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A Critique of the Tertiary Education Advisory Commission's Policies on University Education in New Zealand from a Stakeholder Theory Perspective

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The importance of tertiary education to individuals and to society is widely recognised, not only in New Zealand, but in most other countries. Major changes have been initiated by governments worldwide that have identified tertiary education as valuable in promoting the economic, social, and cultural goals of the 21st century (Arts & Tatenhove, 2004; Berkowitz, 2006; 2000a; Nelson, 2002; UNESCO, 1998). The fundamental intentions of the Tertiary Education Advisory Commission's (TEAC) policies are to link tertiary education's roles and responsibilities to these goals using a stakeholder-based policy development process. This research critiques TEAC's policies from a university academic staff perspective, investigating how well the policies were articulated, implemented and executed.

Taking a case study approach, the researcher interviewed academic staff (n=60), and analysed their answers to quantitative and qualitative questions using content analysis and a stakeholder theory perspective. The quantitative findings indicated general agreement amongst the participants with the policy intentions, while the qualitative responses identified a misalignment between the values and priorities of government and academic staff.

It is clear from this study that there are significant discrepancies between the policy makers and academic staff about the meaning of key concepts used in the policies. From the academic staff perspective this is largely due to inadequate consultation between

TEAC and their stakeholders, particularly at the policy formation stage of the process. Critical Discourse Analysis (CDA) applied to TEAC's policy documenation supported the academic staff perspective. These findings should guide policy makers to articulate clear intentions, which is necessary for constructive implementation and execution of policy. For TEAC's policies to be consequential they needed to promote active involvement from key stakeholders.

This research provides evidence of a gap between TEAC's policy intentions and the outcomes achieved. Further research would enable the improved use of stakeholder concepts. This would be beneficial for implementing future government policy to ensure that consultation with the key stakeholders occurs when policy is being developed, leading to effective changes and improved policy.

While stakeholder theory provides a rational means for understanding the policy process, its present form and application is limited in regard to stakeholder identification and prioritisation. Furthermore, critical discourse analysis needs to be applied from the start of the policy generation stage to ensure that the language used does not pose a barrier to meaningful stakeholder partipation. Academic staff were given the opportunity to engage in TEAC's process, however they consider their input has been largely ignored.

Keywords: Academic Staff Perspective, University Education, Policy, Stakeholder Theory, New Zealand, University and Stakeholders

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This thesis is affectionately dedicated to Renzy and Dad who taught me to never give up, I love you both.

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Abbreviations and Acronyms

AUS   Association of University Staff of New Zealand

MoE   Ministry of Education

NZ   New Zealand

NZQA   New Zealand Qualifications Authority

OECD   Organisation for Economic Co-operation and Development

STEP   Statement of Tertiary Education Priorities

TE   Tertiary Education

TEAC   Tertiary Education Advisory Commission

TEC   Tertiary Education Commission

TEI   Tertiary Education Institution

TEP   Tertiary Education Policy

TES   Tertiary Education Strategy

Chapter 1

Introduction

1.1 International and National Trends in Higher Education

The importance of higher education to individuals and to society is widely recognised, not only in New Zealand, but in most other countries. In 1967, Sir George Pickering, prominent scientist and physician (Pickering, 1967) who wrote *The Challenge to Education* argued that education was the most important problem facing the world. His view was that it was an instrument fashioned by society to mould the next generation.

Major changes have been initiated by governments worldwide that have identified university education to promote economic, social and cultural developmental goals in the 21st century (Arts & Tatenhove, 2004; Berkowitz, 2006; 2000a; Nelson, 2002; UNESCO, 1998). One such example of this is the Australian report, *Higher Education at the Crossroads* (Ministry of Education, 2002a), that identifies the purpose of a university education as enabling students to contribute to the fulfilment of human and societal potential, and the advancement of knowledge, as well as contributing to social and economic progress. Universities serve society by producing citizens who are able to develop inside and outside the world of work, who will make a positive contribution to the welfare of others, and who lead productive and fulfilling lives (Clothey, 2011; Poropat, 2011; Wood, 2012).

The New Zealand Government's aim is to ensure that universities respond to national goals and adopt specific policies and objectives by placing increasing demands and expectations on those responsible for providing and delivering tertiary education (Patterson, 2001). Part of these increasing demands are that universities be answerable to multiple stakeholder groups (Ashcroft, 2003). With the Government's own national goals being imposed on academic staff, those staff are feeling increased pressure to comply with the government's prescription for New Zealand's tertiary education sector. At the same time they feel the need to respect the university's academic values and duties towards other stakeholders (Benneworth & Jongbloed, 2010). It is clear from their writings that academics are concerned about the changing roles and functions of New Zealand universities (Kelsey, 2001, 2002; Olssen, 2002; Robotham, 1999).

The reforms of New Zealand's tertiary education sector can only be fully understood by appreciating the context of both national trends in the New Zealand economy and, more generally, international trends in the provision of tertiary education (Abbott, 2004). Changes in New Zealand universities need to be understood in relation to the wider shifts in economic and social policy introduced from 1984 (Peters, 2001; Peters & Roberts, 1999).

Knowledge is needed about the nature of social problems, what interventions appear to address these problems, how potentially effective interventions can be implemented, and who needs to be involved in this process (Nutley, 2003). Divergent concepts coexist, such as strengthened bureaucracy, and power and control, alongside legislative protection of academic freedom and institutional autonomy. Nutley (2003) argues that the current state of research-based knowledge is insufficient to inform many of these areas of policy and more specifically, McLaughlin (2003) observed the need to improve research and evaluation methods in the tertiary education sector.

1.2   A Brief History of Higher Education

The beginnings of the oldest universities are obscure (Haskins, 1940; Patterson, 1989), with universities beginning as public institutions serving public purposes (Macintyre & Marginson, 2000). The university is a complex organisation, evolving over centuries to serve people in numerous ways based upon traditional values (Duderstadt, 2003; Nidiffer & Cain, 2004; Patterson, 1997; Pelikan, 1992; Perkins, 1973), and may be one of the most thoroughly theorised and self-reflective of modern institutions (Meyer, 2002). Universities are unique in the way they combine basic missions and the advancement of scholarly exploration (Perkins, 1973).

The earliest universities were products of the middle ages; the Greeks and Romans had no universities in the sense in which the word is used today (Patterson, 1997). It was only heading into the twelfth century where centres of learning such as Bologna (1088), Paris (1150), Oxford (1167) and Cambridge (1209) were founded, and qualifications emerged in the world of organised education with which we are most familiar. It was not until the beginning of the sixteenth century that the general structure of the university as a teaching institution was established (Patterson, 1989).

Throughout the period of its origins, the medieval university had no libraries or peer support programmes. There were no Vice Chancellors and certainly no such thing as an Alumni – except as far as the university itself was fundamentally a society (Haskins, 1940). Many institutions that were later incorporated as universities were originally liberal arts colleges. There may be as many different definitions of these institutions as there are individuals who have attended, served, or been served by higher educational institutions (Duderstadt, 2003).

Historically, higher education included (1) the teaching of the high level conceptual and intellectual skills required to prepare students for entry to a limited number of professions such as engineering, law and medicine, (2) the ideal of disinterested (impartial and detached) research and scholarship, and (3) providing objective commentary on society (Duderstadt, 2003; Ehrlich & Frey, 1995; Haskins, 1940; Ministry of Education, 2004a; Patterson, 1989; Perkins, 1973; Pickering, 1967). Universities have now assumed responsibility for a much wider range of occupational preparation, and many individuals now receive their principal occupational qualifications from a university (Fletcher, 1968; Goldin & Katz, 1999).

Tertiary education in New Zealand today is vastly different from the medieval universities and from the Federated University of New Zealand structure that existed from 1870 to 1961 - with its colleges distributed around the country and headquarters at Senate House in Wellington. In June, 1869, the Otago Provincial Council passed the Otago University Ordinance, creating the University of Otago as a corporate body with powers to grant degrees in arts, law, medicine and music. The university opened with a staff of three professors. The University of New Zealand was created by an Act of Parliament in September 1870 and became the examining and degree-granting body for all New Zealand university institutions. Three further colleges were established in Christchurch (Canterbury College, 1873), Auckland (1883) and Wellington (Victoria University College, 1897).

In January 1962 the University of New Zealand was disestablished and the four university colleges became full universities in their own right. In January 1964, two new universities were created: The University of Waikato and the Massey University (The New Zealand Vice Chancellors' Committee, 2009). The University of Waikato was

established to cater for the needs of the area around Hamilton, now New Zealand's fourth largest city. Massey University in Palmerston North began life as the New Zealand Agricultural College in 1926 (renamed Massey Agricultural College in 1927).

Like Massey University, Lincoln University has a long (in the New Zealand context) history. A School of Agriculture was set up in Lincoln in 1878. In 1896, as the renamed Canterbury Agricultural College, it was given the right to award degrees through the University of New Zealand. Renamed Lincoln College in 1961, Lincoln became a constituent college of the University of Canterbury until it subsequently became a full and self-governing university. In 1990 Lincoln University was established (The New Zealand Vice Chancellors' Committee, 2009)

The last university to be set up in New Zealand was the Auckland University of Technology (established in 2000), which, like Massey and Lincoln universities had its origins dating back to the late 1800s. Beginning life as the Auckland Technical School in 1895, in 1960 the secondary school and tertiary functions were separated and the Auckland Technical Institute (a polytechnic) was set up. The Institute's name was changed to the Auckland Institute of Technology in 1989 and again changed in 2000 when it gained university status. In the international context, all the New Zealand universities are relatively young when compared to the earlier examples given (such as the University of Bologna, 1088).

Today, there are eight state-funded multi-disciplinary and multi-faculty universities in New Zealand. Whilst the University of Otago is well-known for its Medical School, and Lincoln University was originally an agricultural college, all eight universities now offer a broad range of subjects in areas such as commerce, science, and the arts, and they each have a different perspective and culture.

1.3   New Zealand's Distinctive Tertiary Education System

New Zealand has adopted a very broad definition of tertiary education - the term "tertiary education" encompasses all post-school education and training. This reflects the growing diversity of the institutions it incorporates. The use of the term "tertiary education" for all post-school education and training dates from the 1990s in New Zealand, and earlier in international policy discourses from, for example, the

Organisation for Economic Development (OECD). The term is used in over nine hundred public and private institutions offering courses ranging from adult literacy to doctorates. The tertiary education system is supported by what the Ministry of Education call the "network of provision". The Ministry of Education defines this network "a comprehensive national system of tertiary education that is the outcome of tertiary institutions focusing on their distinctive contributions in response to the needs of employers, industry, communities and iwi" (Ministry of Education, 2007c, p. 77).

As far back as the early nineties, Dale (1994) argued that the mainstreaming of the "education system as a whole" indicated that from a government perspective there was nothing distinctive about education. However, Marginson (2000a) argued that the primary functions specific to the university (as opposed to all post-secondary education and training institutes) represent the distinctive social contributions that must be cherished.

Today, the Ministry of Education defines, as per their definitions in section 159B of the Education Act, three overlapping groupings of tertiary education institutions, organisations, and providers within the system. Distinction is based upon "public", "private", "industry", "government", and "other" boundaries. These groupings are:

Tertiary Education Organisations

The Ministry of Education defines Tertiary Education Organisations (TEOs) as "all the institutions and organisations that provide tertiary education and training. These include public tertiary education institutions (TEIs), private training establishments (PTEs), industry training organisations (ITOs), other tertiary education providers (OTEPs) and government training establishments (GTEs)" (Ministry of Education, 2006a, p. 11). This group covers all participants that are positioned above the secondary education system, irrespective of ownership or type of service provided.

Tertiary Education Institutions

The Ministry of Education's definition for Tertiary Education Institutions (TEIs) is "publicly owned tertiary education providers. These consist of universities, colleges of education, institutes of technologies, polytechnics and wānanga" (Ministry of Education, 2007a, p. 14). Private providers are excluded from the group, leaving TEIs as institutions who are directly answerable to the government. However, in an increasingly

complicated array of participants, the lines of government control (and how that control is exercised) can be unclear.

Tertiary Education Providers

The Ministry of Education define tertiary education providers (TEPs) as "tertiary education institutions, private training establishments and government training establishments. The definition does not include industry training organisations" (Ministry of Education, 2006a, p. 11). As a sub-category, this is even more complicated and unclear as to who should and should not be excluded, and why. The original intention may have been to exclude apprenticeships; however today much industry training falls outside of what would traditionally be called an apprenticeship.

The above overlapping assortment begins to illustrate the convoluted patchwork that the Ministry of Education defines as making up New Zealand's tertiary education sector. Many of the definitions may have been retained for historic reasons, but end up simply adding to the complexity without adding value. Across this landscape the Government invests (at the time of this writing) more than $4 billion dollars each year in tertiary support (Ministry of Education, 2013).

1.3.1 University Education in New Zealand

The importance of a modern university education is widely recognised (Coady, 2000b; Maani, 1997; Malcolm & Tarling, 2007; McLaughlin, 2003; Wobbekind, 2012). University teaching and research has not only served individuals and society by being a critic and conscience, but additionally in so far as a university education benefits the economy. In a general sense, the university plays an essential role in providing each new generation of students with the opportunity to better understand themselves, to discover and understand the important traditions and values of the past, and to develop the capacity to cope with the complexity and change characterising the world of the future (Duderstadt, 2003). It is argued that in order to properly fulfil these roles the university needs to remain independent from society (Miller, 2000; Perkins, 1973; Ramsden, 1998). There has, however, always been a divergence of opinion regarding the purpose of the university (Klein, 2000); Galileo emphasised pure knowledge for its own sake - for the sake of truth, whilst Francis Bacon, a contemporary of Galileo's, argued for more immediate benefits to society. Perceptions of the university's role in

society continue to change (Neave, 2006). Historically, the university has been able to maintain a certain disengagement from social and political activism (Perkins, 1973). However, this position appears to be slowly eroding.

1.3.2   The Changing Role of University Education

Centuries of deep tradition and history, framed by high public self-esteem and a tight historical linkage between the university and "high society", are challenged by changing social demands and growing public uneasiness (Johnson & Rush, 1995). It can be argued, perhaps more than ever before, that the university needs to refer back to its core values, which are the most critical values under which an institution operates (Eckhardt, 2002). The university is increasingly required to engage with the wider community at all levels; a personal dedication to the larger goals of society is a commitment to purposes that transcend the interests of a narrow group of stakeholders (Ehrlich & Frey, 1995).

