese higher education administration system. The government is no longer the only resource and the only client; higher education also needs to satisfy its other clients (Qi & Chen, 1996).

The *Program for China's Educational Reform and Development* of 1993 noted that higher education needed to reform its enrollment and the graduates' job placement systems. "With the establishment of the socialist market economy system and the reform of labor and personnel system, most graduates will gain jobs from labor markets through their own skills under the guidance of relevant state guidelines and policies" (Shanghai Educational Committee, 1998). The decentralization of decision-making power at the institutional level was clearly defined in this document: "Dissolving the link between the government and higher education institutions will be one of the key points to deepen systematic reform of higher education. Legislation will be improved to define the rights and interests of these institutions, making them legal entities responsible to all of society. Their operating autonomy will apply to aspects of enrollment, specialty readjustment, organizational structure, administrator appointment and removals, fund utilization, professional title approvals, salary distribution, and the expansion of international cooperation and exchange. Institutions must exercise their rights, and actively establish self-development and self-restriction operating systems that meet the demands of economic construction and social development. … The government will shift from direct administrative control of institutions of higher education to macro-management through legislation, allocation, planning, information services, policy guidance and necessary administrative approaches" (Shanghai Educational Committee, 1998, pp.25-26).

In order to facilitate the development of higher education in the context of the country's advancement in social and economic fields, the Chinese government has begun to carry out the 211 Project since 1995, which aimed at strengthening about 100

institutions of higher education and key disciplinary areas as a national priority for the 21st century. Primarily aimed at training high-level professional manpower to implement the national strategy for social and economic development, the project has great significance in improving higher education, accelerating national economic progress, pushing forward the development of science, technology and culture, enhancing China's overall capacity and international competitiveness, and laying the foundation for training high-level professional manpower mainly within educational institutions at home (Ministry of Education, 2001). In addition to grants to individual institutions, the 211 Project created CERNET, an Internet connection for all Chinese universities, and CALIS, a system for sharing library resources and academic materials.

In order to further define higher education institutions' authority, the *Higher Education Law of China* states the following principles. "Article 11: higher education institutions shall be oriented to the needs of society and shall run the schools on their own and in accordance with law and democratic management". "Article 30: a higher education institution shall acquire the status of a legal person from the date on which its establishment is approved. The president of the higher education institution shall be the legal representative of the institution"; "Article 32: higher education institutions shall draw up enrollment plans in light of social needs, the conditions of the institutions, and the size of the student body verified by the State, and readjust on their own the proportions of enrollment for different faculties and subjects; Article 33: higher education institutions shall, in accordance with law, act on their own in offering and readjusting the branches of learning and specialized subjects, Article 34: higher

education institutions shall, on the basis of the needs of teaching, act on their own in drawing up their teaching programs, compiling teaching materials and making arrangements for their teaching activities; Article 35: higher education institutions shall, on the basis of their own conditions, act on their own in conducting research, developing technology and providing services for the society" (Standing Committee of National People's Congress, 1998). However, there always exists some distance between the reality and the law. Chinese higher education institutions have not completely enjoyed all these authorities. More work must be done to implement this law.

In 1999, the Central Government announced *Action Scheme for Invigorating Education towards the 21st Century* to push forward educational reform and development in a comprehensive way and to improve the quality of the whole nation and enhance its innovative capacity. The Action Scheme pointed out: "the educational development in our country is far from adequate. The structure and management system of education, the prevailing concepts and methods, and patterns of human resources development are yet to fit in with the demands of modernization. At present and for some time in the near future, the lack of creative talents of the highest caliber is one of the major constraints unfavorably affecting the innovative ability and competitiveness of the nation. Therefore, to invigorate education is the objective and pressing demand of socialist modernization and national revival as we11 as the necessity to accommodate the needs of the times" (Ministry of Education, 1999a, p.3).

The Action Scheme requires higher education institutions to follow closely the frontiers of international scholarly pursuits in all major fields of study and become the

bases for knowledge innovation and the cradle of high-level creative talents. The Government advocates and has invested a great amount of funds to implement the following goals: 1) implement "High-level Creative Talent Development Project" to strengthen scientific research in higher education institutions, 2) continue and accelerate the "211 Project" to enhance higher education institutions' capabilities in knowledge innovation, 3) establish a number of world-class universities and disciplinary areas or fields of study to reach an international advanced level (also called 985 Project), 4) implement the "Project of Commercializing High and New Technologies Developed in higher education institutions" to spur the development of China's high-and-new-technology-based industries in an endeavor to foster new growth points in the national economy, and 5) put into effect the Higher Education Law. The accomplishment of these goals will develop higher education and speed up reforms to enhance the quality and cost-effectiveness of educational services (Ministry of Education, 1999a).

Many changes have occurred in the Chinese higher education system since the 1980s along with the socialist market economy reform and the educational reform that corresponds to it (Hao and Long, 2000). The relationship between universities, government and society has been gradually smoothed out under the principle of "joint establishment, adjustment, cooperation and merger". A two-level education delivery system has taken shape, in which the central and local government will assume different responsibilities in providing education. As a result, the duplication in education has been overcome. At the same time, the government delegated more power to the higher education institutions expanding their autonomy, including curriculum change, specialty

readjustment, creation of new departments, faculty appointment, and allocation of funds among departments etc. The old financing system in which the funding of higher education totally depended on the governments has been changed and a new system capable of pooling resources from diverse channels has gradually been established. For many key universities, central government financial support now represents only one-third of their annual budgets. Tuition fees were instituted more than a decade ago and universities have also created enterprises to generate income (Mohrman, K., 2003). For students, a new system in which all students should pay a reasonable contribution to their own higher education has taken shape; simultaneously, a scholarship system for excellent students both academically and morally has been established and includes loans, stipends and part-time jobs for students with economic difficulty. After their graduation, the students will mainly select their own jobs under the guidance of state policy. In addition, the MOE is undertaking the reform of admission examination and recruitment of students, which will help higher education institutions to select talented students to expand their recruitment autonomy.

Although much work has been done in this regard and some lessons and experiences gained, the current higher education system as a whole is still unable to totally meet the demands of social and economic progress. Challenges continue to be raised almost more quickly than the old ones can be resolved.

China's increasing internationalization is also reflected in higher education reforms. With its membership in the WTO since 2002, China joined the international market system. This worldwide market mechanism brings new expectations to the Chinese

higher education system. With China's vibrant economy, and its appeal to foreign investors, China needs people who understand international economics, who speak foreign languages, and who are sophisticated about business and political practices in other parts of the world. Zhang (2001a) pointed out that entering the WTO means the government functions of administration and management of a sovereign state will be replaced by international public order and international conventions to a certain degree… Entering the WTO speeds up the globalization of higher education. The international flow of financial capital, sharing of educational resources, the international competition for students, and the re-division of the domestic market shares provides many challenges for higher education in China, but also brings about boundless opportunities for its development as well.

Jiang (2001) noted that entering the WTO would become an opportunity for construction of an open and modern higher education system in accordance with Chinese characteristics. It is a trend of integrating Chinese higher education with the international higher education system. However, entering into the WTO also brings critical challenges to Chinese higher education. Foreign education agencies are allowed to open branch campuses and programs in China, and thus Chinese universities and colleges will have to compete with more and more foreign universities equipped with higher education quality and modern administration skills.

The economic development and economy system reforms of China have resulted in a great impact on the Chinese higher education system. To support the social environment transformation, the Chinese higher education system itself has to change.

Demographic Context and Policy Environment

Population is the third major element influencing Chinese higher education development and its policies. China has 1.3 billion people. How can this many people be converted to human resources? Education, especially higher education, can play an important role in this challenge. The 21st century poses challenges for education worldwide. The development of the human race in the future will be more civilized and advanced than today. As societies continue to develop in the 21st century, higher education will play a more prominent role in the preparation of qualified personnel. Rapid economic, scientific, technological and social development will set higher demands on higher education for the number and quality of trained personnel. Between 1990 and 1997, the number of undergraduate students who were undertaking higher education increased from 3.729 million to 5.898 million; the number of postgraduate students increased from 93,000 to 176,000. The growth rate respectively was 58% and 89% (Planning and Building Bureau of State Education Committee, 1997). This fact is evidence of these trends.

Many scholars and policy-makers, such as Li Zhang (2001b) proffered that: "China's economic development level is in a transition from a low-income country to a middle-low income country. But our higher education development is lower than our economic development level compared with other countries in the same economic level. In 1994, the gross enrollment rate of Chinese higher education for the 18-22 years-old populations was 4.6%. The enrollment in higher education was 440.1 individuals per 100,000 people. China just reached the standard that low-income countries had reached

in the early 1990s. Thus, China should recognize the gap between Chinese higher education and international higher education development and acknowledge its need to transition from elite to mass higher education and universal higher education. China should balance its economic development and higher education development. At the same time, the knowledge economy is coming, Chinese social reform is deepening, and the industry structure and resource allocation of China is changing. Higher education is becoming more and more important for the whole society. The development of higher education is significantly influenced by social economic development".

In 1999, the Third National Educational Work Conference made a significant decision about Chinese higher education development to increase higher education enrollment rate to 15 percent by 2005. According to official figures, the total enrollment of colleges and universities almost doubled in the three years from 6.43 million in 1998 to 12.14 million in 2001. This higher education enrollment expansion and its impact on Chinese higher education present a significant challenge for Chinese higher education in the next ten years (Ministry of Education, 2004d).

In order to satisfy social needs for higher education, the *Action Scheme for Invigorating Education towards the 21st Century* further required that the following goals should be achieved: *by* the year 2000, the enrollment rate of higher education for the 18-22 years-old population should reach 11%; by the year 2010**,** this rate should approach 15% (Ministry of Education, 1999a). Actually, by the end of 2002, there were 2,003 higher education institutions with a total enrollment of 16,000,000 students; representing almost 15% of the 18-22 year-old age group. By the year 2003, the total

enrollment of higher education institutions had increased to 19,000,000 and the enrollment rate had reached 17% (Ministry of Education, 2004d). The enrollment expansion has pushed Chinese higher education into providing mass higher education stage.

On the demand side, this expansion satisfies families' strong desires for higher education for their children, and indeed, stimulates individual investment in higher education in the short run. Yet, such a radical move also raises questions and concerns about its impact on the quality of education, on graduates' employment, and on economic growth in the long run. Many people expressed concern about this new policy. The policy supporters maintain that the enlargement of higher education can stimulate education consumption and meet the internal needs of society. It also can satisfy the higher education needs of students and their parents and reduce pressures of employment and recruitment. It can promote the higher education reformation (Research Center of Educational Development, 2002). The policy dissenters maintain that the economic development level is still low and that the country cannot afford such a large increase in higher education. Focusing on increasing the number of students in higher education will cause a decrease of quality. Excessively increasing the number of students will produce a higher rate of unemployment and produce new social issues (Yang, 2001c). All of these concerns should influence the government to make wiser decisions in the future. Chinese political and educational authorities should look to both international experiences and domestic educational and socioeconomic realities in implementing these policies.

Cultural and Geographic Context

Organizational culture is one term that Birnbaum (1988) used to explain college organization. Culture is typically defined in terms of shared orientations that hold the unit together and give it a distinctive identity (Hoy and Miskel, 2001, p.176). Shared orientations include norms, values, philosophies, beliefs, expectations, myths, rituals, legends, ceremonies, etc. Through people's actions and how they think, people in colleges and universities develop a culture that, in turn, influences what people do and how they think. According to Birnbaum (1988), organizational culture has three cultural systems (the national educational system, the academic profession, and the academic discipline), which have a major effect on most academic institutions. Every college has unique characteristics. On one level, organizational cultures, like individual personalities, are all distinctive. But there are some basic cultural influences such as assumptions, and beliefs, which connect many colleges together. All these beliefs, norms, rules and understandings are intertwined with each other and create an environment which influences people within it. Thus, sometimes, organizational environments are in large measure invented by organizations themselves. As a result, researchers should spend more time to understand the Chinese higher education system's culture.

Every nation has its unique culture, and the cultural uniqueness forms the uniqueness of the nation (Wang, 2002). Chinese higher education has its roots in the centuries-old national culture and educational tradition. Serving the country's needs and training skillful people have historically been the primary tradition of Chinese higher education. Today, it is to "train people to become senior specialists imbued with the

spirit of creativeness and the ability of practice, to develop science, technology and culture and to promote the socialist modernization drive" (Standing Committee of National People's Congress, 1998). This unique tradition and culture have shaped its character: following governmental orders and strongly adhering to government policy.

However, along with the internationalization and market-oriented economy, Chinese higher education now faces the challenges of two cultural conflicts. One is the conflict between Eastern and Western cultures, and the other is the conflict between national traditional culture and modern culture (Song, 2002). Higher education is not only central to achieving social and economic development, but also the successor and protector of the national culture. How to balance these two cultural conflicts is a key challenge that Chinese higher education has to confront.

Zhou (2002) held that higher education has three basic functions: cultivating advanced professionals, developing science, technology and culture, and promoting social development. Modern technology, science, and modern education did not originate from China, but developed under the influence of foreign cultures. Thus when Chinese higher education institutions improve their level of teaching, research, and service, they should emphasize nurturing a human cultural atmosphere, and make these institutions the basis of cultivating and spreading traditional Chinese culture. Liu (2001a) pointed out that economic globalization does not mean cultural differences will diminish; rather, cultural diversification will survive and be enhanced. Chinese higher education will play an important role in inheriting, developing and renewing Chinese culture.

Besides the national and traditional cultures that have an effect on Chinese higher

education development, other sub-cultures also influence higher education institutions such as the location of an institution. The location of an institution actually creates a very unique environment for each institution. China is a developing country. The economic and social development levels all over the country vary considerably. Regarding domestic economic development levels, there are four categories that must be considered: 1) developed cities including Beijing, Shanghai and Tianjin; 2) developed provinces including Jiangsu, Fujian and four other provinces; 3) developing provinces including Jilin and ten other provinces; and 4) undeveloped provinces including Shanxi and ten other provinces. In 2002, the GDP per person in the developed city was $3179.9, the GDP per person in the developed provinces was $1679.9, the GDP per person in the developing provinces was $928.3, and the GDP per person in the undeveloped provinces was $649.8 (Chinese Statistics Annals Edition Department, 2003). The coastal regions and the central cities are the most developed areas in China. Higher education institutions located in those areas can get strong financial support from the local government and people. However, higher education institutions located in the western or northwestern parts are not able to get much support from the local government and population. In addition, China's vast size includes 31 provinces and central cities with 56 nationalities across the country, with many varying cultures. The educational tradition and cultural beliefs of locals will influence each higher education institution's development located in each representative area.

In addition, after the 1952 reorganization of Chinese higher education, higher education institutions were separately governed by the Ministry of Education and other

central ministries such as agriculture or transportation etc., and the provinces. Every province had several institutions located in its provincial capital and more highly developed cities. Most institutions were governed by the province itself, and at least one institution was governed by the Ministry of Education or other ministries. Besides these, most key universities and colleges were located in central government-governed cities, such as Beijing, Shanghai and Tianjin, and most of them were governed by the Ministry of Education or other ministries. In 2004 (Ministry of Education, 2004a), there were 76 institutions in Beijing, 57 institutions in Shanghai, and 40 institutions in Tianjin. Under the centrally planned economic system, the relationship between an institution and its supervising government was very sensitive. The national higher education culture also had a strong influence on individual institutions.

All these factors make the location of a higher education institution important to a university development and administration. This topic will be further studied in Chapter IV.

Current Chinese Higher Education System

Higher education in China consists of general higher education and adult higher education. General higher education can be divided into three parts: junior college education (which lasts two to three years), undergraduate education (bachelor degree, four years), and graduate education (including three years master degree and three or more years doctoral degree). There were 1,683 general higher education institutions in 2004 (Ministry of Education, 2004a). These higher education institutions are divided

into 12 categories: comprehensive university, natural science and technology university or college, agriculture university or college, medicine and pharmacy university or college, normal and teacher training university or college, language and literature university or college, finance and economics university or college, political science and law university or college, physical culture university or college, art university or college and ethnic university or college (Department of Development and Planning of MOE, 1999). The adult higher education system includes: radio and TV universities; worker's colleges, peasant colleges, institutes for administration, educational colleges, continuing education colleges, independent correspondence colleges, and night universities etc. (Department of Development and Planning of MOE, 1999). In 2004, there were 528 adult institutions of higher education (Ministry of Education, 2004c). This study focuses on the Chinese general higher education system.

Higher education in China has made remarkable progress and its quality has been continuously improved. By the end of 2002, there were 2,003 higher education institutions with a total enrollment of 16,000,000 students. Higher education in China enjoyed rapid development in 2003. The total enrollment of general higher education institutions in 2003 reached 3.82 million, 617,000 more than 2002, indicating an increase of 19%. The total enrollment of postgraduate students in 2003 reached approximately 269,000, 68,900 more than that of 2002, representing an increase of 34%. The total enrollment of higher education institutions of various forms in 2004 was 19 million and the enrollment rate of the 18-22 years-old population reached 17% (Ministry of Education, 2004d).

Guided by the principle of 'joint establishment, adjustment, cooperation and mergence', the management system of higher education has been deeply changed. Five hundred and ninety seven higher education institutions have been merged into 267. Among the 367 higher education institutions, which were previously under the direct administration of central ministries, the administration of 250 institutions have been changed to the direction of provincial governments, setting up the system of joint establishment by central and local governments (Ministry of Education, 2004d). In 2004, among 1,683 general higher education institutions in China, there were only 72 higher education institutions governed by the Ministry of Education, and all of them are key universities in the Chinese higher education system. Thirty-eight higher education institutions were governed by other central ministries of the country, and the rest of them were governed by provincial governments or local governments (Ministry of Education, 2004a). By 2004, 227 cooperation contracts had been signed between hundreds of higher education institutions (Ministry of Education, 2004b). The previous inefficient and segmented education structure with overlapping disciplines has been significantly restructured and improved. A new two-level management system consisting of central and local governments with the latter as the main management body has taken shape, mobilizing the initiative of the local government in developing higher education and enhancing the close relationship between higher education institutions and regional economic and social development.

With respect to institutional autonomy, in 2003, the MOE published a report that 146 higher education institutions had been given evaluation authority over their

professor positions, and 117 higher education institutions had been given evaluation authority over their associate professor positions. This report represents a dramatic shift in the autonomy of these institutions (Ministry of Education, 2003).

The establishment of world-class universities, the development of key disciplines and the training of highly-qualified faculty were intensified in 2003. At the same time, the efforts in increasing the quality in higher education was strengthened and the guidance and planning for the innovation of science and technology in higher education institutions and for the research of humanities and social science was improved as well. Additional progress was made in the reform of higher education management and higher education organizational structure adjustment, promoting further the real integration of merged universities. A major policy shift with respect to the employment of higher education graduates has also occurred. By September 2004, more than 70% of new higher education graduates had successfully found employment, indicating a smooth transition in the method of graduate employment (Ministry of Education, 2004d).

In 2003, the Ministry of Education enacted a new education development plan, called *Action Plan for Rejuvenating Education 2003-2007*. This Action Plan identified the direction, tasks and objectives of educational development in China for the next 5 years, clarifying the detailed requirements for educational reform and development. This plan will play an important role in improving the overall national quality of higher education and providing a cohesive and sustainable approach in supporting economic and social development.

This document states: "We will intensify our efforts in implementing the Program

on Teaching Quality and Teaching Reform in higher education institutions and in the deepening of teaching reform in higher education institutions so that the quality of higher education and the quality of talents produced by higher education can be further improved. We will concentrate our resources to strengthen the efforts in developing world-class universities and key disciplines. By carrying out the second round of the 985 Project and 211 Project, a system for structuring key disciplines can be completed. In addition, the Postgraduate Education Innovation Program, the Program for Scientific and Technological Innovation in higher education institutions, the Program on Higher Qualified Innovative Talents were continued in 2004 so that higher education institutions could be a driving force in the national innovation system for developing highly qualified faculty. It is expected that through these efforts, the capacity of national knowledge innovation and the capacity of training high level excellent faculty will both be strengthened so that higher education can increase its knowledge and faculty talent to contribute to building national capacity"(Zhou, 2003).

Current Chinese higher education has met its historical challenges to develop itself. Economic and social development of Chinese society has significantly pushed Chinese higher education forward. The commitment of higher education institutions to the national economic and social development has been increasingly expanded. However, Chinese higher education institutions today still face several challenges and limitations. These challenges and limitations come from its social system, its traditional culture and also its immature modern higher education administration system. Identifying challenges that higher education institutions confront today will help administrators in this

environment further understand the situation where they live, and help them more purposefully work towards meeting those challenges. By identifying leadership competencies that higher education institution leaders and administrators need to address, these new challenges will enable them to better equip themselves to efficiently manage their own institutions and to meet economic and social development needs of China.

Institutional Challenges and Leadership Competencies in Higher Education

In the 2002 Chinese-Foreign University Presidents Forum held by the Ministry of Education of China in Beijing, Zhili Chen (2002), the Minister of Education, states: "The world has marched into the 21st century when human society is facing profound changes as science and technology are rapidly evolving and the knowledge economy is approaching with a vengeance. The challenges dictate a new mission for universities and pose unprecedented challenges and demand reform." "The challenges in university development have posed more stringent requirements on school management and placed a huge responsibility on university presidents who must develop a strategic way of thinking and foresight as well as a global vision and a forward-looking mindset. University presidents must also be good at harmonizing the relationship between universities and society and mobilizing and deploying various resources". During this time Chinese higher education institution leaders will play the most important role in the history of Chinese higher education development.

International Perspectives

Howard Davies (2004), the Director of the London School of Economics, pointed out that universities in different countries, with different histories and different profiles, are likely to face different challenges. However, there are five major trends which affect all higher education institutions. First, the overall market for higher education is growing very rapidly, both globally and in almost every individual country. Second, the competitive environment within which universities operate is also intensifying while the market for students and the market for staff are growing. Third, the growth in the market overall has created space for institutions to specialize and differentiate themselves on a variety of different dimensions. Fourth, there is a gradual reduction in the proportion of direct government funding, and the requirement to develop other sources of revenue. Fifth, the university is playing an increased role in the broader economy. The net result of these five changes is that universities now operate in a much more dynamic competitive environment.

The former Chancellor of State University System of New York, Bruce Johnstone (2002) considered that Chinese higher education confronted the following six special challenges in the immediate future:1) continuing and digesting, or making complete the university mergers, 2) reconciling the two systems of the central Ministry of Education and the provincial institutions of higher education, 3) more forthrightly acknowledging the natural tendency of universities everywhere to perpetuate, and even to widen, those inequalities based on the circumstances of birth, 4) divesting the strictly non-academic parts of the "university city", 5) accepting and furthering the greatly increased mobility

of professors and students, 6) providing options other than a top research university for the most academically able high school graduates. He thought that the MOE, the provincial governments and ministries, the Party, and university leaders and their faculties need to carefully think about and deal with these challenges.

Kathryn Mohrman (2003), as a Fulbright scholar at the Chinese University of Hong Kong and the Hong Kong America Center, visited ten Chinese universities in Spring 2003. She did research on the key comprehensive universities in China. These universities are the best ones in China. All of them are under the direct control of the MOE. She interviewed more than seventy individuals from these universities. She wrote a detailed report about what she saw and heard, what she learned, and what she did not see and hear.

She observed that higher education in China played a key role in the modernization process of Chinese society by producing highly skilled labors. The shift from a central planning model to a market-based model, from central regulation to greater autonomy, was not simply an exercise in giving away power. The state still exercised control over higher education but in a new way, such as shifting from direction at the outset to evaluation after the fact. People were still struggling with this shift from a state control to a more market-oriented system with most evaluation after the fact. These two powerful shifts in public policy—giving more responsibility to local entities and moving away from state planning—combined to have a dramatic impact on individual colleges and universities.

Mohrman discussed that "the pre-1980s Chinese university was just like a factory or

a production unit." "The job of a university president was easy—just carrying out orders". As China became more market-oriented, the central government abandoned the central planning model of the past to allow regional governments and individual universities to make their own decisions. With many educational reforms under way, universities must be more responsive to the markets. The job of a university president today is more corporate and much more like that of his Western counterparts.

In the 2004 Chinese-Foreign University Presidents' Forum, Richard C. Levin (2004), the President of Yale University, chose Charles William Eliot, Harvard's longest serving and most successful president, as his "case" to illustrate what kind of leadership competency a university president should have in the context of social transformation and institutional changes. He said:

"An outstanding leader should recognize and acknowledge the deficiencies of his institution and be willing to borrow and adapt superior practices employed by others. In this respect, I have been deeply impressed by the eagerness of Chinese university presidents to learn about best practices throughout the world, and to modify and adapt them to suit the Chinese environment".

He demonstrated that Eliot displayed many of the characteristics of an effective academic leader in his efforts to transform the situation he confronted. "He had a clear and well-articulated vision. He set ambitious goals. He took significant risk. He used the authority of his office to initiate some changes from the top down, and he employed his persuasive powers to win support for changes from the bottom up". Levin shared some guidelines for leadership with his Chinese and foreign counterparts: 1) develop a vision

and communicate it, 2) set goals that are ambitious but achievable, 3) free up enough time to concentrate on major initiatives, 4) take risks, 5) don't be deterred by initial failures, some good ideas deserve a second try, 6) know where top-down and bottom-up work best, 7) select strong leaders for supporting roles, and give them sufficient freedom to take initiative on their own, and 8) align incentives. He chose this particular case to remind his Chinese and foreign counterparts that "even the greatest of the educational institutions did not achieve their current standing without ambitious and clear-sighted leadership".

Larry R. Faulkner (2004), the President of University of Texas at Austin, discussed the role of a university in regional economic development. He stated that "the university leadership must be well engaged with the business and political leadership of the region, and all must be interested in fostering economic development". "Economic development rarely happens in this era just because intellectual conditions are right. It is fostered by collaborations among civic leaders, including the leadership of universities". University leaders must maintain a good personal relationship with local political leaders and business and industry leaders through frequently communicating about university development, city planning, and state planning.

Alison F. Richard (2004), the Vice Chancellor of Cambridge University, pointed out that the presidents in the 2004 Chinese-Foreign University Presidents Forum came from different countries, but they faced similar problems and similar challenges. They should not forget that the ultimate goal of a president is to improve the performance of a university's teaching and research.

Neil L. Rudenstine (2002), the President Emeritus of Harvard University, pointed out:" the task of guiding and managing a university depends on one's ability, not to direct or 'order' – but to motivate, work collaboratively with, and provide broad intellectual leadership for a highly diverse set of individuals who have very little professional 'mobility,' and who function best when they are able to fulfill their institutional roles in a way that also makes maximum use of their own creative talents as scholars and teachers."

Gerhard Casper (2002), the President Emeritus of Stanford University, indicated that a university president has nine jobs, including: 1) the university president must maintain the regular operation of a research university's complex academic affairs, 2) a special CEO run more than $2.2 billion, 3) the president is the keeper of the vision and must plan the future of the university, 4) the president is a fundraiser responsible for seeking money for the university, 5) the president is an educator and educates the students, faculty, staff, alumni, parents and public, 6) the president is a scholar in university be a good professor and a good researcher, 7) the president is a public figure and represents the university, and may on occasion the community, the state and even the country, 8) the president is a social worker who serves the constituents and 9) the president is a entertainer to make people happy. He concluded that from these nine jobs, we can see how many challenges a university president confronts. It is almost impossible to accomplish all of these jobs be one person. First, a university president needs to realize that all these roles cannot be re-assigned, he/she needs a very efficient delegation system for support. Second, he/she needs to have a trustworthy team. Third, he/she should be

modest.

Colin Campbell (2002), the Vice Chancellor of University of Nottingham, indicated that in the past a university president's position usually was viewed as an excellent scholar. However, universities today face more complicated challenges and the role of a university president has greatly changed. First, he/she needs to design a unique development strategy for his/her university. Second, he/she needs to be a moral leader in the academic community, clearly addressing what is supported and what is resisted by the university. Third, he/she needs to carry out administrative duties

Kouzes and Posner (2003) studied leadership in many different settings and organizations, and developed the "Five Practices of Exemplary Leadership" model. In this model, they presented four key characteristics and qualities of a leader including honesty, forward-looking, competent and inspiring. They found that a leader also needed other skills, such as patience, listening skills, perseverance, understanding of the needs, innovation, teamwork, collaboration, and trust building. They consider credibility and humility as the foundation of a leader's quality.

In 1998, United Nations Educational, Scientific and Cultural Organization (UNESCO) held the World Conference on Higher Education—Higher Education in the Twenty–first Century: Vision and Action. One of the thematic debates of the conference was Higher Education Staff Development: A Continuing Mission. This thematic debate addressed that in a rapidly changing society, higher education leaders should improve their leadership competencies to enable their universities and colleges to survive and continually develop. These competencies included leadership skills, communication

skills, persuasive skills, and professional skills.

Elsa M. G. Y. Gonzalez (2004) studied leadership competencies of Mexican senior administrators of higher education institutions. She found that "social forces and trends inside and outside of Mexican higher education institutions are pushing the need for a senior administrator with a broad understanding of the national situation, with the resources to support the national initiative, and with the ability to make appropriate responses in their own institutions". As developing countries, China and Mexico have some similarities in their higher education development contexts, both facing challenges from social and economic transitions, demographic pressures, internationalization, and entry into the WTO. Higher education institutions in these contexts play an important role in economic and social development.

Gonzalez found that the future senior administrators in these higher education institutions must be equipped with 1) personal characteristics and skills, 2) administrative competencies, 3) competencies of social responsibility and 4) institutional competencies. Personal characteristics and skills included flexibility, anxiety control, time management, adaptative, positive attitude toward people, innovative, motivating, honest, diplomatic, visionary, and entrepreneurial. Administrative competencies included decision-making, delegation, exploring alternatives, financial and administrative competencies, team work, communication, visioning, planning, negotiating, conflict resolution, evaluation, knowledge management, networking, marketing project management, and response capacity. Competencies of social responsibility included social commitment, sensitivity to cultural diversity, analysis of demands, and knowledge

of economic situation, and institutional competencies included institutional identity and philosophy, and leadership. In this researcher's study, some of these same competencies have been identified by the Chinese higher education administrators. Others of them are different due to different cultural and political backgrounds.

Chinese Perspective

Wangping Zhu (1996) studied the interrelationship between a president's personal qualities and leadership style and his/her perceived success in Chinese higher education institutions. This study was conducted in China using both survey and interviews to sample 173 administrators and professors from 10 universities in 7 cities. Zhu (1996) found that "the Chinese higher education institutions face six major changes. First, Chinese higher education is, to a great extent, free from the strict control of the government. Second, the centralized system is being replaced by the decentralized one. Third, university funding has changed from a single resource to multiple resources. Fourth, the time of a single model in Chinese higher education has ended. Fifth, diversity in different patterns of leadership has been encouraged in Chinese higher education. Sixth, greater institutional freedom has been acquired, more autonomy has been given, and more democracy is being practiced in higher education institutions in China" (p.163-164).

The study measured a president's personal qualities and leadership style. A president's personal qualities were measured based on 15 relative concepts, including openness, knowledge, vision, determination, sensitivity, understanding, reliability,

creativity, sincerity, enthusiasm, competence, commitment, confidence, diplomacy, and expressiveness. The study found that university constituents considered commitment, competence, knowledge, vision and creativity as the most important personal qualities of a university president. Most university constituents used confidence, enthusiasm, commitment, openness, vision, reliability, knowledge, sincerity, determination, creativity, competence and sensitivity to describe their president. A president's leadership style was also measured based on 15 relative concepts, including implementation, service, control, motivation, goal-setting, design, democracy, management, communication, leadership, decisiveness, risk-taking, cooperation, team-building, analysis. More than half of the university constituents in the study chose decisiveness, control, team building, implementation, goal setting, risk-taking, service, and cooperation to describe their president's leadership style. They considered decisiveness, democracy, goal-setting, leadership and management as the most important aspects of leadership style for a university president.

Many Chinese scholars have also written articles discussing university leadership. There is a common idea that a university president should be a representative of social culture and social morals in the society and a model of excellent academic, instructional, administrative and moral qualities in a university (Kui, 2002; Wang, 2002a). However, Yifang Kui (2002), the Vice President of Jiangxi Normal University, pointed out that a president should be an educationalist, a scholar and a moral model. Among these three roles, the role of an educationalist is the primary one. To be an educationalist, a president needs to possess the following personal qualities: educational philosophy,

strategic designing capacity of running a university; courage and insight to reform internal administration system; strong intention to explore education rules; and understanding of political theory for a socialist university president.

Binggong Chen (2005) thought that a leader should possess ten competencies, such as a clear vision for managing an institution, democracy, concern, morality, profound educational knowledge and theory, creativity, policy-making capacity, effective coordinating ability, strong will and charisma.