The modern university has great expectations forced upon it (Bridgman, 2007; Ramsden, 1998; Shapiro, 2005; Taylor & Machado, 2006), as increasing emphasis is placed on the role of university education in contributing to the economy in order to benefit society (Gaita, 2000; Keep & Mayhew, 2004; Marginson, 2000b). One of the challenges faced by universities is the perception that a university education is not useful unless it is relevant to a nation's economic needs and labour market requirements (Donnelly, 2004). This view can be seen to undermine the role of the university, resulting in a loss of autonomy and academic freedom (Ashcroft, 2003; Coady, 2000a; Miller, 2000), because funding is allocated to short-term market-driven programmes (Kelsey, 2001). The growth in student numbers associated with the shift from elite to mass systems of education is also fundamental to the perceived changes in terms of the purpose of a university education (Schuetze & Slowey, 2002). This leads to much debate as to how university education can best serve the needs of society whilst focusing on their most important obligations (Bok, 1990; De Mulder & Eby, 1999; Jennings, 2007).

1.3.3   Defining the University and its Functions

Members of an organisation need to agree on the purpose of that organisation (Davies, 1985; Ramsden, 1998). In its early days, the university's central purpose was to provide a rationale for medieval society. It gathered evidence to support leading church dogmas

and to construct theologically oriented views of man and the world (Perkins, 1973). Universities once saw themselves as responsible for guiding the behaviour and moral character of students (Ehrlich & Frey, 1995; Watson & Banwell, 2001). They had (and still have) a responsibility to nurture independent thinking and a readiness to challenge assumptions.

Increasingly, universities are now being forced to emulate private sector business models (Marginson, 2001). They must respond to government policies that are ultimately aligned with wider societal objectives, as opposed to those of the individual institutions (McLaughlin, 2003). Molony (2000) argues that academics are seen as employees whose purpose is "production". Uncertainty surrounds the role and functions of universities in what has become a system of mass higher education (Keele & Nickman, 1999; Ramsden, 1998; Robotham, 1999).

The Ministry of Education defines a university as being primarily concerned with advanced learning and knowledge, research, and teaching to a postgraduate level (Ministry of Education, 2006c). In this definition they leave out the role of critic and conscience of society, perhaps because the Ministry of Education does not see this role as being directly related to education. However, the distinctive contributions that universities make are recognised, and the university's main functions are stated in the Education Act covering all these aspects (teaching, research, and critic). These main functions are regarded by some as twenty-first century manifestations of the fundamental roles of creating, preserving, integrating, transmitting, and applying knowledge (Duderstadt, 2003; Malcolm & Tarling, 2007).

It is argued that there is not enough differentiation between a university and the other types of TEIs (Kelsey, 2001; Kuiper, 2001; Marginson, 2000b; Molony, 2000; Robertson & Bond, 2004) and universities find themselves struggling to maintain their traditional functions (Salmi, 2007). To many members of the public, a university education simply provides a utilitarian function, in that it is seen by many as a key to a good job, and to provide personal gain and security, rather than to prepare one for a meaningful life or for responsible citizenship in a democratic society (Poropat, 2011). This more limited perspective has led in turn to a more demanding, consumerist approach toward higher education (Ramsden, 1998; Telford & Masson, 2005), which

then overlooks the fact that other TEIs do not have a legislative role of critic and conscience of society. While this role appears to be avoided in the Ministry of Education's definition, arguably, it is as equally important as the other two roles of teaching and research.

With the blurring of boundaries, the difficulty of differentiation between the various participants in the tertiary sector has become a major focus for improving efficiency and removing redundancy (Macdonald, 2000). This highlights the importance of the role of the university outside of simply being a provider of education. Public service remains a major institutional obligation. The public supports the university, contributes to its finance, and historically has granted it an unusual degree of academic freedom and institutional autonomy. In part, this is because of the expectation that the university will contribute to society not just graduates and scholarship, but through the broader efforts of its staff and students, will address wider social and economic concerns (Duderstadt, 2003).

1.4 Tertiary Education Policies in New Zealand

Government policy in New Zealand takes its lead from other Organisation for Economic Co-operation and Development (OECD) countries in its aim to link tertiary education with economic, social and cultural goals (Goedegebuure, Santiago, Fitznor, Stensaker, & Van der Steen, 2007; Hunt, 1993; McLaughlin, 2003; Tertiary Education Advisory Commission (TEAC), 2001c; Yourn, 2002). The OECD is an international forum where the governments of thirty democracies work together to address economic, social and cultural issues (Goedegebuure et al., 2007; Goedegebuure, Santiago, Fitznor, Stensaker, & Van der Steen, 2008). Members compare policy experiences, seek answers to common problems, identify good practice and work to co-ordinate domestic and international policies (2008). This has an influence on education and policy decisions by member states. Aligning tertiary education's roles, functions and responsibilities with economic, social and cultural goals is high on the political agenda, not only in New Zealand but also in most OECD countries (Gallacher, 2006; Patterson, 1996; Peters, 2001; Rowley, 2003; Salmi, 2007).

Kelsey (2001) argued that policy change in New Zealand in relation to tertiary education has been ongoing since the 1970s with the opening up of entry to a more diverse group

of students. Throughout the latter part of the 1980s through to early 2000s, the tertiary sector in New Zealand continued to be the subject of intense socio-political scrutiny (McLaughlin, 2003). Consecutive governments persisted in placing increased expectations on universities (Ashcroft, 2003; Gaita, 2000; Maani, 1997; McLaughlin, 2003; Yourn, 2002). The general nature of the policies has been to reform the education system by altering the structure of reporting and funding for universities. Of the successive reforms, some consider Tertiary Education Advisory Commission's (TEAC) to be the most significant (McLaughlin, 2003; Ministry of Education, 2006a). According to Cullen (2007) these policies have been widely endorsed.

The OECD thematic review (Organisation for Economic Co-operation and Development, 2008) divides the timeline from 1970 onwards into a number of distinct periods. This review was based on periods separated by acts of parliament that imposed change in the tertiary sector.

1970 to 1989 was considered pre-reform, marked by bulk funding through the University Grants Committee. The polytechnics, colleges of education, and technical institutes were controlled by what was the Department of Education. Students paid token fees and the tertiary grants system covered student living costs during term time. Mclaughlin (2003) viewed this as a period as belonging to an elite system with relatively low participation where the government pays most of the costs. Differences in institutional funding was part of the status of the university within the elite system.

The first round of reforms identified by the OECD was the period from 1989 to 1990 when the Education Act 1989 was enacted setting the statutory framework for tertiary education. The Act saw the abolishment of the University Grants Committee and the Department of Education. In their place, the Ministry of Education and the New Zealand Qualification Authority came into existence.

Non-university degrees were permitted and all TEIs were given autonomy. They now had responsibility for their own management. Quality assurance was now split between the newly-created New Zealand Qualifications Authority and the New Zealand Vice Chancellors' Committee. Universal grants were replaced by means-tested (based on parental income) student allowances, and TEIs were now able to enrol international students on a full cost recovery basis.

The second round of reforms was the period from 1991 to 1992. TEIs were given the freedom to set the level of student fees as they wished. The student loan scheme was created and a moving cap was introduced on the number of equivalent full time students (EFTS) that would be funded by government. The Industry Training Act was also introduced at this time, allowing industries to develop their own training and qualifications schemes.

The next period 1993 to 1998 saw little legislative change. There were however, funding cuts in some areas and increases in others, resulting in a steady increase in student fees.

1999 was identified by the OECD as constituting a third round of reforms. In this year, the main change that is relevant to this study was the lifting of moving caps, which left funding of TEIs entirely demand (EFTS) driven. Mclaughlin (2003) describes the period 1990 to 1999 as a move from an elite system towards a competitive market-based model. By 1999 there were considerably higher levels of participation and increased competition between TEIs.

The year 2000 saw the establishment of the Tertiary Education Advisory Commission (TEAC) who were charged with mapping a new direction for tertiary education. Between July 2000 and November 2001, TEAC generated four policies aimed at better aligning tertiary education with the nation's economic, social and cultural developmental goals. The policy development process was designed to enable interested parties to influence the formulation of these policies. The goal of soliciting input has been explicitly recognised by TEAC in its policy formation. The purpose of this thesis is to examine aspects of this input gathering from an academic staff perspective.

The OECD define 2002 to 2003 as the fourth round of reforms and 2006 to 2007 as the fifth round. The fourth round of reforms included amendments to the Education Act 1989 that implemented many of TEAC's proposals. Two of the amendments relevant to this study were the creation of the Tertiary Education Commission (TEC) and the introduction of the Performance-based Research Fund (PBRF). The fifth round of reforms 2006 to 2007 included additional amendments to the Education Act 1989 which further realised TEAC's proposals.

The intention behind TEAC's policies included plans to steer the tertiary sector towards becoming more closely aligned with important national goals, to develop stronger links with industry, and provide programmes that are of economic advantage to New Zealand in a competitive global economy.

1.5 Governance of University Education in New Zealand

Throughout its history, the university has been granted special governance status because of the unique character of the academic process (Duderstadt, 2003; Malcolm & Tarling, 2007). The university sustained an understanding that its activities of teaching and scholarship could be best judged and guided by the organisation itself, rather than by external bodies such as governments. In recent years, however, universities have experienced major chages in their governance and leadership. These largely external movements have had consequences for how universities are run, what university staff do, and how academic leaders work (Marginson & Considine, 2000; Meyer, 2002; Ramsden, 1998).

Today, the governance, steering and planning structure of tertiary education in New Zealand includes a large number of agencies (Goedegebuure et al., 2007). A partial explanation of the relationships is shown in the Ministry of Educations's diagram below.
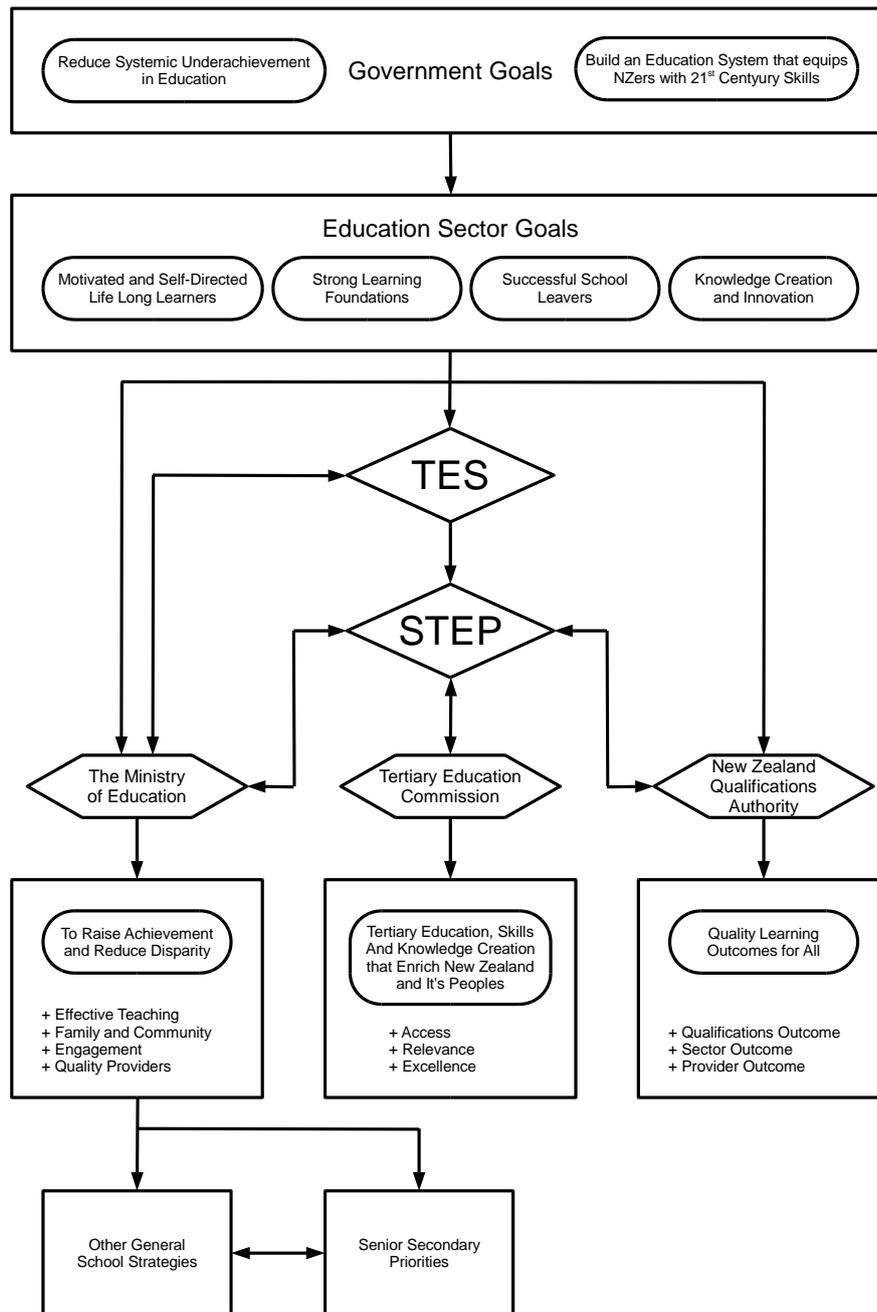
Figure 1.1   Adapted from the Ministry of Education's hierarchical diagram (2002) outlining the information flow between policy documents and education bodies within the New Zealand system.

As can be seen from the above diagram, all three education agencies contribute to the education goals as well as contributing to Tertiary Education Strategy (TES) and Statement of Education Priorities (STEP), which are the key strategies driving the sector. Every five years the TES and STEP are reviewed, at which point the opportunity arises for feedback to flow back from the Ministry of Education (MoE), Tertiary Education Commission (TEC) and New Zealand Qualifications Authority (NZQA) back into the

documents (TES and STEP). Each of these entities (along with the Education Act 1989) is introduced and briefly described below:

Education Act 1989

The main piece of legislation providing the legal framework for the tertiary education system is the Education Act 1989. It sets out the statutory framework for all tertiary education in New Zealand. It defines the role, responsibilities, strategic direction and describes the functions of different types of TEIs. Funding and TEI's constitutions are also covered in this Act (Ministry of Education, 2006a).

Under the Act, universities are required:

1. To be primarily concerned with more advanced learning, the principal aim being to develop intellectual independence
2. To undertake research and teaching that are closely interdependent, with most teaching done by persons active in advancing knowledge
3. To meet international standards of research and teaching
4. To be a repository of knowledge and expertise
5. To accept a role as critic and conscience of society

Ministry of Education

The Ministry of Education is the primary state sector organisation of New Zealand responsible for New Zealand's education system. It was established in 1989 when the former, all-encompassing Department of Education was broken up into six separate agencies. It is the government's principal advisor on tertiary education policy and has overall responsibility for developing strategy and the broad policy framework. The Ministry is also charged with monitoring the performance of the system as a whole – requiring TEIs to submit output objectives and reports on actual performance in relation to these objectives (Ministry of Education, 2006c).

The Ministry of Education define their role in the tertiary sector as providing leadership and setting direction, stewardship and governance, and monitoring and evaluating. They go on to advise that The Tertiary Education Commission and the New Zealand Qualifications Authority have a more direct interface with the tertiary education sector.

Tertiary Education Advisory Commission: 2000 - 2002

The Tertiary Education Advisory Commission (TEAC) was established by the government in April 2000 to provide advice on the future strategic direction of the New Zealand tertiary education system. The main outcome was to develop a strategy for the tertiary education sector. Endeavouring to provide a direction for tertiary education in accordance with stakeholder expectations, TEAC linked educational outcomes with social, economic and cultural goals, arguably placing pressure on universities to serve a much broader range of students and student abilities (Altbach, 2004; Brown, 2002; Coombs, 1985; Meade, 2003; Osborne, 2006; Post, 2003; Schuller, 1991b; Scott, 1995). TEAC's recommendations led to the establishment of the TEC and TES, both of which appear in the above diagram. TEAC is not shown because at the time of the diagram's production it no longer existed, having been replaced by the Tertiary Education Commission (TEC).

Tertiary Education Commission: 2003 - present

In 2002 TEAC was superseded by the Tertiary Education Commission (TEC). The TEC is a policy implementation agency that provides advice to the Minister on tertiary education policy. One of the most critical pieces of advice was to engage with stakeholders and identify tertiary education needs (Tertiary Education Commission (TEC), 2007). TEC produced a Tertiary Education Strategy (TES), which then lead to the Statement of Tertiary Education Priorities (STEP).

Tertiary Education Strategy and Statement of Tertiary Education Priorities

The Ministry of Education (2005b) defines a TES as "a five-year blueprint for a more collaborative and co-operative tertiary system that contributes to New Zealand's national goals. A TES is closely connected to enterprise and local communities" (2005b, p. 92). The first TES was derived and partially implemented as an interim STEP (2002-2007) which formed a part of the Government's reforms to the tertiary education system aimed at the development of a strategic and coherent system, designed to ensure that it meets tests of excellence, relevance and access. This interim STEP focused on implementation of the associated TES over the following 12 month period (2002 – 2003). It was also an expression of the Government's future expectations and is made up of six strategies. Through a process of linking the STEP to institutional charters and profiles, the basis for

articulation of national goals and priorities into institutional actions was laid out (Ministry of Education, 2004b).

New Zealand Qualifications Authority

New Zealand Qualifications Authority (NZQA) was created as the product of the Learning for Life policies. In the Education Act 1989 its objective is "to establish a consistent approach to the recognition of qualifications in academic and vocational areas". The first CEO had been one of the people who worked on the Hawke review and Learning for Life. He, and the senior policy manager, who had also worked on Learning for Life, shaped the early structure and direction of NZQA. It is also a Crown agency and has a board appointed by the Minister.

NZQA is the quality assurance guarantor for the tertiary sector. It also administers the national qualifications framework through which all qualifications are authorised and recognised (Abbott, 2004). Based on an 8-level scale, all qualifications are registered in terms of unit standards, which are intended to define the specific outcomes developed through course modules for all levels.

NZQA's functions are to:

- Provide an overarching quality assurance role for the tertiary sector
- Develop and quality assure national qualifications
- Administer the National Qualifications Framework
- Register private training establishments
- Conduct quality assurance at private training establishments, wānanga, Unitec New Zealand and colleges of education
- Establish and maintain the New Zealand Register of Quality Assured Qualifications
- Administer the trade, vocational and school sector qualifications system, and
- Evaluate overseas qualifications for immigration and employment purposes (Ministry of Education, 2006c, p. 21).

1.6 Rationale and Justification of this study

Consulting with stakeholders has become increasingly popular, as both the public and the private sector strive to be seen to apply principles of good governance to the way they operate. Moreover, the government believes that in the educational context, in order to maximise a university's success it needs to include those who are affected by the decisions it takes and the outcomes of those decisions, thus reflecting stakeholder expectations.

The medieval university's funding came from (relatively uncontrolling) altruistic patrons, enabling the university to have greater freedom to pursue their own scholarly goals. Similarly, up until the late 1980s, although the government had replaced patrons as the major source of funding, student participation rates were relatively low (McLaughlin, 2003). Hence, the overall cost of the university sector was also relatively low. Today, the government remains a major source of university funding (alongside student fees) but increasing student numbers has created an overall funding requirement. In providing this increasingly significant funding, government buys an expectation to have some control (governance) over how that money is allocated. This makes them a major stakeholder with a vested interest in the university sector.

From a management perspective, stakeholder theory can be used as a way to address many of the questions arising from efforts to redefine the university within the economy and society in which it operates. A major purpose of stakeholder theory is to help management understand stakeholder environments, and manage more effectively within those environments. There is an emphasis on including stakeholders in the strategic management of an organisation, in the hope that it will lead to better-informed management. A consequence of such inclusion is that stakeholders are likely to be more satisfied with the outcomes.

TEAC's policies and subsequent legislative process was primarily concerned with eliminating overt competition within the system, and the establishment of a more direct central control mechanism by the Minister. The government intention was for the university sector to be able to respond more quickly and cost effectively to future adjustments in government policy.

1.6.1 Emerging Issues from the Literature

Much of the literature surrounding the role and functions of university education in New Zealand indicates that recent tertiary education policies are not widely endorsed by university staff (Adams, 1998; Malcolm & Tarling, 2007; Openshaw & Rata, 2008; Patterson, 2005; Peters & Roberts, 1999; The Association of University Staff of New Zealand, 2008; Willis, 2008). An important element affecting academic work is the crisis of institutional values and identities; the stand-off between traditional academic values and modernising corporate culture (Coady, 2000b; Langtry, 2000; Porter, Rehder, & Muller, 1997). Marginson (2000b) highlights this as a serious issue worldwide. The arguments presented by this research go on to examine whether the changes made to the university education sector were effective from an academic staff perspective.

Tertiary policy in New Zealand is said to be determined too often by ideology, rhetoric and anecdotes (McLaughlin, 2003; Otero & Whitworth, 2006). Nutley (2003) has questioned whether policy evidence matches policy rhetoric and practice. One such example is TEAC's recommendation to "engage with their stakeholders", where consultation and involvement have often failed to follow the lofty intentions of the policy. Research and evaluation are needed to inform tertiary education policy makers so as to close the divide between intention and rhetoric.

1.6.2 The Role of Academic Staff as a Stakeholder

Whilst there is a considerable amount of literature concerning university education, TEAC and its policies have been subject to little research (Patterson et al., 2006). A notable shortcoming of both the literature and the TEAC process was the absence of detailed consideration of the impact TEAC's policies would have on academic staff. Academic staff hold a unique position at the pivot point of university education. They are at the forefront of delivery, they are expected to turn the rhetoric of government policy into reality, they evaluate student progress, and they create academic standards based upon centuries of accumulated wisdom. It is for this reason that their perceptions are important, and why they were chosen to provide responses that are the central focus of this enquiry. Similarly, academic staff as a stakeholder group have received little attention. This omission is of critical importance in the context of this enquiry. While academics have written extensively on the subject of university education, few previous

studies have explored their viewpoints which embody both diversity and density of perspectives, and provide detailed descriptions of a depth not readily available from within many other stakeholder groups. This is further complicated by the fact that many academics have contracts which restrain them from making public comment on the management of their institution (Jones, Galvin, & Woodhouse, 2000).

One of the aims of this research is to promote informed conversation between policymakers, management and academic staff as stakeholders in university education. Arguments presented are intended to add to the wider debates about the role of a university and the university's relationship to government, policy and society. In their presentation, the Ministry of Education's David Earle and Roger Smyth (Earle & Smythe, 2004) indicated that there is a lack of engagement of stakeholder groups (including staff) with the tertiary education system and that the Ministry of Education indicated that they are still working on gathering information on the views of key stakeholder groups. The central focus of this thesis reflects this, and was in fact the engagement of staff as a stakeholder group.

To add to the debate and provide another perspective regarding the concepts, language, and issues surrounding university education in New Zealand, this research also attempts to decode the discourse of TEAC's policies from the perspective of academic staff so as to provide an understanding of its implications to those staff who are at the important forefront of education delivery. TEAC does not seem to have given much thought to adopting a language that affords practical application by those in the sector.

It is hoped that this study will bring the perspectives of the academic staff to the attention of tertiary education policymakers in New Zealand. McLaughlin (2003) argues that more and better data, analysis, evaluation, and research are needed to inform the design and implementation of policy; only through such an approach can we arrive at an informed compromise that would be acceptable to the key stakeholders, even narrowing the gap to the point where university staff would endorse major aspects of the policies.

1.7 Research Approach and Outline of Thesis

A case study of the academic staff at Lincoln University, Canterbury, New Zealand was undertaken. The format of a case study typically consists of a number of interviews,

where participants provide descriptive answers as opposed to numeric ones. This is to maximise the depth of information that is collected, but at the expense of producing data that is more difficult and time-consuming to analyse. The format used in this thesis was structured interviews with both quantitative and qualitative questioning, yielding both numeric data and vivid interviewee perspectives. This approach intended to keep participants focused whilst still allowing them to expand on specific topics as much or as little as they wished.

The primary focus was to explore how academic staff perceive TEAC's strategic policy, as this author considered these policies central to informing and steering tertiary education in New Zealand. TEAC is unique in that for the first time in many years, a government agency is attempting to generate policy that covers an ever-broadening range of tertiary educational participants. These policies represent a strategic plan for the tertiary education sector, where everyone is brought together under a single umbrella with a view of eliminating duplication of effort and increasing efficiencies. Such a degree of change and shift in focus is always going to be controversial, and so provided interview subjects with ample material for comment.

This research, driven by the interview schedule, was framed around six core emerging aspects of both TEAC's documentation and other relevant literature that discusses the sector:

1. The role of the university
2. Hegemony and autonomy
3. Differentiation
4. Resource distribution and allocation
5. The university's relationship to society
6. Access and participation

These aspects of university education represent major questions that, while not new, continue to recur in the wider debate about New Zealand's future as a knowledge-based society (Tertiary Education Advisory Commission (TEAC), 2000, 2001a, 2001c, 2001d). The emphasis that TEAC places on the economic and social contributions of tertiary education impacts upon the balance between each of these six core areas. For example, increased access and wider participation may be considered more important

than institutional autonomy and academic freedom when viewed through the TEAC framework.

1.7.1 Research Objective and Questions

The objective of this research was to explore the nature of the stakeholder-policymaker relationship and ultimately to provide feedback to policy makers, management practitioners and academic staff. To accomplish this, the viewpoints of academic staff as stakeholders were collected and analysed – academic staff representing a key stakeholder group in the sector that is often overlooked. Five research questions were formulated to assist in achieving this objective by providing a set of focal points against which to build this thesis. The questions were chosen to broadly cover the intentions behind the formation of TEAC:

1. Who are the main stakeholders in the university education sector?
2. What were the intentions of TEAC's policies?
3. Have the intentions been achieved as planned?
4. How has the implementation of TEAC's policies affected the university's academic staff?
5. How do the current evaluation mechanisms determine the impact of the policies?

1.7.2 Outline of Thesis

This thesis is organised into six chapters. Chapter One presented the issues related to the topic under examination – the role of university education in New Zealand. It contextualised the research problem and outlined the research objectives. An historic background of *higher education* was presented along with discussion of the changing role of university education within our society and the relationship between university and government.

Chapter Two provides an analysis of TEAC's policy documentation and reviews other literature relevant to this research. It also includes necessary background material about TEAC's membership and TEAC's policy intentions that are related to university education. TEAC's stakeholder-based policy development process is explored. Chapter Three goes on to discuss the proposed theoretical framework of the stakeholder-based policy process used by TEAC and discusses its relevance to university education. It provides a review of the stakeholder literature, in particular the role of stakeholders, the

problem of stakeholder definition, stakeholder classifications, identification and analysis. This chapter also reintroduces the research questions.

Chapter Four introduces the philosophical position and research paradigm followed by the research approach. Particulars of the interview schedule are discussed, as is the selection of participants, the data collection and details of analysis. Chapter Five discusses the findings of this research against the background of stakeholder theory and evaluates how successful the application of stakeholder theory has been in the case of TEAC. It also looks at how the findings supplement the literature and fulfil the research objectives. Chapter Six, the final chapter, highlights the key findings of this thesis, providing conclusions and implications based on the discussion presented in the Chapter Five. It discusses the unique contribution this thesis makes to the literature while addressing limitations of the study and suggesting further research.

Chapter 2

Socio-political Background: The Commission's Policies

2.1 Introduction

This chapter provides a detailed account of TEAC and its activities. Tertiary education policies in New Zealand have undergone review and frequent change since the late 1980s. On average, a major review of tertiary education has occurred every two years (McLaughlin, 2003). This chapter discusses how TEAC, just one of a long line of government agencies, was established, and covers the Commission's representation, policy intentions, and stakeholder-based policy development process. The relevant literature related to the research objectives in Chapter One is also reviewed. This material provides an essential background against which the TEAC policies and process can be understood. In analysing any policy documents, it is necessary to consider the backgrounds from which the contributors have drawn their experience.