In reality, many Chinese university presidents complained about their heavy loads. Peking University President, Hongzhi Xu said, "the main duty of a university president in the Western culture was to develop university strategy, recruit excellent faculty and students, and seek abundant resources. However, a university president in China was more like a kindergarten teacher or parents having to deal with various problems". Jinan University President, Renhai Liu said, "Chinese university administration includes all affairs relevant to a person's entire life process from the cradle to the grave" (Li & Xie, 2004).

Lin Wu (2004) discussed that the professionalization of a university president's position is the only way to enable a university president to become a "general" instead of a "parent". Presently, a Chinese university president is a university leader, a governmental official, an administrator, a researcher, and a teacher. He has to play many incompatible roles at the same time. This may have negative effects on his primary role as a university leader. Weiyin Zhang (2004) from Peking University and Tao Zhan (Li & Xie, 2004) from Shandong University expressed that the university administration must

be professional. The Vice Minister of MOE, Qidi Wu also noted that: "we will not choose a CEO as a university president. Nevertheless, a president's primary responsibility is administration. The professionalization of a president's position is an international trend, and also a requirement for the modernization of university administration" (Li & Xie, 2004).

Jingsong Lan (2004) from Tsinghua University did a comparative study of Chinese-U.S. research university presidents' academic background. He found that 1) most Chinese research university presidents have a science or engineering major in their academic background no matter what type of institution of which they are presidents, while their U.S. colleagues present a variety of differences in their academic background. 2) Usually a Chinese research university president was selected from the people in a university, while a U.S. research university president was selected from a national search. 3) Only half of Chinese research university presidents have their PhDs from various higher education institutions, while most U.S. university presidents have their PhDs from the higher ranking universities. The study suggested that the internal appointment system of university leaders should be reformed. University leaders should be selected nationwide or internationally. University leaders should be equipped with profound knowledge and have liberal arts and social science background, a PhD degree and international experience.

CHAPTER III

METHODOLOGY

This study is based on the perceptions, opinions, and interpretations of Chinese higher education administrators regarding what kind of institutional challenges their institutions confront and how their institutions function in the present, how their own roles have been affected by the changing situations they face in their own contexts, and consequently, what are the competencies that universities leaders will need in their universities in the near future. Lincoln (2004) said: "individuals and groups made meaning based on their own experiential knowledge, rather than on an outsider's precise statistics, and that, in virtually any kind of social or programmatic context, individuals and groups would act on their own, internal, sense making and meaning-making knowledge processes rather than on our assertions of statistical rigor. They always chose their own socially-constructed, context-bound realities over our artificial and externally-imposed mathematical models of their realities." Thus, naturalistic inquiry, which is to explore "multiple and constructed realities" (Lincoln & Guba, 1985), is suitable for the purpose of this study—to explore the "multiple and constructed realities" of administrators in Chinese MOE-directed universities regarding their institutional challenges and leadership competencies. The methodology is primarily exploratory and descriptive, with the intent to generate a clear, accurate portrayal of the perceptions of one group in a particular context, without looking for a generalizable conclusion.

The study holds five axioms of the naturalistic paradigm as its guiding theory. The first axiom is that "there are multiple constructed realities that can be studied only

holistically" (Lincoln & Guba, 1985, p.37). Based on individuals' experiential knowledge, the purpose of the study is not to predict or control, but to achieve "some level of understanding"

The second axiom is that "the inquirer and the 'object' of inquiry interact to influence one another; knower and known are inseparable" (Lincoln & Guba, 1985, p.37). The relationship and the interaction of the researcher and respondent are significant factors influencing the study's outcomes. In this study, the researcher's background in studying abroad and the interview method made many respondents curious about the study and what kind of information the researcher was seeking.

The third axiom is that "the aim of inquiry is to develop an idiographic body of knowledge in the form of 'working hypotheses' that describe the individual case" (Lincoln & Guba, 1985, p.37). Even in the same context, individuals may give different explanations for the same event. Every one is responsible for constructing his/her realities based on individual experiential knowledge. Therefore, the research rejects the possibility of generalizations in order to generate a clear, accurate portrayal of the perceptions of one group in a particular context.

The fourth axiom is that "all entities are in a state of mutual simultaneous shaping so that it is impossible to distinguish causes from effects" (Lincoln & Guba, 1985p.37). The research will not try to explain what causes what, but to understand what is the situation through the interaction between the researcher and the respondents.

The fifth axiom is that "inquiry is value-bound"(Lincoln & Guba, 1985, p.37). The study is influenced by the values of the researcher, the respondents and the context of the

higher education institutions (Lincoln & Guba, 1985).

Research Design

The population for this study was all senior and middle level administrators and retired senior administrators from 72 MOE-directed universities. Ten MOE-directed universities were sampled for this study. Among more than two thousand higher education institutions in China, there are only 72 higher education institutions that report directly to the Ministry of Education. The MOE-directed higher education institutions have many similarities. For instance, their governmental appropriations come from the MOE; their senior leaders are appointed by the MOE. All of them have their "university" titles. That means that even if they were not a comprehensive research university, they are developing in that way. They put much emphasis on both teaching and research, and so are called research universities. These universities play the most important role in the Chinese higher education system. They are at the forefront of higher education reform. Choosing this population for the study can provide additional understanding of the most advanced developmental part of Chinese higher education.

Sites, Respondents, and Sampling

Lincoln and Guba (1985, p.39) said: "the naturalist elects to carry out research in the natural setting or context of the entity for which the study is proposed because naturalistic ontology suggests that realities are wholes that cannot be understood in isolation from their contexts, nor can they be fragmented for separate study of the parts;

because of the belief that the very act of observation influences what is seen, and so the research interaction should take place with the entity in context for fullest understanding; because of the belief that context is crucial in deciding whether or not a finding may have meaning in some other context as well; because of the belief in complex mutual shaping rather than linear causation, which suggests that the phenomenon must be studied in its full scale influence field; and because contextual value structures are at least partly determinative of what will be found".

In this study, purposive sampling was used to choose sites and respondents. Purposive sampling is a nonrandom method of choosing sites and respondents. "Purposive sampling can be pursued in ways that will maximize the investigator's ability to devise grounded theory that takes adequate account of local conditions, local mutual shapings, and local values" (Lincoln & Guba, 1985, p.40).

The purposive sampling for sites was the 10 MOE-directed institutions from which the respondents were selected. The selected institutions were determined by three criteria: 1) geographic location, 2) extent to which the university was involved in structural reform, institutional autonomy, 211 Project and 985 Project involvement, and enrollment expansion reform, and 3) accessibility to the researcher.

Information on the selected MOE-directed universities for this study are presented in Table 1, including: code of the university, location of the university, type of university, and number of interviews per university. The intention of the researcher was to have an equal number of interviewees in each university, such as one current university leader, one retired university leader, and one current middle administrator. Because of the

circumstances (time constraints, limitation of financial resources, and inconvenience), the interview number per university was not balanced. The researcher worried that this imbalance would cause some skewing of the data. However, through all the interviews, the researcher found that other factors such as the location of the university, and the extent a university was involved in the reforms had more significant effects on the interview content, so the imbalance of the interview number per university proved to have little impact on the interview content.

Table 1. MOE-directed Universities That Participated in the Study

Code of university	Location of the university in China	Type of university	Number of interviews
1	Capital	Engineering	1
2	Capital	Normal	1
3	East seaside	Comprehensive	1
4	East seaside	Engineering	4
5	East seaside	Engineering	3
6	South seaside	Comprehensive	1
7	East provincial capital	Engineering	4
9	North-east capital	Medical	1
10	North-west capital	Normal	3
11	North-west capital	Engineering	3
Total			22

The extent that the selected universities are involved in the higher education reforms is presented in Table 2, including changes of university supervision, operation only by the central government or by both central and local governments, merger with other institutions or being merged with another institution, entering 211 Project and 985 Project, and enrollment expansion (1998 vs. 2004).

Another natural setting of the purposive sampling is the National Academy of Educational Administration (NAEA) of China. NAEA is under the direct jurisdiction of

the MOE, serving as a unique institution in China that provides training for educational administrators nationwide. NAEA conducts two seminars for higher education institution administrators—a seminar for senior leaders and a seminar for middle level Administrators. The purpose of the former is to train current MOE-directed university level leaders, the purpose of the latter is to train middle level administrators who will be promoted to university level leaders in the future. All of the sample administrators are or were trainees of NAEA.

There were two purposes for this sampling: 1) As a NAEA faculty member, the researcher gained easier access to the selected settings and respondents, 2) with the NAEA training experiences, the respondents more readily and purposefully expressed their opinions about the kind of competencies they need and how to obtain them through training, so as to help improve NAEA training programs.

The purposive sampling of respondents was determined by their job positions and working status, including three groups: university leaders, aspiring leaders, and retired university leaders. The aspiring leaders group consisted of the current middle level administrators from the 10 selected universities. All of them were chosen and sent to NAEA by their universities to receive training in preparation for their future promotion to university level administration positions. Thus, this group of people are referred as aspiring leaders.

Table 2 Extent That Selected 10 Universities Are Involved in Higher Education Reforms

Code of university	Supervision	Co-operation by central and local government	Merging	211 Project member	985 project member	Enrollment expansion (2004 vs.1998)
1	MOE	No	Merging	Yes	Yes	Und: 1:1 Grad: 2:1
2	MOE	Yes	No	YES	Yes	Und: 1:1 Grad: 2.5:1
3	MOE	Yes	Merging	Yes	YES	Enroll: 1.5:1
4	MOE	Yes	Merging	Yes	Yes	Und: 1.5:1 Grad: 2.5:1
5	MOE	Yes	Merging	Yes	Yes	Enroll: 1.5:1
6	MOE	No	No	Yes	Yes	Enroll: 1.5:1
7	MOE	Yes	Merging	Yes	Yes	Und: 2:1 Grad: 3;1
9	Ministry of Health to MOE	No	Be merged	Yes	Yes	Enroll: 2.5:1
10	MOE	No	No	No	No	Enroll: 1.5:1
11	MOE	No	Merging	Yes	Yes	Und: 2:1 Grad: 3:1

The purpose of this sampling was to see whether senior and middle level administrators and retired senior administrators from the ten selected institutions are different in their perceptions regarding institutional challenges and leadership competencies. There were 22 people in three groups: six current university leaders, six retired university leaders and ten aspiring leaders. Respondents from these ten MOE-directed universities were interviewed and asked to suggest other potential respondents,

thus a "snowball" sampling was created to identify other participants.

Information on the 22 respondents from 10 selected MOE-directed universities were presented in Table 3, including their age, sex, highest degree, major, professional rank, job status, working years, and years in higher education administration.

Table 3. 22 Interviewees of 10 MOE-directed Universities

Age (year)	30－45	46-55	Above 55
Number	8	7	7
Sex	Male	Female	
Number	21	1	
Final degree	Bachelor	Master	PhD
Number	8	5	9
Major	Science	Social science	Engineer
Number	3	9	10
Professional rank	Assistant professor	Associate professor	Professor
Number	1	3	18
Job status	Current university leaders	Retired university leaders	Current middle level administrators
Number	6	6	10
Working years	11－20years	21－30years	Above 30years
Number	7	5	10
Years in higher education administration	5－10 years	11－20 years	Above 20 years
Number	11	5	6

From the above three tables, it can be seen that the sample of this study has been influenced by three main factors: location and type of the university, extent of the university involvement in current Chinese higher education reform, and the personal situation of the respondent from these institutions. These factors influenced the context of every interview of this study. Information in Tables 1, 2 and 3 came from a questionnaire called Questionnaire about Interviewee and His/Her University (Appendix

G) and its Chinese version (Appendix H).

Instrumentation

Lincoln and Guba (1985, p.39) noted that: "the naturalist elects to use him-or herself as well as other humans as the primary data-gathering instruments", "because it would be virtually impossible to devise a *priori* a nonhuman instrument with sufficient adaptability to encompass and adjust to the variety of realities that will be encountered; because of the understanding that all instruments interact with respondents and objects, but that only the human instrument is capable of grasping and evaluating the meaning of that differential interaction; because the intrusion of instruments intervenes in the mutual shaping of other elements and that shaping can be appreciated and evaluated only by a human; and because all instruments are value-based and interact with local values but only the human is in a position to identify and take into account (to some extent) those resulting biases".

In this study, the researcher was the principal data collection instrument. Before entering into the inquiry, the researcher was trained in qualitative and quantitative methodology. The researcher also has rich experience in the higher education research field and has worked with Chinese higher education administrators for more than 13 years. So the researcher was very familiar with the language and terms used by the administrators. The researcher spent half a year (July 04-Feb.05) staying with Chinese higher education administrators in order to further experience Chinese higher education reforms and to understand these administrators in their environment. The researcher's

study abroad background also played a unique role in making this study meaningful through the researcher's domestic and international perspectives. All the personal background of the researcher has strengthened the researcher's capability to be a sensitive instrument to adjust and evaluate the interaction between the researcher and the respondents, to grasp tacit values and beliefs of the respondents and to construct and understand multiple realities through the researcher's tacit knowledge.

Interview Questions and Emergent Design

An interview protocol was developed based on the researcher's tacit knowledge and earlier investigations (Lincoln & Guba, 1985). However, "naturalistic inquiry is almost always in the situations in which the investigator '*does not know* what he or she doesn't know' in which case a much more open-ended approach is required" (Lincoln & Guba, 1985, p. 209). An interview protocol "based on only one (the investigator's) construction will constrain the development of a design" (Lincoln & Guba, 1985, p. 209). Thus, an emergent design is required, for "meaning is determined by context to such a great extent", and "what will be learned at a site is always dependent on the *interaction* between investigator and context, and the interaction is also not fully predictable," and "the nature of mutual shapings cannot be known until they are witnessed" (Lincoln & Guba, 1985, p. 208).

The researcher did not stick to the original interview protocol, but flexibly interacted with interviewees, analyzed the collected data in a timely manner, and carefully reported reflexive journal entries. Through this process, the interview protocol has been revised

several times to make questions more focused; and cause salient elements to emerge. Appendix C is the original interview protocol, Appendix D is the last interview protocol. Appendix E and Appendix F are the Chinese versions of Appendix C and Appendix D. From these two examples, readers can see the changes in the interview questions. Emergent design played an important role in this research process.

Emergent design also influenced the study's sampling process. During earlier interviews, one respondent with a very strong international background emphasized how his experiences abroad influenced his administration in China. This information reminded the researcher to pay attention to the interviewees' international background. The researcher intentionally found out the second respondent with an American PhD to collect more information. This kind of purposive sampling enriched this study.

Data Collection

Data came from three sources: interviews with respondents; observation of participants, and analysis of documents.

Naturalistic inquiry requires early attention before implementation of the inquiry (Lincoln & Guba, 1985, p. 252-259):

First, the researcher "made initial contact and gained entrée" (p.252). In this study, the researcher used her special identity as a faculty of NAEA and as a trainer of the 22nd Seminar of Middle Administrators of NAEA to informally and individually contact some past and current NAEA trainees to get their help in gaining entrée to the selected universities. These persons were viewed as the gatekeepers of the study, who had the

authority or ability to contact appropriate individuals at the inquiry site. The researcher sent them an email to explain the study purpose, the study method and the study process along with the consent form, the interview protocol, and the questionnaire. The researcher explained the possible risks and expected results from the study. After obtaining permission from the gatekeepers to join the study, the researcher asked the gatekeepers to recommend other suitable interviewees and also sent them the consent form, the interview protocol, and the questionnaire. The gatekeepers also helped to arrange the interview schedule.

Secondly, the researcher "negotiated consent" with the interviewees (p.254). "A fully informed consent from each of the respondents from whom data will be sought" (p.254) was acquired by the researcher for this study. Before every interview, the respondent had received a consent form in Chinese explaining the purpose of the study, the rights of the respondent, and all the contact information about the researcher. An example of the consent form can be found in Appendix A and its Chinese version in Appendix B. At the beginning of every interview, the researcher repeated the content of the consent form, gave further explanation and answered any questions. Then the respondent signed the two copies of the consent form, keeping one copy.

Thirdly, the researcher "built and maintained trust"(p.256) with the interviewees. Due to the promise the researcher made in the consent form that all information about the respondent in the study would be confidential, all respondents felt safe to speak frankly. Everyone agreed to a tape-recorded interview. At the end of the interview, the researcher thanked and promised to let the respondent read and confirm the original

transcript of the interview. The researcher did so.

Fourthly, the researcher "identified and used informants" (p. 258). In this study, the gatekeeper was the researcher's informant. They introduced the researcher to the other respondents and showed the researcher around the campus. Even after the interview trip, the researcher called back to the informant to ask further questions about the university and the other respondents.

Interviews

"A major advantage of the interview is that it permits the respondent to move back and forth in time—to reconstruct the past, interpret the present, and predict the future, all without leaving a comfortable armchair"(Lincoln & Guba, 1985, p.273). In the whole interview process of the study, the researcher used an open-ended interview protocol, which was expanded and revised as the study progressed. For the first interview, the researcher used a semi-structured interview, and strictly followed the protocol questions (Appendices C and D). In the interview process, the researcher found that it was too rigid for the respondent to talk freely. The researcher controlled the interview, and the respondent passively answered the questions. In this way, the interview could not go deeper. So, the researcher changed the interview process, using an open-ended protocol to guide the interview. At the beginning, the researcher introduced the study, and informed the respondent that there were three fields to be discussed: How he/she felt as a leader? How she/he defined a leader? How he/she thought of a leader's action in this changing environment? Using these three key questions and guiding the protocol, the

interview proceeded well.

Usually, the researcher began the interview with a small questionnaire (Appendices G and H) to warm up the respondent and guided him/her into the interviewing mood. The questionnaire asked for information about the respondent and his/her university, and concentrated on the four higher education reforms—structural reform, the 211 project and the 985 project, enrollment expansion, and institutional autonomy. After the respondent filled out the questionnaire, he/she gained some insight about the interview questions and what the researcher wanted to know.

Since the researcher mailed the protocol and other information in advance, the respondent was well prepared before the interview began. Most of respondents had filled out the questionnaire in advance, and handed it in to the researcher at the beginning. Some of them wrote comments on the interview protocol for themselves. When the interview ended, they gave these handwritten notes to the researcher as extra references. However, in two cases, at the beginning, the respondents did not feel comfortable speaking freely and expressed that they did not know what to say and what the researcher wanted. They insisted on letting the researcher ask the questions and they would answer. The researcher felt that the respondent did not prepare well and had no idea about the study. So the researcher took some time to introduce and explain the study and protocol to give the respondent some time to think about the questions and organize his/her thoughts. He completed the questionnaire and then the protocol to guide the interview was used.

The whole interview process consisted of 22 individual interviews and involved four

trips. The first trip was from November 11 to 16, 2004 to an east seaside city to conduct 7 interviews in three universities. The second trip was from December 7 to 8, 2004 to an eastern provincial capital to conduct 3 interviews in one university. The third trip was from January 22 to 24, 2005 to a western provincial capital to conduct 6 interviews in two universities. The fourth trip was to Beijing, the Capital of China, where the NAEA is located. The researcher conducted the final 6 interviews on the NAEA campus where the 22nd Seminar for Middle Administrators of Higher Education Institutions was held. These six interviewees were participants in the seminar.

Most interviews lasted two hours, but three of them lasted more than two hours. Interviews were carried out in Chinese. Interview responses were audio-taped. The researcher made the transcript in Chinese and emailed a copy to the respondent to clarify, expand and confirm it.

Observations

"A major advantage of direct observation is that it provides here-and-now experience in depth" (Lincoln & Guba, 1985, p.273). Observations were conducted at the time of the interview process and also during the campus-visiting period. In the first three interviewing trips, the gatekeeper arranged for the researcher to stay in the hotel on campus. This was especially convenient for visiting the campus, getting the feel of campus life, and furthering understanding of the culture and the differences of various campuses. While visiting almost every university, the gatekeeper of the university showed the researcher a history exhibit of the university, the monuments of the

milestones of the university, and the important locations and buildings of historical or current significance. These observations helped the researcher experience the traditions, beliefs, concerns, and customs of the university culture.

Every interview observation was kept in detail in the field notes, including the location of the interview, the starting time and the ending time, the environment of the interview, the times and reasons of disruptions of the interview, and the non-verbal language of the interviewee. The campus observations were kept in the reflexive journal.

Records and Documents

Records and documents are useful resources of information. In this study, there were many records and documents, including the formal introduction to the university from its website, the governmental statistics about higher education institutions, government policies, institutional policies and procedures, institutional plans, organizational charts, university leaders' public speeches, and the respondents' hand notes etc. These records and documents helped the researcher to generate a conceptual sense of each university and its environment so as to strengthen the comprehension between the researcher and the respondents.

Researcher Reflexivity

The researcher kept a reflexive journal to record the study process and steps, thoughts, ideas about the study, descriptions and comments on every university and every respondent. The reflexive journal is a very useful tool to help the researcher

organize the raw data, memorize the developing process of the study, record the researcher's constructed realities, and to provide the explanation of here-now situation, and also to record intuition feelings, and tacit knowledge about the study.

The writing process of the reflexive journal caused the researcher to recall and contemplate every step of the study process, discern problems and to resolve them immediately, so as to keep the study on the right track. The information from the reflexive journal, especially the information from the researcher's constructions and explanations, helped the researcher develop a "thick description" of respondents, universities and their institutional contexts.

Peer Debriefing

Peer debriefing "is a process of exposing oneself to a disinterested peer in a manner paralleling an analytic session and for the purpose of exploring aspects of the inquiry that might otherwise remain only implicit with the inquirer's mind"(Lincoln & Guba, 1985, p.308). In this study, the peer debriefing was an associate professor of South Normal University of China. She received her PhD in education administration from Beijing Normal University. She has used the qualitative research method to do her dissertation study and was very familiar with the process of this method. She has worked in her university more than 10 years and has much experience in the Chinese higher education system. She was a very good peer debriefer for this study.

The researcher met the peer debriefer after each interview trip. Most debriefing sessions included conversations about the interview, discussions about the research focus,

methodology process, the researcher's feelings and self-reflection, and review of documentation.

Assurance of Confidentiality

In this study, confidentiality was the most important factor that made the interviews successful. All the respondents had some hesitation to be interviewed at the beginning, (the researcher's perception) for they all felt sensitive to be interviewed by media. When they read the consent form, and were promised by the researcher of the confidentiality, they all relaxed and spoke frankly.

In this study, confidentiality was guaranteed according to the following standards: identification of all participants and their universities were coded and any details that could possibly be connected to specific individuals were omitted.

Member Check

In order to clarify, amend, expand and confirm the transcript, after the interview trip, the researcher transcribed the interview contents from the tape recordings to computer files, and then sent the contents by email to the respective respondents. Eighteen of 22 respondents responded and confirmed the data. The rest did not respond. This technique supports the trustworthiness of the study.

Data Analysis

"Within the naturalistic paradigm data are not viewed as given by nature but as

stemming from an interaction between the inquirer and the data sources". Thus, "data are the constructions offered by or in the sources, and data analysis leads to a reconstruction of those constructions" (Lincoln & Guba, 1985, p.332). The process of data analysis is essentially a synthetic one. Data analysis is a matter of data induction (Lincoln & Guba, 1985, p.333).

Data were analyzed using the content analysis method, which included unitizing data, categorization, and identification of patterns and themes (Lincoln & Guba, 1985). In order to maintain the confidentiality of the study, names of individuals and institutions were removed from the analysis.

Unitizing Data

There are two characteristics in unitizing data. First, the unit of data should be aimed at some understanding or some action that the researcher needs to have. Second, the unit of data must be the smallest piece of information that can stand by itself and be explainable without extra information (Lincoln & Guba, 1985).

In this study, the interview data were transcribed from tapes into computer files in Chinese. Then the transcripts were broken into units of data, the smallest pieces of information that can stand by themselves and be explained by themselves. The third step was to number and code the units according to the source of information, location of the university, university, respondent, and date. Then the units were transferred to 4x6 index cards. One thousand six hundred and seventy nine cards or units of data were created in this process. Data came from nearly 200, 000 Chinese character transcriptions of 22

interviews. Units were kept in Chinese to maintain the original language.

Coding

In order to ensure confidentiality and also to have a clear route to trace back to the original sources, all data units on the index cards were coded. The passwords of all codes were kept in a safe place where only the researcher had access to them.

The unit card included:

#	card number
IN	interview data (OB-observation data, DO-records and document data, RE reflexive journal data)
U1	university number (from 1 to 11)
I1	interview number (I1, I2, I3, I4)
SC	position status of the interviewee (SC-current leader, SR-retired leader, SM-middle administrators)
101705	date of the interview (mmddyy)
p.1	page number in the transcript
F/M	gender of the interviewee (F-female, M-male)

An example of a unit card and coding is presented in Figure 1.

```
#IN               U1I1SC101705F-p.1



      Unit_____
_____
```

Figure1. Example of a Unit Card and Coding

Categorization and Identification of Patterns

The purpose of categorization "is to bring together into provisional categories those cards that apparently relate to the same content" (Lincoln & Guba, 1985, p.347). The categorization process involved the following steps: the researcher selected the first card, read it and put in the first named category. Then the researcher selected the second card and studied it. If it contained similar content as the first card, it was placed in the same category. If not, the researcher created a new category. Following this process, each card was studied, put into related categories or different categories were formed. Miscellaneous cards that had no relation with any created categories were put in a separate stack. The process was repeated several times. In this process, the tacit knowledge of the researcher was used to determine which category a card belonged to and when and what type of new category needed to be created.

Each category was given a name to mark the essence of the properties of that stack of cards under that category. Based on the cards in the category, the rule or predominant characteristic of that category was written on a separate card with the category name on the top of the card. Then the researcher reviewed the cards of that category again to ensure the cards in that category were consistent with the rule or predominant characteristic. These steps were repeated until each card was processed.

After all the cards were analyzed, the categories were reviewed to make clear whether there was overlap or ambiguity between the categories or within the categories. Finally, the categories were compared so that possible patterns could be identified.

In this study, after every interview, the researcher used the above process to analyze the interview content, to write down the research memos outlining the categories of the interview and summarize the findings (research focus) and the methodological process. With a naturalistic paradigm, the design emerges as a result of a continuous data analysis and is determined by the context (Lincoln & Guba, 1985). Thus, the former interview data analysis and its research memos were the bases of the second interview. Following this process, the research focus gradually emerged, and such focusing established the boundaries of the study. At the same time, some new information appeared and new categories were created; however, as more and more similar information was repeated, a point of redundancy was reached. The researcher then stopped the study sampling and interview data collection. The researcher then summarized all the interviews' research memos, integrated and sorted the categories of these memos, and outlined the findings from these interviews and observations.

Based on these holistic findings, the researcher focused on every research question, and pulled out all the relevant cards or data units from the original data sources in terms of the research question, and played the "3x5 card shuffle" (Lincoln & Guba, 1985) game again to create the category under this research question. The research findings were reported according to the five research questions of the study. According to Denny's formulation, a case "is an intensive or complete examination of a facet, an issue, or perhaps the events of a geographic setting over time" (cited in Lincoln & Guba, 1985, p.214). The researcher used the case report with "thick description" to address every research question of this study, interactions between the researcher and the respondents and their contexts, and the reconstructions of the researcher.

Ensuring Trustworthiness

How can the researcher persuade his/her readers that the findings of the study are worth paying attention to? According to Lincoln and Guba (1985), through four criteria, the trustworthiness of the study will be established through four criteria: credibility, transferability, dependability, and confirmability.

Credibility deals with the question of how one can establish confidence in the truth of the findings of the study (Lincoln & Guba, 1985, p.290). In this study, the credibility was achieved through activities such as prolonged interview and observation, peer debriefing, member checks and triangulation.

In the study, every interview lasted more than two hours to obtain information. During the interview process, some key questions were asked in several ways at different

times to guarantee that the respondent understood the question and gave consistent answers to the same questions. The researcher stayed in every institution two to three days allowing enough time to observe and experience the context of the study. These prolonged interviews and observations increased the probability of generating credible findings.

Peer debriefing created an external check of the study. An outside "eyes, ears and head" can help the researcher to find out her biases, correct her carelessness, and clean up and clarify her reconstructions and interpretations in the study. This process also increased the credibility of the findings.

Member checks provided the best way to test the credibility of the findings. Each respondent was sent a copy of the transcript of the interview data and asked to review the data to ensure that they were not misrepresented. This process guaranteed that the data of the findings came from credible sources.

Besides the interview and observation data used in the study, the researcher also used records and documents from the universities' formal publications and websites to gain data relating to the same topic from different sources. In five universities, the researcher also interviewed at least three respondents per university. The same question was answered by three individuals in the same university. That means that the data relating to the same topic came from at least three resources—triangulation—increasing the credibility of the findings of the study.

Transferability deals with the question of how one can determine the extent to which the findings of the study have applicability in other contexts or with other respondents

(Lincoln & Guba, 1985, p.290). According to the naturalistic inquiry, the researcher's task was not to provide an index of transferability, but to provide the database that makes transferability judgments possible on the part of potential applications (Lincoln & Guba, 1985, p.316). The transferability was achieved through "thick description" to enable those interested in making a transfer to reach their own conclusions about whether this is a possibility. Thick description was generated through purposive sampling, thorough description of the context within which the study took place, and a thorough description of the transaction or process observed in the context that is relevant to the study questions.

Dependability deals with the question of how one can determine whether the findings of the study would be repeated if the study were replicated with the same respondents in the same context (Lincoln & Guba, 1985, p.290). However, replicability depends upon an assumption of naïve realism. On the contrary, the naturalist believes "realities are multiple, constructed, and holistic"(Lincoln & Guba, 1985, p.37). The naturalists see "reliability as part of a larger set of factors that are associated with observed changes" (Lincoln & Guba, 1985, p.299), and demonstrate dependability of the study through "seeking means for taking into account both factors of instability and factors of phenomenal or design induced change" (Lincoln & Guba, 1985, p.299). In this study, dependability was addressed by conducting a peer debriefing of the research process to check whether all findings are supported by data from the transcripts and information obtained from documents.

Confirmability deals with the question of how one can establish the degree to which

the findings of the study are determined by the respondents and conditions of the study and not by the biases, motivations, interests, or perspectives of the researcher (Lincoln & Guba, 1985, p.290). The naturalist believes that the study is value-bound, not value-free. The study is influenced by the values of the researcher, the respondents and the context of the higher education institutions (Lincoln & Guba, 1985). So the naturalist does not emphasize the objectivity of the investigator but the data themselves—"are they or are they not confirmable?" (Lincoln & Guba, 1985, p.300) The peer debriefer used to address dependability was also used simultaneously to determine confirmability. Confirmability was ascertained through examination of the product with respect to the data, findings, and interpretation by the peer debriefer.

CHAPTER IV

DATA ANALYSIS

This chapter analyzes the data collected from interviews, observations, documents and records. The first section, University and Participants of the Study, describes the 10 selected universities and introduces the 22 respondents from these universities. The interview contents are summarized into thematic tables and research memos. The second section, Research Questions, answers the five research questions separately by theme categories, theme tables and detailed explanations. The last section adds additional results and findings of the study.

Universities and Participants of the Study

Context plays an important role in interpreting data. Without an understanding of the context where the respondents live, the results can not be clearly communicated. In Chapter II, the author has described the broad context of the Chinese higher education system in historical, political, economical, demographical, cultural and geographical perspectives. In this section, the author will give a brief description of each university involved in this study and introduce each participant from these universities. The themes and research memo of every interview will be presented to guide the data analysis process. Tables 1, 2 and 3 in Chapter III provide an outline of these 10 selected universities and the 22 participants.

University 1 and Its Participant

University1 is located in Beijing, the capital of China. It was established in the early 20th century. After the founding of the People's Republic of China, the university was molded into a polytechnic institution focusing on engineering. The University has flourished since 1978, with the re-establishment of the departments in sciences, economics and management, and the humanities. Currently, the university consists of 44 departments distributed in 11 schools, including the schools of sciences, architecture, civil engineering, mechanical engineering, information science and technology, humanities and social sciences, economics and management, law, arts and design, public policy and management, and applied technology. A medical school is currently being established. The university is rapidly developing into a comprehensive university.

The university currently has over 7,100 faculty and staff, with over 900 full professors and 1,200 associate professors. The educational philosophy of the university is to "train students with integrity." Among the over 100,000 students who have graduated from the university since its founding are many outstanding scholars, eminent entrepreneurs and great statesmen remembered and respected by their fellow Chinese citizens. Presently, the university has over 20,000 students, including 12,000 undergraduates, 6,200 master's degrees candidates and 2,800 doctoral candidates (University 1 Documents and Observation).