It was not the intention of this study to analyse the varied and valuable responses to these documents. The authors (including the government) who have previously analysed and commented on TEAC's reports have been referenced where appropriate, and their findings drawn on to support the arguments developed within this thesis; it follows that the analysis of university education provision and its implications for academic staff has been necessarily limited to the four TEAC reports. It is from these four TEAC documents that the key themes (excluding those relating to Performance-based Research Funding [PBRF]) have been extracted and analysed to provide a basis on which to build this research.

2.2 Tertiary Education Advisory Commission

In 1999, the newly-elected Labour/Alliance government began an assessment of the tertiary education system. The Labour party had campaigned on the need to move in a more strategic direction that was clearly tied to national needs. There was a concern that the system had too little coordination (McLaughlin, 2003) and so the government embarked on a process to establish an advisory commission to formulate a new direction.

Established in April 2000, Tertiary Education Advisory Commission's (TEAC) role included advising Government on strategic direction whilst at the same time providing links to economic, social and cultural development policy initiatives, such as closing the education-related gaps for Māori and Pasifika peoples (Tertiary Education Advisory Commission (TEAC), 2000). Their main aim was to develop the necessary tools to steer the tertiary sector forward in alignment with economic, social and cultural goals (English, 2006; McLaughlin, 2003; Yourn, 2002). TEAC advised the Government to be more "actively involved" in tertiary education and to "intervene intelligently" in a manner that safeguarded institutional autonomy (Maharey, 2001b). This was to be done by facilitating important national strategic goals, which included innovation, economic development, social development, environmental sustainability and fulfilling the obligations of the Treaty of Waitangi. In short, TEAC was charged with:

1. Linking tertiary education with New Zealand's economic, social and cultural goals
2. Advising on intervention in tertiary education
3. Facilitating national strategic goals, which included innovation, economic development, social development, environmental sustainability
4. Fulfilling the obligations of the Treaty of Waitangi
5. Identifying stakeholders to include in the policy-making process

Each of these five tasks were further broken down into one or more:

- Broad Objectives
- Guiding Principles
- Initial Conclusions
- Key Proposals
- National Strategic Goals
- Recommendations

The initial TEAC members were appointed and made responsible for implementing the above as the new direction for the tertiary sector.

2.2.1 TEAC's Representation

In order to understand the foundations upon which TEAC's reports were constructed, it is necessary to have an appreciation of the backgrounds and perspectives of the various Commissioners who authored the reports. Even though they were positioned as impartial arbiters, it is inescapable that some of their underlying beliefs and values will have impacted upon their approach towards carrying out their duties. TEAC's Commissioners included a range of members from across the political and education sectors, with a wide spread of expertise. In order to illustrate this, a brief summary of each member follows:

Emeritus Professor Ivan Snook (Massey University) trained to be a priest, but later enrolled at teachers' college in Christchurch. He started his career as a secondary school teacher, was later a research fellow at the University of Illinois, and finally became a lecturer at the University of Canterbury in 1968. In 1981 he moved to Massey University as a Professor of Education and then went on to become Dean of Education before retiring in 1993. For the past 20 years he has contributed to the development of human ethics policy at Massey University and convened the Education Policy Response Group that prepares analyses of major government education policy.

Norman Kingsbury was the Chairperson of TEAC until November 2000. Kingsbury was a former university registrar and polytechnic council member. At the time of his appointment he was chief executive of New Zealand Qualifications Authority (NZQA). He also has long experience working with the polytechnic and private education sectors. His career spans the tertiary education sector: Chair of the New Zealand Universities Academic Audit Unit (on the invitation of the New Zealand Vice Chancellors' Committee), Chair of New Zealand Polytechnic Programmes Committee (on the invitation of the Association of Polytechnics in New Zealand).

Russell Marshall, ex-Labour Minister of Education, replaced Norman Kingsbury in that position for the remainder of TEAC's life. He was a Labour Party politician who had previously been a Methodist minister from 1960 to 1972, and a school teacher from 1955 to 1956 and again in 1972. He was a Cabinet Minister from 1984 -1987, and during his political career held portfolios of Minister of Education, Foreign Affairs, Conservation, Disarmament and Arms Control and Pacific Island Affairs, and Minister

for the Environment. He chaired the New Zealand National Commission for UNESCO from 1990 – 1999 as well as holding various other roles across international educational forums.

Shona Butterfield's background was in nursing and nurse education. She was appointed Chief Executive of the Open Polytechnic of New Zealand in 1989. Under her leadership, the Open Polytechnic became one of the country's largest tertiary institutions. She was later appointed to the Board of the Commonwealth of Learning (in 1998) and contributed to the development and use of open and distance learning. She has been involved with a great range of professional groups, including as a member of the Prime Minister's Enterprise Council, the Prime Ministerial Taskforce on Employment and the Advisory Committee on External Aid and Development.

Sir Colin Maiden (former Vice Chancellor of University of Auckland) was appointed as a special advisor to the Chair. In the 1950s, having graduated from Auckland University, he won a Rhodes scholarship for study toward a Doctorate of Philosophy at Oxford University and in 1960 became a lecturer in Engineering back at Auckland. He then moved to the United States with his family to become head of the General Motors Material Sciences Laboratory. On his return to New Zealand in 1971 he became Vice Chancellor of Auckland University at the youthful age of 37. Later he became Chairman of Fisher and Paykel, Independent Newspapers and National Insurance as well as being a Director of several other bodies including DB Group and Trans Power.

Hugh Fletcher (businessman and former Chancellor of University of Auckland Council). Hugh Fletcher is a member of the Fletcher industrial dynasty. Many would associate him with Fletcher Challenge, following in the footsteps of his father and grandfather. In 2002, he was appointed to the board of the Reserve Bank of New Zealand, reappointed in 2007, as well as throughout his life being closely associated with his family business.

Other Commissioners (for whom less background information is publicly available) included:

Professor Jonathan Boston (Victoria University of Wellington) holds a Personal Chair in Public Policy at the School of Government, Victoria University. He has published 21 books and over 170 journal articles and book chapters;

Professor Linda Tuhiwai Smith (Pro-Vice Chancellor Māori, University of Auckland) whose expertise includes Māori education, health and identity;

Tony Hall, a representative from the private education provider sector;

Patricia Harris, a scientist from AgResearch (a Crown Research Institute);

John Ruru (Forestry Management Consultant), the former head of the Forest Service and Department of Conservation in Gisborne, and past member of the Mangatu Committee of Management.

To create his tertiary education vision, The Right Honourable Steve Maharey chose a board of people with a broad range of ideologies encompassing complementary strengths. At the same time, the membership choices satisfied particular interests: political parties with whom the government had confidence; education sector unions; Māori interests; and various other sector interests. It is noteworthy that, apart from Boston, none of the other members of TEAC were trained policy analysts.

This mix created possible tension where each individual Commissioner had his/her own educational agenda to promote. Indeed, The Minister of Education himself, the Right Honourable Bill English, was quoted as saying:

> I was a participant in, and sometimes a catalyst for the controversy that made
> tertiary education an election issue. In that role, I chose to highlight aspects
> of tertiary education policy that caught public attention rather than explain
> the many complexities that lie behind tertiary education policy (2006, p. 1).

It could be argued that the range of members, with their wide spread of expertise, helped to promote this capture of "public attention". At the same time, given the diversity of perspectives, it is equally possible that differences of opinions within the group could have seen important contributions passed over, if not overlooked entirely. This brings up the question of which is better: a panel of experts with diverse opinions, versus a group of individuals who are well-informed yet are impartial to the material being considered. In theory, the Commissioners should be able to remain neutral, but in practise they share many attributes with a stakeholder. Two examples (picked at random) are Patricia Harris whose history suggests an alignment towards the sciences,

and Hugh Fletcher with a strong background in business. In general, this illustrates the dilemma of balancing between expert knowledge, interests as a stakeholder, and socio-political leanings. No matter how stringent the recruitment process, there is no perfect compromise.

TEAC's Commissioners arrived at a set of "Guiding Principles" to provide a broad basis for constructing its future work. As much as possible, it attempted to be a compromise, leaving as many avenues open to further and differing lines of investigation. At this early stage, the goal was more to provide a launching-point for discussion rather than unnecessarily limit the conversation.

Table 2.1   TEAC's Proposed Guiding Principles to Direct Further Policy Development

TEAC's Guiding Principles
1. Lifelong equitable access
2. Portability
3. Balancing co-operation and competition
4. Differentiation and complementarily
5. National identity and cultural diversity
6. Treaty of Waitangi
7. Democracy and citizenship
8. Academic freedom
9. Autonomy
10. Good stewardship of resources
11. Accountability
12. Predictability of funding
13. Maintaining research capability
14. Responsiveness
15. Quality

(Tertiary Education Advisory Commission (TEAC), 2000, pp. 12-13).

These principles were intended to ensure sufficient latitude for future findings to be adaptable to a changing tertiary educational environment where the precise direction had not yet been defined. Between July 2000 and November 2001, TEAC published a series of four seminal reports on the tertiary education system with the intention of suggesting

a comprehensive strategic direction for New Zealand (Tertiary Education Advisory Commission (TEAC), 2001b).

2.2.2 Key Themes

Spanning these four reports, TEAC identified nine key themes. These are the central concepts that the Commission considered essential starting points (categories) for future reforms. However, with such brief headings, each theme in itself does afford a different interpretation depending upon ideological perspective. For example, "steering" may mean something very different to a politician as opposed to what it may mean to an academic.

Table 2.2   TEAC's Key Themes

TEAC's Key Themes	Report representation
1. Leadership	1
2. Intervention	1 and 4
3. Steering	1 and 2
4. Access	1
5. Power	2
6. Control	2
7. Production of skills, knowledge and innovation	3
8. Meeting labour markets' needs	3
9. Provision and distribution of resources and funding	4

 (Tertiary Education Advisory Commission (TEAC), 2000, 2001a, 2001b, 2001c, 2001d, 2001e).

These themes represent a reclassification of the Commission's guiding principles in a form that affords being expressed as rules and regulations. Terms such as *power* and *control* would seem to be at odds with academic freedom and autonomy, but power and control are notions that can be defined by regulation, whereas academic freedom and autonomy are more difficult to adequately capture in statute.

Alongside these principles, the following six elements encompass what the Commission saw as the essence of a system that was for and by New Zealanders, that would serve us

both as a nation and as a participant on the international stage, recognise our past, our diversity, and our need to continue on sustainably into the future. This represents an attempt to make concrete some quite vague notions and put them into a structure that could later be formalised as policy.

Table 2.3   TEAC's Elements for an Ideal New Zealand Society and Economy

TEAC's Elements Required For An Ideal New Zealand Society And Economy
1. Open, outward looking, internationally oriented and engaged
2. Vibrant, diverse, innovative and imaginative
3. Fair, inclusive and democratic
4. Informed by the Treaty of Waitangi
5. Enriched by our national and cultural heritage
6. Sustainably prosperous

(Tertiary Education Advisory Commission (TEAC), 2000, p. 14).

2.2.3   Stakeholder-based Policy Development Process

In universities, as well as in government and business in general, there has been an increasing emphasis on relationships between organisations and their stakeholders (Agle, Mitchell, & Sonnenfield, 2000; Buchholz & Rosenthal, 2004; Carroll, 1993). The intention of a stakeholder-based policy development process is to extend the traditional process with additional stages that emphasise the inclusion of groups that have an interest in these policies (Altman & Petkus, 1994; Benneworth & Jongbloed, 2010; Nutley, 2003). Hence, the realisation is emerging that policymaking is more than the writing of rules and regulations, and that "policymaking is involved if, and only if, the policymaker intends (or appears to carry out an intent) to change or to reinforce the existing distribution of power, status, and economic goods within a policy, that is, a political culture" (Bhola, 1988, p. 60).

Accordingly, one of TEAC's main objectives was to include stakeholders in the policy development process (Tertiary Education Advisory Commission (TEAC), 2001c). Buchholz and Rosenthal (2004) argue that the public policy process is more than a political process; it is a social one that develops its own ways of intervention for dealing with the economic, social, cultural and other issues raised in society. Stame (2004)

recognises the complexities of the social systems addressed by policies and the increasing complexities of policies themselves.

At the same time, those involved in policy development need to recognise and cater to the political interests held by the stakeholders they are dealing with. Any policy is likely to be a compromise that attempts to appease all stakeholders, but this rarely provides any single stakeholder group with exactly what they want. Because this result may affect numerous groups, policy makers need to recognise the importance of categorising levels of interest and power held by these groups (Dobbins, Knill, & Vogtle, 2011; Mitchell, Agle, & Wood, 1997; Olssen, 2002). This may influence and therefore have an impact on the policy development process (Altman & Petkus, 1994; Brugha & Varvasovszky, 2000; Liaisodou, 2011). Stakeholder consultation is considered essential throughout this process for continued dialogue amongst the stakeholder groups to be meaningful (Altman & Petkus, 1994; Daboub & Calton, 2002; Kantanen, 2012). Without this continuous consultation there is the risk of ending up with policy that satisfies no one. Notably, many policy decisions now include stakeholder groups who, traditionally, were not included in what were confidential internal processes (Elmuti, Abebe, & Nicolosi, 2005; Harrison & St John, 1996; Laplume, Sonpar, & Litz, 2008; Sternberg, 1997).

Throughout their documentation, TEAC identified and repeatedly emphasised the need to work with an established set of stakeholders. These thoughts should have been echoed in a wider policy context (Buchholz & Rosenthal, 2004; Nutley, 2003; Otero & Whitworth, 2006), but, as discussed later in this thesis, from a staff perspective at least, they were not adequately recognised as a key stakeholder group. Nutley and Webb (2000) argue that problems arise when groups in society are excluded from the "networks" that shape policy decisions. Further, Fitz-Gibbon (2000) firmly believes that education remains largely a product of "convenient practice", particularly in recent years with the government's directive to adhere to policies that are politically mandated.

2.2.4 TEAC's Public Consultation

Bryson (2004) argues that stakeholders should be involved if they have information that cannot be gained otherwise, or if their participation is necessary to assure successful implementation of initiatives. This stakeholder participation may enable legislators to make use of the information and expertise they possess. However, this premise is

compromised because all four reports use multiple terms to describe participation ("active consultation", "involvement", "engagement" and "consultation"). None of the four reports clarify what is meant by these terms, hence leaving the potential for confusion as to how to interpret the reports. If the reports could be made comparable, this process then has the potential to enable more efficient facilitation of intended outcomes (Altman & Petkus, 1994; Henry, Lingard, Rizvi, & Taylor, 2001; Prunty, 1985).

TEAC recommended that all of their work should be informed by wide-ranging consultation and dialogue. They also stated that they wanted to move beyond an approach that would result in cycles of submissions that (in many cases) did not produce useful engagement (Tertiary Education Advisory Commission (TEAC), 2000). To this end, they invited organisations and individuals with an interest in the tertiary education sector to provide written submissions addressing issues of particular concern. Note, however, that TEAC's Report 1 was produced prior to the consultation process.

A series of meetings for public consultation was held at ten regional locations between the 9th and 31st of March 2001. Six of these were attended by the Honourable Steve Maharey, along with various members of TEAC also present to answer questions and respond to submissions. They travelled with "information road-shows" throughout New Zealand signalling their intention to facilitate a stakeholder-based policy development process, as opposed to the traditional "top-down" policy development process. Similar procedures were used with the later three reports, where submissions were invited prior to policy setting. Given the relatively short time frames within which consultation was undertaken, it is possible that the effectiveness of the process may have been adversely affected.

After the public consultation meetings, further feedback, questions and suggestions on the priorities recommended in TEAC's report were invited. A set of questions intended by TEAC to focus one's thinking was provided. Examining this set of questions was an important part of the method for this study (refer Chapter Four). Repeated reference to the considerable contribution that the tertiary education system could make towards achieving national strategic goals was made.

2.2.5 TEAC's Recommendations

TEAC used the terms *top* and *bottom* to describe the ends of the tertiary sector respectively (university studies down to vocational training). While the universities have the largest number of students within the wider tertiary spectrum, most recommendations put forward by TEAC relate to the non-university sectors (vocational training). These recommendations, however, are outside the scope of this research and are not discussed further. The conclusions and recommendations put forward by TEAC that have particular relevance to this study are discussed below and then summarised in Table 2.1.

2.3 Report One: Shaping a Shared Vision

In their first report, *Shaping a Shared Vision* (R1), TEAC set out their overall approach. The Commission signalled that a change in the way in which stakeholders were to relate to each other was required. This report argued that:

> TEAC faces a formidable task. For the strategic direction of the system to be robust and meaningful, TEAC must work in partnership with the Government, those in the tertiary education system and with other key groups with a vital interest in the system, including the research community, business, industry, whānau, hapū, iwi, Māori, and the wider community (Tertiary Education Advisory Commission (TEAC), 2000, p. 6).

Shaping a Shared Vision was produced in July 2000. The key themes identified were leadership, intervention, steering and access. Its purpose was to provide a conceptual overview of government's long-term strategic vision for the tertiary education sector; a broad framework which was the basis for TEAC's future work by guiding policy development (Tertiary Education Advisory Commission (TEAC), 2000). It established that the Government intended to engage with Tertiary Education Institutions (TEIs) as an "active stakeholder" and provide leadership. R1 made it clear that TEAC wanted to implement an interventionist steering approach, whilst at the same time emphasising the key part played by autonomous TEIs in both creating and serving as a repository of knowledge. The importance of the development of the individual was stressed, as was the enjoyment of learning for its own sake and the role played by tertiary education in the facilitation of democratic freedom and the pursuit of social justice.

TEAC proposed that tertiary education's key contribution to New Zealand's economic and social development included the following seven broad goals which were thought to be key mechanisms for advancing toward a more equitable and prosperous society.

Table 2.4   Contributions of Tertiary Education to Economic and Social Development

Tertiary Education's Key Contributions To New Zealand's Economic And Social Development
1. Cultivating the intellect and personal well-being
2. Reducing inequality
3. Preserving, renewing and transmitting culture
4. Building research capability and creating new knowledge
5. Responding to the needs of the labour market
6. Supporting business and industry development
7. Promoting social cohesion

(Tertiary Education Advisory Commission (TEAC), 2000, p. 6).

This represents a restatement of the earlier "Elements required…", "Key Themes", and "Guiding Principles" (refer Table 2.11) in the sense that they are all different perspectives on the problem of achieving equality and well-being.

R1 highlighted that the tertiary education system requires a clear strategic direction and that further emphasis would be placed on the alignment of the tertiary education sector in response to the needs of society and the economy. Government stressed the wish to be more actively engaged with the tertiary education system, and it was proposed that TEAC would examine mechanisms to enable such engagement in a manner that respected the principle of autonomy (Tertiary Education Advisory Commission (TEAC), 2000).

Further, it proposed the establishment of the Tertiary Education Commission (TEC) and identified the functions it might undertake. It discussed the Government's perceived need for a greater clarity of roles and responsibilities within the tertiary education system. R1 signalled that all publicly funded or regulated tertiary education providers should be required to produce an agreed public statement of their distinctive character and contribution to the tertiary education system as a whole. It was mandated that

TEAC would examine what these statements should cover and how they should be brought into line with the government's perspective. The way in which TEIs were to relate to each other, as well as to Government and a wide range of stakeholders, was again emphasised in this report:

> The tertiary education system, and the tertiary education providers within it, should be actively engaged with the research community, business, industry, whānau, hapū, iwi, Māori and the wider community outside the system. Effective engagement may require incentives and will need to be verified on an on-going basis (Tertiary Education Advisory Commission (TEAC), 2000, p. 5).

Whilst it would be difficult to argue with many of the intentions of R1, a lack of specificity throughout is notable. A submission from the University of Canterbury clearly articulates this:

> It would be almost impossible to quarrel with the overall direction of Shaping a Shared the Vision, which in effect says 'we want a good tertiary education sector.' Characteristics such as commitment to excellence, commitment to the nation's future, wide participation, a sense of partnership with interested parties, and recognition of the Treaty of Waitangi are hardly a matter for debate. The only point here which might provoke discussion is the endorsement of cooperation and collaboration in contrast to competition, a point in which the university agrees. Let us stipulate, then, that the points given in Shaping a Shared Vision are self-evidently desirable (Burrows, 2000, p. 1).

2.3.1 Leadership, Intervention and Steering

Leadership, intervention and steering are three of the major key themes in this report. TEAC argues that it is necessary to intervene in order to provide strong leadership that steers the tertiary educational sector in a direction that will be of social and economic benefit to society as a whole. This may be accomplished through a number of different mechanisms: monitoring of existing structures, introduction of new structures, and creation of educational competition. Kuiper (2001) argues that the university as a creator of economic growth has been embraced as a mechanism by which a country

augments its human capital, to better compete in the global economy. However, (Carnoy & Levin, 1976; Giere, 1994; Meade, 2003) warn that intervention which aims to steer university education has its limitations. When discussing globalisation and the fear of homogenisation in education, Lingard and Rizvi (1998) point out that policy-makers are limited by political imperatives of the government in power where a competitive international economy takes precedence over national policy issues such as education.

Managerial and bureaucratic intervention has put increasing strain on academic staff, who report that bureaucratic changes have resulted in an increased demand for documentation to demonstrate accountability, efficiency and quality in all areas of academic operations (Adams, 1998; Coady, 2000a, 2000b; James, 2003; Marginson, 2000b; Taylor, Gough, Bundrock, & Winter, 1998). This increased requirement for documentation consumes their limited resources.

Furthermore, academic staff maintain that policy-makers need to be aware that a complex tertiary sector is not easily changed. Easton (1997) argued that academics find it difficult to deal with authoritarian pressures because by their very nature they want to respond and debate, whereas to be "steered" implies the elimination of resistance. Coady (2000b) points out that academics perceive there is a decline in democratic, consultative and open processes and an increase in authoritarian, top-down decision-making procedures. This is aligned with the resurgence of what has been referred to as older style hierarchical, rule-bound bureaucracies (Hood, 1995)

As academics respond to these mandates, they redirect their own activities towards applied fields where immediate market demand is strong, at the expense of core disciplines (Macintyre & Marginson, 2000). Peters and Roberts (1999) warn of universities being forced to adjust their priorities to fall more in line with changes in the global marketplace. Coady (2000b) goes even further by raising the concern of a threat to the university itself. He questions the notion that universities are worth having at all, if they are forced too far away from their traditional roles and functions. Vice Chancellors have become Chief Executive Officers, academic administration staff have become governors, and faculty secretaries have become faculty managers.

Kickert (1995) discussed an alternative approach adopted in the 1980s by the Dutch Ministry of Education and Sciences called "steering at a distance". This concept was

dramatically different from methods discussed above. Higher education institutions were given more autonomy and self-responsibility. This resulted in major changes in the sector. The Dutch government assumed a lesser role, enabling other stakeholders to become more involved. This is an example of the leadership style TEAC aspired to, but as later chapters will discuss, failed to achieve.

2.3.2   Access

The terms "access" (and "participation") are in common use, but they do not have a clear or shared meaning (Gorard et al., 2006). Access is one of TEAC's key themes and a key concept throughout "higher education" worldwide (Altbach, 2004; Coombs, 1985; Deer, 2005; Duke, 2005; Ertl, 2005; Gallacher, 2006; Greenbank, 2006; Johns & Green, 2009; Keep & Mayhew, 2004; Osborne, 2006; Redmond, 2006). Access has a different meaning to that attributed to it a decade ago (Schuller, 1991a). It is no longer a question of simply providing more spaces at institutions - blindly increasing student capacity - but instead targeting educational opportunities in order to steer the classroom representation towards those who have historically been under-represented. Attempts to widen access to university education have met with resistance over the years. Increased access is to do with numbers, wider access is to do with social distribution (Schuller, 1991a). For example, women in the United Kingdom were only admitted to Oxford with full status in 1920 and to Cambridge in 1946. In New Zealand universities today, women outnumber men at the undergraduate level of study (Ministry of Education, 2006c). This has occurred without policy directives.

It has been suggested that students from high-decile schools are more than four times as likely to go to university than their low-decile colleagues (Hann, 2007). In the 1970s Carnoy and Levin (1976) argued that without structural changes in the schools, the addition of resources alone would have little effect on the distribution of outcomes. In New Zealand, Hann (2007) reported that European and Asian students were more likely to go on to tertiary education than Māori and students of Pasifika descent. While correcting this inequality would create a more socially-inclusive and balanced university educational environment, the level of social change and upheaval required is likely to be enormous. Increased access without cultural changes to inspire students into a mindset of learning is not enough. What has resulted in past attempts (to increase access) is that

students are no longer a gifted and motivated academic group. They are much more like school students in their range of ability (Ramsden, 1998). Over twenty years earlier, Carnoy and Levin identified this failing: "[there is a] pervasive theme that educational reform is limited in its ability to produce social change" (1976, p. 10). While Kuiper (2001) argued that increased access has extended the advantages of higher education to more people, she warns this may be at the cost of diluting what it previously offered to a more elite group.

In 1994 the Ministry of Education reported on recent (at that time) attempts to address these issues, with some success being noted: The growth of tertiary enrolments has been accompanied by improvements in the access of a range of historically disadvantaged groups to post-compulsory education and training (Ministerial Consultative Group, 1994). However, ten years on, imbalances still existed. In 2004, Keep and Mayhew (2004) argued that the percentage of university students coming from the lowest socio-economic groups was little different from what it was in the mid-1960s.

Te Wānanga o Aotearoa (Wānanga) are a Māori-driven response to Māori educational needs (Ministry of Education, 2005a). Middleton (2007) makes the point that the government's reduction of funding towards wānanga at certificate-level programmes is where funding is most needed to assist in the achievement of equity for Māori and Pasifika students. It is this certificate-level of higher education that is characterised by high numbers of Māori and Pasifika students. Furthermore, the completion of the first year in a tertiary education institution (TEI) is one of the critical elements of the continued success of these students who are currently under-represented.

A brief overview of a number of other countries illustrates that this problem is not unique to New Zealand. In Wales, Gorard (2005) suggested that, to make higher education reflect more closely the social background of the population as a whole, the solution should not be sought in higher education itself, but in schools, families and economic policies. In their study examining patterns of participation in higher education in Wales, Rees and Taylor (2006) found that the growth in student numbers could be interpreted as "reflecting favourably" on the Welsh higher education system. However, in the light of the evidence presented, there is little indication that the policies adopted in Wales have impacted significantly on the social composition of higher educational

institution there. Likewise, in Germany, Ertl (2005) found that whilst quantitative sources indicated a constant increase in student numbers, evidence showed that this growth was uneven and differentiated.

Similarly, Bowers-Brown (2006) advised that the increase in participation in the United Kingdom has done little to balance rates of participation by socio economic groups. Gallacher (2006) confirmed that widening access has also been an important policy objective in Scotland over the last 20 years, and that while there is evidence that high levels of participation have been achieved, there is also evidence of persisting inequalities. Deer (2005) argued that in France, as in the United Kingdom, although expansion has occurred, it has largely failed to deliver the "democratising" effect that people had hoped for. Deer (2005) also draws attention to the fact that whilst higher education has expanded, this access has been into the less prestigious streams of the higher education system. Furthermore, whilst these students gain a higher education degree, the qualifications often carry little value in the job market due to the fact that there is much competition from others who have followed more selective higher education streams. Not only is this demoralising for the individual, it may have a detrimental effect at a broader social level. Universities are institutions of the mind, and while there are compelling moral reasons to seek diversity, the most effective arguments in favour of diversity tend to be those related to academic quality and ideals (Dill, 2000; Duderstadt, 2003).

All of the above examples support Wax (2009) in her argument against the school of thought that the government must be the main driver in reducing persistent inequalities. Wax argues that such efforts have failed, cannot bring equality and should not be so high on the political agenda. In contrast, Osborne (2006) argues that in Northern Ireland, higher education policy tests the extent to which political parties are serious about managing their fractured society. This supports the argument that the achievement of quality in higher education is at the mercy of political agendas (Alvesson & Willmott, 1996).