The following information about the university came from the questionnaire (Appendix G) completed by the study participant of this university. The researcher also checked the university's official documents. The university has always been under the

direction of the Ministry of Education. In 2002, the university merged with another university. Compared to 1998, the current undergraduate enrollment size has not increased, the current master graduate enrollment size has expanded 1.5 times, the current doctorate graduate enrollment size has expanded more than 1.5 times, and the current other student enrollment size (such as associate bachelor degree or certificate) has dwindled. Since the enactment of the Chinese Higher Education Law，the university has gained more authority in the appointment of faculty, middle level administrators and staff, development of majors, and curriculum design and development. However, the university has had limited authority in the appointment of university senior leaders, redesigning and updating disciplines, and student recruitment. Supported by the 211 and 985 Projects, the University is poised to become a world-class university in the 21st century.

Participant 1 (U1I1SC010605M)

The researcher interviewed one participant in this university on January 6, 2005. The participant is the vice secretary of the Committee of Communist Party of the University (CCPU) and has served more than 3 years in the current position. He is 42 years old and has worked in university administration positions for more than 15 years. He received his master's and bachelor's degrees in engineering from this university. He holds the professional title of professor at the university.

The interview lasted more than two hours. The transcript of this interview content was unitized into 137 cards from code number IN1 to IN137. The themes and their related data units of the interview content are presented in Table 4.

He summed up his experiences to make him a university leader. He discussed the relationship between the university leader's occupation and academic career. He stated that a university leader's primary duty is to carry out his administrative responsibility. He believed that the political stability of the country and social development are strongly connected with the university's political duty.

He commented on the current higher education reforms. He disagreed with the reform of merging institutions. However, he agreed with the enrollment enlargement reform. He expressed that the 211 and 985 Projects provided great financial support for university development. He also discussed the relationship between a university and its location. In the interview, the respondent mentioned repeatedly the higher education system in the western world, such as the competitions between Texas A&M University and UT Austin, MIT and Harvard, Cambridge and Oxford University, and the tutorial system of Oxford [IN47, 73, 113].

Table 4.   Themes and Data Units of University 1 Participant 1

Theme	Data Unit (card)
1. Personal experiences to be a leader	27
● Internal reason-Commitment	
● Internal reason-pursuing perfection in every work	
● Internal reason-studying hard	
● Internal reason-enthusiasm	
● Internal reason-service sense	
● Internal reason-good at learning and improving from experiences and lessons	
● Internal reason-unselfishness	
● Internal reason-competence	
● Internal reason-adaptation	
● Internal reason-patience and perseverance	
● External reason- extracurricular activities	
● External reason-good relationship with people	
● External reason-opportunity	
● External reason- intentional training by the organization	
2. Leadership competencies	22
● Symbol of the university	
● Perspective and farsightedness	
● Foresight and discernment	
● Team-building	
● Overall consideration and strategy	
● Public figure	
● Coordination	
● Discernment about people	
● Grasping suitable opportunities	
● Long-term academic development decision	
● Leading and cultivating the university atmosphere and culture	
● Pursuing excellence and academic reputation sense	
● Academic quality and accomplishment	
● Responsibility	
● Rapport	
● Decision-making ability	
● Communication	
● Gaining information in a timely manner	
● Work initiative	
3. Current leader	32
● Relationship between university leader's occupation and academic career	
● Presidential responsibility system under the leadership of the CCPU	
● Political duty of an university	
4. Merger of institutions	4
5. Enrollment enlargement	12
6. 211& 985 Projects	8
7. Relationship between a university and its location	14
8. Administrator training	7
9. Foreign experiences	3
10. Miscellaneous pile	8
Total	137

University 2 and Its Participant

University 2 is located in Beijing. It was established early in the 20th century as a teacher-training institution. After a century of development, it has become an important education and research base for multi-disciplinary and advanced research. Currently, the university has 19 schools plus 6 departments and 12 institutes, 52 bachelor's degree programs, 127 masters degree programs, and 69 disciplines or sub-disciplines which are authorized to confer PhD degrees. The university has an enrollment of over 16,000 full-time students including 8,000 undergraduates, over 7,000 graduate students, as well as over 10,000 online education and continuing education students. Also, there are over 2,000 international students (University 2 Documents and Observation). The university has 10 university leaders including 1 president, 6 vice presidents, 1 secretary of the CCPU, and 2 vice secretaries of the CCPU [IN124].

The following information about the university came from the questionnaire (Appendix G) completed by the study participant of this university. The researcher also checked the university's official documents. The university has always been under the direction of the Ministry of Education. The university did not merge with any institution. Compared to 1998, the current undergraduate enrollment size has not increased, the current master graduate enrollment size has expanded more than 1.5 times, the current doctorate graduate enrollment size has expanded more than 1.5 times, and the current other student enrollment size has doubled. Since the enactment of the Chinese Higher Education Law，the university has gained its authority in the appointment of faculty, middle level administrators and staff, and in development of majors. However, the

university has had limited authority in the appointment of university senior leaders, redesigning and updating disciplines, curriculum design and development, and student recruitment. Supported by the 211 and 985 Projects, and the Beijing Municipality, the university is becoming an internationally influential university in the 21st century.

Participant 1 (U2I1SM120504M)

The researcher interviewed one participant in this university on December 5, 2004. The participant is the dean of one college and has served 4 years in the current position. He is 46 years old and has worked in university administration positions for more than 6 years. He received his PhD, masters and bachelor's degrees in philosophy from this university. He is a full-time professor at the university.

The interview lasted more than two hours. The transcript of this interview content was unitized into 97 cards from code number IN138 to IN234. The themes and their related data units of the interview content are presented in Table 5.

He expressed that he did not want to be a department head or a dean. His favorite activity was sitting in his study room doing his research [IN154]. He was chosen as the department head through a democratic election process while he was out of Beijing. When he came back, he was told that he was the department head. He had no other choice and had to respect the department's trust [IN141]. He summarized several reasons for him to be chosen as a leader: familiarity with the department situation; high academic reputation; devoted to work, unselfish and possessed a strong service sense.

Table 5.   Themes and Data Units of University 2 Participant 1

Theme	Data Unit (card)
1. Personal experiences to be a leader	30
• Age advantage	
• Opportunity	
• Academic reputation	
• Familiarity to the situation	
• Commitment	
• Responsibility	
• Unselfishness	
• Good relationship with people	
• Service sense	
• Competence	
• Work initiative	
• Adaptation	25
2. Leadership competencies	
• Definition of leader	
• Perspective and far-sightedness	
• Strategic thinking	
• Social intercommunication	
• Respect and appreciate subordinates' success	
• Competence	
• Proud of subordinates' success	
• Morality	
• Justness	
• Self-discipline	
• Creativity	
• Symbol of the university	
• Determination	
• Academic quality and accomplishment	
• Academic judgment	
• Decision-making capacity	
• Responsibility	
3. Current university leaders	20
• Infinite leader to limited leader	
• Academic role and executive role	
• Leader's influences	
• Presidential responsibility system under the leadership of CCPU	
4. Co-build institutions	3
5. Enrollment enlargement	2
6. 211& 985 Projects	4
7. Relationship between a university and its location	6
8. Foreign experiences	2
9. Miscellaneous pile	5
Total	97

He defined leaders in three roles on three levels. On the first level, a leader is a doer, diligently doing everything together with his/her subordinates. On the second level, a leader is an organizer, carefully organizing his/her subordinates to accomplish the organizational goal. On the third level, a leader is a motivator, inspiring his/her people to work independently. He emphasized that a university leader should reach the third level to be a motivator to create an environment where every faculty member can be motivated to work creatively. He believed that current university leaders are playing numerous roles with limited energy and time. He suggested separating a university leader's academic duty and executive duty [IN163]. He also mentioned that current university leaders strongly influence their universities. He expressed that a university and its environment have mutual influences on each other. In the interview process, the respondent mentioned western higher education systems twice, discussing the relationships between U.S. universities or Germany universities and their locations.

University 3 and Its Participant

University 3 is located in a seaside city in the eastern area of China. The university was established in 1905. The university has 17 schools, 69 departments, 73 bachelor's degree programs, 201 master's degree programs, 6 professional degree programs, and 134 PhD degree programs,. Currently, the university has an enrollment of over 45,000 students, including full-time students, part-time students and nearly 1,760 students from overseas. The university has over 2,400 faculty, including 1,350 professors and associate professors (University 3 Documents and Observation).

The following information about the university came from the questionnaire (Appendix G) completed by the study participant of this university. The researcher also checked the university's official documents. The university has always been under the direction of the Ministry of Education. The university merged with a medical university. Compared to 1998, the current student enrollment size has expanded 0.5 times. Since the enactment of the Chinese Higher Education Law，the university has gained authority in the appointment of associate professors, assistant professors and middle level administrators, and curriculum design and development. However, the university has had limited authority in the appointment of professors and staff, redesigning and updating disciplines, and development of majors. The university has little authority in the appointment of senior university leaders and student recruitment. With strong support from the 211 and 985 Projects, the University is poised to become a world-class university in the 21st century. Now the university has 12 university leaders including 1 president, 8 vice presidents, 1 secretary of the CCPU, and 2 vice secretaries of the CCPU [IN312].

Participant 1 (U3I1SR111204M)

The researcher interviewed one participant in this university on November 12, 2004. The participant is the retired vice president for teaching affairs and has served more than 5 years in this position. He is in his 60s and has worked in university administration positions for more than 5 years. He has had more than 30 years of work experience. He also took positions as the provost, mathematics department head, and the head of the

higher education research institute of the university. He has a bachelor's degree in science. He holds the professional title of a professor at the university. Although he retired from this position in 2003, he is still in charge of the business of constructing a new campus of the university.

The interview lasted more than one and a half hours. The transcript of this interview content was unitized into 100 cards from code number IN244 to IN344. The themes and their related data units of the interview content are presented in Table 6.

The participant summed up his qualifications to be a university leader：sensitivity to new things, creatively and flexibly implementing the university policies, and initiating and openly soliciting opinions about the university development. He emphasized the importance of academic vision and academic reputation for a university president. He believed that a university is an academic and educational organization where new thoughts and ideas are generated; a university leader should pay more attention to faculty's opinions and suggestions.

Table 6. Themes and Data Units of University 3 Participant 1

Theme	Data Unit (card)
1. Personal experiences to be a leader	10
• Commitment	
• Sensitivity to new things	
• Implementation	
• Organization ability	
• Creativity	
• Openness	
2. Leadership competencies	17
• Perspective and far-sightedness	
• Educationist	
• Scientist	
• Political vision	
• Academic vision	
• Clear thoughts and strategies about running a university	
• Accurately understanding the MOE policies	
• Discernment on higher education situation	
• Persistence	
• Organizing capacity	
• Performance capability	
• Grasping suitable opportunities	
3. Current leader	28
• Relationship between university leader's occupation and academic career	
• Presidential responsibility system under the leadership of the CCPU	
4. Merger of institutions	8
5. Enrollment enlargement	2
6. 211& 985 Projects	4
7. Advantage and disadvantage of the university	7
8. Institutional autonomy	23
9. Foreign experiences	2
Total	101

He emphasized that the presidential responsibility system under the leadership of the CCPU is a better system suitable to the current circumstances of China. The problem is how to implement this system. He gave positive comments on the university's merger with a medical institution. He noted that the 211 and 985 Projects provided great financial support for the university development. The enrollment enlargement reform caused a shortage of teaching resources, especially a lack of faculty. He criticized the MOE's tight controls over universities. In the interview process, the respondent twice

mentioned the western higher education system, such as the university president appointment system and the board of trustee system [IN269, 295].

University 4 and Its Participants

University 4 is located in a seaside city in the eastern area of China. The university is a key university in China, jointly run by the MOE and the City Municipality. It was founded in 1896, one of the oldest universities in China. The university, through its century-long history, has nurtured large numbers of outstanding figures and made significant contributions to the thriving and prosperity of the nation and the development of science and technology. The university has 21 academic schools, 60 undergraduate programs, 152 master's degree programs, 93 Ph.D programs, and 16 post-doctorate programs. The university boasts a good number of famous scientists and professors, including 22 academicians of the Academy of Sciences and the Academy of Engineering, 23 "Changjiang Chair Professors" and more than 1, 420 professors and associate professors. Its current enrollment of full-time students amounts to 23,900. The university has inherited its old tradition "high starting points, solid foundation, strict requirements and extensive practice". Today the old tradition is endowed with new content and has become an effective style of learning for students (University 4 Documents and Observation).

The following information about the university came from the questionnaire (Appendix G) completed by the two study participants (I1 and I3) of this university. The researcher also checked the university's official documents. The university has always

been under the direction of the Ministry of Education. The university merged with an agriculture college. Compared to 1998, the current student enrollment size has expanded 0.5 time. Since the enactment of the Chinese Higher Education Law , the university has gained authority in the appointment of faculty and middle level administrators, and curriculum design and development. However the university has only little authority in the appointment of senior university leaders and student recruitment. With strong support from the 211 and 985 Projects, the University is poised to become a world-class university in the 21st century. Now the university has 12 university leaders including 1 president, 8 vice presidents, 1 secretary the CCPU, and 2 vice secretaries of the CCPU [IN312].

The researcher interviewed three participants in this university on November 16, 2004. Three participants and their interviews are introduced separately as follows:

Participant 1 (U4I1SM111604M)

The researcher interviewed Participant 1 in his office. The participant is the executive vice dean of the graduate school and the assistant to the president. He has served more than 5 years in the vice dean's position and more than 3 years in the assistant to the president position. He is 42 years old and has worked in university administration positions for more than 15 years. He has had more than 15 years of work experience. His highest degree is a PhD in engineering. He holds the professional title of a professor at the university.

The interview lasted more than one hour. The transcript of this interview content was unitized into 100 cards from code number IN345 to IN444. The themes and their related data units of the interview content are presented in Table 7.

Table 7.   Themes and Data Units of University 4 Participant 1

Theme	Data Unit (card)
1. Advantage and disadvantage of the university	16
2. institutional mergers	15
3. Enrollment enlargement	31
4. 211& 985 Projects	4
5. Institutional autonomy	16
6. Relationship between a university and its location	15
7. Foreign experiences	4
Total	101

Because of time limitations, the participant did not talk about personal experience as a leader and leadership competencies. He mainly concentrated on the institutional challenges and higher education reforms. He was the gatekeeper of this university. He helped the researcher arrange the interview schedule in this university. Thus his interview was conducted discontinuously during the waiting time for the other interviewees. However, the participant still provided valuable data.

He analyzed the university's advantages and disadvantages. He gave positive comments on the university's merger with one agriculture institution. He also commented on the whole merger reform of the Chinese higher education system. He considered that the enrollment enlargement reform was caused by the external impact while the government wanted to stimulate the national economic development through increasing higher education consumption, and the society had tremendous needs for higher education to improve individual competitive capacity. Nonetheless, this reform

also has some potential negative results and problems, especially for many provincial and local universities and colleges [IN424]. He expressed that the 211 and 985 Projects were the most important events for the university in the current decade and these two projects provided great financial support for many universities' development [IN348]. He suggested that MOE should reduce regulations for those research universities and bestow more institutional autonomy to them. He expressed that location in the city is one of great opportunities for the university development. In the interview process, the respondent mentioned the western higher education systems more than 4 times, such as university size, graduate employment, education models, and teaching method [IN368, 416, 415, 354].

Participant 2 (U4I2SR111604F)

The researcher interviewed Participant 2 in her office. The participant is the retired vice secretary of the CCPU and has served more than 5 years in the position. She is in her 60s and has worked in university administration positions for more than 20 years. She has had more than 30 years of work experience. Her highest degree is a bachelor in engineering. She holds the professional title of professor at the university. She was the only female interviewee in this study. Although she retired in 2003, she still helps doing university development.

The interview lasted more than two hours. The transcript of this interview content was unitized into 106 cards from code number IN445 to IN550. The themes and their related data units of the interview content are presented in Table 8.

Table 8.   Themes and Data Units of University 4 Participant 2

Theme	Data Unit (card)
1. Personal experiences to be a leader	21
• Commitment	
• Opportunity	
• Higher education research	
• Frankness	
• Persistence	
• Creativity	
• Self-sacrifice	
• Female role	
2. Leadership competencies	
• Definition of leadership	20
• Ideas	
• Indomitableness	
• Grasping suitable opportunities	
• Perspective and far-sight	
• Strategic vision	
• Goal	
• Team-built	
• Strategic thinking	
• Organizing capacity	
• Coordination	
• Motivation	
• Encouragement	
• Charm	
• Communication	
• Academic background and accomplishment	
• Commitment	
• Enthusiasm	
• Familiarity with university	
3. Relationship between university leader's occupation and academic career	7
4. Advantage and disadvantage of the university	23
5. 211& 985 Projects	19
6. Relationship between a university and its location	3
7. Training	8
Total	101

While talking about her personal experiences as a leader, she emphasized that her higher education research capacity and research habits are useful and helpful for her administration work. She also expressed self-sacrifice and devotion to work as important qualities of a leader. She didn't think there were any differences between male and female to be a leader. However, females had to exert more physical energy, especially as a vice president for logistics; sometime she had to work hard side by side with many

workers [IN451-453]. Females also had to spend more time taking care of family. Pressures from both work and family make a female leader easier to worry than a male leader IN454]. On the other hand, female leaders are more thoughtful and careful than male leaders. They can maintain a harmonious working environment [IN452]. She encouraged females to be administrators and leaders, and advised them to be braver, far-sighted, more open-minded, and study hard to be more competent [IN549]. She emphasized the university tradition and culture as important advantages. She also expressed that the 211 and 985 Projects are the most important events for the university in the current decade.

Participant 3 (U4I3SC111604M)

The researcher interviewed Participant 3 in his office in the late afternoon of that day. He had just hurried back from another campus to meet the researcher. The participant is the vice secretary of the CCPU in charge of public relations, student affairs, labor unions and women's union, campus life, physical education, and campus safety and stabilization. He has served more than 2 years in the current position. He is in his 30s and has worked in university administration positions for 5-10 years. He has had 10-20 years of work experience. He was the director of the CCPU office. He received his master's degree in management and a bachelor's degree in engineering from the university. Since he entered the university as an undergraduate, he has never left the university. He holds the title of an associate professor at the university. He is the youngest university leader among all interviewees in this study.

The interview lasted more than one and a half hours. The transcript of this interview

content has been unitized into 83 cards from code number IN551 to IN633. The themes

and their related data units of the interview content are presented in Table 9.

Table 9.   Themes and Data Units of University 4 Participant 3

Theme	Data Unit (card)
1. Personal experiences to be a leader	17
● Age advantage	
● Opportunity	
● Comprehensive quality	
● Intentionally training by the university	
● Thinking actively	
● Creativity	
● Administration experiences	
● Good relationship with the mass	22
2. Leadership competencies	
● Doer	
● Vision	
● Implementation	
● Having a grasp about the whole situation	
● Educationist	
● Politician	
● Entrepreneur	
● Competence	
● Adaptation	
● Current leader	
3. Current leaders	9
● Relationship between university leader's occupation and academic career	
● Presidential responsibility system under the leadership of the CCPU	
4. Advantage and disadvantage of the university	7
5. 211& 985 Projects	5
6. Institutional mergers	5
7. Enrollment enlargement	4
8. Institutional Autonomy	3
9. Relationship between a university and its location	3
10. Training	5
11. Foreign experience	3
Total	83

He considered his age as an advantage for being a leader. When he became the university leader, he was only 33 years old. It was said he was the youngest university leader in all of the MOE-directed universities [IN557]. As a leader, his purpose is to help his students setting up longer-term goals and to create a campus environment full of culture and humanistic atmosphere [IN619]. He emphasized that a leader must be a doer, but he/she cannot just stay in dealing with concrete matters, he/she needs to have visions and long-term goals. He didn't think that the presidential responsibility system under the leadership of the CCPU has restricted the authority of the president. In this complex environment, a team has more wisdom than a single brain. He observed that the current university culture lacked ambition and vision. Cultivated in this culture, students will be good doers and hard workers, but they will not be social leaders. His goal is to reform this culture and infuse fresh blood into it. In the interview, he twice mentioned the western higher education systems, such as the responsibility of Educational Department of U.S., and university president's backgrounds [IN577, 604].

University 5 and Its Participants

University 5 is located in a seaside city in the eastern area of China. The university history can be traced back to the earlier 20th century, when it was a German medical school. It was officially established as a university in 1923. The university has strong engineering disciplines, especially civil engineering. In 1996, the university merged with an institution called Urban Construction and Building Materials University. In April 2000, the university merged with another institution called Railway University. Now the

university offers a wide range of programs in sciences, engineering, medicine, arts, law, economics and management. The university has an enrollment of over 41,000 students and over 4200 faculty members, including 530 professors and 1300 associate professors. The university has 81 bachelor's degree programs, 151 master's degree programs, 58 PhD programs and 13 postdoctoral programs [University 5 Documents and observations].

The following information about the university came from the questionnaire (Appendix G) completed by three study participants (I2, I3, I4) in this university. The researcher also checked the university's official documents. The university has always been under the direction of the Ministry of Education. The university has become a co-built institution, a cooperation between the city government and the MOE. The university has merged with two institutions. Compared to 1998, the current undergraduate enrollment size has expanded 0.5 times, the current master graduate enrollment size has expanded more than 1.5 times, and the current doctorate graduate enrollment size has expanded more than 1.5 times. Since the enactment of the Chinese Higher Education Law，the university has gained authority in the appointment of faculty and middle level administrators, and curriculum design and development. The university has limited authority on staff personnel, redesigning and updating disciplines, and development of majors. The university only has little authority in student recruitment and has no authority in the appointment of senior university leaders. With strong support from the 211 and 985 Projects, the university is poised to become a world-class university in the 21st century. Now the university has 12 university leaders including 1

president, 6 vice presidents, 1 secretary of the CCPU, and 4 vice secretaries of the CCPU.

The researcher interviewed four participants in this university on November 15, 2004. Four participants and their interviews are introduced separately as followings:

Participant 1 (U5I1SR111504M)

The researcher interviewed Participant 1 in the gatekeeper's office at noon of that day. The participant is the retired secretary of the CCPU of one institution merged by University 5. Before the merger, he was the president and the secretary of the CCPU of that institution from 1989 to 1996. After the merger in 1996, he was appointed as a university inspector. Half a year later, he retired from the position and began to do research on civil engineering until this time. He is in his 60s and has worked in university administration positions more than 20 years. He has had more than 30 years of work experience. He graduated from University 4 and his major is civil engineering He is a professor at the university [IN634-635].

The interview lasted about one hour. The transcript of this interview content was unitized into 32 cards from code number IN634 to IN6676. The themes and their relative data units of the interview content are presented in Table 10.

Table 10.   Themes and Data Units of University 5 Participant 1

Theme	Data Unit (card)
1. Personal experiences to be a leader	4
• Sincerity	
• Hardworking	
• Kindness	
• Opportunity	
• Good relationship with the mass	13
2. Leadership competencies	
• Teaching and research experiences	
• Academic reputation and accomplishment	
• Comprehensive qualities	
• Vision	
• Openness	
• Having a grasp about the whole situation	
• Diligence	
• Steadfastness	
• Equity	
• Doing research	
• Tolerance	
• Sociality	
• Self-discipline	
• Communication	
• Discernment	
• Language skills	
• Drive skill	
3. Advantage and disadvantage of the university	3
4. Institutional mergers	12
Total	32

The researcher asked the participant to talk more about institutional mergers, because the participant was the first person in the study whose institution was merged by another university. He gave positive comments on the merger reform. His institution had the same disciplines as University 5 did, but the latter had the top one in this academic field, so it was good for his institution to be merged with a stronger one. Originally his institution was under the direction of the National Bureau of Construction and Building Materials. After the central governmental organizations' readjustment, the Bureau was dismantled; the institution was transferred to the MOE and was merged with University 5 [IN636]. However, there were many issues and problems during and after the merging

process. The two institutions had different educational models [IN640]. The faculty from University 5 mainly did teaching and research, but the faculty from the merged institution mostly just did teaching. It took a long time for the latter to adjust [IN641]. Merging caused the university to have too many campuses and brought too many challenges to the university administration.

Participant 2 (U5I2SM111504M)

The researcher interviewed Participant 2 in his office in the same afternoon of that day. The participant is the dean of the college of management. He has served more than 4 years in the current position. He is in his 40s and has worked in university administration positions for more than 11 years. He has had 11-20 years of work experience. He was the director of the teaching affairs office from 1993-1998, and the associate head of Management Department in 1992. He received his master's degree and bachelor's degree in management from the university. Since he entered the university as an undergraduate, he has never left the university. He is a fulltime professor at the university. In 1999, he was chosen as the college dean through a competitive and democratic election process [IN679].

The interview lasted more than one and a half hours. The transcript of this interview content was unitized into 55 cards from code number IN677 to IN732. The themes and their related data units of the interview content are presented in Table 11.

Table 11.   Themes and Data Units of University 5 Participant 2

Theme	Data Unit (card)
1. Personal experiences to be a leader	12
● Service	
● Academic vision	
● Persistence	
● Self-sacrifice	
● Management skills	
● Having a grasp about the situation	
● Efficient management	
● Motivation	
● Kindness	
● Academic accomplishment	
● Scholastic quality	
● Comprehensive quality	
2. Leadership competencies	11
● Having a grasp about the macroscopic situation	
● Vision	
● Finding resources	
● Educationist	
● Management	
● Selflessness	
● Waking use of personnel	
● Academic vision	
● Capacity to make academic strategy	
● Goal-setting	
● Trusting people	
● International higher education knowledge	
3. Current leaders	21
● Leader selection system	
● Current leaders' quality	
● Presidential responsibility system under the leadership of the CCPU	
4. Institutional mergers	3
5. Enrollment enlargement	1
6. Institutional Autonomy	1
7. Relationship between a university and its location	5
8. Foreign experience	1
Total	55

He emphasized that a college dean's duty is not to make himself become an expert, but to enable his faculty to be experts, to build up a platform, to cultivate or recruit some talented faculty, and to let them perform well. He was dissatisfied with the current leader selection system and suggested that the researcher should interview some human resources department heads and see whether they really understand what university

administration is. He gave very low estimates about current university presidents. He said: "we always joke, as we become unqualified, we are going to be a president" [IN707]. He also complained that the MOE was involved too much with a university's internal administration. During the interview, he mentioned the western higher education systems three times, such as the responsibility of a college dean and education models [IN688, 724, 729].

Participant 3 (U5I3SM111504M)

The researcher interviewed Participant 3 in his office in the late afternoon of that same day. He was the gatekeeper of the university in this study. He is the assistant to the president in charge of a new campus and freshmen affairs. He has served more than 1 year in the current position. He is in his 50s and has worked in university administration positions more than 20 years. He has had more than 30 years of work experience. He was the director of the CCPU office of the merged institution where Participant 1 was the president. He received his master's degree in law. He holds the title of an associate professor at the university.

The interview lasted more than one hour. The transcript of this interview content was unitized into 40 cards from code number IN733 to IN773. The themes and their related data units of the interview content are presented in Table 12.

Table 12.   Themes and Data Units of University 5 Participant 3

Theme	Data Unit (card)
1. Leadership competencies	9
• Sensitivity in politics	
• Firmness in politics	
• Temporizing toward the current situation	
• Having a grasp about the whole situation	
• Collecting and analyzing information	
• Macroscopic decision-making capacity	
• Discernment about people	
• Waking use of personnel	
• Organizing capacity	
• Coordination	
• Flexibility	
• Academic reputation and accomplishment	
• Good relationship with people	
• Individual charm	
• Solidarity	
• Cooperation	
• Administration experiences	
2. Presidential responsibility system under the leadership of the CCPU	13
3. Advantage and disadvantage of the university	5
4. 211& 985 Projects	1
5. Institutional mergers	2
6. Enrollment enlargement	1
7. Institutional Autonomy	1
8. Relationship between a university and its location	3
9. Training	5
Total	40

He pointed out that in China a leader must have a high sensitivity to politics. As a team, the university leaders should put solidarity as their primary duty and strengthen cooperation and coordination among the team members. He thought that the threats of his university development came from inside more than from outside. He gave positive comments on his university's merger reforms. He said that the 211and 985 Projects were very good examples of government's support for Chinese higher education development. He pointed out that individual leadership competency could be improved through personal working practice rather than through training. He suggested improving leadership through a diagnostic evaluation--a professional consultant interviewing

leaders individually and helping them analyze their merits and drawbacks in their leadership and purposefully changing it.

Participant 4 (U5I4SC111504M)

The researcher interviewed Participant 4 in his office in the morning of that day. The participant is the vice president for research. He has served more than 3 years in the current position. He is in his 50s and has worked in university administration positions for 10 years. He has had more than 30 years of work experience. He even took the vice president position and the vice secretary position of the CCPU at the same time. He also took an assistant to the president and a department head position. He received his PhD, masters and bachelor's degrees in engineering from the university. He is a professor of the university.

The interview lasted more than one and a half hours. The transcript of this interview content was unitized into 95 cards from code number IN1565 to IN1659. The themes and their related data units of the interview content are presented in Table 13

He thought that current Chinese universities faced extremely complicated circumstances. This situation asked university leaders to be equipped with strong decision-making capacity. He considered it was very difficult to balance the relationship between university leaders' occupation and their academic career. He suggested that in the leadership team, a reasonable personnel combination should be needed to have some full-time leaders and some part-time leaders.

Table 13. Themes and Data Units of University 5 Participant 4

Theme	Data Unit (card)
1. Personal experience to be a leader	4
2. Leadership competencies	29
● Strategic decision-making capacity	
● Problem-solving ability	
● Democratic administration sense	
● Implementing capacity	
● Communication capacity	
● Knowledge	
● Educational ideas	
● Team-building	
● Solidarity	
● Coordination	
3. Current leader	15
● Relationship between university leader's occupation and academic career	
● Presidential responsibility system under the leadership of the CCPU	
4. Advantage and disadvantage of the university	8
5. Institutional mergers	15
6. Institutional Autonomy	9
7. Training	7
8. Miscellaneous pile	8
Total	95

While talking about the presidential responsibility system under the leadership of the CCPU, he expressed that he had working experiences from both sides. From his personal experiences, it was very difficult to combine both sides and balance the relationship between them. He pointed out that all Chinese higher education institutions were facing one of the biggest threats—excessively bragging on itself in order to gain more resources. He warned leaders to keep a sober mind. He pointed out that the current training programs are too obsolete.

University 6 and Its Participants

University 6 is located in a seaside city in the south-eastern area of China. The university was founded in 1921. With its motto "Pursue Excellence, Strive for

Perfection", the university has accumulated rich experiences in offering diverse educational programs. With 20 schools containing 43 departments, and many key research institutes, the university provides a fairly complete range of educational programs in humanities, social sciences, natural sciences, engineering and technology, management, art education, and medical science. The university now offers 71 undergraduate programs and 150 graduate programs, including 4 professional masters programs, 87 PhD programs, and 12 post-doctoral research programs. The University has over 4,500 faculty, including 1,758 full-time faculty and professional researchers. The university now has a total enrollment of 25,000 full-time students, including 15,813 undergraduates, 6,327 master students, 1,060 doctoral students, 847 overseas students, and 426 students from Hong Kong, Macao, and Taiwan [University 6 Documents and observations].

The following information about the university came from the questionnaire (Appendix G) completed by the participants (I1) of this university. The researcher also checked the university's official documents. The university has always been under the direction of the Ministry of Education. The university has not merged with any institution. Compared to 1998, the current enrollment size has expanded 0.5 times. Since the enactment of the Chinese Higher Education Law，the university has gained authority in the appointment of faculty, middle level administrators and staff, and curriculum design and development. The university has only little authority in student recruitment and has no authority in the appointment of senior university leaders. With strong support from the 211 and 985 Projects, the university is now making great strides towards its

goal of "building a high-level university well-known both at home and abroad". Now the university has 12 university leaders including 1 president, 7 vice presidents, 1 secretary of the CCPU, and 3 vice secretaries of the CCPU.

Participant 1 (U6I1SM110904M)

The researcher interviewed Participant 1 in his apartment in NAEA in the evening of November 15, 2004. The participant is the director of the student affairs department. He has served in this position for more than one year. He is in his 40s and has worked in university administration positions for more than 10 years. He has had more than 20 years of work experience. He received his masters degree in literature from University 6.

The interview lasted about one hour. The transcript of this interview content was unitized into 16 cards from code number IN1044 to IN1059. The themes and their relative data units of the interview content are presented in Table 14.

Table 14.   Themes and Data Units of University 6 Participant 1

Theme	Data Unit (card)
1. Leadership competencies	7
● Vision	
● Openness	
● Service sense	
● Crisis sense	
● Discernment about the situation	
● Adaptation	
● Creativity	
● Management skills	
2. Advantage and disadvantage of the university	5
3. Enrollment enlargement	4
Total	16

He emphasized that university leaders should have a sense of crisis, comparing the Academy's own development not only from a longitudinal way to see its own progress, but also from a horizontal way to find out differences between it and other institutions [IN1055]. For a long time, the university was treated as a governmental agency. This practice also influenced university internal administration-the executive parts of a university had significant influence over the academic parts. However, teaching and research are the core of a university, so administrators should enhance their service sense [IN1046]. He pointed out that the current Chinese higher education system is short of diversity and diverse ideas. All universities want to be like Tsinghua University and Peking University. Governmental evaluation criteria were too simplistic and made their education model too simplified. We need to rethink the current higher education investment policies and evaluation policies and create a loose environment to encourage and guide diversity in university development [IN1059].

University 7 and Its Participants

University 7 is located in a provincial capital in the eastern area of China. The University is one of the oldest higher learning institutions in China. Its origins can be traced back to 1902, when it was founded as a normal college. In the 1952 restructuring, the university was renamed the Institute of Technology on the original site of the university. In May 1988, the university was changed back to its old name. And in April 2000, a Railway Medical College, a College of Communications and a Geological School were merged into the university. At present, the university has five campuses.

Now, the university has become a comprehensive university with various departments of science, engineering, art, social sciences, law, economics, management, and languages. The university comprises over 40 schools or departments with 42 undergraduate programs, 104 master programs, 53 PhD programs and 9 post-doctoral stations. It has 2,600 faculty, including 1,560 professors and associate professors. Currently, the university has an enrollment of 30,000 students [University 7 Documents and Observation].

The following information about the university came from the questionnaire (Appendix G) completed by three participants (I1, I2, and I3) of this university. The researcher also checked the university's official documents. The university has always been under the direction of the Ministry of Education. The university has become a co-built institution by the city government and the MOE. The university merged with three separate institutions. Compared to 1998, the current undergraduate enrollment size has expanded 1.5 times, the current masters graduate enrollment size has expanded more than 3 times, the current doctorate graduate enrollment size has expanded more than 3 times, and the current other student enrollment size has expanded 1 time. Since the enactment of the Chinese Higher Education Law，the university has only gained authority in the appointment of faculty, middle level administrators and staff. The university has limited authority on curriculum design and development, redesigning and updating disciplines, and development of majors. The university has little authority in the student recruitment and has no authority in the appointment of senior university leaders. With strong support from the 211 and 985 Projects, the University is poised to

become a world-class university in the 21st century. Now the university has 10 university leaders including 1 president, 8 vice presidents, and 1 secretary of the CCPU.

The researcher interviewed four participants in this university on December 7, 2004. Four participants and their interviews are introduced separately as followings:

Participant 1 (U7I1SM120704M)

The researcher interviewed Participant 1 in his office in the evening of that day. He is the director of the president's office, a position similar to the chief of staff. He was appointed to the current position through a competitive and democratic election process. He is in his 50s. He has served in his current position for more than 5 years. He has worked in higher education administration for more than 20 years, and has more than 30 years of work experience. He received his bachelor's degree in engineering from the university. He also holds the title of a professor at the university.

The interview lasted about one and a half hours. The transcript of this interview content was unitized into 63 cards from code number IN774 to IN837. The themes and their related data units of the interview content are presented in Table 15.

Table 15.   Themes and Data Units of University 7 Participant 1

Theme	Data Unit (card)
1. Personal experiences to be a leader	5
• Competitive selection process	
• Coordination	
• Diligence	
• Intentionally training by the university	
• Delegation	
• Motivation	
• Task-oriented	22
2. Leadership competencies	
• Vision	
• Long-term goals	
• Democrat leadership style	
• Determination	
• Discernment	
• Academic reputation and accomplishment	
• Selflessness	
• Solidarity	
• Sociality	
• Self-sacrifice	
• Diligence	
• Prudence	
3. Current leader	5
4. Advantage and disadvantage of the university	14
5. 211& 985 Projects	2
6. Institutional mergers	6
7. Enrollment enlargement	3
8. Institutional autonomy	4
9. Training	1
10. Foreign experience	1
Total	63

While talking about the personal experiences needed to be a leader, he introduced the competitive selection process of the administrator appointment system. After enumerating leadership competencies, he introduced five presidents of the university that he witnessed. He analyzed the university's advantages and disadvantages. He introduced the university policy of ensuring education quality in the enrollment enlargement reform. During the interviewing he also mentioned the responsibilities of a president in the western higher education system [IN824].

Participant 2 (U7I2SR120704M)

The researcher interviewed Participant 2 in his office in the morning of that day. He is the former vice president for logistics and school industry. He just retired in October 2004. He is still the vice secretary of the university council and is doing some consulting and advising. Before his retirement, he had served the position for more than 5 years. He is in his 60s and has worked in higher education administration for more than 20 years. He has more than 30 years of work experience. He received his bachelor's degree in civil engineering from the university. He also holds the title of an associate professor at the university.

The interview lasted about one and a half hours. The transcript of this interview content was unitized into 67 cards from code number IN838 to IN914. The themes and their related data units of the interview content are presented in Table 16.

He complained that a vice president's job was very difficult. Diligence, persistence and devotion were qualities that a vice president needed to deal with his/her job [IN896]. He pointed out that a university president should be paid more than 1 million RMB (about 120,000 U.S. dollars) a year to match his/her contribution to the university [IN897]. He thought that a university had too many university leaders who might cause many conflicts due to unclear divisions of responsibility. He disagreed with the statement that a university leader should have a full-time position in administration and give up his/her academic career. From his personal experience, if a leader cannot keep his/her academic career, after he leaves his administration position, there is no suitable

job for him. He also disagreed with long terms' position for university leaders, for it is a

terrible job and will destroy a person's health if he works too long [IN901].

Table 16.   Themes and Data Units of University 7 Participant 2

Theme	Data Unit (card)
1. Personal experiences to be a leader	16
● Diligence	
● Persistence	
● Devotion	
2. Leadership competencies	20
● Precisely understanding policy	
● Maintaining stabilization	
● Balancing resource allocation	
● Coordination	
● Enterprising	
● Reforming	
● Discernment	
● General	
● Educationist	
● Parent	
● Academic reputation	
● Managerial skills	
● Politician's diplomacy and balancing capacity	
● Economist's marketing discernment	
● Humanity knowledge	9
3. Current leader	
● Relationship between university leader's occupation and academic career	
● Presidential responsibility system under the leadership of the CCPU	
4. Advantage and disadvantage of the university	8
5. 211& 985 Projects	1
6. Institutional mergers	3
7. Enrollment enlargement	2
8. Institutional Autonomy	3
9. Relationship between a university and its location	2
10. Training	1
11. Foreign experience	2
Total	67

Participant 3 (U7I3SC120704M)

The researcher interviewed Participant 3 in a cafeteria of a hotel on campus in the afternoon of that day. He is the president of the university. He was chosen as the president through a democratic election process in 1997. Before that, he was the vice president for research at the university from 1987 to 1991. He has served the position for more than 5 years. He is in his 60s and has worked in higher education administration for more than 10 years, and has more than 30 years of work experience. He received his bachelor's degree in engineering from the university. He is a professor at the university.

The interview lasted about one and a half hours. The transcript of this interview content was unitized into 60 cards from code number IN915 to IN955, and IN1660-IN1679. The themes and their related data units of the interview content are presented in Table 17 [IN932].

He emphasized that a president must have a sense of competition. From his personal experiences, he defined a president as a vanguard to sweep unstable factors away in a university's developmental road. A president must accomplish the university mission-- leading social advance toward the right direction. He thought that the presidential responsibility system under the leadership of the CCPU is a suitable system for the current situation. He emphasized the university traditions and culture as its advantages [IN916]. He insisted that the institutional mergers reform must be in favor of academic disciplines' development. He warned that merging famous universities must be very cautious, for it usually took more than one hundred years to develop a university, which was a wealth of the country and the local people

Table 17.   Themes and Data Units of University 7 Participant 3

Theme	Data Unit (card)
1. Personal experiences to be a leader	6
• Selection of president	
• Contribution	
• Academic accomplishment	
• Selflessness	
• Frankness	
• Academic strategy	
• Experiences	
• Team-building	
• Enthusiasm	
• Competence	
• Persistence	19
2. Leadership competencies	
• Grasping opportunity	
• Sense of competition and experiences	
• Participation	
• Solidarity	
• Stabilization	
• Vanguard to sweep away unstable factors	
• Self-sacrifice	
• Accomplishing university mission	
• Politician	
• Thinker	
• Educationist	
• Practitioner	
• Discernment	
• Amiableness	
• Justness	
• Self-discipline	
• Soberness	
• Political belief	
• Love your country, your university and your enterprise	
3. Current leader	5
• Relationship between university leader's occupation and academic career	
• Presidential responsibility system under the leadership of the CCPU	
4. Advantage and disadvantage of the university	10
5. 211& 985 Projects	7
6. Merging institutions	8
7. Enrollment enlargement	1
8. Training	4
Total	60

Participant 4 (U8I1SC122204M)

The researcher interviewed Participant 4 of this university in his apartment of the NAEA on December 22, 2004. He is the dean of the medical college and the hospital head of the university. He has served the positions for more than 5 years. He is in his 40s and has worked in higher education administration for more than 5 years, and has more than 20 years of work experience. He received his PhD in medicine. He is a professor at the university.

The interview lasted more than two hours. The transcript of this interview content was unitized into 88 cards from code number IN956 to IN1043. The themes and their relative data units of the interview content are presented in Table 18.

He discussed the institutional mergers reform. His college and hospital were merged into University 7 in 2000. This reform brought negative impact on his institution. His institution was directed and supported by the Ministry of Railways. After being merged by the university and after two years time, his institution had no appropriations from either the MOE or the Ministry of Railway. The hospital's name was changed to be consistent with the name of University 7; many people did not know who they were, and their patient number declined severely [IN960-962]. However, he emphasized that a medical institution and its hospital in a university were good for its discipline development and good for its students' education.

Table 18.   Themes and Data Units of University 7 Participant 4

Theme	Data Unit (card)
1. Personal experiences to be a leader	35
• Age advantage	
• Opportunity	
• Being good at learning	
• Academic accomplishment	
• Comprehensive quality	
• Managerial skills	
• Culture-building	
• Team-spirit	
• Communication	
• Diligence	
• Problem-solving	
• Democratic administration	
• Tolerance	
• People-oriented	
• Strategic thinking	
• Coordination	
• Familiarity with your specialty and administration	
• Discernment	
• Collecting and processing information	
• Friendliness	
• Persistence	
• Rigor	
• Perseverance	
• Sociality	
• Expansive knowledge	
• Waking use of personnel	
• Control and allocation of important resources	
2. Leadership competencies	12
• Clear perspectives about discipline-structure	
• Innovation on administrative system	
3. Current leader	8
• Relationship between university leader's occupation and academic career	
• Presidential responsibility system under the leadership of the CCPU	
4. Institutional mergers	23
5. Enrollment enlargement	1
6. Institutional autonomy	1
7. Training	7
Total	88

University 9 and Its Participant

University 9 is located in a provincial capital in the north-eastern area of China. It was a medical university under the direction of Ministry of Health. Then it was merged into a comprehensive research university under the direction of the Ministry of Education. This comprehensive research university merged with a total of five higher education institutions. Currently, this comprehensive university has 9 campuses in 5 districts which are home to 39 colleges covering 11 academic disciplines, including philosophy, economics, law, literature, education, history, science, engineering, agriculture, medicine, and management. It now has 115 undergraduate programs, 192 masters degree programs, 105 doctoral degree programs, and 17 post-doctoral programs. The year of 2003 saw the enrollment of a total of 59,000 full-time students among whom more than 10,000 are graduate students. At present the university has 5,700 faculty members, with 14 members of the Chinese Academy of Science and the Chinese Academy of Engineering, 1,270 full professors, and 1,652 associate professors [University 9 Documents].

The following information about the university came from the questionnaire (Appendix G) completed by the participant (I1) of this university. The researcher also checked the university's official documents. The university was shifted from the direction of the Ministry of Health to the direction of the Ministry of Education. The university was merged into a large research university. Compared to 1998, the current student enrollment size has expanded more than 1.5 times. Since the enactment of Chinese Higher Education Law，the university has gained authority in the appointment

of faculty and middle level administrators. The university has limited authority on redesigning and updating disciplines, development of majors and curriculum design and development, and student recruitment. The university only has little authority in staff personnel and has no authority in the appointment of senior university leaders. With strong support from the 211 and 985 Projects, this research university is poised to become a world-class university in the 21st century. At present, the research university has 12 university leaders including 1 president, 7 vice presidents, 1 secretary of the CCPU, and 3 vice secretaries of the CCPU.

Participant 1 (U9I1SM122204M)

The researcher interviewed Participant 1 of this university on December 22, 2004 at his apartment in NAEA. He is the vice dean of the graduate school of the merging university. He was the dean of the basic medical school of the merged university (University 9). He has served on the current position for more than 3 years. He is in his 40s. He has had more than 5 years in higher education administration, and has had more than 20 years of work experience. He received his PhD degree in medicine from a U.S. university; he also had his post-doctoral experience in a U.S. university. He is a professor at the university.

The interview lasted more than two hours. The transcript of this interview content was unitized into 100 cards from code number IN1060 to IN1159. The themes and their related data units of the interview content are presented in Table 19.

As a vice dean of the graduate school, he represented the faculty of related disciplines to administer the graduate school [IN1060]. He gained good managerial skills, expansive perspectives and rich experiences from his international background. He said studying abroad taught him how to think critically. He never followed the conventional administrative ways [IN1061]. He did his best to reform the current situation within the scope of his authority [IN1063].

He emphasized international experiences and English language skills as the important leadership competencies. He criticized that the institutional mergers reform strongly showed governmental controls over universities. He viewed his university's merger as five institutions clustered together by a steel chain or a buffet plate with five foods. This kind of merger reforms wastes resources and decreases administrative efficiency [IN1109-1118].

Table 19.   Themes and Data Units of University 9 Participant 1

Theme	Data Unit (card)
1. Personal experiences to be a leader	8
● Responsibility	
● Managerial skills	
● International experiences	
● Vision	
● Insight	
● Knowledge	
● Continually learning	
● Waking use of personnel	
● Critical thinking	
● Reforming	
2. Leadership competencies	20
● Definition of leader	
● Insight	
● Discernment	
● Willpower	
● Charisma	
● Learning ability	
● Inspiration	
● Commitment	
● Service sense	
● Morality	
● English language skill	
3. Current leader	20
● Leaders' influence	
● Relationship between university leader's occupation and academic career	
● President's academic background	
● Presidential responsibility system under the leadership of the CCPU	
● Presidential selection	
● Presidential term	
4. Institutional mergers	16
5. Enrollment enlargement	9
6. Institutional autonomy	10
7. 211&985 Projects	2
8. Relationship between a university and its location	6
9. Training	9
Total	100

University 10 and Its participants

University 10 is located in a provincial capital in the northwest of China. It was founded in 1944. It is one of the six normal universities under the direction of the MOE. Now it has become a comprehensive research university. The university contains 16 colleges and departments, 58 majors, 6 postdoctoral programs, 26 doctoral programs, and 95 master programs. The university has a faculty of 2,600 and a student enrollment of 40,000. The university developed its goals from the national strategy "Western Development Policy" to enhance its teaching quality, scientific research and social service [University 10 Documents and Observation].

The following information about the university came from the questionnaire (Appendix G) completed by three study participants (I1, I2, I3) of this university. The researcher also checked the university's official documents. The university has always been under the direction of the Ministry of Education. The university didn't merge with any institution. The university didn't enter the 211 and 985 Projects. Compared to 1998, the current student enrollment size has expanded 1.5 times. Since the enactment of the Chinese Higher Education Law，the university has gained authority in the appointment of faculty, middle level administrators and staff personnel, and curriculum design and development. The university has limited authority on redesigning and updating disciplines, and development of majors. The university only has little authority in student recruitment and has no authority in the appointment of senior university leaders. Now the university has 12 university leaders including 1 president, 6 vice presidents, 1 secretary of the CCPU, and 4 vice secretaries of the CCPU.

The researcher interviewed three participants in this university on January 24, 2005. Three participants and their interviews are introduced separately as follows:

Participant 1 (U10I1SM012405M)

The researcher interviewed Participant 1of this university in the morning of that day at his office. He is the head of the Human Resources Department of the university and has served in the current position for more than 5 years. He is in his 40s. He has had more than 5 years in higher education administration, and has had more than 20 years of work experience. He received his master's degree in education from the university. He is a professor at the university.

The interview lasted more than one hour. The transcript of this interview content was unitized into 50 cards from code number IN1321 to IN1370. The themes and their relative data units of the interview content are presented in Table 20.

Table 20.   Themes and Data Units of University 10 Participant 1

Theme	Data Unit (card)
1. Leadership competencies	19
● International vision	
● Strategic insight	
● Sociality	
● Managerial skills	
● Fund-raising	
● Market-oriented advocate	
● People-oriented	
2. Current leader	22
● University leader appointment system	
● Presidential responsibility system under the leadership of the CCPU	
3. 211& 985 Projects	4
4. Institutional Autonomy	2
5. Relationship between a university and its location	3
Total	50

He emphasized that a leader should be people-oriented in the policy-making process, administration and education reforms. The final purposes of all higher education reforms and developments are to improve people's lives [IN1360-1361]. So any reform should be people-oriented. Education is a long-term enterprise, but the current higher education reforms put too much pressure on teachers, students and administrators without caring about people's feelings, spirits, self-esteem, happiness, and freedom [IN1358]. Based on this belief, he doubted the principle of the reform --"efficiency is primary, at the same time giving attention to equity". He considered that equity is a sacred and paramount idea that the whole society should pursue forever [IN1354]. He introduced carefully the current university leader appointment system. He was cautious in talking about institutional autonomy, the 211&985 projects, the relationship between a university and its location and training, and the like.

Participant 2 (U10I2SR012405M)

The researcher interviewed Participant 2 of this university in the afternoon of that day at a hotel room on campus. He is the retired president of the university and has served in the position from 1994 to 2004. He was the history department head before becoming the president. He is in his 60s. He has had more than 10 years in higher education administration, and has had more than 30 years of work experience. He received his PhD degree in history. He is a professor at the university.

The interview lasted more than two hours. The transcript of this interview content was unitized into 106 cards from code number IN1371 to IN1476. The themes and their related data units of the interview content are presented in Table 21.

Table 21.   Themes and Data Units of University 10 Participant 2

Theme	Data Unit (card)
1. Personal experiences to be a leader	28
● Opportunity	
● Academic reputation and accomplishment	
● Age advantage	
● Experiences	
● Strategic thinking	
● Commitment	
● Solidarity	
● Devotion	
● System-construction	
● Continuous learning	
● Comprehensive quality	
● Intentionally training by the university	
2. Leadership competencies	3
● Clear ideology about running university	
● Administrative skills	
● Scholastic administrator	
3. Current leader	62
● President appointment system	
● Relationship between university leader's occupation and academic career	
● Presidential responsibility system under the leadership of the CCPU	
4. Relationship between a university and its location	9
5. Training	4
Total	106

He mainly talked about how he was chosen as the president, and what he did in the two and half presidential terms. He also discussed the problems in the university leader appointment system and the presidential responsibility system under the CCPU leadership. He mentioned that he did not voluntarily choose to be the president of the university. After ten years of hard work, his health was severely damaged and he had to ask for retirement in 2004. He discussed the relationship between a university's

development and its location. He emphasized that the local government's perspectives about higher education strongly influenced their treatment of those universities located there. The local government had short and limited perspectives and his university cannot get strong support from the local government.

Participant 3 (U10I3SC012405M)

The researcher interviewed Participant 3 of this university in the afternoon of that day at a hotel room on campus. He is the vice president of the university and was just appointed to the position. He was the dean of the culture and history college. He is in his 40s. He has had more than 5 years in higher education administration, and has had more than 20 years of work experience. He received his PhD degree in history. He is a professor at the university.

The interview lasted more than one hour. The transcript of this interview content was unitized into 88 cards from code number IN1477 to IN1564. The themes and their related data units of the interview content are presented in Table 22.

He thought the traditional leader selection system had some problems. He emphasized that a leader should acknowledge his/her individual limitations. Nobody can know everything. In a university decision-making process, leaders should consciously let experts and faculty be involved [IN1495]. In a university, a leader's duty is to maintain a good environment and set a stage to let faculty perform well [IN1519]. He pointed out that his university got much more pressure without entering the 211 and 985 Projects [IN1477]. He expressed that the location in northwest areas caused many disadvantages

for a university; however a smart leader knew how to make use of its uniqueness to

develop the university.

Table 22.   Themes and Data Units of University 10 Participant 3

Theme	Data Unit (card)
1. Personal experiences to be a leader	14
● Academic vision	
● Academic strategic insight	
● Age advantage	
● Opportunity	
● Administrative experience	
● Academic reputation	
● Good relationship with the mass	35
2. Leadership competencies	
● Profound knowledge	
● Multi-disciplines vision	
● Managerial expert	
● Coordination	
● System-initiation	
● Acknowledge individual limitation	
● Respect faculty's authority in decision-making	
● Service sense	
● Justness	
3. Current leader	19
● Leader appointment system	
● University leader's occupation and academic background	
● Presidential responsibility system under the leadership of the CCPU	
4. 211& 985 Projects	1
5. Relationship between a university and its location	6
6. Training	12
7. Foreign experience	1
Total	88

University 11 and Its Participants

University 11 is located in a provincial capital in the northwest area of China. The predecessor of the university was founded in an east seaside city in 1896 as an industrial school. In 1955, the university was moved to the current city. The university was listed as one of the key universities in China and was determined to be one of a few universities that had the goal of building up a world-class university.

The following information about the university came from the questionnaire (Appendix G) completed by three study participants of this university. The researcher also checked the university's official documents. The university has always been under the direction of the Ministry of Education. The university merged with two other institutions. Compared to 1998, the current undergraduate enrollment size has not increased, the current master graduate enrollment size has expanded more than 1 time, the current doctoral graduate enrollment size has expanded more than 1 time, and the current other student enrollment size has not increased. Since the enactment of the Chinese Higher Education Law，the university has gained authority in the appointment of faculty. The university only has little authority in student recruitment and has no authority in the appointment of senior university leaders. With strong support from the 211 and 985 Projects, the University is poised to become a world-class university in the 21st century. Now the university has 12 university leaders including 1 president, 6 vice presidents, 1 secretary of the CCPU, and 4 vice secretaries of the CCPU.

The researcher interviewed three participants in this university. Three participants and their interviews are introduced separately as follows:

Participant 1 (U11I1SR012205M)

The researcher interviewed Participant 1 of this university in the afternoon of January 22, 2005 at a hotel room on campus. He retired from the vice president's position several years ago. He is in his 60s. He has had more than 20 years in higher education administration, and has had more than 30 years of work experience. He received his bachelor's degree in engineering. He was a professor at the university.

The interview lasted more than one hour. The transcript of this interview content was unitized into 29 cards from code number IN1292 to IN1320. The themes and their related data units of the interview content are presented in Table 23.

Table 23.   Themes and Data Units of University 11 Participant 1

Theme	Data Unit (card)
1. Leadership competencies	4
● Educationist	
● Political sensitivity	
● Academic reputation	
● Social science and humanity knowledge	11
2. Current leader	
● Leader appointment system and authority	
● University leader's occupation and academic background	
● Presidential responsibility system under the leadership of the CCPU	
3. Advantage and disadvantage of the university	14
Total	29

He emphasized that a university president should be an educationist with higher political sensitivity. He criticized the current fad of choosing a member of the Chinese Academy of Science to be the president of a university [IN1310]. He pointed out that due to the historical mistakes, Chinese university leaders had engineering or scientific backgrounds, and lacked profound social science and humanity knowledge. He thought that the current Chinese higher education was in its changing period with many

opportunities and many problems as well. It would take 10 to 20 years to regulate its actions [IN1314].

Participant 2 (U11I2SM010705M)

The researcher interviewed Participant 2 of this university in the evening of January 7, 2005 at his apartment on NAEA campus. He is the head of the admissions office of the university. He has served in the current position for more than five years. He was the dean of the Chemistry Engineering College. He is in his 40s. He has had more than 5 years in higher education administration, and has had more than 10 years of work experience. He received his PhD degree in engineering. He has more than 2 years of post-doctoral work experience in Canada. He is a professor at the university.

The interview lasted more than one and a half hours. The transcript of this interview content was unitized into 48 cards from code number IN1244 to IN1291. The themes and their related data units of the interview content are presented in Table 24.

When he became the dean of chemistry engineering college, he had no former administrative experience. His international background helped him get the position. He also pointed out that opportunity and recommendations were important factors for him to get this position. He emphasized that if a world-class university is the goal of a university, the university leaders should have rich international experiences and background to understand what a world-class university is. He pointed out that university leaders should pay more attention to constructing a modern administrative system to improve efficiency of the current administration system [IN1265]. The 211

and 985 Projects lacked an evaluation system to supervise the governmental investment and expected results. In the interview process, the respondent also introduced three foreign universities' administration experiences [IN1254-1258].

Table 24.   Themes and Data Units of University 11Participant 2

Theme	Data Unit (card)
1. Personal experiences to be a leader	13
● Opportunity	
● Clear thinking	
● Insight	
● Creativity	
● Recommendation	
● Persistence	
● International experience	6
2. Leadership competencies	
● Insight	
● Discernment	
● Vision	
● Implementation	
● Educationist	
● Politician	
● Sociality	
● Organizing capacity	
● Coordination	
● International background	8
3. Current leader	
● Relationship between university leader's occupation and academic career	
● Leader's influence	
4. Advantage and disadvantage of the university	5
5. 211& 985 Projects	5
6. Institutional mergers	3
7. Training	3
8. Foreign experience	5
Total	48

Participant 3 (U11I3SM012205M)

The researcher interviewed Participant 3 of this university in the afternoon of January 22, 2005 at a hotel room on the university campus. He is the secretary of the Youth League of the university. He has served in the current position for more than five years. He is in his 30s. He is the youngest respondent in this study. He has had more than 5 years in higher education administration, and has had more than 10 years of work experience. He received his masters degree in engineering and is pursuing his PhD in management as a part-time student. He is an assistant professor at the university.

The interview lasted more than one and a half hours. The transcript of this interview content was unitized into 84 cards from code number IN1160 to IN1234. The themes and their relative data units of the interview content are presented in Table 25.

He voluntarily chose to be an administrator. He defined the responsibility of a leader as steering the direction of the university, effective use of personnel, discerning the whole operational situation of the university, and clearly recognizing the difference between the goal and the reality. He emphasized that a leader should wisely use social resources. He compared a university president and a CEO, and pointed out that a university president should promote spreading knowledge all over the society [IN1185]. Current university leaders should equip themselves with social skills and have a strong service sense. He also talked about the relationship between a university leader's occupation and academic career, the presidential responsibility system under the leadership of the CCPU, enrollment enlargement, merging institutions, the university

and its location. In the interview process, he mentioned the U.S public higher education

system [IN1222].

Table 25.   Themes and Data Units of University 11 Participant 3

Theme	Data Unit (card)
1. Personal experiences to be a leader	6
● Student leader experience	
● Personal intention	
● Opportunity	
● Enthusiasm	
● Creativity	
● Getting along with young people	
● Sociality	
● Solidarity	
● Communication	
● Commitment	
● Openness	
2. Leadership competencies	21
● Definition of a leader's responsibility	
● Charm	
● Making use of various social resources	
● Devotion	
● Academic vision	
● Equity	
● Educational perspectives	
● Competition	
● Profound knowledge	
● Energetic	
● Communication	
● Kindness	
● Openness	
● Commitment	
● Humanity	
● Graceful taste	32
3. Current leader	
● Relationship between university leader's occupation and academic career	
● Presidential responsibility system under the leadership of the CCPU	
4. Advantage and disadvantage of the university	10
5. Institutional mergers	8
6. Enrollment enlargement	5
7. Relationship between a university and its location	1
8. Foreign experience	1
Total	84

Research Questions

The purpose of this study was to determine the main challenges facing the Chinese MOE-directed universities in implementing the *1999 Action Scheme for Invigorating Education towards the 21st Century* from the viewpoint of selected administrators of MOE-directed universities.

A second purpose was to identify institutional leadership competencies that leaders in MOE-directed universities need in order to lead these universities in implementing the *1999 Action Scheme for Invigorating Education Towards the 21st Century* as perceived by selected administrators of MOE-directed universities.

Central to the Action Scheme related to higher education are four key reform aspects—structural reform, institutional autonomy, the 211 Project and 985 Project, and enrollment expansion (Ministry of Education, 1999a). The study mainly focused on these four reforms and their influences on the selected Chinese MOE-directed universities and needed leadership competencies.

This study is based on the perceptions, opinions, and interpretations of Chinese higher education administrators regarding the kind of institutional challenges their institutions face and how their institutions function in the present, how their own roles have been affected by the changing situations they face, and consequently, what competencies university leaders will need in the near future. Special emphases are placed on the differences that exist in the challenges facing Chinese MOE-directed universities located in different geographic, cultural and economic contexts, and the differences in the perceptions of current university leaders, aspiring leaders, and retired

university leaders regarding institutional challenges and leadership competencies. Five research questions will be answered to address the purpose of the study.

Research Question One

What are the main challenges facing Chinese MOE-directed universities in implementing the Action Scheme for Invigorating Education towards the 21st Century as perceived by selected Chinese university administrators?

Institutional challenges refer to difficulties and opportunities presented to the MOE-directed universities' internal administration in the areas of organizational structure, academic affairs, research, student affairs, financial administration, and personnel affairs. This is a result of the above four reforms, as well as university history and tradition, and the university internal and external environments. All of these difficulties and opportunities that facilitate or hinder a university's development are referred to as institutional challenges. The respondents in this study identified many challenges, which are categorized in Table 26 and then explained.

Table 26.   Theme Category--Institutional Challenges Facing Chinese MOE-directed Universities

Themes
Challenges From Institutional External Environment
Challenges From Institutional Mergers Reform
Challenges From Enrollment Enlargement Reform
Challenges From 211 And 985 Projects
Challenges From Institutional Autonomy Reform
Challenges From Institutional History And Culture
Challenges From Institutional Internal Environment
Challenges From University Leadership System

Challenges from External Environment of University

Three topics of this theme are presented in Table 27 and are explained one by one.

Table 27.   Challenges from External Environment of University Facing MOE-directed Universities

Theme	Topics
External Environment of University	1. Societal changes 2. Competition 3. Social resources

Chinese higher education is in a transition period with many opportunities as well as many problems. The main opportunities include more investment in higher education from both the government and society. In addition society has developed new perspectives about higher education [IN1295]. However, many problems are occurring inside and outside of the higher education system. Chinese higher education is in a confusing period and it will take 10 to 20 years to balance these tensions [IN1314].

Many respondents from engineering universities pointed out that engineering universities are currently facing great developmental opportunities as the country develops its industry. Graduates from engineering universities enter an expanded

employment market. The university needs to strengthen its preponderate engineering disciplines as well as develop its weak disciplines [IN847, IN849].

Universities are facing domestic and international competition with each other. With respect to domestic competition, many universities face the same opportunities and have the same advantages and financial support. The main competition is which one can grasp the opportunities and build programs to meet social needs [IN352, 359, 360]. With respect to international competition, many foreign universities are exploring new ways to open international markets in China [IN353]. This trend places competitive pressure on Chinese universities. Contributing to this problem is that the teaching methods and the education model continue to follow the old professional education model, which lags behind international trends and progress in scientific and technological development [IN398-406]. After 2007, foreign education organizations will enter the Chinese market according to WTO. The dated Chinese educational ideas and models coupled with the deficient administration system will hinder the ability of Chinese institutions compete with them [IN1632].

Many respondents also mentioned location in a developed internationally oriented city as a great advantage. It will shorten the time needed to build a world-class university [IN471-472, 474]. This topic will be discussed further in *research question three*.

Challenges from Institutional Mergers Reform

Four topics around this theme are presented in Table 28 and are then explained.

Table 28.   Challenges from Institutional Mergers Reform Facing MOE-directed Universities

Themes	Opportunity	Difficulties
Institutional mergers 1. Institutional mergers background 2. Institutional will to merge 3. Opportunity 4. Difficulty	● Strengthen disciplines' integration ● Readjust the old model of single-discipline institutions ● Meet the comprehensive trends of scientific development ● Build up comprehensive research university ● Expand resources ● Benefit to student education and faculty development	● Faculty quality and development and evaluation ● Student education model ● Loss of merged institutions' tradition and culture ● Reducing institution number ● Conflicts in disciplines ● Discipline arrangement ● Administration system ● Campus administration and culture constructing ● Waste of resources

1. Institutional mergers background

The background of merger reform came from the central government structural reform. Many central ministries were eliminated or transformed into social associations, which could not be allowed to govern universities anymore. So the institutional mergers reform can be seen as an extension of central government structural reform [IN1226]. The readjustment of the old model of single-discipline institutions and the national development strategy to build up some world-class universities are also a part of the background of the institutional merges reform [IN563].