As of 2004 there were approximately two million students worldwide studying outside of their home country and is has been reported that that number may increase to eight million by 2025 (Altbach, 2004). In line with this trend, New Zealand saw a dramatic

increase in the number of international students enrolled in tertiary institutions during the 1990s (Meade, 2003). These students have their own unique "access" issues. They have not completed the New Zealand entry requirements yet are often young and do not have the other life experiences that are part of the other normal routes of entry. International students have significantly greater difficulties adjusting to New Zealand academic requirements, particularly in the areas of study methods, independent learning, participation in the educational environment, and language skills (Beaver & Tuck, 1998). Most of these differences stem from different learning preferences and styles from their home countries. Ward and Masgoret (2004) found that more was needed to be done for international students for them to feel included in their educational environment. Whilst some of these findings are dated (Beaver & Tuck 1998, Meade 2003, & Altbach 2004), they form part of a trend that is the product of our evolving society.

Seeking support for academic and personal matters can be difficult for these students. Western notions of support and advisory services may be foreign in concept to many international students, and are therefore often under-utilised by international (particularly Asian) students (Meade, 2003). Marriott, du Plessis, and Pu (2010) argue for the need for government to manage international student needs and expectations. However, there is concern that some tend to regard international students, particularly Asian students, as a homogeneous group (Beaver & Tuck, 1998). Yet international students in most universities are increasingly diverse in many ways with widely varying needs.

R1 provided a conceptual overview of the government's vision for the tertiary sector, endorsing the view that tertiary education needed to contribute to the country's social and economic development. The Minister's response to this report was to confirm that the government needed to engage with tertiary institutions as an active partner and give "clear strategic leadership" (Maharey, 2001b). From the outset it was apparent that the government intended to use intervention and steering mechanisms in their role in the tertiary sector.

Access has also been discussed above. While much of the literature bemoans the failed attempts (in their opinion) by government to enhance access to tertiary education,

increased access and wider participation are difficult issues that still need to be debated. There are those who consider that it is not just the government's responsibility to address society's educational needs, some see the responsibility extending to every individual within society. Access to education starts with a parent reading to a child.

2.4 Report Two: Shaping the System

The vision and initial conclusions from R1 were built upon in their second report, *Shaping the System* (R2), which provided a framework for reforming the tertiary education system. R2 was produced in February 2001. Here, emphasis was placed on what TEAC considered to be the necessary mechanisms, policy instruments and structures to help the government and other stakeholders work together in steering the development of the tertiary education system more effectively; for example the proposed recognition of the Treaty of Waitangi and the initiation of efforts to fulfil the government's obligations under the Treaty to provide equal opportunities to all New Zealanders regardless of race (refer 2.9.1).

This report went on to outline what TEAC considered to be the six key weaknesses in existing policy tools and central steering instruments. It stated that "a totally new approach was required to allow for more effective engagement and steering of the system by government and stakeholders" (Tertiary Education Advisory Commission (TEAC), 2001d, p. 7).

Table 2.5   Problems with the Current System

Problems With The Current System
1. An excessive reliance on a demand-driven funding system and competition between providers
2. Weak central-steering mechanisms
3. A lack of regulatory coherence
4. A failure to fulfil Treaty of Waitangi obligations
5. Inequitable access
6. Inadequate resources

(Tertiary Education Advisory Commission (TEAC), 2001d, p. 8).

The main purpose of the report was to develop an outline of a proposed Tertiary Education Strategy (TES) and the steering mechanisms, policy instruments and structures required to implement six of the "conclusions" specified in the first report. This was to allow for more effective engagement and steering of the system by the government and stakeholders. TEAC advised that to deal with its current problems and to face the challenges posed by major trends, the tertiary education system needed to be better steered. The five principles to be used to drive policy development were then identified as "broad objectives", which were to form the basis of a tertiary education strategy:

Table 2.6   TEAC's Broad Objectives

TEAC's Broad Objectives
1. Using the limited resources available to the tertiary education system in a strategic manner and, in so doing, minimising waste and unnecessary duplication of services
2. Ensuring that the system remains responsive to the demands placed on it by the government and other important stakeholders
3. Ensuring that the system meets international standards of excellence in both research and learning
4. Ensuring that the system is accessible to all New Zealanders and provides appropriate recognition of learning
5. Ensuring that the system operates in a manner consistent with the principles of the Treaty of Waitangi

(Tertiary Education Advisory Commission (TEAC), 2001d, p. 17).

Again, these broad objectives were largely a re-presentation of previous lists. TEAC also specified eight key proposals for the tertiary education system. The first four recommended changes are an integrated package of measures designed to address the serious problems and challenges facing the tertiary education system, while the remaining four are more directed towards future goals.

Table 2.7   TEAC's Key Proposals

TEAC's Key Proposals
1.   The creation of a new intermediary body, the Tertiary Education Commission (TEC), with responsibility for the whole tertiary education system
2.   The application of a system of functional classifications of tertiary education activities
3.   The strengthening and expansion of the application of charters
4.   The introduction of profiles of the activities of providers, as the basis for funding
5.   TEC would enable an integrated and strategic approach to tertiary education
6.   Functional classifications would enable greater differentiation, specialisation, and clarity of roles for providers within the tertiary education system
7.   Strengthened charters would enable the recognition of the particular distinctive character and responsibilities of individual providers
8.   Profiles would enable the steering of funding in a manner that reflects both national and local priorities and demands, and promotes focus and specialisation

(Tertiary Education Advisory Commission (TEAC), 2001d, p. 5).

It is noteworthy that these represent a deviation from the format of R1. While R1 discusses leadership, intervention, steering and access, the key themes identified by TEAC in R2 relate to steering, power and control (refer Table 2.11).

The proposed strategy consisted of fifteen guiding principles, eight key proposals, five broad objectives and offered ninety-seven recommendations. R2 concluded by acknowledging the need to market tertiary education institutions, and to steer funding to reflect national priorities and demands, through power and control (Tertiary Education Advisory Commission (TEAC), 2001a). Subsequently, Maharey (2002) criticised the TES for its lack of clear strategic direction through the use of imprecise objectives. Certainly, a large number of new terms and lists have at this point been introduced, which had the potential to create confusion amongst even the most expert reader.

2.4.1 The Report's Recommendations

Further details concerning the ninety-seven recommendations were discussed in this report, including its key recommendation that the Tertiary Education Commission (TEC) be established as an Autonomous Crown Entity. It was to provide: strategic policy and regulatory advice, allocation of funding, monitoring of performance, research, facilitation and leadership. A second recommendation (in line with the government's wishes) was to reduce competition between institutions, thus promoting greater efficiency through a more clearly-defined role and disciplinary specialisation on the part of providers. This led to the introduction of two major documents for each institution: Charters, and Profiles. These were designed to steer funding in a manner that reflected both national and local priorities and demands, in light of unique distinctions between the eight universities.

2.4.2 Charters

Charters are public documents which outline the institution's contribution in terms of the Tertiary Education Strategy (TES) and Statement of Tertiary Education Providers (STEP), whereas a Profile describes in greater detail the organisation's strategic direction, activities, policies and performance targets. These two documents are now central to reporting and demonstrating accountability for the use of public funds in universities. It was also recommended that whilst TEC should be responsible for providing the functions listed above, assuring the quality of tertiary education should be a separate function.

TEAC argued that to safeguard and improve the quality and accessibility of the tertiary education system and its relevance to New Zealand's national interests, there should be a more integrated and strategic approach to the funding and regulation of tertiary education. Such an approach should be designed to promote effective use of resources, enable both national and local responsiveness, promote excellence in knowledge production and application, recognition of learning throughout life, and enable the tertiary education system to operate in a manner consistent with the principles of the Treaty of Waitangi (Tertiary Education Advisory Commission (TEAC), 2001e).

TEAC opined that pre-existing structures and policy instruments in tertiary education provided little opportunity to exercise discretion in the allocation of funding. TEAC

argued that although demand-driven funding had supported increased levels of participation, it contributed to financial difficulties, duplicated programmes and threatened the quality of research. Emphasis was again placed on the importance of "stakeholder engagement". Notably, TEAC advised that "These imperatives must be carefully balanced with the important principles of provider autonomy, academic freedom, and responsiveness to local and regional needs" (Tertiary Education Advisory Commission (TEAC), 2001e, p. 8). Because some of these objectives may at times be in conflict (for example, academic freedom and responsiveness to stakeholder needs), it may prove difficult to achieve the desired balance.

In R2, TEAC acknowledged that they had considered possible concerns and objections with respect to its proposals. However, they did not consider any of them "warrantable" enough to require modification (Tertiary Education Advisory Commission (TEAC), 2001d). Furthermore, R2 outlined what TEAC considered to be the six key weaknesses in existing policy tools and central steering instruments for the tertiary education system. They argued that a new approach was required for more effective engagement and steering of the system by government and stakeholders (Tertiary Education Advisory Commission (TEAC), 2001d). Again, the emphasis was directed towards marketing TEIs and steering funding reflect national priorities and demands.

2.4.3   Treaty of Waitangi

TEAC considered that the tertiary education system must be designed in a way that expresses the core values and expectations of New Zealanders for their society and economy – specifically with regard to the Treaty of Waitangi (Tertiary Education Advisory Commission (TEAC), 2000). The frequent reference to the Treaty of Waitangi throughout their four reports indicates the importance of these objectives.

The Treaty of Waitangi is a founding document of New Zealand. Signed between the Crown and the Māori people in 1840 at Treaty House in Waitangi, Bay of Islands, it established a partnership between the two peoples. Consisting of three articles, the Treaty granted the Crown sovereignty over New Zealand, the Māori signatory chiefs' ownership of their lands, treasured and continued chieftainship, and it stated that Māori will sell land only to the Crown. Though deceivingly simple, the different interpretations of the Treaty in its two languages (Māori and English) has resulted in

significant conflict over the years. In an effort to resolve this conflict, the Treaty of Waitangi Act came into force, establishing the Waitangi Tribunal. Concrete outcomes are the acceptance of Te Reo Māori (the language of Māori) , the incorporation of Māori protocols in carrying out business, and the emergence and growth of a semi-independent Māori education system that extends into the tertiary level (Ministry of Education, 2007b; Organisation for Economic Co-operation and Development, 2008).

2.4.4   Academic Freedom and Institutional Autonomy

 "Academic freedom" and "institutional autonomy" are often spoken about interchangeably. Academic freedom is a traditional academic value (Bridgman, 2007; Fletcher, 1968; Miller, 2000; Ramsden, 1998) which is generally defined as that aspect of intellectual liberty that relates to the teaching and scholarly activities of the academic community. It is based on the premise that the role of critic and conscience of society can only be accomplished in an environment entirely free from administrative, political, or religious constraints on thought or expression (Duderstadt, 2003). It is a fundamental principle of the university (Pickering, 1967).

Marginson (2000b) argued that self-regulation is consistent with the traditional values of academia. He goes on to note that people who manage their own work are more likely to take the initiative necessary to secure institutional objectives. This freedom of expression (intellectual inquiry) is fundamental to academe and its on-going benefit to society (Macfarlane, 1995). It is an instrument through which the university can more effectively pursue its public purpose and needs to be recognised as a mechanism that enables universities to meet their responsibilities more effectively (Adams, 1998; Shapiro, 2005). United Nations Educational, Scientific and Cultural Organisation (1997), whose mission is to contribute to the building of peace, the eradication of poverty, sustainable development and intercultural dialogue through education, the sciences, culture, communication and information, defines autonomy as the degree of self-governance necessary for effective decision-making by institutions of higher education regarding their academic work, standards, management and related activities consistent with systems of public accountability, especially in respect of funding provided by the government, and respect for academic freedom and human rights.

According to the Organisation for Economic Co-operation and Development's (OECD) thematic review of tertiary education in New Zealand (Ministry of Education, 2006b), the system is built around recognition and acceptance of a high degree of institutional autonomy and clear statutory requirements for accountability and disclosure. However, the academic literature (Bridgman, 2007; Fletcher, 1968; Malcolm & Tarling, 2007) suggests that this "right" is at risk. There is a serious cause for concern if pressure is being placed on academic institutions and their staff to *only* say what is politically acceptable. Bridgman (2007) argues that policymakers in higher education remain infatuated with using discourse which is problematic for academic staff. Staff consider government's articulation in this way poses a direct challenge to their academic freedom and institutional autonomy. Narayan (2006) maintains that academic staff spend a great deal of time and effort attempting to meet the statutory obligations behind this discourse and responding to government policy and funding requirements.

R2 endorses the understandings of the notion and practice of academic freedom, the critic and conscience role of the university, and the key part played by autonomous tertiary institutions in both creating and being a repository of valued socio-cultural and economic knowledge. Subsequent reports in this series appeared to advocate stronger strategic intervention which conflicts with, and undermines academic freedom and autonomy.

The notion of academic freedom can be understood in a number of ways. The concept has, in the New Zealand context, become legislatively defined and is possibly taken as an identified given in the university context. The New Zealand Education Act 1989 provides statutory protection of academic freedom. While there have been a number of amendments to the 1989 Act, the statutory definition of academic freedom had remained constant, with three distinct provisions.

First, there is the freedom of academic staff and students, within the law, to question and test received wisdom, to put forward new ideas and to state controversial or unpopular opinions ("Education Act 1989, s161(2)a,"). Academic freedom, in its strongest form, implies the absolute personal right to pursue the truth wherever it may lead, uninfluenced by management, and accountable only to a community of scholars (Bridgman, 2007; Ramsden, 1998; The Association of University Staff of New Zealand,

2008). Second, the legislation guarantees the freedom of academic staff and students to engage in research. The third relates to institutional autonomy. Put simply, the concept of academic freedom as enshrined in the New Zealand legislation incorporates the notion of evidentially substantiated free speech, the right to conduct research without reasonable compulsion or prohibition, and the independence of the institution to govern, operate and staff itself according to its own criteria.

However, academics argue that the days of collegiality and unrestrained academic freedom are gone (Brett, 2000). Whilst it is recognised that an effective academic environment requires a certain approach to the management of people and resources, there is much debate over the style of such management. With "intervention", "steering", "power" and "control" being key themes in three of TEAC's four policies "academic freedom" has become a contradictory concept which has been converted into a totemic symbol for resistance against managerialism by academics (Taylor et al., 1998).

For universities in New Zealand, indeed everywhere, academic freedom remains essential. The concept is now seriously endangered as commitment to key stakeholders, adherence to various "equity targets", and compliance to Treaty of Waitangi "partnership principles" take precedence over academic independence and the university's role as a critic and conscience of society (Openshaw & Rata, 2008). Olssen (2002) argues that genuine academic freedom has been eroded by the introduction of the culture of managerialism in universities.