2. Institutional will to merge

If institutions themselves voluntarily have the will to merge, governments can promote this merging, but if it is a governmental order, people in institutions usually have some conflicting emotions about merging. The ultimate result is uncertain [IN364]. In University 9, for example, governmental orders played an important role in its merging reform: University 9 is the result of five merged institutions, one from the MOE, one from the Ministry of Health, one from the Ministry of Geology, one from the

Ministry of National Defense, and one from the Ministry of Telecommunications. Due to much financial pressure, the local government did not want to accept these institutional changes from the central government. Therefore, all of them had to be accepted by the MOE and were merged into a MOE-directed university [IN1104]. This strongly illustrated the governmental intentions to merge institutions nationwide. However, the mergers were not based on concrete demand and an understanding of the individual situations of the institutions [IN1104].

Some universities willingly merged [IN1668]. One purpose was to gain new disciplines and land resources. The other was due to governmental policy encouraging institutions towards merging with more financial investment in merged institutions [IN1284-1285]. Many respondents insisted that merging must favor the development of the disciplines involved [IN932].

3. Opportunities from institutional merges reform

From a historical review, institutional merges reform is to redress the old model which had too many single discipline institutions directed by different governmental agencies [IN361]. The merger reform of University 5 is the model for those institutions which had similar disciplines but were directed by different governmental agencies. This merger redressed the past situation of too many single-discipline institutions, integrated disperse education resources into a resultant force, and generated greater efficiency [IN743].

A small institution being merged into a large institution can generate aggregation efficiency, while two similar size institutions' merger can increase disciplines and

strengthen academic advantages [IN741]. The University 4's merging with an agriculture institution is an example of a strong institution absorbing a small institution. In this case, the agriculture disciplines of the small agriculture institution were tightly connected with the engineering disciplines of University 4 to create industrial horticulture disciplines [IN374]. University 3's merging with a medical institution is a combination between two strong institutions. It increased the university disciplines, made the university more comprehensive, and strengthened each other in their academic fields [IN324-327].

Institutional mergers reform also fits into the scientific and technological development trend to create more cross-disciplines and comprehensive knowledge [IN361]. So this reform has positive significance [IN362]. For instance, merging a medical institution and its hospital with a comprehensive university is good for medical disciplines' development and student education.

Institutional merges reform also helped the merging universities gain lands to expand their education space. University 4 greatly expanded from its mergers with two other institutions [IN864].

4. Difficulties from merges reform

Compared with the Chinese population, there are not enough Chinese higher education institutions to meet the demand. More universities are needed for young people wanting to receive higher education [IN72]. Three or four universities merging into a single university can only enroll 40,000 to 50,000 students. However, if they did

not merge, they could enroll more students. This reform totally conflicts with the reform of enrollment enlargement [IN74].

The institutional mergers reform may destroy the existing cultures and traditions of the merged institution [IN74]. A merged institution may lose its soft properties, such as an institution's academic atmosphere, tradition and culture [IN363]. Especially when a merger occurs among famous universities, care must be taken. It usually took more than one hundred years to develop such a university [IN932]. University leaders should consider how to fuse different cultures and traditions together without one culture dominating and annihilating the other.

Merging institutions with different educational models may cause many problems for the faculty and students. For instance, University 5 focuses on the higher–level research talent model and the merged institution focuses on the applied talent model. The knowledge structures of these two models are different and the requirements for students are different [IN640]. The faculty of University 5 was involved in teaching and research, but the faculty of the merged institution focused primarily on teaching. It took longer for the latter to adjust to reach the academic criteria of University 5 through various special training policies and retirement policies [IN641]. University leaders should consider how to adjust differences in faculty quality and student education models through suitable policies.

After institutional mergers reform, many universities have constructed their basic disciplinary outline as a comprehensive research university [IN1613]. Facing so many disciplines with various levels and lower academic prestige, university leaders have to

decide what they should and should not do. The questions are how to balance different groups' interests and achieve a common understanding about the university's future development, how to adjust disciplines and integrate academic resources to form unique discipline groups and key competitive forces [IN1598-1603], and how to deal with the relationship between development and stabilization [IN1609-1610].

The respondent from University 9 viewed his university's merger as six institutions clustered together by a steel chain or a buffet plate with six foods, not as an organic, integrated body [IN1105]. This kind of merger reform caused much resource waste and dysfunction of administration [IN1109-1118].

First, the huge size of an institution makes administration difficult and inefficient. Merger makes one university with many campuses, and brings many challenges to the university administration, such as faculty and student transportation, and disorder and readjustment of facilities [IN642]. For instance, University 9 consists of six institutions and 9 campuses, with 16,000 faculty and staff, 50,000 undergraduate students, and 17,000 graduate students. Only for a freshmen opening ceremony, the university had to rent the largest square of the city, used hundreds of buses to transport more than 10, 000 freshmen from 9 campuses and bought more than 10,000 stools for the students [IN1113].

The second question is how to blend disciplines and create a comprehensive and cultural environment for students with so many dispersed campuses [IN1614].

The third question is how to deal with various personnel problems. People from merged institutions are always concern about several issues that make administration

difficult: "position"-how to reassign jobs, "money"-where to get investment, "face"-lose face due to elimination of the original institutions, and "name"-what name the new university will assume [IN366]. More time is required to adjust these problems from the merging reform [IN368]. All these increase administration cost. In addition, merges reform has caused a huge waste of resources, according to many interviewees. Many institutions used various excuses to quickly spend their money before merging and these actions generated many repeated programs [IN1109].

Fourth, as the universities became larger and larger, respondents were of the opinion that administrative authority should descend to colleges and departments. For instance, a medical school and its hospital have its unique administration system. The university leaders should delegate more autonomy to this medical school [IN1004]. University leaders should think about how to reform the current administration system and how to innovate new systems to solve all these difficulties.

Challenges from Enrollment Enlargement

Two topics around this theme are presented in Table 29 and are explained one by one.

Table 29.   Challenges from Enrollment Enlargement Facing MOE-directed Universities

Themes	Opportunity	Difficulties
Enrollment enlargement 1. Opportunity 2. Difficulty	● Stimulating economy ● Satisfying social needs ● Improving citizen quality ● Increasing human resources ● Increasing higher education institutions' financial resources	● Decline of education quality ● Crowded campus and classroom ● Lack of faculty ● Student administration ● Student financial aid ● Diversity of student body ● Graduate employment

The enrollment enlargement reform was pushed by the external impacts as the government stimulated national economic development through increasing higher education consumption, and society placed tremendous demands on higher education to improve individual competitive capacity [IN387-389]. China lacks of talented people and more Chinese need higher education in order to improve citizen quality [IN68-71]. Thus, the enrollment enlargement reform of higher education is a very important way to promote national development and improve citizen quality and increase human resources [IN418].

Nevertheless, many respondents expressed that top research universities should not play the main role in the enrollment enlargement reform. They should maintain selective admission policies and elite education to train future leaders of the society. Provincial and local higher education institutions should take their roles in the massification of Chinese higher education [IN75-79]. Thus, all respondents in the study expressed that their universities mainly enlarged their graduate enrollment size.

This reform also has some potential negative results and problems, especially for many provincial and local universities and colleges [IN424]. The first challenge from the enrollment enlargement reform is how to assure student quality and how to improve

teaching quality [IN397]. Some universities set up special policies to ensure education quality. For instance, after enrollment enlargement, many freshmen enter University 7 with lower college entrance examination scores. In order to let them catch up with the study process, University 7 offered Saturday courses for freshmen to make up missed lessons [IN804].

The second challenge is how to get enough qualified faculty and how to train young faculty [IN394]. Faculty are overloaded with large class sizes. Conversely individual students spend less time with their tutors and are dissatisfied with their teachers' lack of interest [IN333]. In order to offer more courses for students, many young faculty without training began to teach.

The third challenge came from student affairs administration. As the student population increases, universities need to deal with crowded housing spaces and classroom spaces. Because of limited space, University 2 rented buildings off campus as student dormitories. The long distance makes student administration and teacher-student interaction difficult [IN332]. The current student body is different from the traditional student body. Most undergraduate students come from one-child families with broad knowledge, active thinking and independent personalities [IN426-427]. The graduate student body becomes diverse. Many of them are older students and have their families with them. Many students from poor families or rural areas need financial aid to pay their tuition and fees [IN428]. In this complicated and competitive society, student mental health becomes a serious problem as well. All these are new challenges for the current student affairs administration system that is used to the traditional students.

The fourth challenge is how to solve the graduate placement issue. For certain, the enrollment enlargement reform will bring employment pressure. This will also become a big social issue [IN412]. Many respondents asked: Is it still a university's responsibility to help their graduates find jobs, and how? [IN410-414]

Challenges from 211 and 985 Projects

Two topics around this theme are presented in Table 30 and are explained one by one.

Table 30.   Challenges from 211 and 985 Projects Facing MOE-directed Universities

Themes	Opportunity	Difficulties
211 and 985 Projects 1. Opportunity 2. Difficulty	● Improving university financial situation ● Enhancing cross-disciplines development ● Strengthening university research and service capacity ● Improving employees' salary and benefits ● Improving university facilities and infrastructure ● Strengthening national competitive capacity in the future	● Lack of efficient evaluation system to supervise projects ● Huge pressure and unfair competition for non-211&985 projects members ● Immature personnel flow system

Among the 10 selected universities, only University 10 is not a member of the 211 and 985 Projects. All respondents explained that the 211 and 985 Projects did provide great financial support for university development. Entering the 211 Project is more like gaining an identity to be one of the 100 top universities in China. However entering the 985 Project is a great step toward the goal of becoming a world-class university. In 985 Project, the central government invested more than 1.2 billion (RMB) in every member

university [IN349]. And the first 10 universities that entered the 985 Project have recently made great and rapid progress. Building up the world-class universities is one of the most important national strategies of the Chinese renaissance [IN129-136].

Before the 211 and 985 Projects, universities struggled to survive [IN483]. The 211 and 985 Projects arrived at the right time, like a timely rain to water dry plants [IN481]. Not only have the university infrastructures, academic affairs, discipline development and faculty development been strengthened, but faculty and staff salaries have been greatly improved [IN341-343]. The 211and 985 Projects are very good examples of governmental support of Chinese higher education development. Even foreign countries such as France and Germany have learned from the Chinese experiences [IN740].

Not only have the 211 and 985 Projects provided financial support for university development, but also have provided incentives to promote Chinese universities toward the world-class level [IN613]. In the 985 Project, an efficient system was created to strengthen a university's research capacity—setting up research platforms to integrate various resources and conduct huge cooperative research programs. These research platforms are allied with a university's departments or colleges. Each research platform can independently recruit professional talents all over the world. Research funding can be directly invested into a research platform. It is a very useful way to improve and enhance university research capacity [IN224].

However, with so much investment, universities also face great pressures in development and creation [IN570, 586]. For the 985 Project, one respondent worried about where these talented researchers will go as the project is accomplished, since these

people do not belong to departments or colleges, but to the research platforms. There is no mature personnel mobilization system to automatically move these professional experts to another project [IN223]. University leaders should consider how to innovate their personnel systems.

Some respondents expressed that the 211 and 985 Projects did not create an efficient post-evaluation system to supervise and evaluate governmental investment effects and results. Thus, it is very difficult to guarantee the expected results of these projects [IN1140, IN1276-1277]. Although the 211 and 985 Projects have increased the member universities' employees' salaries three to five times, many respondents expressed that they did not see a great improvement in work performances and people's work attitudes [IN1270]. University leaders should consider how to effectively use these huge investments in university development.

Those universities that did not enter the 211 and 985 Project will face austere challenges and difficulties [IN1477]. They not only lacked strong financial support, but also kept losing their best faculty, for the 211 and 985 universities have more funds to attract and recruit faculty [IN221-222]. Respondent 3 from University 10 also doubted the equity of these investments. Education is a public enterprise. Government should hold to its equity principle in higher education investment—more support for the weak groups not the stronger groups [IN1368-1370].

Challenges from Institutional Autonomy Reform

Five topics around this theme are presented in Table 31 and are explained one by one. The evaluation of 19 respondents on the selected universities' institutional autonomy is presented in Table 32. Combining these two tables, the researcher can clearly describe the current institutional autonomy situation of these research universities and the challenges that they face from the institutional autonomy reform.

Table 31.   Challenges from Institutional Autonomy Reform Facing MOE-directed Universities

Theme	Topics
Institutional Autonomy	1. Relationship between MOE and university 2. Evaluation 3. Personnel authority 4. Academic affairs 5. Decentralization of internal administration

One respondent said that the MOE is the supreme headquarters of conservatism for the country. It still holds the old planning economy perceptions to govern universities and colleges [IN858]. Some respondents even viewed the MOE as an obstacle hindering Chinese higher education development, for it was too involved in university administration [IN1119], according to the respondents. The MOE repeatedly claims decentralization, but actually it controls too much [IN266]. In the current situation, the MOE is the parent of universities. It is impossible for a university to operate by itself [IN868].

Recently the MOE has put forward a plan to build up a modern university system. What is a modern university system? Such universities should maintain a degree of

certain institutional autonomy [IN438]. The university should have say in its own design [IN438]. Especially for those top research universities, a loose environment is favorable for them in pursuing their world-class university goal [IN432].

However, it is not easy for a university president to have his/ her own educational philosophy [IN266], for the MOE continues to send them numerous regulations and documents and takes much of their time and energy [IN700]. One phenomenon demonstrates how tight the MOE control is. Almost every MOE-directed university has its own branch office in Beijing to deal its relationship with the MOE [IN1036]. The university still follows the traditional model—following orders from above; every document from the MOE requires the president to be the man at the wheel. Under these circumstances, the university has no autonomy to run a school [IN267].

The MOE is in charge of appointments of university leaders. In Table 32, among 19 respondents, twelve respondents evaluated that the university has little authority in appointment of university leaders; seven respondents evaluated this authority as "average". Usually, if an MOE-directed university needs to recruit a university leader, the MOE will send a review group to the university to collect information. The first step is to assemble the current university leaders, middle-level and above administrators, faculty representatives and other representatives to nominate candidates anonymously. Then the review group will interview individually and privately the current university leaders, the deans of colleges, and the directors of executive departments to make personal recommendations. With these two parts of information, the MOE will further discuss and make a final decision [IN1322-1335]. The university president has no

authority to appoint his/her vice presidents. He/she can only make a recommendation [IN1136].

Table 32. Nineteen Respondents' Evaluation on Selected Universities' Institutional Autonomy

Extent / Institutional Autonomy	Little	Average	High	*Total people*
Appointment authority of university leaders	12	7		*19*
Appointment authority of middle level administrators	1		18	*19*
Staff personnel authority	3	5	11	*19*
Appointment authority of professor			19	*19*
Appointment authority of associate professor			19	*19*
Authority of redesigning and updating disciplines	3	9	7	*19*
Authority of major development	1	10	7	*19*
Student recruitment authority	8	11		*19*
Authority of curriculum design and development	1	5	12	*19*

(Table 32 Data from Appendix G, question 6 of *Questionnaire about Interviewee and His/Her University*).

Presently, there is another trend in which many MOE officials were assigned to be university leaders by the MOE. Without university academic and administrative experience, they only strengthened the university's executive relationship with the MOE [IN268]. With the exception of university leader appointment, in Table 32, most respondents stated that the universities have authority to appoint faculty and middle level administrators. Staff personnel appointment was evaluated as "average", even "little". As a public organization, the university has no authority to fire any employee of the university [IN1566]. For those unqualified employees, the university can only change their position or put him/her on leave with basic payment.

The MOE is deeply involved in university academic affairs. On the topic of university's authority on redesigning and updating disciplines and development of

majors, especially for student recruitment, many respondents didn't give a high evaluation. Twelve of them gave a high evaluation on curriculum design and development. Although a teaching guidance committee in the MOE is to supervise implementation of a university's curriculum plan, key universities usually have authority over their own curriculum plans and implementation [IN1572]. The university has limited authority in redesigning and updating disciplines and majors, such as setting up a PhD program under a discipline [IN1569], or developing a new major [IN220]. Universities have little authority in student recruitment and have to follow the national college entrance examination system to select certain numbers of students based on the index they receive from the MOE recruitment plan [IN817]. Many respondents suggested that the MOE should give more institutional autonomy for those research universities on graduate student recruitment, setting-up PhD program under a discipline, and the authority to cooperate with foreign universities [IN434].

Many respondents complained about the MOE's evaluation system, questioned the purpose of the evaluation, and doubted the equity of the evaluation system as the same criteria is used to evaluate different types of institutions which have received different governmental investments [IN732]. They thought that the evaluation system paid too much attention to "numbers", such as how many key disciplines a university has, how many PhD programs a university has, how many scientific rewards a university has received, and how much research funding a university can get, but ignored to evaluate teaching quality of a university [IN300]. The MOE requires that each undergraduate university or college be evaluated once in every 5 years. This burdens the universities

and the MOE itself [IN338-340]. The respondents suggested that the MOE should set up a macro policy without a time requirement, which connects the evaluation results to certain financial policies, and treat evaluated and unevaluated institutions differently. Then, universities themselves will automatically ask for an evaluation [IN338].

Governmental evaluation criteria are too simplistic to make Chinese higher education short of diversity and education model too simplified [IN1059]. All universities want to be like Tsinghua University and Peking University. One respondent used a parable to describe the MOE evaluation-- it is as if one person is ill, so everybody in the family has to take medicine [IN403]. The MOE should supervise and guide universities and colleges based on a principle of classification. Research universities and local colleges should not be treated as the same. [IN385].

One respondent even joked that current university presidents are doing their vice presidents' jobs, and vice presidents are doing their subordinates' jobs; only the minister of the MOE is doing all university presidents' jobs [IN1146]. Many respondents stated that a university should be administered as a university, not as a governmental agency [IN384]. To encourage a university's academic innovation, the MOE must give a university more institutional autonomy [IN383] and build up a new relationship with the university to maintain a loose environment for the university development [IN579]. The MOE is responsible to maintain a good policy and financial environment for education development all over the country [IN1120-1122].

As a university becomes larger and larger, the university's internal administration also faces the challenge of how to administer effectively numerous large colleges and

departments. Even as universities call for the MOE to give them more institutional autonomy, colleges and departments also ask for more authority in their internal administration, especially academic affairs. The university should clearly delegate more authority to motivate the colleges and departments, and allow independence to fulfill their roles and accept their responsibility [IN583-585].

Challenges from Institutional History and Cultures

Four topics around this theme are presented in Table 33 and are explained one by one.

Most respondents viewed their university history and culture as important advantages for institutional development. Some also analyzed the negative aspects of their universities' cultures and historical events.

Table 33.   Challenges from Institutional History and Cultures Facing MOE-directed Universities

Theme	Topics
Institutional History and Cultures	1. History 2. Reputation 3. Culture 4. Disciplines

The president of University 6 emphasized the university tradition and culture---"rigour, truthfulness, unity and diligence" and its sense of service to society as its advantages. However, he pointed out that this culture is short of creativity and innovation. This negative aspect of the culture may slow the university's developmental progress [IN916]. Respondent 3 from University 6 also thought that the university

culture is practical, steadfast, and surefooted, but it lacks a certain sense of self-advocacy in this market economy environment [IN735-738, 742]. The retired vice president of University 3 viewed the high reputation of the university in the country, excellent faculty with active and open minds, and certain academic freedom as its advantages [IN315-321]. However, in this competitive and rapidly changing society, the university people are too conservative to exploit and to grasp opportunities [IN322].

The retired vice secretary of the CCPU from University 4 viewed the university's three unique characteristics--more than one hundred years' history, well-known reputation, and world-class university goals—as important advantages [IN455]. Under the motto of the university "never forget where one's happiness comes from, love your country and honor your mother school," there is a strong coherence among alumni. They have donated a great deal of money to their mother school [IN456-461]. With its old traditions of "high starting points, solid foundation, strict requirement and extensive practice" plus a new one "exploring and creativity", the university has cultivated high-quality teaching and qualified students. With the spirit of "striving hard, exploring adventurously, and progressing along with the times", the university has achieved great progress [IN464]. However, the current vice secretary of the CCPU from University 4 did not give the same comments as his predecessor did on the university's culture and traditions. He admitted that the university's old history and higher reputation are important advantages. But he criticized the existence of short-sightedness in the university culture. He pointed out that this culture lacks ambition and vision. Cultivated in this culture, graduates will be practical doers and hard workers, but they will not be

future leaders. His goal is to reform this culture and infuse fresh blood into it [IN562-569].

Many respondents talked about how the historical event, when the central government restructured Chinese higher education institutions in 1955 according to the Soviet model, damaged their university disciplines' structure and influenced their university's current academic development. In the restructure of 1955, University 4 lost most of its science disciplines and its engineering disciplines' development lost solid support [IN467-469]. This is the disadvantage of University 4 in its current academic development. Due to the historical restructuring, University 5 is weak in social science and humanities [IN737]. However, because of the historical restructure, many of the best disciplines were combined in one university and made the university very strong in some disciplines. For instance, University 4 has the best shipbuilding discipline and University 5 has the best civil engineering discipline. These unique discipline structures are viewed as a university's advantages by the respondents.

Respondent 1 from University 2 also talked about how to change the traditional character of his university from a teacher-training institution to a research university. As a normal university, standards of teaching, research and service are quite normative. However, a research university calls for creativity and unconventional ideas, even bizarre thoughts and actions are welcomed. Can the university and its people adapt to this change? Do they have enough tolerance and space for these unconventional ideas and deeds? [IN239]

Challenges from Internal Environment of University

Three topics around this theme are presented in Table 34 and are explained one by one.

Table 34.   Challenges from Internal Environment of University Facing MOE-directed Universities

Theme	Topics
Internal Environment of University	1. Common understanding 2. Developmental strategic decision 3. Conceptions 4. Administration system

Some respondents expressed that threats to university development come from inside rather than from outside. In order to become a comprehensive university, universities were expanded in all aspects. This overall expansion made a university administration system incapable to fulfill its function. University leaders must decide what they should do and should not do. However, this kind of decision may generate conflicts, because some may gain benefits and some may lose benefits from this kind of changes. Thus, it is very important to achieve a common understanding on university developmental goals and strategies. Without this common understanding, there will be no progress and efficiency in a university's enterprise [IN735-738, 742].

Currently, a university faces too many opportunities, but how to choose an opportunity depends on a university's conditions, such as whether the university's disciplines structure matches the national or local technology and economic development [IN1629-1631]. The difficulty does not exist in making decisions to act, but in making decisions not to act [IN1598]. In the decision-making process, university

leaders are always in a dilemma. Any choice has its positive side and negative side. How to make a rational decision is a real challenge for university leaders.

The developmental impetus and capacity of the university is lower than what the society expected [IN1220]. The conceptions of university people are conservative and lag far behind society. University people lack a sense of opportunity, a sense of competition, a sense of crisis, a sense of efficiency, a sense of service and a sense of excellence. People in university administrative positions still think they are above all other parts of a university and do not have a sense to serve faculty and students. People in a university do not have a sense to serve society as well [IN1046]. In academic affairs, there is a shortage of a sense to pursue excellence in designing educational models and cultivating future leaders [IN1224-1225]. Universities have very deep sectarian biases which hinder interactive exchange and learning from each other. Almost all university leaders have a strong relationship with their university, either graduating from there or working there for a long time. It is almost impossible for an outsider to be a university leader [IN603]. One respondent said the MOE had the authority to change this situation since all MOE-directed universities' senior leaders were appointed by the MOE [IN603].

One respondent stated seriously that all Chinese higher education institutions were facing one of the biggest threats-- claiming the institution is better than it is in order to gain more resources, but in this process they always forget or ignore their real problems [IN1633]. University leaders should keep a sober mind to discern the whole situation. First, the university administration system is still a linear administration, like a factory pipeline [IN1641]. Second, university administration is still under government of men.

Under these circumstances, policies are not consistent or continuous; if one leader leaves, the policy that he/she made will change. There is no regular system to follow, so university leaders always have various meetings to reassign tasks and coordinate complex relationships [IN1265]. Third, university personnel administration reform is in a dilemma and cannot break its old planning economy model. For instance, no one can really be fired, and an open employment system is not yet set up [IN1214].

Facing so many problems, university leaders need to reform their systems to match a modern university's missions and functions [IN1219].

Challenges from University Leadership System

Four topics around this theme are presented in Table 35 and are explained one by one.

Table 35.   Challenges from University Leadership System Facing MOE-directed Universities

Theme	Topics
University Leadership System	1. Presidential responsibility system under the CCPU leadership 2. University leader appointment system 3. University leader's executive role and academic role 4. Current leader

1. Presidential responsibility system under the leadership of the CCPU (Committee of Communist Party of University)

The presidential responsibility system under the leadership of the CCPU is a unique system of Chinese higher education institutions. In this system, the CCPU has the

responsibility to steer the direction of a university's development, manage administrators, guarantee the campus stabilization and oversee student affairs while the president is responsible for academic affairs, faculty and staff personnel, and administrative affairs [IN251-253]. Currently, Chinese universities, especially top universities, have important duties of maintaining campus stability, which is related to the national political stabilization and social development. In this system, the CCPU is responsible for leading the political direction of the university and maintaining a fine atmosphere on the campus [IN38-40]. Chinese universities have much more social responsibilities than western universities [IN628].

The problem is how to implement this system. Severe conflicts between the president and the secretary of the CCPU easily arise [IN245] in this dual administration system (*see Chapter II*). Usually there are three situations. If the president is too strong and the secretary of the CCPU is too weak, the president will control everything. If the secretary is too strong and the president is weak, the result will be "party replacing administration" with the secretary of the CCPU making final decisions about all executive affairs. If both of them are strong, serious conflicts might be easily aroused. The second situation of "party replacing administration" in which the secretary of the CCPU is the primary boss of the university, is the predominant situation in universities now [IN255-259]. When the researcher asked whether the dual administration system itself is incompatible and causes conflicts, some respondents admitted that it was possible. They also compared the board of trustee system of U.S. universities with the presidential responsibility system under the leadership of the CCPU. In the board of

trustee system, trustees are laymen outside the university administration system. However, in the Chinese university system, the secretary of the CCPU is actually a leader and administrator in a university's daily life [IN295].

Respondent 4 from University 5 expressed that he had experienced both sides by working as a vice secretary of the CCPU in the CCPU line, and as a vice president in the executive line. From his personal experience, it is very difficult to integrate both sides and balance the relationship between them [IN1591]. He viewed this as the most difficult point in the university administration system with two heads in one organization. He suggested one person filling two roles at the same time [IN1588]. He pointed out that there were many conflicts in the leadership team which cannot be ascribed to individual personality, such as selfishness and sectarianism. Most conflicts come from the working process, which means that problems exist in the system. This may cause dysfunction of the system [IN1594].

The most important concern is how to make a clear distinction between the president's and the CCPU secretary's responsibilities and authority [IN208]. The university president should be the final decision-maker in executive administration, while the CCPU will discuss and make decisions about university macros strategies [IN209]. Imitating the board of trustee system of a western university to operate the presidential responsibility system under the leadership of the CCPU was the suggestion from some respondents [IN213].

Some respondents emphasized that the presidential responsibility system under the leadership of the CCPU is a suitable system for the current situation. First, it is

consistent with the national system. Second, it can provide mutual supervision to balance authority [IN1664]. Third, the presidential responsibility system under the leadership of the CCPU is not under the leadership of the secretary of the CCPU, but under the leadership of a committee, a team. In this complex environment, a team is more beneficial than an individual. If an organization's development depends on just one person, it will be limited and experience negative effects [IN627-630]. Some respondents did not think the presidential responsibility system under the leadership of the CCPU has restricted the authority of president. The key point is how to cooperate with each other.

2. University leader appointment system

One respondent gave very low estimates of the current university presidents. He said among more than one thousand universities, there were but a few satisfactory presidents. Among 50 universities similar to his university, only half of the presidents possess presidential leadership qualities [IN678]. Most presidents do not really know what education is. The reason for this situation is because there are no formal requirements for presidents in the higher education system [IN695].

Many respondents said that the leader selection system has its problems. It cannot efficiently choose a suitable leader for its university. All MOE-directed universities' leaders are selected by the MOE [IN718], but the MOE is not familiar with every university's situation. Because the review process is brief, the MOE could not totally examine a person [IN1433].

One respondent pointed out that a president has no right to choose his vice presidents [IN718]. The university human resources department head is in charge of evaluating all administrators and leaders of a university. However, they do not fully understand university administration. If they do not understand university administration, how can they choose the right people as leaders [IN710]? He also said, in the system, a president's responsibility is not equal to but is greater than his authority. There is no clear division between them. Under this circumstance, it is very difficult to fulfill the president's role [IN705].

Some respondents pointed out that there are too many university leaders in a university, usually 12, which may result in conflicts due to an unclear division of responsibility. Some respondents suggested that 5 to 6 university leaders are enough for the entire administration system [IN892].

3. Relationship between university leader's occupation and academic career

Currently, university leaders, especially leaders from academic areas, carry out their executive roles at the same time as to fulfill their academic roles as mentors for graduate students or researchers. Many respondents argued whether a university leader should be a full-time professionalized or part-time pluralistic. Most respondents agreed that academic reputation and academic career are the required background of a university leader, especially for those dealing with academic affairs. But once he/she becomes an administrative leader, the primary duty is to carry out his/her administrative responsibility [IN86].

Playing two roles at the same time has some potential difficulties. First, as soon as there are conflicts between administrative affairs and academic affairs in a leader's work, he/she may be inclined to his/her academic affairs. In some important decisions, he/she may favor his/her discipline. This may cause partiality in work. Even if the leader does not show partiality, people will doubt the fairness of a decision [IN517]. Furthermore, some university leaders may intentionally use their executive authority to capture more research resources [IN1094]. Second, when a university leader gets involved in academic affairs or transmits his/her executive authority into academic authority, he/she would choke the academic development of the university. It is easy for him to be seen as the academic authority because of his executive position. Thus, few people feel free to express their different academic ideas [IN163]. Third, university leaders may spend too much time attending academic conferences internationally and domestically, causing the administration to be operated inefficiently [IN1102].

However, some respondents disagreed that leaders should work full-time in administration without an academic career. First, if a leader has no academic specialty, after he leaves his administration position, there is no suitable job for him. A leader could spend 60% of his time in administration and 40% on academics, combining both roles and then when he leaves his position, he can still be a professor [IN900]. Second, with a higher academic reputation, it is easier for a university leader to deal with college deans and department heads. Without a higher academic reputation, communicating with deans and department heads may be more difficult [IN1652]. Third, as some leaders were promoted to leadership positions, their academic development was interrupted. If

they totally gave up their academic career, they could not be an academic leader [IN1651]. Usually, a university leader uses spare time for his/her academic research and teaching.

Many respondents suggested that in the leadership team, there must be a reasonable personnel combination with some full-time leaders and some part-time leaders [IN1655]. University presidents should be allowed to play both executive and academic roles because of their academic reputation. Many members of the team should be full time administrative leaders. Some younger leaders are allowed to maintain both their administrative and academic roles considering their future development [IN516]. The CCPU leaders are actually the full-time administrators in the university leadership team and by executing many administrative tasks they allow some executive leaders to continue pursuing their academic careers [IN 85-98].

Some respondents also expressed that the university leadership team should have more leaders coming from academic fields, and fewer from an administrative background. Because academic affairs should be in the paramount status in a university's enterprise, leaders with academic perspectives are in the best position to guide academic development. However, the current university leadership team has more leaders coming from administrative backgrounds [IN272].

4. Current leaders and their influences

Current university leaders are in a transition period from government by men to government by law. People still hold the old memory of a leader as a parent taking care of everything; at the same time, they ask for a leader with a democratic style and

flexibility. Under this circumstance, university leaders are "infinite leaders" playing numerous roles with limited energy and time [IN158, 176, 197].

Current leaders are excessively involved in many day-to-day matters and have no time to focus on developmental strategy. This situation results from the MOE's tight control over a university's external and internal affairs. Many university leaders complained that no human could play a university leader's role well under the current situation. They have less executive authority and fewer financial resources but more excessive responsibilities [IN595-596, IN617-618]. They work hard and are excessively involved into day-to-day matters. They seldom think about how to create a unique culture and style, how to improve an education model and how to design a university's blueprint [IN597, 616].

Some respondents expressed that current university leaders exert too strong personal influences on the university, because there is no mature university administration system to maintain a regular and routine operation and to promote university progress. Executive power always overcomes academic power, because a university is viewed as a quasi-government. Leaders have much power to control their subordinates. In some cases, the personality of a university leader, especially a president or secretary of the CCPU, defines the characteristics of the institution [IN177]. Thus, leadership competency is very important for a university's development.

Research Question Two

How do the geographical differences between/among the Chinese MOE-directed universities influence the challenges facing these universities?

China is a developing country. The economic and social developing levels all over the country are considerably different. Regarding domestic economic development levels of regions, there are four categories: developed cities including Beijing, Shanghai and Tianjing; developed provinces including Jiangsu, Fujian and four other provinces; developing provinces including Jilin and ten other provinces; and undeveloped provinces including Shanxi and ten other provinces. In 2002, the GDP per person in the developed city was $3179.9, $1679.9 GDP per person in the developed provinces, $928.3 GDP per person in the developing provinces, and $649.8 GDP per person in the undeveloped provinces (Chinese Statistics Annals Edition Department, 2003).

The coastal regions and the central cities are the most developed areas in China. Higher education institutions located in those areas receive strong financial support from local government and people. In contrast, higher education institutions located in western parts or northwestern parts cannot receive as much support from locals. In addition, China has extensive lands including 31 provinces and central cities with 56 nationalities and multiple cultures. The educational tradition and cultural beliefs of locals will influence a higher education institution's development.

Because of the centralized direction of government and the deep involvement of the government in a university's administration, the relationship between an institution and its supervising government is very sensitive. If the location of a university is near to the location of its supervising government, the institution may get some benefits from it. Thus, the location of an institution has a strong influence on its development.

In this study, 10 selected universities located in six cities, two in Beijing, three in a eastern seaside international city, one in an eastern provincial capital, one in a southeastern seaside city, one in a northeastern provincial capital, and two in a northwestern provincial capital. Except for the respondent from the university located in a southeastern seaside city, all other respondents from the five different locations discussed the advantages and disadvantages of the relationship between a university and its location.

The theme category of relationship between university and its location is presented in Table 36 and are explained one by one.

Table 36.   Theme Category of Relationship between University and Its Location

Theme	Advantages	Disadvantages
Beijing	Political center Culture center Information center Convenience Low cost Universities pool Internationalization	Weak support from local government
Eastern seaside city	Local governmental support Modernized perspectives Rapid development of city multicultural Well developed science and technology Joining many local research projects	Distance from MOE Disadvantage in applying large project
Eastern provincial capital	Well-developed economy Rich human resources	Dated perspective about higher education Weak support from local government
Northeastern provincial capital	Historical development	Undeveloped economy Dated perspectives Isolation
Northwestern provincial capital	Uniqueness of disciplines Administrative innovation	Lack of financial support Lack of human resources Dated perspectives Less support from local government

Location in Beijing

University 1 and University 2 are located in Beijing which belongs to the developed city category with $3179.9 GDP per person in 2002 (Chinese Statistics Annals Edition Department, 2003).

A university strongly influences its environment. A university is a big consumer in its community and can promote a community's economic development [IN225]. The university's creative and cultural functions are great contributions for the city and the country [IN226-227]. On the other hand, the location of a university also impacts a university. Since China is in a transition period, the society is still clearly divided into

central parts and marginal parts [IN228]. With its centralized tradition, a university located in Beijing still has more advantages than other places, such as richer information, human resources, and academic development opportunities [IN230]. Beijing is the political, cultural and information center of the country. Living in Beijing is most people's dream. Thus, it is very easy for a university to recruit excellent faculty and students. With the central government being located in Beijing, it is very convenient for a university to obtain policy information and maintain a close relation with the MOE. Important conferences are always held in Beijing, so it is very convenient, inexpensive and timesaving for local university people [IN108]. Many universities are located in Beijing. This is very advantageous for students to learn from each other and from this academic environment [IN107-108].

However, because so many universities are located here, the Beijing local government cannot provide enough support to each university. The university cannot benefit as much from the local government even if it has made great contributions to the city [IN110]. Since many central governmental ministries and departments are located in Beijing, most graduates from these key universities will find employment with these organizations. Only a few will go to local organizations. So the local government has little motivation to financially support the MOE-directed universities [IN111].

Location in the Eastern Seaside City

University 3, University 4, and University 5 are all situated in a eastern seaside city which belongs to the developed city category with $3179.9 GDP per person in 2002

(Chinese Statistics Annals Edition Department, 2003).

Location in this city provides great opportunities for a university. The city is establishing an open and international environment to promote international exchanges and collaborations in all aspects of social life [IN357-358]. Universities here have many opportunities to collaborate with different countries in their research so as to strengthen and improve the university's discipline development [IN357-358].

The city has the most advanced economy and technology in the country [IN350]. More than 250 companies of the world's first 500 multinational companies have their branches located in the city [IN355]. The city also has a long history of well-known domestic industries and companies. University 4 and University 5 with very strong engineering disciplines benefit from the city's industry environment. Through their close relationship with industries and companies, the universities can create a good education and internship environment and offer more opportunities for their faculty to engage in cooperative research with the external environment.

The city is pursuing its target to become an international metropolis [IN472]. With its developmental strategy of "advancing the city through scientific and technological progress", the city has placed much attention on universities in the city. Building up several world-class universities is one step of pursuing its goal. Thus, the city has strong motivation to financially support these MOE-directed universities. University 3, University 4, and University 5 are jointly run by the MOE and the city municipality. In the first term of the 985 Project, the central government invested 0.6 billion RMB in University 4 and University 5 individually. The city municipality also invested the same

amount of funds in these two universities. The city government promised to match any funds invested by the central government [IN378]. Besides, the city also supports the universities with its policy environment and overseas cultural environment [IN471]. The universities participated in many of the city's construction projects and research programs [IN381]. One respondent thought that it would take less time for the universities to reach a world-class status goal because of their location in the city [IN474].

However, compared with the universities in Beijing, there are some disadvantages. For example, it cannot obtain policy information as quickly as those in Beijing and they have less priority in receiving large research projects from the MOE or other central governmental ministries [IN441-443].

Location in the Eastern Provincial Capital

University 7 is located in an eastern provincial capital which belongs to the developed provinces category with $1679.9 GDP per person in 2002 (Chinese Statistics Annals Edition Department, 2003).

Location in the eastern areas of China has some advantages. The city is located in the lower reaches of the Yangzi River, which is one of the most developed areas in China. Because of its well-developed economy, long history and cultural atmosphere, this area attracts people all over the country to come to live. So a university located here has rich financial resources to support education and research, and human resources to recruit excellent faculty and students [IN872].

The university maintains a good relationship with the provincial government through its educational and research contributions and its social services. However, the university does not have a good relationship with the city government. Because of its dated perspective of higher education, the city government pays less attention to these MOE-directed universities [IN873-875]. One respondent suggested that the government should choose more people from universities and should send them to local governments to be officials so as to strengthen the relationship between the university and local government [IN876].

Location in the Northeastern Provincial Capital

University 9 is located in a northeastern provincial capital. The city belongs in the developing provinces category with $928.3 GDP per person in 2002 (Chinese Statistics Annals Edition Department, 2003).

Northeastern China was the most industrialized area from 1950 to 1970. During that time, the city had the best and the most famous film studio in China. The city was one of the cultural and economic centers of China. University 10 was then one of the best universities. However, since the 1980s, the economy of the city has declined. It gradually lost its central status in the country. The culture and education of the city also suffered from this economic decline. University 10 lost its high ranking in the higher education system [IN1141].

The regional culture and the perspectives of people powerfully influence universities. An insightful government may be actively involved in university affairs and support its

development; in return the university will help to improve the city's economic and culture development [IN1144]. However, many local governments view the university as a burden not as a potential resource. For instance, several years ago, Henan Province did not welcome Chinese Technology University. It was viewed more as a burdensome consumer of food rather than as a potential energy stimulating the economy of the community [IN1145].

Location in the Northwestern Provincial Capital

University 10 and University 11 are located in a northwestern provincial capital, which belongs to the undeveloped provinces category with $649.8 GDP per person in 2002 (Chinese Statistics Annals Edition Department, 2003).

Locations in the western or northwestern areas may restrict a university's development because of low economic development with shortage of financial and human resources [IN232]. Currently, the central government is carrying out a national strategy of "Exploiting the Great West Part". Respondent 1 from University 10 complained that this strategy was unfair. The strategy focuses on mining western resources and selling them back to the eastern with very lower price. He described this exploitation as a plunder, which would increase the existing gap between the west and the east [IN1365]. He emphasized that the central government should pay more attention to the improvement of human resources in the western part of the country by increasing financial support to the educational development of this area. Only through its own human resources development can the west exploit its industry and develop its economy

[IN1366]. However, the current trend is that more and more people flow back to the eastern and coastal areas. Universities in the northwestern areas cannot stem this loss of their talented faculty [IN1366].

With poor financial budgets, local government cannot provide support to those MOE-directed universities. Sometimes the local government even expects financial benefits from these universities [IN1468]. Local government's perception about higher education strongly influences their treatment to the universities there. Currently, the northwestern city government holds short-sighted and limited perspectives and treats these MOE-directed universities as irrelevant aliens, even as problems [IN1471].

Although being located in the northwestern part of the country disadvantages the university, a smart leader knows how to make use of their uniqueness to design the university's academic strategies and to develop special disciplines [IN1562]. For instance, it is the best place to do the Middle East history research in China because of its unique location. University leaders here also need to recognize the special demands of its administrative policy and create a unique environment to attract and keep talented people. For instance, the university should use a different faculty recruitment policy, such as offering job opportunities for their spouses, or providing higher salary and benefits [IN1517].

In summary, the location of a university powerfully influences a university, positively or negatively. Location in developed areas usually has a positive influence on a university; by contrast, location in undeveloped areas has a negative impact on a university. However, whether a university and its city can mutually benefit each other

greatly depends on the local government's perspectives about higher education. If it sees the university as a potential resource, it will help to build a harmonious developmental relationship. If not, it will hinder a university's development. Lastly, if university leaders wisely make use of their location characteristics, disadvantages may become advantages.

Research Question Three

What differences exist in the perceptions of challenges facing Chinese MOE-directed universities in implementing the Action Scheme for Invigorating Education towards the 21st Century among current university leaders, aspiring leaders, and retired university leaders?

The researcher answered this question by following *research question one*'s category to see if there are any differences in perceptions of identified challenges facing Chinese MOE-directed universities among current university leaders, aspiring leaders, and retired university leaders.

The researcher divided the 22 respondents into three groups based on their job positions: current university leaders, aspiring leaders, and retired university leaders. The current university leaders group refers to the MOE-directed university leadership team including the president, the vice president, the secretary of the CCPU and the vice secretary of the CCPU. There are 6 current university leaders, including 1 president, 3 vice presidents, and 2 vice secretaries of the CCPU. The aspiring leaders group refers to the middle level administrators of the Chinese MOE-directed universities, such as college deans, department heads, or executive office directors who were sent to NAEA

training programs to prepare for promotion to university leadership positions. There are 10 aspiring leaders, including 3 college deans, 6 executive office directors and 1 secretary of the Youth League. The retired university leaders group refers to the MOE-directed university leaders retired from the president, the vice presidents, and the secretary and the vice secretary of the CCPU positions. There are 6 retired university leaders, including 1 retired president, 4 retired vice presidents, and 1 retired secretary of the CCPU.

Challenges from Institutional External Environment

The researcher did not find substantial differences in perceptions of challenges from the institutional external environment among current university leaders, aspiring leaders, and retired university leaders.

Two current university leaders, five aspiring leaders and three retired university leaders discussed how powerfully social changes have impacted university administration, how international and domestic competitions have stimulated each university to develop, and how external and internal environments have challenged or restricted university development.

Challenges from Institutional Merges Reform

The researcher did not find substantial differences in perceptions of challenges from the institutional mergers reform among current university leaders, aspiring leaders, and retired university leaders.

Five current university leaders, seven aspiring leaders and three retired leaders talked about the institutional mergers reform and its influence on university administration. Actually, among these respondents, three respondents (U5I1, U7I4, and U9I1) from the merged institutions gave detailed comments on the institutional mergers reform.

Respondent 1 from University 5 expressed concerns about how to overcome differences existing in faculty and students of two merged institutions with different educational models and different educational missions. Respondent 4 from University 7 expressed that this reform negatively impacted his institution. Respondent 1 from University 9 viewed his university's merging as five institutions clustered together by a steel chain or a buffet plate with five foods, which caused much resource waste and dysfunction of administration. It showed that the institutional mergers reform had a greater influence on the merged institutions.

Challenges from Enrollment Enlargement

The researcher did not find substantial differences in perceptions of challenges from enrollment enlargement reform among current university leaders, aspiring leaders, and retired university leaders. However, the researcher found that the aspiring leaders paid more attention to the reform.

Four current university leaders and four retired leaders mostly took positive attitudes and viewed the reform as one of the national developmental strategies. Eight aspiring leaders gave more comments on this reform and analyzed opportunities and difficulties

that the reform brought to the university administration.

The reform generated many concrete challenges and problems for university internal administration that mostly middle level administrators have to deal with, such as crowded campuses and classrooms, lack of faculty, financial aid, diversity of student body, graduate employment, and declining of education quality. They had firsthand experiences of these challenges created by the enrollment enlargement reform. Thus they had stronger opinions about this reform than the other two groups.

Challenges from the 211 and 985 Projects

The researcher did not find substantial differences in perceptions of the challenges from the 211 and 985 Projects among current university leaders, aspiring leaders, and retired university leaders. However, the researcher did find some differences in perceptions of administrators who came from the universities entering the 211 and 985 projects and the administrators who came from the university who did not enter these projects.

Four current university leaders, four retired leaders and nine aspiring leaders talked about the 211 and 985 Projects. Most respondents from the 211 and 985 Projects member universities viewed the 211 and 985 Projects as great opportunities for a university's development. Only the two respondents from University 10, which did not enter the 211 and 985 Projects, pointed out that the 211 and 985 Projects brought too much pressure on them. They not only lacked strong financial support, but also kept losing their best faculty, for the 211 and 985 universities have more funds to attract and

recruit faculty [IN221-222]. Respondent 3 from University 10 even doubted the equity of these investments. He expressed that education is a public enterprise. Government should maintain its equity principle in higher education investment—more support for the weaker groups not the stronger groups [IN1368-1370].

Some respondents from the aspiring leaders group also pointed out some potential negative results of these projects. Respondent 1 from University 9 and Respondent 2 from University 11 expressed that the 211 and 985 Projects didn't create an efficient post-evaluation system to supervise and evaluate governmental investment effects and results. Thus, it is very difficult to guarantee the expected results of these projects [IN1140, IN1276-1277]. They also pointed out that although the 211 and 985 Projects have increased these university employees' salaries three to five times more than before; there are no great improvement in work performance and attitudes [IN1270]. University leaders should consider how to use these huge investments effectively for their university's development.

Challenges from Institutional Autonomy Reform

The researcher did not find substantial differences in perceptions of the challenges from institutional autonomy reform among current university leaders, aspiring leaders, and retired university leaders.

Three current university leaders, three retired leaders and eight aspiring leaders talked about institutional autonomy reform and its influences on university administration. All respondents complained about the tight control from the MOE, and called for more institutional autonomy.

Challenges from Institutional History and Cultures

The researcher found some differences in perceptions of the challenges from institutional history and culture among current university leaders, aspiring leaders, and retired university leaders.

Among the ten aspiring leaders, only one discussed this theme. Among the six current leaders, two respondents mentioned this theme. But among the six retired leaders, five of them talked about this theme with positive comments on the institutional history and culture. They viewed these historical and cultural traditions as advantages for the university's future development. The aspiring leader who talked about the theme was in his 50s. He gave the same comments as did the retired leaders. One of the current university leaders who talked about university history and culture was in his 60s and gave the same comments as did the retired leaders.

The other current leader, who was the youngest university leader in the group, held a

different opinion about the university culture and tradition. He admitted that the university's old history and well-known reputation are important advantages. But he criticized that the university culture lacked ambition and vision. Cultivated in this culture, graduates will be good doers and hard workers, but they will not be future leaders. His goal is to reform this culture and infuse fresh blood into it [IN562-569].

From these differences of the perceptions among the respondents, the researcher can infer that age and a person's historical background play a role in the respondents' perceptions. The aspiring leaders paid less attention to a university history and tradition. Even if they did consider tradition, just like Respondent 3 from University 4, they wanted to create innovation in the future. On the contrary, the retired leaders group and the other two older respondents emphasized the importance of a university's history and tradition, because they have stayed in their universities more than 20 years, and they were witnesses to their university's history.

Challenges from Internal Environment of University

The researcher did not find substantial differences in perceptions of the challenges from the internal environment of the university among current university leaders, aspiring leaders, and retired university leaders.

Three current university leaders, two retired leaders and three aspiring leaders talked about how to achieve a common understanding of the university developmental goals and strategies, how to make choices facing so many opportunities, how to innovate the conservative perspectives of the university people to catch up with the contemporary

trend, how to keep a sober mind to discern the whole situation, and how to build up the modern university administration system. These are challenges from the university internal environment.

Challenges from University Leadership System

This theme includes four topics: the presidential responsibility system under the leadership of the CCPU, the university leader appointment system, the relationship between university leader's occupation and academic career, and the influences of the current leaders. There are similarities and differences in perceptions regarding these different topics among current university leaders, aspiring leaders, and retired university leaders.

Six current university leaders, five retired leaders and six aspiring leaders talked about the presidential responsibility system under the leadership of the CCPU. They all agreed that this system is suitable for the reality of China. The problem is how to implement this system and how to make a clear distinction between the president's and the CCPU secretary's responsibility and position authority.

Among the six current university leaders, two are vice secretaries of the CCPU, they gave more positive comments about the system. They considered that this system guarantees the university decision-making based on a team's wisdom not just an individual's judgment, and it will benefit the university's development. One current university leader had both sides of the work experience as a vice secretary of the CCPU and as a vice president. He thought it was very difficult to integrate both sides and to

balance the relationship. He viewed this as the most difficult challenge in the university administration system. He suggested one person filling two roles at the same time [IN1588].

Two current university leaders, three retired leaders and six aspiring leaders talked about the university leader appointment system. They all complained that they did not have an efficient system to choose suitable leaders, and the MOE controls too much on the appointment of university leaders.

Five current university leaders, three retired leaders and five aspiring leaders talked about the relationship between the university leader's position and academic career. They all agreed that academic reputation and academic career are the required background of a university leader, but the primary duty is to carry out his/her administrative responsibility [IN86]. However, there are different perceptions on the question of whether a university leader should continue his/her academic career among these three groups.

The current university leaders group emphasized that university leadership is a working team. The important point is to construct a reasonable personnel combination with some full-time administrative leaders and some part-time leaders to work together. Two vice-secretaries of the CCPU expressed that they were full-time administrators in the university leadership team fulfilling many administrative duties and thus allowing some leaders to pursue their academic careers.

The aspiring leaders group focused on the negative effects of university leaders' pursuing personal academic careers in their executive positions, and expressed that it

might cause unfairness in academic policies and allocation of academic resources. If university leaders spent much time on their personal academic career, it would cause inefficiency and dysfunction of a university's administration.

The retired leaders group paid more attention to the university leaders' individual development and future. From their personal experiences, they disagreed that leaders should have a full-time position without an academic career. This would influence university leaders' future development. They suggested giving university leaders a free environment and time to maintain their academic careers.

Three current university leaders, three retired leaders and seven aspiring leaders talked about the influences of the current leaders. The current university leaders group complained of playing numerous roles with limited energy and time, and felt too tired of dealing with the MOE documents and regulations. The aspiring leaders focused on the current leaders' strong influences on a university. The retired leaders group worried about the chaos in the current higher education system and warned the university leaders to be self-disciplined and suggested building up a good supervision system.

Research Question Four

What leadership competencies are needed by higher education administrators to lead these universities in implementing the Action Scheme for Invigorating Education towards the 21st Century as perceived by selected Chinese university administrators?

Institutional leadership competencies are conceived as complex structures of attributes, such as knowledge, values, skills, abilities and attitudes that the MOE-directed

university leaders need in order to manage the challenges presented by the *Action Scheme* and the current Chinese higher education external and internal environments.

The researcher collected data about leadership competencies in two parts. The first part included the respondents' articulations of their personal experiences as a leader. The second part included the respondents' perceptions about needed leadership competencies to deal with the current challenges. We can further understand the respondents' perceptions about leadership by knowing their personal experiences as a leader. Thus, these two parts mutually support each other.

In the first section of Chapter IV, the researcher enumerated the leadership competencies identified by each respondent through their personal experiences and their perceptions and presented them in Table 4 through Table 25. Table 37 is a synthesis of these 22 tables. It includes the theme category related to the needed leadership competencies identified by the 22 respondents through their personal experiences and their perceptions about leadership. The researcher categorized these leadership competencies into four categories: *personality and disposition, personal knowledge and skill, administrative competency, and social responsibility competency*. In the third column of Table 37, the researcher calculated the number of persons who identified the leadership competency relating to each category. Then the researcher will give further explanation about Table 37 categories.

Table 37.   Theme Category: Leadership Competencies Identified by 22 Respondents

Themes	Competencies	Identified by person (s)
Personality and Disposition	1. Devotion	10
	2. Enthusiasm	6
	3. Selflessness	9
	4. Benevolence	3
	5. Justness	7
	6. Tolerance	5
	7. Self-discipline	4
	8. Kindness	15
	9. Responsibility	16
	10. Determination	5
	11. Diligence	8
	12. Commitment	13
	13. Persistence	11
	14. Flexibility	12
	15. Charisma	4
	16. Openness	8
	17. Creativity	10
	18. Initiative	2
Personal knowledge and Skill	1. A combination of Chinese and Western culture	1
	2. Profound knowledge background	9
	3. Knowledge about social reality	1
	4. Knowledge of international higher education theory and practice	5
	5. International experiences and background	2
	6. Higher academic reputation and achievement	17
	7. Academic Discernment	6
	8. Familiarity with the university	10
	9. Social skills	10
	10. Continuous learning ability	4
	11. English language skill	3
	12. Critical thinking	2

Table 37. (Continued)

Themes	Competencies	Identified by person (s)
	1. Vision	21
	2. Setting ambitious and achievable goals	22
	3. Holistic mastery	16
Administrative competency	4. Discernment	17
	5. Collecting and processing information	9
	6. Strategic decision-making	20
	7. Leading	17
	8. Organizing	17
	9. Coordinating	18
	10. Evaluating and supervising	9
	11. Motivating	14
	12. Communicating	14
	13. Staffing	16
	14. Reconstructing new institutions	10
	15. Resource-raising	3
	16. Marketing	6
	1. Political sensitivity and firmness	10
	2. Implementing the national educational policy	6
Social responsibility competency	3. Accomplishing university mission	1
	4. Public figure	3
	5. Service sense	7
	6. Sense of opportunity	7
	7. Sense of competition	5

Personality and Disposition

There are 18 leadership competencies identified by the 22 respondents relating to this theme. According to the respondents, the type of *personality and disposition*, which university leaders need to deal with the current and future institutional challenges resulting from the implementation of the *Action Scheme* and the current Chinese higher education external and internal environments, includes: *devotion, enthusiasm, selflessness, benevolence, justness, tolerance, self-discipline, kindness, responsibility, determination, diligence, commitment, persistence, flexibility, charisma, openness, creativity,* and *initiative.* More than 10 respondents identified *kindness, responsibility,*

commitment, persistence, flexibility, devotion and *creativity* as the important personality and dispositions of a university leader.

Many respondents expressed that as a university leader, the most important quality is devotion to the enterprise, the university and the country [IN946]. The current Chinese university leaders are in a transition period from government by men to government by law. People still hold memory of a leader as a parent, at the same time they expect a leader to possess a democratic style and to be flexible to adapt to social changes and modern life's standards. Under this circumstance, university leaders play numerous roles with limited energy and time [IN158, 176, 197]. Thus, without the devotion spirit, a leader cannot accomplish his/her responsibilities.

In Chinese tradition, a leader must have good relationships with people [IN687-689]. When answering the question "what makes you a leader", most respondents mentioned that getting along with people, being welcomed and being accepted by people as main reasons [IN13, 15, 149, 159, 609, 663]. Kindness, selflessness, enthusiasm, benevolence, and tolerance are main personality qualities that a leader should have to win people's support and respect. A leader must be a moral leader, gaining the trust of people [IN 198]. A leader should be selfless and tolerant to unite people [IN697]. One respondent said it is easy to find a competent person but not easy to find a person with both competency and morality [IN1070]. A competent leader should be equipped with moral power to act fairly [IN175]. As the environment becomes more and more complex, leaders should have a sense of self-discipline to avoid corruption [IN658].

Many respondents stated that in this great transition period, leaders need stronger qualities of diligence, persistence, determination, responsibility and commitment to deal with numerous roles and dilemma [IN896]. Although a leader needs to foresee and to lead, he cannot just talk; he must do solid work and be involved in concrete matters [IN598]. He must persist in what he thinks is right and consistently pursue his goals without hesitation [IN993]. He must balance and deal flexibly with various conflicts [In588].

Today, the university leaders cannot just follow orders from above; they have to deal with various problems by themselves [IN818]. Creativity becomes a required quality for a leader to reform and reconstruct administrative institutions.

Personal Knowledge and Skill

There are 12 leadership competencies identified by the 22 respondents relating to this theme. According to the respondents, the *personal knowledge and skills*, which university leaders should have to deal with the current and future institutional challenges from the implementation of the *Action Scheme* and the current Chinese higher education external and internal environments, include: *a combination of Chinese and western cultures, profound knowledge background, knowledge about social reality, knowledge of international higher education theory and practice, international experiences and background, higher academic reputation and achievement, academic discernment, familiarity about university, social skills, continuous learning ability, English language skill,* and *critical thinking skill*. More than 10 respondents identified *higher academic*

reputation and achievement, *familiarity with the university,* and *social skills* as the important personal knowledge and skills that a university leader should have.

Many respondents agreed that a university president needs to have a well-known academic reputation to increase his/her university's influence in society [IN659]. A university president should have profound knowledge of social sciences and humanities, and academic discernment to lead academic development [IN206, IN1313]. A university is an academic organization, which creates new ideas, thoughts and knowledge. Only with strong academic perspectives and profound knowledge, can a university leader lead his/her university's development [IN270].

If world-class status is a university's goal, at least the university leaders should have expansive and rich international experiences and background to understand what defines a world-class university [IN1287]. At the same time, the traditional culture is also very important. A Chinese university president should be a person with a combination of Chinese and Western cultures [IN1080].

One respondent expressed that Chinese university leaders also need to have English language skills. English has become the WTO language, international scientific, financial, and political language. As a developing country, China must learn from these developed countries, and Chinese must learn English [IN1075]. As a university leader, especially with the goal of becoming a world-class university, English language skill can strengthen his/her ability to communicate or exchange with people abroad, to improve his/her capacity to collect and analyze information, and to make him/her more open and internationalized [IN1077-1079, 1081, 1084].

Continuous learning and research abilities are very important for a leader to keep his/her knowledge fresh and keep up with contemporary trends. One respondent emphasized that her higher education research capacity and research habits were extremely useful and helpful for her administrative work. Before starting each assignment, she always did research about it, and let the research guide her administrative practices [IN533, 446-449].

One respondent also pointed out that a university leader should not just sit in his/her office on campus and focus on the university and academic affairs; he/she must understand social reality and exchange information and resources with the outside society [IN1239]. As a university becomes larger and larger, leaders have to expand their social scope to cooperate with government officials, industry and business CEOs, and social organizations. They need to improve their social skills [IN657].

Administrative Competency

There are 16 leadership competencies identified by the 22 respondents relating to this theme. According to the respondents, the *administrative competencies*, which the university leaders should have to deal with the current and future institutional challenges from the implementation of the *Action Scheme* and the current Chinese higher education external and internal environments, include: *vision, setting ambitious and achievable goals, holistic mastery, discernment, collecting and processing information，strategic decision-making, leading, organizing, coordinating, evaluating and supervising, motivating, communicating, staffing, reconstructing new institutions, resource-raising,*

and *marketing*. More than 20 respondents identified *vision, setting ambitious and achievable goals,* and *strategic decision-making* as the important administrative competencies that a university leader should have. More than 14 respondents identified *holistic mastery, discernment, leading, organizing, coordinating, motivating, communicating,* and *staffing* as the important administrative competencies that a university leader should have.

Current leaders are excessively involved in many concrete matters and have no time to focus on developmental strategy [IN595]. Almost all respondents emphasized that a university leader should have a vision; only with vision can a leader pursue goals and design university development strategy [IN171]. A leader's vision depends on his/her knowledge, experiences and discernment [IN172]. Respondent 1 from University 7 cited four presidents of the university where he served as examples of the importance of a leader's vision. The first president was under the socialist planned economy system and was very precise in his academic career and administration. The second president had a strong vision for the future. He promoted the cooperation between the university and industries and created better internship environments for students. The third president was very rigorous in teaching and administration like the first president, but fell short of building capacity as a president. The fourth president is the current president who was chosen by the democratic selection process instead of being directly appointed by the MOE. He has strong determination and long-term vision with prudent implementation capacity and diligence. He set an ambitious goal to build an internationally well-known university [IN825-828, 783-789].

In this rapidly changing society, university leaders need strong discernment and persistence to steer the direction of the university development [IN285]. The president of University 7 defined a president as a vanguard to eliminate dangerous and unstable factors in the development of the university [IN928]. He explained that in the reforming process, university leaders face difficulties and pitfalls, because some people from society want to make use of the university's reputation and resources through various tricks [IN929]. Thus, university leaders must equip themselves with discernment and soberness to distinguish opportunities and pitfalls [IN820].

One respondent stated that the responsibility of a leader includes four aspects. First, a leader must steer the direction of the university development, including goal-setting, educational model, and evaluation system. Second, a leader must make use of personnel and balance both administrative personnel and academic personnel. Third, a leader must discern the whole operational situation of the university. Fourth, a leader must clearly recognize the difference between the goal and the reality [IN1167-1170].

Chinese university leaders face extremely complicated circumstances. External environment and internal systems of the universities are changing greatly; social needs of higher education are also complex [IN1577]. University leaders need to deal with unpredictable situations. This situation asks for well-built strategic decision-making capacity [IN1578]. In the strategic implementation process, leaders should have higher problem-solving ability and implementation capacity to organize and motivate people, and lead them to accomplish the goals [IN1580].

However, in the decision-making process, a leader should acknowledge individual limitations. A leader's academic background has its advantages and disadvantages in his/her administration. He can have more to say about the familiar specialties, but for unfamiliar specialties, he is a layman [IN1504]. Nobody can know everything. University leaders should intentionally build up democratic administrative processes and engage experts and faculty in the university decision-making process [IN1495]. In a university, a leader's duty is to maintain a good environment and let faculty fulfill their roles [IN1519].

Respondent 2 from University 4 defined leadership as a practical process that a leader with a clear vision leads and motivates a team to achieve the established goals [IN495]. This process will be accomplished by a leadership team. As a team, the university leaders should promote solidarity and strengthen the sense of cooperation and coordination among the team members. Only with firm solidarity, can the team have energy to strive and lead the university forward [IN753].

Communications within the leadership team and between leaders and subordinates are so important in the current situation, for many leaders and administrators come from the academic field and have very strong professional backgrounds. They may use their research-thinking model to do their administration job—pursuing truth and show no flexibility. Equipped with better communication skills, leaders can cooperate harmoniously with each other on the team, achieve a common understanding with their subordinates, motivate their followers and unite people together to accomplish the university's goals [IN1583].

One respondent emphasized that a leader should be people-oriented in administration and higher education reforms. The final purpose of all reforms and social progress is to improve people's life [IN1360-1361]. Therefore, any reform should be people-oriented. Education is a long-term enterprise, but the current higher education reforms are too shortsighted and put too much pressure on teachers, students and administrators without considering people's feelings, spirit, self-esteem, happiness, and freedom [IN1358]. The university leaders' duty is to create an environment where every faculty member can be motivated to work creatively [IN160-164].

Some respondents also stated that a leader should actively raise and wisely use three social resources: financial resources from governments and society; soft resources such as university reputation, university history, president prestige and social relationships to strengthen its marketing capacity; and a good environment and payment system to attract excellent faculty [IN1184].

Social Responsibility Competency

There are 7 leadership competencies identified by the 22 respondents relating to this theme. According to the respondents, the *social responsibility competencies,* which university leaders should have to deal with current and future institutional challenges from the implementation of the *Action Scheme* and the current Chinese higher education external and internal environments, include: *political sensitivity and firmness, implementing the national educational policy, accomplishing university mission, public figure, service sense, sense of opportunity, sense of crisis* and *sense of competition*. Ten

respondents identified *political sensitivity* and *firmness* as the important administrative competencies that a university leader should have. Seven respondents identified *service sense* and *sense of opportunity* as the important administrative competencies that a university leader should have. Six respondents and five respondents respectively identified *implementing the national educational policy* and *sense of competition* as the important administrative competencies that a university leader should have.

In China, a leader must have strong sensitivity to politics to steer the university in the right direction consistent with the Communist Party [IN749]. Leaders also need to discern social trends and steer the university in line with the contemporary trends [IN748].

University leaders should have a sense of crisis, not only viewing the university development from a longitudinal perspective to see its own progress, but also from a horizontal perspective to find out gaps between itself and other institutions [IN1055]. They also must have a sense of competition. Only by actively participating in competitive activities can university leaders seize opportunities [IN919].