Bridgman (2007) further argues that at the level of government policy, academic freedom means the freedom to generate revenue which threatens a long-held understanding of academic freedom which positions university faculty as detached from the "corrupting" influences of external stakeholders such as industry and government sponsors, and an emphasis on financial profit.

The university serves not merely to create and disseminate knowledge, but also to assume an independent questioning stance toward accepted judgements and values. To facilitate this role, universities have traditionally maintained their institutional autonomy as part of the social contract between the university and society. This is based on the

value of independent teaching and scholarship that must accept controversy, and a lack of consensus that is not only tolerable, but also a norm (Duderstadt, 2003).

2.4.5 Power and Control

Power and control are key practical themes in R2. The government controls institutional funding while the universities exert control through an ability to provide objective social commentary. Politicians are at the mercy of public opinion, whereas a key responsibility of academia is to express the unpalatable without fear of recrimination. This provides a sometimes difficult relationship when perspectives are at odds.

Bruce Jesson, a consistent critic of New Zealand universities, admonishes academic staff for their conformity and lack of intellectual courage - New Zealand intellectuals rarely move outside established patterns of thought within their education institution and the society that supports them. He asserts that without this "critical independence" society fails to engage in debate and discussion that questions its values and beliefs, and that challenges the sources of power and authority (Jesson, 1997). In simple terms, he believes academic staff in this country need to become more outspoken and publicly visible. Brett (2000) argued that the interest of most of those pushing for university reform is in *power* and how it operates, rather than *knowledge* and how it is produced. Both Jesson and Brett are arguing, in their different ways, for academic staff to become more engaged in the educational debate.

The summary of conclusions in this report mapped out in further detail the policies which were intended to influence change towards the vision stated in *Shaping the System (R2),* signalling that TEAC considered additional mechanisms, policy instruments and structures were needed to allow the tertiary education system to be steered more effectively. The changes proposed placed the tertiary education system at the very centre of the nation's drive to become a knowledge society, which, according to Middlehurst and Woodfield (2006) is a policy aspiration of most governments across the world. TEAC recommended eight key proposals that were intended to shape the tertiary education system by addressing the serious problems and challenges facing the system. This report concluded there was a need to market institutions and steer funding to reflect national priorities and demands.

2.5 Report Three: Shaping the Strategy

TEAC's third report, *Shaping the Strategy* (R3), was released in July 2001. It addressed the priorities and objectives for tertiary education, as well as the form and content of the TES. For example, Te Rautaki Matauranga Māori – to contribute to the achievement of Māori development aspirations. The key themes identified in this report were the production of skills, knowledge and innovation, and meeting the needs of labour markets. As part of TEAC's work on developing their future strategic direction for New Zealand's tertiary education system, R3 recommended the development of a TES to advance the country's strategic goals.

Recommendation One identifies the five national strategic goals for New Zealand:

Table 2.8   TEAC's National Strategic Goals

TEAC's National Strategic Goals
1. Innovation (At individual, enterprise, national and global levels)
2. Economic Development (At individual, enterprise, community/region and national levels)
3. Social Development (At individual, community/region and national levels)
4. Environmental Sustainability (At individual, enterprise, national and global levels)
5. Fulfilling the obligations of the Treaty of Waitangi (At individual, enterprise, community/region and national levels)

(Tertiary Education Advisory Commission (TEAC), 2001c, pp. 6, 8, 14).

R3 recommended a set of strategic priorities for the tertiary system, in order that it contributes to the five national goals for economic and social development (as per the above table). They were discussed in detail in this report alongside the twenty recommendations that were made (refer Table 2.11). The report concluded that the tertiary education system's focus should be on producing the skills, knowledge and innovation that New Zealand needs to transform the economy, promote social and cultural development, and to meet national and international labour market needs.

R3 outlined the plan and the priorities for the tertiary education system. It provided a framework for an overall approach to New Zealand's tertiary education system from the

government's perspective, including the instruments required for achieving this, (Tertiary Education Advisory Commission (TEAC), 2001a). It was a wide-ranging strategic document that sought to connect the Government's long-term socio-economic vision to the capacity-building role of the tertiary education sector. This report also identified what TEAC considered tertiary education priorities: building the quality of learning, building stronger bridges into tertiary education, enhancing research quality and linkages, and developing the skills and environment for a distinctive knowledge society.

As outlined by the Minister in his introductory comments:

> The focus of the tertiary education system will now be to produce the skills, knowledge and innovation that New Zealand needs to transform our economy, promote social and cultural development, and meet the rapidly changing requirements of national and international labour markets (Maharey, 2001b, p. 1).

R3 identifies a number of issues that are of particular relevance to this study as to whether the policy intentions have achieved the outcomes sought. The alignment of tertiary education with national strategic goals in relation to economic and social development and the Treaty of Waitangi, environmental sustainability and the need for innovation and flexibility are central (Tertiary Education Advisory Commission (TEAC), 2001c). The report signalled the need "to respect institutional autonomy [and to] protect academic freedom" (Tertiary Education Advisory Commission (TEAC), 2001c, p. 11), whilst connecting and rewarding activities that more closely reflected and enhanced the aspirations of government. TEAC argued that "the development of new strategies for the tertiary system cannot be undertaken without continued dialogue with the sector and the public... TEAC encouraged wide-ranging debate" (Tertiary Education Advisory Commission (TEAC), 2001c, p. 1).

TEAC, in essence, announced that a paradigm shift was needed across all areas of tertiary education. The report recommended a set of strategic priorities for the tertiary system, so that it contributed to the national goals for economic and social development that TEAC considered necessary if New Zealand was to compete successfully in a global environment (Tertiary Education Advisory Commission (TEAC), 2001c). TEAC

reiterate that the development of new strategies for the tertiary system could not be undertaken without continued dialogue with the sector and the public (Tertiary Education Advisory Commission (TEAC), 2001c).

2.5.1 Monitoring, Evaluating and Performance Indicators

Monitoring and evaluating are management tasks. Valadex and Bamberger (1994) defined monitoring and evaluating as internal programs intended to determine whether implementation has been achieved as planned. Monitoring invites regular feedback within a prescribed timeframe and budget, and is used to assess and improve performance. Evaluation procedures are presented as promoting accountability, improvement, or both. Traditionally, in the university's context, evaluation was determined through peer review and the international community of scholars as opposed to external agencies (Ramsden, 1998). Such methods of self-government and professional determination of standards is rapidly being replaced by stronger central administrative control and a more stakeholder-driven view of quality. It has long been recognised that teachers should be held accountable for the performance of their students (for example) along with the students themselves, but as Ehrlich and Frey said "…outstanding teachers go beyond any measure of accountability, inspiring students to set new standards of their best" (1995, p. 28).

Evaluation encourages compliance to government policy preferences or the preferences or policy of various stakeholders such as professional bodies. Government is usually the most important and powerful stakeholder in tertiary education because it is the major funding provider.

This contrasts with quality assurance mechanisms, which can be used by governments to put pressure on institutions to take account of political priorities (Sursock, 2002) - government policy attempting to micro manage universities and requiring them to conform to certain practices and to pursue government priorities (Karmel, 2001) are of considerable concern to academic staff. Whilst a certain amount of bureaucracy and the associated workload seems unavoidable, the increased emphasis on accountability and reporting not only adds to pressures of teaching and research, and also somewhat trivialises academia (Coady, 2000a). For example, Coady (2000a) referred to figures from The University of Sydney illustrating that the proportion of administrative to

academic staff in that university had grown from 23.6 percent in 1980 to 94.5 percent in 1994. Miller (2000) argues that the incessant demands on academics, with initiatives such as "accountability mechanisms" and "quality audits" have led to a loss of genuine efficiency in teaching and research because of the over-administration. This, in turn, contributes to the erosion of academic values and morale.

Cranton (2006) suggests that evaluation may be objective, interpretive or subjective. L. Harvey (2002) says that evaluation may be internal and external. Trow (1996) argues that internal processes and assessments are more accurate than those done by outsiders. The only commonality here is that monitoring and evaluating can be almost anything; the only importance appears to be consistency in method. Objectives are the quantifiable benchmarks that determine whether a programme has been successful (Valadez & Bamberger, 1994). The problem is that universities may have different objectives from those of the government (Dixon & Suckling, 1996). For example, it may be a valid opinion that critical thinking skills are, or indeed should be, core outcome measures of a university education. However, governments' objectives may be quite different to this.

An indicator tells us whether a process or activity is working in the way that is intended or not. The need for performance indicators arises when universities are funded by governments who expect to see a return on their investment (Karmel, 2000). Dixon and Suckling (1996) point out that governments do not provide education and research, academics in universities do. Here they are suggesting that the academics are the experts on educating and that the government may not have the required knowledge to decide how monitoring should be carried out. This is an example of what Coady (2000b) refers to when he says management are independent of what is being managed. When the wrong parameters are monitored, for example numbers of students awarded degrees, versus student ability as measured by the quality of their performance; there is a risk that other important measures may be overlooked. Mitchell (1998) raises the concern that A-grades are more abundant than in the past, providing less information about student performance. This is an example of where quality is being sacrificed for quantity, something that most academic staff abhor.

In all of their four reports (R4 to be discussed below), TEAC emphasised the importance of monitoring and evaluating the tertiary system. They advised that whilst the Ministry of Education retained overall responsibility for education policy as a whole, monitoring the tertiary system would be the responsibility of TEC. They would constantly monitor and evaluate the effectiveness of the system and make amendments and adjustments as required. The large number of reports consequently produced highlights the emphasis given to monitoring and evaluating. To support this assertion they go on to philosophise:

> A relevant and robust tertiary education strategy and a stronger
> commitment to measurement and accountability require the development
> of a comprehensive set of desired outcomes for the tertiary education
> system linked to performance measures (Tertiary Education Advisory
> Commission (TEAC), 2001c, p. 29).

They go on to say that such outcomes and measures should describe how the tertiary education system contributes to the achievement of the national strategic goals. TEC can then use this information to assess the performance of the system as a whole. This information also affords providing a basis for determining the tertiary education priorities by evaluating where the system is under performing or where greater emphasis is needed.

Finally, TEAC noted that although certain parts of the tertiary education system have been subjected to some level of performance measurement, the system as a whole has not. Nor has the system's performance been explicitly linked to broader social and economic outcomes. They believe that since this approach is new, there is only limited information to base outcome upon. Some data have not been collected, and in other cases, the data are partial and incomplete. In order to adopt this approach to system performance measurement, TEAC asserted that the collection, storage and dissemination of information need to be improved and extended.

In the mid-nineties Johnson and Rush (1995) argued that "universities are living in an era of accountability", observing the progressive introduction of greater accountability at all levels of the university. The general emphasis has shifted from fundamental and applied research, to instruction service and enquiries from stakeholders, with the focus

now revolving around outcome measures and market applicability (Hines, 2005). Even for universities made famous by their traditional missions, stakeholder groups such as parents, employers, potential students, and politicians are seeking (and often insisting upon) quantifiable and verifiable indices of performance and success. Although monitoring of "higher education" is not a new issue internationally (Askling, 1997), or in New Zealand (Horsburgh, 1997), emphasis on it has increased in the last ten years (Bridgman, 2007; Patterson, 2001). Quantitative indicators of performance need to be precisely defined. Caulkin (2008) argues that what one chooses to measure is indicative of what one values. Whilst this may not always be the case, it often holds. In this context, one of TEAC's aims was to measure the performance of the tertiary system in terms of economic contributions. As has been argued by Benneworth and Jongbloed (2010), a narrow focus risks missing the wider picture of how tertiary education integrates into society. The problem with this approach arises when the behaviour is at odds with the university's purpose; for example, a fifty percent pass rate being mandated by TEAC, when less than fifty percent of the students are capable of achieving a pass – this may drive staff to lower standards. Distorting effects of frequent measurements may also encourage overproduction of highly measurable items and neglect the less measurable ones.

L'Etang (1995) argued that socially responsible organisations monitor stakeholder relationships, while Mintzberg (1994) argued that a lot of organisational goals do not lend themselves to measurement. Many of the benefits of a university education are long lasting and by nature difficult to measure. Perkins (1973) referred to the outputs of universities as "largely unmeasurable". Even tangible benefits such as employment and earnings can be difficult to monitor. Outcomes of research, for example, may be similarly difficult to measure in many cases and much of the quality of work relies on the neutrality of editors and referees (Courant, McPherson, & Resch, 2006). Bridgeman (2007) advised that instead of just looking at publications and teaching, some universities have recently added criteria including "inputs" and "impact". Further, it has been argued that managerial discourse requires academics to continually analyse their performance in terms of research "output" – where academics are "monitored", "managed", measured", and "evaluated" (Ashcroft, 2003; Fairclough, 2003). However, the evaluation mechanisms used will often be based on non-educational indicators or

government preferences for vocational relevancy. Peters and Roberts (1999) suggest that the tertiary education sector in New Zealand is subject to monitoring and reviews that govern the activities and behaviour of individuals. Further evidence highlights the concern that the university environment has become one designed to coerce [academic staff] into compliance (Ashcroft, 2003; Wodak & Meyer, 2001). The concern is about university activity not being driven by policy, but instead directed by the monitoring process. If so, the monitoring process has usurped policy. Academics within universities are likely to feel increasingly pressured to comply with the government's prescription for New Zealand's tertiary education sector because they are being so closely watched.

The design of performance measurement systems can either encourage a culture of high performance, or act as a barrier (Robson, 2005). In order not to be a barrier they have to be designed bearing the consequences in mind. This may be best achieved by understanding the organisations and their people (Agle, Mitchell, & Sonnenfield, 1999; Atkinson, Waterhouse, & Wells, 1997; Freeman, 1984). The information provided must assist in the process of enabling people to perceive an important part of their job as being "in control" of the performance of the systems in which they are involved (Benabou & Tirole, 2003).

Mermet, Bille and Leroy (2010) argue that policies need to be more focused on specifics in order to overcome the vulnerability of manipulation while Bruneau and Savage (2002) argue that performance indicators can be used as a control mechanism. Performance indicators and the desire to measure unquantifiable phenomenon such as learning are a form of control. When attached to incentives and behavioural adjustment schemes, they can also be seen as manipulation. This comes through as an issue later on in this thesis, when findings are discussed.