University leaders should have a strong service sense not only to serve their people on campus, but also to serve social needs. For a long time, the university was treated as a governmental agency. The university operated based on governmental policies and executive orders. This tradition made the university executive parts more important than the academic parts. However, as long as academic affairs become more and more important, teaching and research become the core of a university. To accomplish this, administrators should have a strong sense of service to serve their faculty and students

[IN1046]. University leaders should realize as well that a university has many customers to serve, such as government, companies, the public, faculty, students and their parents. A university president should promote the spread of university knowledge and strengthen university people's service sense to serve society through their teaching, research and public service [IN1185].

Research Question Five

What differences exist in perceptions of institutional leadership competencies in implementing the Action Scheme for Invigorating Education Towards the 21st Century among current university leaders, aspiring leaders, and retired university leaders?

The researcher answered this question by following the category of *research question four* to see if there are any differences existing in perceptions of identified leadership competencies that MOE-directed university leaders need in order to manage the challenges presented by the *Action Scheme* and the current Chinese higher education external and internal environments. Leadership competencies identified by the three respondent groups--current leaders group, aspiring leaders group and retired leaders group-- are presented in Table 38. The number of persons who identified a related leadership competency in each group is also presented in Table 38. Through comparison of the three numbers of the three groups, some understanding about where differences exist among perceptions of these three groups can be obtained.

Table 38. Theme Category: Leadership Competencies Identified by Three Respondent Groups

Themes		Competencies	Current leader (6)	Aspiring leader (10)	Retired leader (6)
Personality and Disposition	1.	Devotion	3	5	2
	2.	Enthusiasm	4	1	1
	3.	Selflessness	2	3	4
	4.	Benevolence	1	1	1
	5.	Justness	3	3	1
	6.	Tolerance	2	1	2
	7.	Self-discipline	1	2	1
	8.	Kindness	5	5	5
	9.	Responsibility	5	7	4
	10.	Determination	1	4	0
	11.	Diligence	3	1	4
	12.	Commitment	5	4	4
	13.	Persistence	4	4	3
	14.	Flexibility	5	5	2
	15.	Charisma	0	4	0
	16.	Openness	3	3	2
	17.	Creativity	3	5	2
	18.	Initiative	1	1	0
Personal knowledge and Skill	1.	A combination of Chinese and Western culture	0	1	0
	2.	Profound knowledge background	3	3	3
	3.	Knowledge about social reality	0	1	0
	4.	Knowledge of international higher education theory and practice	0	5	0
	5.	International experiences and background	0	2	0
	6.	Higher academic reputation and achievement	4	8	5
	7.	Academic discernment	1	3	2
	8.	Familiarity about university	5	2	3
	9.	Social skills	1	7	2
	10.	Continuous Learning ability	2	1	1
	11.	English language skill	0	2	1
	12.	Critical thinking	0	2	0

Table 38. (Continued)

Themes	Competencies		Current leader (6)	Aspiring leader (10)	Retired leader (6)
	1.	Vision	6	9	5
	2.	Setting ambitious and achievable goals	6	9	6
	3.	Holistic mastery	6	6	4
Administrative	4.	Discernment	5	8	4
Competency	5.	Collecting and processing information	3	4	2
	6.	Strategic decision-making	6	9	5
	7.	Leading	5	8	4
	8.	Organizing	5	8	4
	9.	Coordinating	5	9	4
	10.	Evaluating and supervising	1	5	3
	11.	Motivating	3	10	1
	12.	Communicating	4	8	2
	13.	Staffing	5	8	3
	14.	Reconstructing new institutions	4	4	2
	15.	Resource-raising	0	3	0
	16.	Marketing	2	2	2
	1.	Political sensitivity and firmness	4	2	4
Social	2.	Implementing the national educational policy	1	1	4
Responsibility	3.	Accomplishing university mission	1	0	1
Competency	4.	Public figure	1	2	0
	5.	Service sense	2	5	0
	6.	Opportunity sense	3	3	1
	7.	Competition sense	1	4	0

Personality and Disposition

Generally, there are no substantial differences in this theme among the perceptions
of these three groups. However, it appears that the retired leaders group focused much
more on s*elflessness, diligence, responsibility,* and *commitment*. The aspiring leaders
group emphasized the *charisma* of a leader while the other two groups did not mention
this personal quality.

The retired vice president from University 7 expressed that besides certain
competencies, the most important quality of a leader is to be hardworking and able to
endure hardships [IN895]. Several retired leaders expressed that they did not voluntarily

choose to be a leader, however as required by their superiors, they diligently and responsibly devoted themselves to their university enterprise [IN154, 1645, 1384, 1511].

This situation can be understood in Chinese historical context. All these retired leaders are in their sixties. When they were chosen as leaders, China was in her socialist planned economy period, universities were more like governmental agencies, and university leaders needed to follow orders from above. They were involved in various concrete matters and worked diligently and selflessly. They were required to act like parents taking care of their people, and they were also viewed as moral models [IN889].

The aspiring leaders group's attention on *charisma* of a leader is understandable through their negative comments about the current leaders. One respondent said that there were few satisfactory presidents among more than one thousand universities; and that only half of the presidents possessed presidential leadership qualities among 50 universities similar to his university [IN678]. He even said, when a person becomes a president, usually his/her personality becomes more moderate and cautious without charisma [IN698]. The future leader should have a charming personality to motivate people.

Personal Knowledge and Skill

There are some differences in the perceptions of the three groups on personal knowledge and skills of a university leader. Only the aspiring leaders group paid attention to *knowledge of international higher education theory and practice,* and

international experiences and background. This may be attributed to their international experiences and much more open perspectives.

In the interview process, many respondents mentioned or even introduced in detail the western higher education systems and their administration as they talked about the Chinese higher education system. There are more than 12 respondents in 30 cards directly related to international higher education. Among them, 9 are aspiring leaders, 2 are current leaders, and one is a retired leader. This means that the aspiring leaders were more influenced by western culture, or paid more attention to international higher education. They have more open and international perspectives about higher education.

The contents of these cards include the U.S. higher education institutions structure, university competition, the tutorial system of Oxford [IN47, 73, 113], the relationship of U.S. universities or Germany universities and their locations IN229, 223], the western university president appointment system and the board of trustee system [IN269, 295], the responsibility of the U.S. Department of Education, western university president's background [IN577, 604], the responsibility of college deans, education model [IN688, 724, 729], university size, graduate employment, teaching method [IN368, 416, 415, 354], and the U.S public higher education experience [IN1222], etc. There is a trend in the Chinese higher education system to learn more from its western counterparts. Especially, as many MOE-directed research universities have put forward the long-term goal of becoming a world-class university, the university leaders should gain knowledge of international higher education theory and practice, and have international experiences and background so as to lead their university in this direction.

The aspiring leaders also paid more attention to the *social skills* of a university leader than did the current leaders and the retired leaders. A university is no longer an ivory tower far away from society. With scientific and technological advancement, a university becomes the center to generate new knowledge, and the engine to promote social development. With higher education reform, a university and its environment increasingly interact with each other. Thus, with this advanced perception, the aspiring leaders ask the future university leaders to improve their social skills.

Administrative Competency

There are no substantial differences in this theme among the perceptions of the three groups. All three respondent groups paid a great deal of attention to the administrative competencies of a university leader, especially *vision, goal-setting,* and *strategic decision-making*. This situation is very different from twenty years ago when a university was just a governmental agency following the national plan. "The pre-1980 Chinese universities acted just like a factory or a production unit" (Mohrman, 2003). "The job of the university president was easy—just carrying out orders" (Mohrman, 2003). With the development of the market economy in China and the reform of Chinese higher education, the job of the university president today is more corporate and much more like that of his western counterparts. University leaders need to think about university long-term goals, to design developmental strategies and to implement them through efficient administrative systems.

However, among the three groups, the aspiring leaders paid more attention to *motivating* and *resources-raising.* They considered that the university is a place where new ideas and thoughts are created through teaching and research activities [IN193]. Teaching and research are creative interactions between faculty and students [IN168]. This requires individual creativity and initiative. In this environment, university leaders should sufficiently motivate everyone's creativity, respect and appreciate every individual endeavor, view everyone's success as their own and be proud of their achievement [IN164-167]. The aspiring leaders also emphasized that university leaders should wisely use the university reputation, history, culture and various social relationships to raise resources to promote the university's development.

Social Responsibility Competency

There are some differences in this theme among the perceptions of the three groups. The current leaders group and the retired leaders group paid more attention to *political sensitivity* and *firmness*, while the aspiring group paid more attention to *service sense* and *sense of competition,* and the retired leaders group paid some attention to *implementing the national educational policy.*

In China, university campus stabilization has a certain connection with the national political stabilization and social development. The leaders of the top universities in the country have many more political duties and pressures to lead the university in the direction consistent with the Communist Party and to maintain a fine atmosphere on the campus [IN38-40]. Universities in China have much more social responsibility than their

western counter-partners [IN628]. The current leaders group and the retired leaders group have experienced or are experiencing these political pressures, while the aspiring leaders group does not directly deal with this issue.

The retired leaders group also emphasized that university leaders should precisely understand and carry out educational policies. It shows that the retired leaders group was influenced much more strongly by the old planned economy model---following governmental orders. On the contrary, the aspiring leaders group emphasized *service sense* and *sense of competition.* It shows that they have a more open perspective about the relationship between a university and its environment.

Additional Results

Higher Education Administrator Training

Because the 22 selected administrators were trainees of the NAEA seminar for senior leaders and seminar for middle administrators, the researcher wanted to get some feedback from them about the effectiveness of these training programs. During the interview process, the researcher intentionally asked the respondents to evaluate the current administrator training programs, and give suggestions for future training. The data relating to this theme was grouped under an additional theme---*higher education administrator training.* Fourteen respondents gave comments on this theme, including five current leaders, four aspiring leaders, and five retired leaders. The data relating to this theme were unitized into 78 cards. This extra theme and its related topics are presented in Table 39.

Table 39.　　Theme Category: Higher Education Administrator Training

Theme	Topics
Higher education administrator training	● Training and practice ● Necessity of training ● Evaluation about the current training programs ● Suggestions about training contents ● Suggestions about training methods

Training and Practice

　　Seven respondents talked about whether leadership competency can be learned and improved through training, or it can only be acquired through practice and experience. Only one respondent affirmatively answered that leadership competency can be learned through training [IN1534].

　　One respondent even thought that a leader is primarily determined by his/her nature. While answering the question about what role the training can play in leadership competency improvement, he labeled himself as a fatalist and pointed out that choosing a leader is like choosing a jade or a sword, its essence or quality is the most important concern. Training is like sharpening a sword; it can only help improve leadership quality but not make leaders [IN99-105].

　　Four respondents emphasized the importance of practice and experience in improving leadership competency. A leader usually grows up through experience in teaching, research and cooperation in large programs [IN951]. Without personal experience, leadership competency cannot be gained just through training or reading books [IN980, 1647]. Some leadership knowledge can be learned from training, such as new knowledge and administrative skills. But tacit knowledge, such as ability to coordinate, cannot be trained. It can only be improved through personal practice [IN772].

One respondent suggested combining both training and practice to strengthen administrators' leadership capacity. With working practice and effective training, plus an extensive academic background, an administrator can improve his/her leadership competency [IN1461].

Necessity of Training

Six respondents discussed the necessity of training. All of them agreed about the importance of administrator training. Compared with world-class universities, Chinese university administrators are less qualified and less professional. In order to advance university development, university leaders and administrator must improve their leadership competencies and administration skills through training [IN633].

Currently, university leaders and administrators are involved in so many concrete affairs that it is impossible for them to improve their leadership competency through self-learning [IN601]. A systematic training program is very necessary [IN631].

Most university leaders and administrators are laymen of professional administration [IN1290]. They mainly depend on personal experiences and intuition to administer [IN1535]. As a university organization becomes more and more complicated, and its administration becomes more and more professional, university leaders and administrators need to be equipped with professional administration knowledge and skills [IN1536].

Evaluation about the Current Training

Seven respondents gave comments about the current higher education administrator training, especially about the NAEA training seminars. Two respondents gave positive evaluations to these training programs. Through the training, trainees developed a network through which they can continuously learn from each other [IN835]. Through this training, they have learned new knowledge and administrative experiences from each other [IN677].

The other five respondents criticized some aspects of these training programs. First, the training model is narrow in its focus; it can not fit the different demands of administrators from various higher education institutions [IN1152]. If the purpose of the training is just to carry out governmental education policy and make people's thoughts consistent, it will hinder the diversity of higher education development [IN1158]. Secondly, the training method is too dated and too simple, still using the indoctrinating method [IN1636]. Thirdly, the training content is obsolete and dominated by book knowledge with strong political colors, but lack practical skills training and administrative skills training. Fresh blood should be brought into the training content [IN1635].

Suggestions about Training Content

Five respondents gave their suggestions about training content. They all expressed that administrator training should enhance administrative knowledge and skills training. Within the market economic system, a university will not depend solely on

governmental appropriated funds. So administrators and leaders should be equipped with certain management skills such as cost-estimating skills and efficiency-improving skills through training [IN523-532]. In the market economy environment, it is very dangerous if a university leader does not understand accounting and financial procedures [IN905]. New knowledge should be added to the training programs, such as theories and practices in administration, human resources development, strategy designing, and leadership fields [IN1539, 906]. Foreign language skills and computer skills are also the required training contents [IN906]. Many respondents suggested imitating MBA programs to set up new training programs [IN1540].

Suggestions about Training Methods

Six respondents gave suggestions about training methods. Administrator training should be enhanced through promoting administrator exchanges among universities to mutually learn from each other--- sending administrators to learn and practice on their counterpart's campuses. Increasing training abroad opportunities to allow Chinese university administrators to learn and practice in foreign universities is another efficient way [IN601-602, 631-633]. Increasing international exchanges of higher education administration experiences through various academic conferences is also a very useful way to learn from foreign universities and their leaders. The first and the second Chinese-foreign University President Forums are good examples [IN1462].

One respondent suggested improving leadership through a diagnosing evaluation--a professional consultant interviewing leaders individually and helping them analyze their

strengths and weaknesses in leadership. He thought that the best way to improve leadership competency is to bring in experts [IN773].

Some respondents suggested that administrator training also should increase opportunity and time of internship, including sending trainees to different governmental branches and universities for practical learnings [IN1291]. One respondent even suggested that the NAEA should change its training method and set up lecture circuits in universities to actively serve administrators' training [IN905].

CHAPTER V

CONCLUSION, IMPLICATIONS, AND RECOMMENDATIONS

The previous chapters include the introduction, statement of the problem, purpose of the study, significance of the study, the literature review, methodology and procedures used in the study, and the presentation of the data and findings answering each research question. This chapter includes a summary of the study, conclusions drawn from the results, and a discussion of the implications of the results. Recommendations for further studies close this chapter.

Summary

The study is based on the perceptions, opinions, and interpretations of Chinese MOE-directed university administrators regarding the kind of institutional challenges confronting their institutions and how their institutions currently function, how their own roles have been affected by the changing situations, and consequently, what competencies universities leaders will need in the near future. Special emphases are placed on the differences that exist in the challenges facing Chinese MOE-directed universities located in different geographical, cultural and economical contexts, and the differences among the perceptions of current university leaders, aspiring leaders, and retired university leaders regarding institutional challenges and leadership competencies.

Historical, political, economic, cultural, demographic and geographic conditions in society and the environment always influence education and its organization. On the other hand, education, especially higher education, affects the development of politics,

economy, technology, and culture. Research about the environments of those institutions could provide a better understanding of those institutions and their leaders. Thus in Chapter II, an extensive description of the Chinese higher education context was given to help understand the environment of the selected institutions and their administrators.

The sample consisted of twenty-two administrators from ten Chinese MOE-directed universities selected via a purposive sample. The purposive sample of institutions was determined by several criteria: geographic location; extent that the university was involved in structural reform, institutional autonomy, 211 Project and 985 Project, and enrollment expansion reform; and accessibility to the researcher. Another natural setting relevant to the purposive sampling is National Academy of Educational Administration (NAEA) of China. NAEA, under the direct jurisdiction of the MOE, serves as a unique institution in China that provides training for educational administrators nationwide. All sampled administrators were trainees of NAEA. This purposive sampling made the researcher more convenient and accessible to enter into the selected settings. Also the respondents were able to more meaningfully and purposefully express their opinions about the kind of competencies they need and how to obtain them through training. This information could be used to help improve NAEA training programs.

The purposive sampling for respondents was determined by their job positions and working status, including three groups: university leaders, aspiring leaders, and retired university leaders. The purpose of this sampling was to see whether senior and middle level administrators and retired senior administrators from the 10 selected institutions exhibited any difference in perceptions regarding institutional challenges and leadership

competencies. There were 22 respondents consisting of three groups: 6 university leaders, 6 retired university leaders and 10 aspiring leaders. Respondents from these 10 MOE-directed universities were interviewed and asked to suggest other potential respondents, thus creating a "snowball" sampling to identify other participants.

Intensive interviews and observations were used to gather information from these 22 Chinese MOE-directed university administrators. The human instrument was primarily used in this study for data collection purposes. In this study, the researcher was the principal data collection instrument. The data were collected via the use of unstructured interviews. An interview protocol was used to guide interviewing, which was expanded and revised as the research progressed. Observation of administrative activities during site visits, documents and analyses, and broad discussion on the research topic are all activities that helped the researcher to develop a rich database.

In addition to the interview guide, a small questionnaire was used to collect demographic information about the interviewees: job status, years of work experience, education, years in higher education administration, professional rank, major, final degree, sex and age. The questionnaire was also used to collect information about selected universities. The respondents identified the extent that universities were involved in higher education reforms, including changes of university supervision, operation by the central government or by both central and local governments, merging with other institutions or being merged into other institutions, entering or not-entering 211 Project and 985 Project, and amount of enrollment expansion between 1998 and 2004.

Data were analyzed using the content analysis method, which includes unitizing data, categorization, and identifying patterns (Lincoln & Guba, 1985). In order to maintain the confidentiality of the study, names of individuals and institutions were removed from the analysis. As a result of analyses of the data, the researcher identified themes and categories. These offered answers to the research questions and suggestions for future studies.

Conclusion

Research Question One

What are the main challenges facing Chinese MOE-directed universities in implementing the Action Scheme for Invigorating Education Towards the 21st Century as perceived by selected Chinese university administrators?

In this study, eight kinds of challenges that Chinese MOE-directed universities face in implementing the *Action Scheme for Invigorating Education Towards the 21st Century* have been identified by selected Chinese university administrators. These challenges have been categorized by the researcher as: challenges from institutional external environment, challenges from institutional mergers reform, challenges from enrollment enlargement reform, challenges from 211 and 985 projects, challenges from institutional autonomy reform, challenges from institutional history and culture, challenges from institutional internal environment, and challenges from the university leadership system.

Challenges from institutional external environment include the opportunities and

difficulties that social changes have brought to the selected MOE-directed universities. The main opportunities are: 1) more investment in higher education from governments and society, and 2) the public places more emphasis on the importance of higher education. However, as the society becomes more open, universities are facing increasing domestic and international competition.

Challenges from institutional mergers reform include the opportunities and difficulties that the institutional mergers reform has brought to the selected MOE-directed universities. The main opportunities are: the reform is helpful to 1) redress the old model and integrate dispersed education resources to generate greater efficiency; 2) increase the number of university disciplines, make the university more comprehensive and strengthen their academic fields, 3) satisfy the requirement from the scientific and technological development trend to create more cross-disciplines and generate comprehensive knowledge, and 4) increase land resources to expand education space.

However, the reform also caused many difficulties. The main difficulties are: 1) the reform conflicts with the higher education enrollment enlargement reform, 2) how to fuse different cultures and traditions without one culture dominating and the other one being lost, 3) merging institutions with different educational models may cause many problems in teaching and research for faculty and students, 4) the huge size of an institution makes administration difficult and inefficient, 5) how to create a comprehensive and cultural environment for students with so many dispersed campuses, 6) how to deal with various personnel problems and avoid resource waste and financial

waste, 7) how to reform the current administration system and delegate more autonomy to colleges and departments.

Challenges from enrollment enlargement reform include the opportunities and difficulties that the enrollment enlargement reform has brought to the selected MOE-directed universities. It is helpful 1) to improve quality of labor and develop human resources, 2) to stimulate economy and satisfy social needs, 3) to increase higher education institutions' financial resources. However, this reform also has some potential negative results and problems identified by the respondents: 1) how to assure student quality and how to improve teaching quality, 2) how to get enough qualified faculty to teach and how to train young faculty, 3) how to deal with crowded housing spaces and classroom spaces, 4) how to administer a more diverse and nontraditional student body, and 5) how to solve the growing pressure on graduate employment.

Challenges from 211 and 985 Projects include the opportunities and difficulties that these projects have brought to the selected MOE-directed universities. These projects may help to 1) improve the university's financial situation, 2) strengthen university research and service capacity, 3) improve employee salary and benefits, 4) improve university facilities and infrastructure, and 5) strengthen national competitive capacity in the future. However, there are some difficulties related to the 211 and 985 Projects: 1) these projects did not set up an efficient post-evaluation system to guarantee the expected results of these projects, 2) those universities not entering 211 and 985 Project will face austere challenges and difficulties with much more pressure and competition.

Challenges from Institutional Autonomy Reform include the difficulties that this

reform has brought to the selected MOE-directed universities. The difficulties are: 1) MOE controls too much, it is impossible for a university to run by itself; 2) the MOE-directed university leader appointment system hinders the operation of institutional autonomy; 3) the MOE evaluation system brings too much pressure on a university, and 4) its simple criteria brings unfair treatment to different higher education institutions and makes Chinese higher education institutional diversity more difficult.

Challenges from Institutional History and Cultures include the opportunities and difficulties that institutional history and culture have brought to the selected MOE-directed universities. Most respondents viewed their university's long history, well-known academic reputation, and traditional culture as important advantages for institutional development. Some also analyzed the negative side of their cultures, such as being too conservative for higher education innovations and reforms, lack of ambition and vision, and a lack of competitive spirit and sensitivity to marketing.

Challenges from Internal Environment of University include threats of university development coming from inside rather than from outside for the selected MOE-directed universities. These threats are 1) how to achieve a common understanding of university developmental goals and strategies among people along with overall expansion of the university; 2) how to stimulate university people and change their conservative perceptions to fit higher expectation of the society; 3) how to reform the university's linear administrative system to match a modern university's mission and function to fit a modern university's demand.

Challenges from University Leadership Systems include the challenges that university leadership systems have brought to the selected MOE-directed universities. The challenges are: 1) how to make a clear distinction between the president's and the CCPU secretary's responsibility and position authority and how to maintain a harmonious situation in the university leadership team, 2) how to improve the leader appointment system and efficiently choose suitable leaders for the university; 3) how to balance university leaders' dual roles in academic and executive affairs; 4) how university leaders avoid being excessively involved in excessive day-to-day matters and have time to think about the university developmental strategy; 5) how university leaders reduce their strong personal influences for a university administration.

In a summary, many of these challenges identified by the respondents are consistent with what the researcher mentioned in the literature review. Howard Davies (2004) pointed out that universities in different countries, with different histories and different profiles, are likely to face different challenges. However, the overall market for higher education is growing very rapidly, both globally and in almost every individual country. The competitive environment within which universities operate is also intensifying. The market for students and the market for staff and the mobility of both is growing. The growth in the overall market has created space for institutions to specialize and differentiate themselves on a variety of different dimensions. The net result of these changes is that universities now operate in a much more dynamically competitive environment.

Comparing these eight challenges identified by the respondents and the challenges

identified in the literature, we can see that Chinese MOE-directed universities are in a similar situation as their international counterparts. These changes are inevitable, requiring sensitivity, judgment, balance and the continued attention of university leaders (Johnstone, 2002). However, Chinese MOE-directed universities are also facing their own special challenges in historically, politically, economically, demographically, and culturally unique environments. Bruce Johnstone (2002) observed six special challenges that Chinese higher education has to confront in the immediate future: continuing and digesting or making complete the university mergers; reconciling the two systems of the central Ministry of Education and the provincial institutions of higher education; more forthrightly acknowledging the natural tendency of universities everywhere to perpetuate, and even to widen, those inequalities based on the circumstances of birth; divesting the strictly non-academic parts of the "university city"; accepting and furthering the greatly increased mobility of professors and students; providing options other than a top research university for the most academically able high school graduates. Many of these challenges have been identified by the respondents as well. Besides, the history and cultures of these MOE-directed universities and their unique leadership systems have also brought many challenges to these MOE-directed universities.

Research Question Two

How do the geographical differences between/among the Chinese MOE-directed universities influence the challenges facing these universities?

According to the respondents' reflections, the location of a university powerfully influences the university, positively or negatively. Being located in developed areas usually has a positive influence on a university. On the contrary, being located in undeveloped areas has a negative impact on a university.

Beijing is the political, cultural and information center of the country. A university located in Beijing has many advantages, such as recruiting excellent faculty and students, acquiring various policy information and resources, and sharing excellent academic environments with many top universities. However, because so many universities are located in Beijing, the local government cannot provide enough financial support for each university.

The eastern coastal city has a very good international environment and the most advanced economy and technology in the country. A university located in this city has many opportunities to collaborate with different countries in research programs so as to strengthen and improve the university's discipline development, and to create a good internship environment for its students and offer more opportunities for its faculty to conduct cooperative research with corporations. The city also provides strong financial support to these MOE-directed universities. However, the universities here cannot acquire policy information as quickly as those in Beijing and may have some disadvantages in applying for large research projects from the MOE or other central governmental ministries.

The east provincial capital is located along the lower reaches of the Yangzi River which is one of the most developed areas in China. The University located here can gain

rich financial resources to support its education and research program, and human resources to recruit excellent faculty and students. However, due to its dated perspective on higher education, the city government is less supportive of these MOE-directed universities.

A university located in the northeastern or northwestern area of the country may restrict a university's development because of low economic development and lack of financial and human resources. With poor financial budgets, local government cannot give any support to the MOE-directed universities.

In addition, the educational tradition and cultural beliefs of locals influence a higher education institution's development located there. Whether a university and its city can mutually benefit from each other greatly depends on the local governmental perspectives about higher education. If it sees the university as a potential resource, it will help to build a harmonious developmental relationship. In contrast, it can hinder a university's development. And last, if university leaders wisely make use of their location characteristics, they may change its disadvantages into advantages.

Research Question Three

What differences exist in perceptions of challenges facing Chinese MOE-directed universities in implementing the Action Scheme for Invigorating Education Towards the 21st Century among current university leaders, aspiring leaders, and retired university leaders?

Generally, the researcher didn't find very substantial differences in perceptions of these eight kinds of challenges facing Chinese MOE-directed universities in implementing the *Action Scheme for Invigorating Education Towards the 21st Century* among current university leaders, aspiring leaders, and retired university leaders. Especially there are no differences in *challenges from institutional external environment, challenges from institutional merges reform, challenges from institutional autonomy reform*, and *challenges from institutional internal environment* categories.

In the *challenges from enrollment enlargement reform* category, the aspiring leaders group gave more comments on the enrollment enlargement reform. This might mean that this group paid more attention to the reform than the other two groups. The researcher thinks these differences are due to the reform bringing many concrete challenges to university administration with which mostly middle level administrators have to deal. Thus they had stronger reflection on this reform than the other two groups.

In the *challenges from 211 and 985 projects* category, differences exist between the perceptions of administrators who came from the universities entering 211 and 985 projects and the university not entering these projects. The former cited positive effects of these two projects to university development; the latter worried that these projects put too much pressure on those universities that did not enter the 211 and 985 Projects.

In the *challenges from institutional history and culture* category, the retired university leaders paid more attention to institutional history and cultures, and emphasized the importance of a university's history and tradition. From these

differences, the researcher infers that age and people's historical background played a role in people's perceptions.

In the *challenges from university leadership system* category, there exist some differences in perceptions of the university leaders' dual roles and the influence of current university leaders among current university leaders, aspiring leaders, and retired university leaders.

In terms of the university leader's dual roles in academic career and executive affairs, the current university leaders group emphasized that university leadership is a team process. The aspiring leaders group focused on the negative effects of a university leader pursuing a personal academic career on their executive position. The retired leaders group paid more attention to the university leaders' individual development and future.

In terms of current leaders and their influences, the current university leaders group complained of being too busy playing numerous roles and being too tired of dealing with various MOE documents. The aspiring leaders focused on the current leaders' strong influences on a university. The retired leaders group worried about the chaos of the current higher education system and warned university leaders to be self-disciplined.

In summary, all these MOE-directed universities live in a similar policy environment; they are governed, funded and evaluated by the Ministry of Education. Although they have some differences due to different location and history and cultures, they have more similarities than differences. Administrators from these universities have been influenced by their similar environments, plus they all were trainees of NAEA

receiving similar training seminars. Thus, they did not show significant differences in their perceptions of institutional challenges among groups. However, due to their personal background such as different ages, historical background and working experiences, they showed some differences in their perceptions more individually than as a group.

Research Question Four

What leadership competencies are needed by higher education administrators to lead these universities in implementing the Action Scheme for Invigorating Education Towards the 21st Century as perceived by selected Chinese university administrators?

There are four categories of leadership competencies identified by the respondents: *personality and disposition, personal knowledge and skill, administrative competency,* and *social responsibility competency*.

The *personality and disposition* category includes 18 leadership competencies identified by 22 respondents: *devotion, enthusiasm, selflessness, benevolence, justness, tolerance, self-discipline, kindness, responsibility, determination, diligence, commitment, persistence, flexibility, charisma, openness, creativity,* and *initiative*. More than 10 respondents identified *kindness, responsibility, commitment, persistence, flexibility, devotion* and *creativity* as the important personality and dispositions of a university leader.

These identified personality and disposition qualities of a university leader have been mentioned in the research of many Chinese scholars. Wangping Zhu (1996) found

that Chinese university constituents used confidence, enthusiasm, commitment, openness, vision, reliability, knowledge, sincerity, determination, creativity, competence and sensitivity to describe their presidents. Kui (2002) and Wang (2002a) found that a university president should be the representative of social culture and social morals. Binggong Chen (2005) has an ideal pattern of an academic leader who should possess sincere concern, moral quality, strong will and a charming personality. All these research results demonstrate that a Chinese university leader must possess higher moral quality and strong willpower.

International perspectives also show their emphasis on a leader's personality. Colin Campbell (2002), Vice Chancellor of University of Nottingham, indicated that a university leader needs to be the moral leader in the academic community. Kouzes and Posner (2003) consider credibility and humility as the foundation of a leader's quality. Gonzalez (2004) found that future senior administrators in Mexican higher education institutions must be equipped with personal characteristics and skills such as flexibility, anxiety control, time management, adaptation, positive attitude to people, human-oriented, innovation, motivation, honesty, diplomacy, visioning, and entrepreneurship. This means that there are similar inclinations in the perceptions about a leader's personality and disposition internationally, such as moral requirement and good relationship with people. However, it appears that Chinese university leaders must be equipped with stronger willpower, such as justness, self-discipline, responsibility, determination, diligence, commitment and persistence.

The *personal knowledge and skill* category include 12 leadership competencies identified by 22 respondents: *a combination of Chinese and western culture, profound knowledge background, knowledge about social reality, knowledge of international higher education theory and practice, international experiences and background, higher academic reputation and achievement, academic discernment, familiarity about university, social skills, continuous learning ability, English language skills,* and *critical thinking skills*. More than 10 respondents identified *higher academic reputation and achievement*, *familiarity about university*, and *social skills* as important personal knowledge and skills that a university leader should have.

In the literature review, Kui (2002) and Wang (2002a) thought a university leader should be a model with excellent academic, instructional, administrative and moral qualities. Wangping Zhu (1996) also emphasized that knowledge and diplomacy are very important competencies of a university leader. Yifang Kui (2002) and Binggong Chen (2005) thought as an educationalist, a university leader should be equipped with profound educational knowledge and theories. Jingsong Lan (2004) suggested that a Chinese research university president should have multiple-disciplines knowledge, a liberal arts and social science academic background, a PhD degree and international experiences. Richard C. Levin (2004) pointed out "An outstanding leader should recognize and acknowledge the deficiencies of his institution and be willing to borrow and adapt superior practices employed by others". Larry R. Faulkner (2004) emphasized that the university leadership must be well engaged with the business and political leadership of the region and all must be interested in fostering economic development.

University leaders must maintain a good personal relationship with local political leaders and business and industry leaders.

From domestic and international experiences, and also from this study's perceptions of respondents, a university leader is expected to maintain a higher academic reputation, profound knowledge with multiple-disciplines, and rich international experiences. Masterly social skills are also very important qualities for a university leader to communicate with internal and external peoples.

The *administrative competency* category includes 16 leadership competencies identified by 22 respondents: *vision, setting ambitious and achievable goals, holistic mastery, discernment, collecting and processing information*，*strategic decision-making, leading, organizing, coordinating, evaluating and supervising, motivating, communicating, staffing, reconstructing new institutions, resource-raising,* and *marketing*. More than 20 respondents identified *vision, setting ambitious and achievable goals*, and *strategic decision-making* as the important administrative competencies that a university leader should have. More than 14 respondents identified *holistic mastery, discernment, leading, organizing, coordinating, motivating, communicating*, and *staffing* as the important administrative competencies that a university leader should have.

In the literature review, Wangping Zhu (1996) found that Chinese university constituents chose decisiveness, control, team building, implementation, vision, goal setting, risk-taking, service, and cooperation to describe their presidential leadership style. They considered vision, decisiveness, democracy, goal-setting, leading and management as the most important leadership style for a university president. Richard C.

Levin (2004) pointed out that a university leader should have vision, communication, goal-setting, risk-taking, staffing, democratic administration, and aligning incentives. Elsa M. G. Y. Gonzalez (2004) found that future senior administrators in Mexican higher education institutions must be equipped with administrative competencies such as decision-making, delegation, exploring alternatives, financial and administrative competencies, teamwork, communication, visioning, planning, negotiating, conflict resolution, evaluation, knowledge management, networking, marketing project management, and response capacity. The leadership competencies identified in this study are consistent with what is mentioned in the literature.

The *social responsibility competency* category includes 7 leadership competencies identified by 22 respondents: *political sensitivity and firmness, implementing the national educational policy, accomplishing university mission, public figure, service sense, sense of opportunity,* and *sense of competition*. Ten respondents identified *political sensitivity* and *firmness* as the important administrative competencies that a university leader should have. Seven respondents identified *service sense* and *sense of opportunity* as the important administrative competencies that a university leader should have. Six respondents and 5 respondents identified *implementing the national educational policy* and *sense of competition* as the important administrative competencies that a university leader should have.

In the literature, Yifang Kui (2002) emphasized that a university leader should master political knowledge and have a strong political sensitivity. The social responsibility competency category of the study also shows that respondents emphasized

the political role of a university leader. These results are different from what Gonzalez (2004) found in her study that future senior administrators in Mexican higher education institutions must have developed competencies of social responsibility such as social commitment, sensitivity to cultural diversity, analysis of demands, and knowledge of economic situation. Thus, this social responsibility competency category demonstrates the uniqueness of the Chinese university leader who has to take very strong political responsibility.

In summary, from the 22 respondents' identified leadership competencies and the literature review, university leaders are required to possess many competencies and skills in order to play many roles. Presently, a Chinese university president is not only a university leader, a governmental official, an administrator, but also a researcher, a teacher, and even a parent. He has to play many often times incompatible roles at the same time that have negative effects on his primary role as a university president (Wu, 2004). Gerhard Casper (2002), President Emeritus of Stanford University, also indicated that a university president in the western culture has nine jobs including: a university president; a special CEO, a keeper of a vision, a trustee, a fundraiser, an educator, a scholar, a public figure, and a social worker. It is almost impossible to accomplish all these jobs. A university president needs a very efficient authority delegation system to support him/her, and a trustworthy team in the top level to help him/her. Some Chinese scholars also suggested the professionalization of a university president position (Wu, 2004; Zhang, 2004; Li&Xie, 2004). It is the trend that university leaders today need to possess more leadership competencies than their predecessors.

Research Question Five

What differences exist in perceptions of institutional leadership competencies in implementing the Action Scheme for Invigorating Education Towards the 21st Century among current university leaders, aspiring leaders, and retired university leaders?

The researcher answered this question by following the leadership competency category of *research question four.*

In terms of the *personality and disposition* category, there are no substantial differences in this theme among the perceptions of the three groups. The retired leaders group focused much more on *selflessness, diligence, responsibility,* and *commitment*. The aspiring leaders group paid attention to *charisma* of a leader. This situation can be understood from different historical background of these groups.

In terms of the *personal knowledge and skills* category, there are some differences in the perceptions of the three groups. Only the aspiring leaders group paid attention to *knowledge of international higher education theory and practice*, and *international experiences and background*. This may be attributed to their international experiences and more open perspectives. The aspiring leaders also paid more attention to the *social skills* of a university leader than did the current leaders and the retired leaders.

In terms of the *administrative competency* category, there are no substantial differences in this theme among the perceptions of three groups. All three respondent groups paid great attention to administrative competencies of a university leader, especially *vision, goal-setting*, and *strategic decision-making*. This situation is totally different from twenty years ago when university leaders just needed to follow orders

from above. However, among these three groups, the aspiring leaders paid more attention to *motivating* and *resource-raising*. The aspiring leaders also emphasized that university leaders should wisely use their university reputation and various social relationships to raise resources for university development.

In terms of the *social responsibility competency* category, there are some differences in this theme among the perceptions of the three groups. The current leaders group and the retired leaders group paid more attention to *political sensitivity* and *firmness*, while the aspiring group paid more attention to *service sense* and *sense of competition*. The retired leaders group paid some attention to *implementing the national educational policy*.

In summary, it is not surprising that administrators from these universities did not show substantial differences in their perceptions of leadership competency because members of all the groups live in a similar policy environment. However, due to their personal background such as different ages, historical background and working experiences, they actually showed some differences in their perceptions as individuals rather than as a group.

Additional Results-- Higher Education Administrator Training

There are five topics in this theme: training and practice, necessity of training, evaluation of the current training, suggestions about training contents, and suggestions about training methods.

Most respondents emphasized the importance of practice and experience in

improving leadership competency. However, many respondents also noticed the necessity of training. As university organization becomes more and more complicated, it is necessary for them to be equipped with administrative knowledge and skills.

A systematic training program is very necessary. But most of them are dissatisfied with the current training programs. They thought that the training model was too old, the training method was too dated and too simple, and the training contents were too obsolete and dominated by book knowledge.

Many respondents suggested that administrator training should enhance administrative knowledge and skills training and imitate the MBA program to set up new training programs. Many respondents suggested enhancing administrator training through exchange programs to let administrators learn and practice on their counterpart's campus, abroad training programs to let administrators learn and practice in foreign universities, and internship training to let administrators enter governmental branches.

In summary, university administrator training is absolutely necessary. However, the current training programs do not meet the demands, more needs to be done to improve the training programs through renewing training content and methods.

Implications

This study has implications for Chinese higher education development and the professional development of higher education administrators. It yields information that may be used in a variety of ways.

Implications for Chinese Higher Education Policy Maker

The findings of this research may help policy makers obtain feedback from practical administrators' perspectives regarding the influences of the *Action Scheme* reforms on MOE-directed universities' administration. The findings may also aid in improving the future policy-making capacity.

In this study, the respondents frankly and openly discussed and evaluated many higher education reforms and systems guided and constituted by the Ministry of Education and the Central Government, such as structural reform, institutional mergers reform, enrollment enlargement reform, institutional autonomy reform, 211 and 985 Projects, university leader appointment system, and university evaluation system, etc. From these practical administrators' evaluations, the policy makers could determine whether the reform policies and the systems fit the reality of higher education and meet the demands of current higher education development.

Implications for MOE-directed University Administrators

The findings of this research may help MOE-directed university administrators to recognize institutional challenges facing them and clarify the kinds of leadership competencies they need to develop. This may further assist them to become capable of dealing with institutional challenges.

In the study, respondents discussed broader aspects of the Chinese higher education system and its environment from past to present, from internal environment to external environment, from university administration to the central government policy based

upon their personal experiences and perceptions. As an individual respondent reads the study, he/she will benefit from the opportunity to learn of other respondents' perceptions on the same issues. The respondent will expand and enrich his/her viewpoint from the other respondents' experiences, so as to further understand the situation in which he/she lives and the leadership competency that he/she needs to develop. The same function could occur for all MOE-directed university administrators, for all these MOE-directed universities operate in a similar policy environment. The 22 respondents' perceptions and experiences could be well understood by all administrators from these MOE-directed universities.

The comparison of perceptions among current university leaders, aspiring leaders and retired leaders regarding institutional challenges and leadership competencies may help university administrators understand multiple, constructed and holistic realities (Lincoln & Guba, 1985, p.37) of institutional challenges and leadership competencies through multiple perspectives of past leaders' lessons, current leaders' experiences, and future leaders' visions.

Implications for Chinese University Leaders and Administrators

Although the study is about MOE-directed universities and their administrators, it is still meaningful for those higher education institutions directed by other governmental organizations. These MOE-directed higher education institutions play the most important role in the Chinese higher education system. They are at the forefront of higher education reform. From their experiences, other Chinese higher institutions could learn

some indirect lessons and prepare well for their own future.

Implications for NAEA Trainers

First the findings of this research about institutional challenges and leadership competencies may help the NAEA recognize and understand the real situations their trainees are facing and the kind of leadership competencies that a university leader should have. This may aid in the design of purposeful training programs in the future.

Second, the findings of this study about the current training programs may help the NAEA identify areas where training needs to be improved and how to improve training programs so as to build up its training programs for future trainees.

Implications for Chinese Higher Education Researchers

There has been no study on the influences of various higher education reforms on university internal administration and their leadership competencies through the administrator's perceptions in China. This research is considered as a basic study in Chinese higher education leadership research. The findings of the research will provide very important references for future studies of higher education policy analysis and leadership research. For instance, the researcher can use these study results to develop new questionnaires or revise current questionnaires for further Chinese higher education leadership research.

Implications for International Understanding about Chinese Higher Education

The study is also useful for the researchers and higher education administrators outside China if they want to understand the current Chinese higher education situation. At least, they can gain some information from these MOE-directed university administrators' perceptions and experiences. They also can understand the Chinese higher education system through the historical, political, economical, cultural and demographical reviews of the study.

Recommendations

The following are recommendations resulting from the study.

Recommendations for the MOE and the Policy Makers

1. Stop the institutional mergers reform, especially for those famous and large-size research universities.

2. Build up an efficient post-evaluation system to continuously supervise and evaluate effects and results of governmental large investment programs.

3. Increase financial support and policy support to strengthen the western universities' capacity to serve regional economic development and social development.

4. Maintain a stable and loose policy environment for universities, and give universities enough time to digest the various reforms' results.

5. Delegate more institutional autonomy to universities, letting the university manage its internal administration.

6. Reform the university leader appointment system, recruiting university leaders internationally, giving the university more authority to choose its leaders, and giving faulty more opportunity to choose their leaders.

7. Set up a rational personnel structure of university leadership team and building up a rational university leader retirement system so as to guarantee full-time devotion to executive work without worrying about their academic career.

8. Reform the current university evaluation system, setting up a macro policy and connecting the evaluation result with certain policies.

9. Strengthen diversity of higher education institutions with different administration and investment policies and different evaluation criteria, guiding and administering universities and colleges under the classification and delaminating principles.

Recommendations for MOE-directed University Leaders and Administrators

1. University leaders should cultivate a strong sense of competition, crisis, opportunity and service to deal with this rapidly changing external environment.

2. While dealing with institutional mergers reform, university leaders should carefully fuse different cultures and traditions together without one culture dominating and annihilating another.

3. While dealing with enrollment enlargement reform, university leaders should set up special policies to ensure education quality, strengthen young faculty training, and reform the student affairs administration system to meet the new demands of a changed student body.

4. University leaders should efficiently and responsibly use 211 and 985 Projects investment and actively set up an internal evaluation system to continuously supervise the investment effects and results.

5. University leaders should keep a clear mind to discern the whole situation, recognize and acknowledge the deficiencies of the institution and be willing to borrow and adapt superior practices employed by others.

6. University leaders should initiate new administration systems to match modern university mission and function.

7. University leaders should have very strong communication and cooperation skills to strengthen solidarity of the leadership team.

8. University leaders should wisely balance their executive responsibility and academic career, and reduce the negative influences of their academic career on their executive responsibility.

9. University leaders should consistently build up a stable administration system to reduce individual influences on the university.

10. University leaders should balance academic power and administrative power in a university and let faculty's voices be more clearly heard.

11. University leaders should consciously improve their leadership competency, increase their administrative knowledge and sharpen their administrative skills.

Recommendations for NAEA

1. NAEA should strengthen its higher education research capacity and fully understand

the situations that their current and future trainees are going to face, and design suitable training programs to meet their demands.

2. NAEA should increase administrative knowledge and skills training and other practical knowledge and skills training in their training program content to meet trainee's new demands.

3. NAEA should set up various training models to meet different demands.

4. NAEA should reform its training methods, and make the learning process more efficient.

Recommendation for Future Research

1. Chinese higher education is undergoing a period of transformation. Thus new institutional challenges and leadership competencies continue to occur. This study captured only a small part of this transformation. Therefore, this kind of study should be continued.

2. This study is based on the perceptions of 22 administrators from 10 MOE-directed universities. However, university constituents consist of administrators, faculty, staff, students and their parents, even governments and society. If we want to get a complete picture, we should also research the perceptions of these groups.

3. This study focuses on MOE-directed universities, from which we can see a small part of the Chinese higher education system. The researcher suggests conducting similar research in provincial and local universities and colleges to identify differences and similarities in these different higher education institution groups.

4. In the research process, the researcher feels that the best way to understand a unique situation of a university and its administrators is to conduct a case study with intensive interviews and observations on the site. In this case, choosing two or three universities is enough for a researcher to handle.

5. Using a second language to write a naturalistic inquiry research report based on the motherland language is a great challenge for the researcher. When you translate every sentence, you feel so guilty, because you lose much information, which can only be expressed and understood with one's own language and cultural tacit knowledge. So be careful and prepare well, if you want to choose the way the researcher did.

6. While doing a comparative research about leadership, or like the researcher, doing a study about Chinese universities and their leaders but writing in the English language, you always feel that you are not only doing research about leadership, but also about culture, tradition and history. Leadership always contains and reflects cultural and traditional factors behind it. Thus, do not ignore culture while you do research about leadership.

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APPENDIX A

INTERVIEW PARTICIPANT CONSENT FORM

Project: Dissertation Research

Topic: Institutional Challenges and Leadership Competencies in Chinese Ministry of Education Directed Universities in Implementing the 1999 Chinese *Action Scheme for Invigorating Education Towards the 21st Century*

Researcher: Xiaobo Yang, Doctoral Candidate, Educational Administration & Human Resource Department, Texas A&M University

I have participated as an interview respondent in a research project. The purpose of the research is to determine the most significant challenges facing Chinese MOE directed universities in implementing the 1999 *Action Scheme for Invigorating Education towards the 21st Century* by selected administrators of MOE directed universities and to identify institutional leadership competencies that leaders need to lead these universities in implementing the *Action Scheme*. I understand that I previously gave consent to Xiaobo Yang for data from my interview to be used to complete her dissertation.

I understand that this research study has been reviewed and approved by the Institutional Review Board-Human Subjects in Research, Texas A&M University. For Research-related problems or questions regarding subjects' rights, I can contact the Institutional Review Board through Dr. Michael W. Buckley, Director of Support services, Office of Vice President for Research at (979) 458-4067.

I also understand that I am now giving consent data from my interview to be used in paper(s) that will be submitted for presentation(s) and publication(s). All information about me in the study will continue to be confidential. My name will not be used in the study, although my department affiliation will. I understand that my involvement in this study has been voluntary, and that I can still withdraw from the study at any time without any repercussion or negative consequences.

I have read and understand the explanation provided to me. I have had all my questions answered to my satisfaction, and I voluntarily agree to participate in this study. I have been given a copy of this consent form.

Signature of respondent------------------------------------Date----------------------------

Xiaobo Yang, Ph.D. Student------------------------------Date----------------------------

U.S. Address: Educational Administration & Human Resource Development Department Texas A&M University, 4226 TAMU College Station, TX 77843-4226, Tel: 979-458-1094,

Email: xiaoboyang@hotmaii.com

Chinese Address: National Academy of Educational Administration, Beijing China. 102600 Daxing, Tel: 86-10-62860879.

APPENDIX B

访谈同意书

项目：*博士学位论文*

题目：*在 1999 年《面向 21 世纪教育振兴行动计划》实施以来，教育部所属高校面临的挑战及领导能力需求*

研究者：*杨晓波, 博士候选人, 美国德克萨斯 A&M 大学教育管理及人力资源开发系*

　　我以被访者的身份参加该研究项目。该研究的目的是为了明确在 1999 年《面向 21 世纪教育振兴行动计划》实施以来，教育部所属高校面临的挑战，以及高校领导者在应对这些挑战时所需要的能力。 我明白我已经同意杨晓波使用我的访谈资料来完成她的博士论文。

　　我明白该研究已获得德克萨斯 A&M 大学"以人为研究对象的科研项目评议会"的审议和通过。 有关被研究者的权利及相关问题，我可以通过该大学科研副校长办公室主任 Michael W. Buckley 博士的电话：(001-979) 458-4067 联系到"以人为研究对象的科研项目评议会"。

　　我也明白我已经同意杨晓波使用我的访谈资料参加会议、发表文章。在研究中涉及到我的地方都以匿名的形式出现，我的名字、我所在学校的名字都不会出现在该研究中。所有对我的访谈资料将被妥善保存于安全的地方，只有杨晓波本人能够接触和阅读这些资料。我有权利阅读和质疑根据对我的访谈资料整理出来的材料。我明白我是自愿加入该研究的，我可以在任何时间、不需经任何同意的情况下退出该研究，退出该研究不会给我带来任何负面影响。

　　我已经阅读和理解了以上解释，并满意对我提出的问题的解答，我自愿同意参加该项研究。我已得到了一份该同意书的复印件。

被访者签字---

日期---

访谈者签字---日期----------------------------------

访谈者美国地址： Educational Administration & Human Resource Development Department Texas A&M University, 4226 TAMU College Station, TX 77843-4226

Tel: 979-458-1094;

Email: xiaoboyang@hotmaii.com

访谈者中国地址: 北京大兴国家教育行政学院，102600
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APPENDIX C

INTERVIEW PROTOCOL

(drafted in July 2004)

Personal information

1. Please tell me something about yourself: (1) your current position; (2) your specific responsibilities in your current position.

2. How were you appointed for this position?

General information about the university

3. When you are asked to briefly describe your university, what do you say? Why? What do you think is really important around here? As (position) of the university, what do you concern most?

4. What are the major external and internal threats or opportunities to the success of the university? What are the strength and weakness of your university?

5. What do you think was the most important event or incident on campus during past five to ten years?

Institutional Challenges

6. What major changes have taken place in campus since Structural reform? How does it influence the university administration?

7. How do you comment the relationships between your university and the Ministry of Education, between your university and the local government?

8. What major changes have taken place in campus since Enrollment Expansion? How does it influence the university administration?

9. What major changes have taken place in campus since Enlargement of Institutional Autonomy? How does it influence the university administration?

10. What major changes have taken place in campus since Initiation of 211 Project and 985 Project? How do they influence the university administration?

Leadership competency

11. How do you define "leadership" by your own words?

12. How much has the university leadership been involve in bringing these changes on the campus?

13. How would you describe the important role and function of university leaders?

14. What kind of personal qualities and competencies are considered to be the most important ones to a university leadership according to your own opinion?

15. Can you identify some of the major qualities and competencies of your university leaders? What are they?

16. What kind of leadership positions are the most important on campus in your opinion?

17. How would you describe yourself as a leader?

18. What reasons make you a leader?

19. In what ways are your ideas about leadership different now than when you took office?

20. Over what areas of campus life do you have the most influence? The least influence?

21. What comments do you have on the professionalization of a university president position? How do you balance between your academic career and your administrative job?

22. How do you comment on the system of taking charge of university president under the leadership of Communist Party?

23. How do you consider the influence from geographical, cultural and economical context to a university administration?

24. How do you consider current administrator training programs? Do you have any suggestion to administrator's training?

APPENDIX D

INTERVIEW PROTOCOL

(drafted in December 23 2004)

Personal information

1. Please tell me something about yourself: (1) your current position; (2) your specific responsibilities in your current position.

2. How were you appointed for this position?

Institutional Leadership

3. How do you define "leadership" by your own words?

4. What kind of personal qualities and competencies are considered to be the most important ones to a university leadership according to your own opinion?

5. How do you consider a leader's influence to his university?

6. What comments do you have on the professionalization of a university president position? How do you balance between your academic career and your administrative job?

7. How do you comment on the system of taking charge of university president under the leadership of Communist Party?

Institutional Challenges

8. Please introduce your university's administration system.

9. What major changes have taken place in campus since Structural reform? How does it influence the university administration?

10. How do you comment the relationships between your university and the Ministry of

Education, between your university and the local government?

11. What major changes have taken place in campus since Enrollment Expansion? How does it influence the university administration?

12. What major changes have taken place in campus since Enlargement of Institutional Autonomy? How does it influence the university administration?

13. What major changes have taken place in campus since Initiation of 211 Project and 985 Project? How do they influence the university administration?

14. How do you consider the influence from geographical, cultural and economical context to a university administration?

Leadership competency

15. What kind of leadership positions are the most important on campus in your opinion?

16. What kind of leadership competencies do you think your university leaders should equip?

17. Can you identify some of the major qualities and competencies of your university leaders? What are they?

18. How much has the university leadership been involve in the university reform and development in recent decade

19. If you are your university leader, what kind of leadership competencies you should have? Through what way will you get these competencies?

20. How do you consider current administrator training programs? Do you have any suggestion to administrator's training?

APPENDIX E

访谈提纲

个人信息

1. 谈谈您自己：您的职位和职责。

2. 您是如何被聘为现职的？

学校信息:

3. 如果请您简要介绍您的学校时，您会说些什么？为什么这样说？

4. 您认为您学校的优势、劣势、机遇、威胁是些什么？

5. 在过去的五年中，您认为学校发生的最重大的事是什么？

学校面临的挑战：

6. 机构改革给您的学校带来了哪些变化？给学校管理工作带来什么影响？

7. 您如何看待学校与教育部的关系？与原部委的关系？与地方政府的关系？

8. 高校扩招给您的学校带来了哪些变化？给学校管理工作带来什么影响？

9. 增强高校自主权改革给您的学校带来了哪些变化？给学校管理工作带来什么影响？

10. 211 和 985 工程的启动给您的学校带来了哪些变化？给学校管理工作带来什么影响？

学校领导能力需求：

11. 您如何定义"领导"？

12. 您认为在学校近十年的改革变化中，领导发挥了多大的作用？

13. 您如何描述校领导（特别是校长）的功能和作用？

14. 在应对如上挑战时，您认为校级领导（特别是校长）应该具备些什么能力？

15. 请列出贵校校级领导干部的主要能力

16. 您认为贵校重要的领导职位有哪些？为什么？

17. 作为学校领导（如果您是校领导），您认为自己应该具备些什么能力？如何获得这些能力？

18. 您认为使您成为校领导的主要原因何在？

19. 现在您对"领导"的认识与您刚任该职位时有什么不同吗?为什么？

20. 您如何评价自己对学校的影响力？最大的影响力在哪方面？最小的影响力在哪方面？

21. 您如何看待校长职业化的问题？如何处理您的学术工作与职务工作的关系？

22 您如何看待党委领导下的校长负责制？

23 您如何看待学校所在地区及其经济、文化传统对学校发展的影响？对学校管理的影响？

24. 对于高校管理人员培训，您有什么建议？

APPENDIX F

访谈提纲

(2004-12-23 修改)

个人信息：

1、请结合您的学习和工作经历谈谈您是怎样成为管理者的？怎样学会管理的？

2、您是如何被聘为现职的？

学校领导：

3、您如何定义"领导"？

4、学校领导应该具备些什么能力？

5、您如何评价学校领导对学校的影响力？最大的影响力在哪方面？最小的影响力在哪方面？

6、您如何看待校长职业化的问题？如何处理校领导的学术工作与职务工作的关系？

7、您如何看待党委领导下的校长负责制？

学校面临的挑战

8、请介绍您学校的管理体制和领导机制

9、机构改革给您的学校带来了哪些变化？给学校管理工作带来什么影响？

10、您如何看待学校与教育部的关系？与原部委的关系？与地方政府的关系？

11、高校扩招给您的学校带来了哪些变化？给学校管理工作带来什么影响？

12、增强高校自主权改革给您的学校带来了哪些变化？给学校管理工作带来什么影响？

13、211 和 985 工程的启动给您的学校带来了哪些变化？给学校管理工作带来什么影响？

14、您如何看待学校所在地区及其经济、文化传统对学校发展的影响？对学校管理的影响？

学校领导能力需求：

15、您认为贵校重要的领导职位有哪些？为什么？

16、在应对如上挑战时，您认为贵校校级领导（特别是校长）应该具备些什么能力？

17、请列出贵校校级领导干部的主要能力

18、您认为在学校近十年的改革变化中，校领导发挥了多大的作用？

19、如果您是校领导，您会加强哪些方面的能力建设？通过什么途径来加强这种能力建设？

20、　　对于高校管理人员培训，您有什么建议？

APPENDIX G

QUESTIONNAIRE ABOUT INTERVIEWEE AND HIS/HER UNIVERSITY

2004-8-3

This questionnaire is to acquire some individual information about the intervewee and his/her university Your response should be based on the real situation of your university. You may be assured the confidentiality of your response will be protected through anonymous. Please fill your choice in *"------------ "*.

I、Personal Information

1、Your age is------years old.

⑴ 30-40； ⑵ 41-45； ⑶ 46-50； ⑷ 51-55； ⑸ above 55

2、Your sex is---------⑴ Male；   ⑵ Female

3、Your last educational degree-------⑴ Bachelor； ⑵ Master； ⑶ Ph.D；

4、Your major is------

⑴ science； ⑵ literature； ⑶ engineer； ⑷ agriculture； ⑸ medicine； ⑹ philosophy；⑺ economy； ⑻ law； ⑼ education； ⑽ management； ⑾ history；

⑿ other

5、Your professional rank is-----

⑴ assistant professor；⑵ associate professor；⑶ professor；⑷ no professional rank；

⑸ other

6、Your position is ------

（1）president；（2）Chairman of CP；（3）vice president；（4）vice chairman of CP；（5）dean of college；（6）chairman of CP in college level；（7）director of executive office；（8）director of CP office

8、Your service years in administration is------years

（1）5；（2）5-10；（3）11-20；（4）above 20

II、Your Institution Information

You can choose multiple choices in this section.

1、The supervision relation of your institution----- in recent decade.

（1）has not been changed；（2）has been changed.

It -----

（1）is under the supervision of MOE；（2）is under the supervision of other central ministries；（3）has been shifted from other central ministry to MOE；（4）has been shifted from central ministry to provincial government；（5）is under the supervision of provincial government；（6）is under the supervision of local government；（7）is under the supervision of a private organization；（8）other

2、In the structural reform, your institution-----

（1）has not merged with any institution；（2）has merged other institutions；（3）has been merged into other institution；（4）has co-built a new institution with other institutions；

（5）has cooperated with other institution in teaching and research；（6）has been co-built

by central and local government；

3、Your institution --------- ⑴ has entered 211Project；⑵ has not entered 211Project

4、Your institution ----------- ⑴ has entered 985 Project；⑵ has not entered 985 Project

5、In Enrollment Enlargement situation，comparing with 1998， from 1999 to 2004, your institution's undergraduate size-----；master graduate size-----；doctorate graduate size-----；other student size-----

⑴ has not enlarged；⑵ has enlarged 0.5 time；⑶ has enlarged 1 time；⑷ has enlarged 1.5 time；⑸ has enlarged more than 1.5 time.

6、Since the enact of Chinese Higher Education Law，your institutional autonomy has changed on_____：

⑴ appointment authority of university leaders；the extent of autonomy：①little；② average；③much

⑵appointment authority of middle level administrators；the extent of autonomy：① little；②average；③much

⑶appointment authority of staff；the extent of autonomy：①little；②average；③much

⑷appointment authority of professor；the extent of autonomy：①little；②average；③ much

⑸appointment authority of associate professor；the extent of autonomy：①little；② average；③much

⑹ placement authority of disciplines；the extent of autonomy：①little；②average；

③much

⑺ placement and adjustment of majors ；the extent of autonomy：①little；②average；

③much

⑻ student recruitment authority；the extent of autonomy：①little；②average；③much

⑼ placement and adjustment of curriculum；the extent of autonomy：①little；②

average；③much

APPENDIX H

关于被访谈者及其高校的信息的调查表

2004-8-3

这份调查表是为了了解您及您的学校的相关信息，以匿名形式填写，以保证保密性。恳请您协助我们完成这一项工作，认真填写调查问卷。*在填写调查问卷时，可以根据情况，选择多项答案，并把选项填入-------。*

一、个人相关信息

1、您的年龄------

⑴ 30-40 岁； ⑵ 41~45 岁； ⑶ 46-50 岁； ⑷ 51-55 岁； ⑸ 55 岁以上

2、您的性别---

⑴ 男； ⑵ 女

3、您的最后学历----

⑴ 学士； ⑵ 硕士； ⑶ 博士； ⑷ 博士后； ⑸ 其他

4、您的专业------

⑴ 理学； ⑵ 文学； ⑶ 工学； ⑷ 农学； ⑸ 医学； ⑹ 哲学；⑺ 经济学； ⑻ 法学； ⑼ 教育学； ⑽ 管理学； ⑾ 历史学； ⑿ 其他

5、您的职称-----

⑴ 讲师；⑵ 副教授/副研究员；⑶ 教授/研究员；⑷ 无专业职称；⑸ 其他

6、您的职务------

(1) 校长；(2) 党委书记；(3) 校级行政副职；(4) 校级党务副职；(5) 院系所行政领导；(6) 院系所党务领导；(7) 行政职能部门领导；(8) 党团工职能部门领导 ；(9) 离退休校级干部，原最后职务是------。

7、您参加工作年限-----

(1) 5-10 年； (2) 11-20 年； (3) 21-30 年 (4) 30 年以上

8、您从事高校管理工作年限---

(1) 5 年以下；(2) 5-10 年； (3) 11-20 年； (4) 20 年以上

9、您担任本职务的年限-----

(1) 刚上任；(2) 1-2 年； (3) 3-4 年；(4) 5 年以上

二、您所在高校的相关信息

2、您所在高校的行政隶属关系在最近 10 年-----，

(1) 没有发生变化； (2) 发生了变化

行政隶属关系是-----

(1) 教育部直属院校；(2) 其他部委所属院校;(3) 由其他部委属转为教育部属院校；

(4) 由部委所属转为省市属院校；(5) 省市属院校； (6)地市属院校； (7) 民办高校；

(8)其他

2、在高校共建、合并、合作、调整的改革中，您所在高校-----

(1) 没有与其他高校合并；(2) 合并了其他高校； (3)并入了其他高校；(4) 与其他高校合并并创建了新的高校；(5)与其他高校合作办学；(6)成为中央与地方政府共建高校；

3、您所在高校-----

(1) 进入 211 工程；(2) 没有进入 211 工程

4、您所在高校-----

(1) 进入 985 工程；(2) 没有进入 985 工程

5、在高校大扩招环境中，与 1998 年相比， 1999 年至 2004 年您所在高校年均在

校本科生规模-----

在校硕士生规模-----

在校博士生规模-----

在校其他学生规模-----

(1) 没有扩大；(2) 在校生规模扩大 0.5 倍；(3) 在校生规模扩大 1 倍；(4) 在校生规

模扩大 1.5 倍；(5) 在校生规模扩大 1.5 倍以上

6、自《高等教育法》颁布以来，您所在高校在--------------------方面增强了学校自主

权。

(1) 校级领导干部的人事任免权；自主程度：①一般；②中等；③较强

(2) 校内中层干部任免权；自主程度：①一般；②中等；③较强

(3) 教职工人事聘任权；自主程度：①一般；②中等；③较强

(4) 教授职称评审权；自主程度：①一般；②中等；③较强

(5)副教授职称评审权；自主程度：①一般；②中等；③较强

(6) 学科调整、设置权；自主程度：①一般；②中等；③较强

(7)专业调整、设置权；自主程度：①一般；②中等；③较强

(8) 招生自主权（录取标准、招生规模）；自主程度：①一般；②中等；③较强

(9) 教学计划制定权；自主程度：①一般；②中等；③较强

VITA

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Education
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Training and Development Certificate, Training and Development Certification Program at Texas A&M University, November 2003
M.Ed., Education, Peking University of China, September 1987—July 1990
B.A., History, Peking University of China, September 1983 - July 1987

Training, Teaching and Research Experience
Associate professor, National Academy of Educational Administration of China December 2004-August 2005
Research assistant of Educational Administration and Human Resource Department, Texas A&M University, 2001-May 2005
Lecturer, National Academy of Educational Administration, May 1993-September 2004
Assistant Professor, National Academy of Educational Administration, July 1990 --- April 1993
Trainee and Instructor, Ninth, Tenth, Eleventh, Twelfth, Twenty-fifth Training Seminars for Senior Leaders of Universities, NAEA, 1993-2004
Trainee and Instructor, Fourth, Fifth, Sixth, Eighth, Twenty-second Training Seminars for Middle-level Administrators of Universities, NAEA, 1993-2004
Trainee and Instructor, First, Eighth Training Seminars for Local District Educational Supervisors and County Educational Officers, NAEA, 1996, 2004
Trainee and Instructor, Training Seminars for Deans of Education College, NAEA, 1990-1993