Harvey (2002) refers to "the politics of quality" in terms of the macro and micro agendas that accompany the introduction of quality monitoring processes. It is a fact that governments are subject to change every three years in New Zealand. This is a relatively short timeframe in which to be able to effect any change and see a difference, even a decade may be an insufficient time to evaluate the effectiveness of a policy. Walshe and Freeman (2002) question the highly variable effectiveness of government

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initiatives and the many challenges they present. They consider that without long-term commitment it is unlikely that such programmes will make much progress. While governments come and go, universities endure often for many centuries.

2.5.2   Labour Market Needs; Production of Skills, Knowledge, Innovation

These are key themes in R3. TEAC emphasise the importance of a *relevant* education that prepares students for a role in the labour market. While Gnuschke and Wallace (2004) argue that those with higher levels of education are more likely to participate in the labour market thus facing lower risks of unemployment while receiving higher earnings on average, this is not guaranteed (Kuiper, 2001). A university degree is not a ticket to success in the labour market.

Out of necessity, tertiary education is closely entwined with the labour market, but the objectives of tertiary institutions are far wider than can be encompassed by a mere job description (Berkowitz, 2006; Olssen, 2002). This change in emphasis has not affected New Zealand universities in isolation. Worldwide, countries have responded to the belief that there is an economic imperative in higher education (Kuiper, 2001). There is however a danger of confusing training with education. Ignoring the non-market benefits of higher education risks reinforcing a narrow ideology rather than a liberal one. Bridgman (2007) observes that such a narrow view of enterprise as being just a commercial exploitation, risks compromising traditional academic values, alongside eroding the relationship with academic staff.

Historically, all those engaged in higher education are concerned particularly with seeking new knowledge, but they also accept it as their task to relate together, in a general scheme, particular aspects of recognised knowledge (Fletcher, 1968). Higher education has always been concerned with conceptual knowledge, general principles, theories and abstractions (Berkowitz, 2006). It has been rooted in fact and developed by practical experiment, but the prime intellectual demand has been that the mind shall be interpretative as well as observant. It involves caution about claims to authority; respect for truth, objectivity and rationality, skill in argument, and an openness to follow argument where it leads. It involves awareness of the intellectual, cultural, and social context within which one thinks and acts as a professional. It also involves awareness of

serious alternatives to one's own personal and professional values, and reflection on one's reasons for working and living as one does.

Miller (2000) considered "corporatisation to be the death of the university" because this model transforms training students into business operations. Further, he argues that if this path is followed, universities will become "glorified training colleges" serving immediate needs of the job market - a concept fixated with by short-term economic needs, and bereft of any understanding of the nature and extent of knowledge. Knowledge is reduced to just having a functional value, either in terms of income for the recipients, or skills for the economy. Jesson (1997) argued that the academic is then less likely to be an intellectual, let alone call themselves one. He refers to many of them as becoming more like "technicians". This is a process which, as identified by Kuiper is on-going:

> If the direction of the government funding is taken as an indicator, in both New Zealand and the United Kingdom vocationalism appears to have triumphed over traditional liberal adult education. Government support is now directed primarily at courses which lead to credentials and enable people to gain or improve their positions in the paid workforce (2001, p. 73).

R3 emphasised that tertiary education is a major public investment in and by New Zealand. The key message in *Shaping the Strategy* was that the tertiary education system could no longer be isolated from the Government's wider goals and therefore needed to be more explicitly aligned with economic and social development objectives (Tertiary Education Advisory Commission (TEAC), 2001c). As well as providing a framework within which the tertiary education system should develop, the intention was that the TES would outline priorities and inform policy direction. It emphasised that tertiary education is key to all sectors of New Zealand life, including businesses, industries, schools, community organisations, research institutes, iwi and Māori organisations, and Pasifika communities.

2.6   Report Four: Shaping the Funding Framework

This final report, *Shaping the Funding Framework* (R4), discussed the implementation of the strategy, including issues of funding, co-operation and collaboration, and relevant courses and learning opportunities (Tertiary Education Advisory Commission (TEAC), 2001e). It was first made available in November 2001 and completes TEAC's advice to the Government on how to reshape New Zealand's tertiary education system to meet changing economic and social needs.

As with the previous three reports, the Government requested feedback before Cabinet decided on the shape of the new funding system. Building on the previous reports, R4 proposed a new funding framework to implement the reshaped tertiary education system, which was to be gradually introduced from 2003. With eight guiding principles, five stakeholder incentives, seven key proposals and seventy-seven recommendations (refer Table 2.11), the report followed in the same manner as the previous three reports with a rigorous emphasis on long lists with vague, imprecise goals.

The eight *guiding principles* were intended by TEAC to direct the development of the funding framework. They included the standard universal expectations of transparency, low transaction costs, risk reduction, and equitable access. They also extended to cover Treaty of Waitangi, academic freedom and provider autonomy.

Table 2.9   TEAC's Guiding Principles

TEAC's Guiding Principles
1.   Promote the desired steering of the tertiary education system
2.   Be transparent
3.   Have low transaction costs
4.   Assign financial risk where it is most appropriate
5.   Ensure equitable access to lifelong learning
6.   Promote allocative, dynamic, and productive efficiency
7.   Recognise and respect academic freedom and provider autonomy
8.   Accord with the principles of the Treaty of Waitangi

(Tertiary Education Advisory Commission (TEAC), 2001b, p. 5).

Elements of R4 that are particularly important to this study are the "relevance" of course material, the reshaping of New Zealand's tertiary education sector to meet the country's changing economic and social needs, and the implementation of specific measures to support the learning of Māori and Pasifika. A more-detailed account of how the tertiary education framework ought to change was provided in R4. It signalled the need to refocus New Zealand's tertiary education sector in terms of the implementation of the strategy, including issues of funding, cooperation and collaboration, and relevant courses and learning opportunities. The design was to create a tertiary education sector that would ensure that New Zealand would become a world leader in the "knowledge economy" and society (Tertiary Education Advisory Commission (TEAC), 2001a).

Brantlinger (2001) contributes to the literature in his exploration of how cultural studies in universities have diminished in accordance with the shifting economic, societal, and cultural trends. In Germany, universities offer a broad range of subjects, which are taught in a more theoretical and research-oriented way, making the degrees in most cases less directly relevant to specific occupational fields than vocational training institutions (Ertl, 2005). The issue of relevance raises fundamental questions about the role of the university and the expectations associated with a university education (Starkey & Madan, 2001; Yooyen, Piriani, & Mujtaba, 2011). The growing pressure for relevance of teaching and research is interpreted differently by individual higher education institutions and programmes (Teichler, 2003). Grey (2001) argues that universities will never satisfy the ever-increasing demands for relevance that are placed upon them as the government intervenes. Easton (2008) argues that it is unfortunate that much of the policy relating to tertiary education refers to vocational objectives in which the function of universities is to provide the skills and technologies for economic growth. Traditionally, there has been a clear distinction between university education and polytechnic training within New Zealand, but with this bringing together of different educational and training objectives, the question then arises as to why society needs both polytechnics and universities. This is at odds with the Ministry of Education's definitions relating to the "distinctive contributions" of different types of tertiary education institutions (as discussed later in Chapter Five, section 5.4, and paragraph one). Macintyre and Marginson (2000) refer to a study that found seventy-eight percent

of those students interviewed, who were planning to go to university, nominated employment-related reasons for their choice.

The focus on the development of vocational training, as opposed to education, is evident throughout TEAC's four policies. This issue is not a new one. One hundred and fifty years ago John Henry (Cardinal) Newman, in his great advocacy of liberal education, *The Idea of a University*, heaped scorn upon advocates of the utilitarian university:

> …they insist that education should be confined to some particular and narrow end, and issue some definite work, which can be weighed and measured. They argue as if everything, as well as every person, had its price; and that where there has been great outlay, they have a right to expect a return in kind. This they call making education and instruction 'useful' and 'utility' becomes their watchword. With a fundamental principle of this nature, they very naturally go on to ask, what there is to show for the expense of a university; what is the real worth in the market of the article called 'Liberal Education', on the supposition that it does not teach us definitely how to advance our manufacturers, or improve our lands, or to better our civil economy; or again, or if it does not at once make this man a lawyer, that an engineer, and that a surgeon, or at least if it does not lead to discoveries in chemistry, astronomy, geology, magnetism, and science of every kind (Newman, 1966 [1858], p. 125).

Porter and Vidovich (2000) argue that universities have been struggling for more than a century with the debate over excessively specialised and limited professional education versus a liberal education. In support, Molony (2000) argues against those who believe that students are entitled to demand courses and subsequently receive degrees which will give them the vocational training that suits their "perceived needs". This represents the ongoing debate of the place of vocational versus liberal education. To question the number of courses and degrees now offered is to invite being branded as an elitist who lacks a true perception of students' needs (Molony, 2000).

The importance of scholarly endeavour is often undervalued in the wider society. Like the tertiary education sector, New Zealand's economy in general has undergone major change and reform since the middle of the 1980s (Goedegebuure et al., 2008).

Governments expect more tangible economic and social returns from university education (McLaughlin, 2003). Marginson (2001) argues that universities must be more than instruments of economic growth. They should be producing individuals who are thinking about and testing the very power bases of society (Easton, 1997) whereas the Government want a well-trained workforce where the emphasis is on the production of skills.

2.6.1 Funding and Resources

Prior to 1990, a university education in New Zealand was available and provided for by the state at a minimal cost to the student. Most New Zealand university students paid a token fee and state funding also provided a high proportion of full-time allowances to offset living costs (Stephens, 1995). Bursaries and allowances were available to all those who qualified.

The seven key proposals (refer to Table 2.10 below) branched out to include some of the more contentious issues behind funding. The report also introduced some publicly unpopular concepts such as performance-based research funding (PBRF) and revisiting student financial support.

Research management systems often collide with actual research practices. Research that is driven by the desire to know – with work sustained by disciplinary traditions rather than money and management, and with research findings that are freely exchanged – has little in common with the ideals of the corporate organisation. Research is considered by some to have become an input-output system that does not extend the evolution of knowledge, or even achieve a closer synthesis of the knowledge and money economies. Research applications are massaged for funding, therefore the focus on research incomes (as the principal measure of activity) pulls management support and institutional activity away from low-income generating ideas in research, regardless of their respective academic merits (Marginson, 2000a).

Quantitative growth in measured research activity creates an inevitable trade-off between quantity and quality. Whilst it is important to maximise the number of publications, there is no motive within the funding system to maximise the quality. Hence, the projects that secure the most grants, or even the most income, are not

necessarily the same as the projects that generate the major breakthroughs, or produce works of lasting importance.

Performance-based research funding seems to have taken on the status of almost being an entity to many educators in New Zealand. It is a catchphrase that refers to the constraints that they feel they have to comply with in order to acquire and maintain their research funding. This in turn risks serving as a filter over what research academics are free to consider undertaking.

Perkins (1973) argued that a sentiment shared amongst universities has traditionally been that the scholar has the right to inquire freely into topics of interest and to come out with conclusions which run counter to popular opinion, or even what many would consider counter to public interest. Today, however, fundamental inquiry alone is not enough. It is only considered a good thing when aligned with immediate social and economic values, and therefore rewards. Universities are increasingly reconciling themselves to the need to become more entrepreneurial and inventive in finding resources (Bowen, 2005). Langtry (2000) considers that professorial appointments are now heavily influenced by grant-getting capacity and achievement. He further continues on to say that measures used in determining funding are over-simplified, and their influence on both the form in which people decide to publish their work, and the rewards to departments, results in inefficient allocation of resources and perceived unfairness.

Universities worldwide have responded to reduced public funding by recognising the need to manage effectively (Karmel, 2000; Ramsden, 1998). Because open-ended research programmes become difficult to sustain, they are rarely funded. However, in accordance with Marginson (2000b) funding, its amount, its method of allocation, and the terms and conditions attached to it, become the primary driver of the research.

Provision and distribution of funding and resources are always key themes in any policy. There is invariably limited funding, and the goal is to distribute that funding in such a way as to maximise the achievement of other goals. Whilst these issues are discussed in this thesis, they are not key areas of the investigation.

Table 2.10   TEAC's Key Proposals

TEAC's Key Proposals
1. To develop a unified and coherent funding framework for the tertiary education system, involving the following measures: ▪ The use of charters and profiles in conjunction with quality and desirability tests to steer the system ▪ The development of a new Single Funding Formula ▪ A comprehensive cost and funding category review ▪ A separate fund for financing Adult and Community Education
2. To separate much of the funding of tuition and research, and to reallocate the funding for research by means of a performance-based assessment system
3. To introduce a series of funds to support research: ▪ A Performance-Based Research Fund; and ▪ Two funds to support centres/Networks of Research Excellence (Models A and B)
4. To introduce a Strategic Development Fund (SDF) to assist in system innovation and management, to be partly funded by the discontinuation of the base grants for tertiary education institutions (TEIs)
5. To develop mechanisms to improve the quality, efficiency, and effectiveness of the system
6. To implement specific measures to support the learning of Māori and Pacific peoples
7. To review policies surrounding student financial support

(Tertiary Education Advisory Commission (TEAC), 2001b, p. 7).

These seven proposals provide a snapshot of the thinking behind TEAC's plans for funding and resources in the tertiary sector. The first four are directly related to the allocation of funding and are notably more detailed. The remaining three are brief and largely devoid of specifics, essentially just another listing: improving quality, efficiency, effectiveness, access, and student financial support.

While notions of the university's roles in society are enshrined in legislation, and hence subject to the whims of legislative change, in practice it is the funding (proposals 1-4) that government principally controls, and money translates to power.

The following table provides a more detailed overview of the four reports. While the key themes of the reports have been discussed already, the overall shape of the four reports warrants mention. In total 194 recommendations are made, with the vast majority in R2 and R4. These recommendations range from the macro level (for example, R4, Recommendation 58: "The Commission recommends that, over time, the quality benchmark for removal of funding be progressively raised") to the micro level (for example, R4, Recommendation 42: "The Commission recommends that any bonding arrangements be left to the discretion of individual firms and organisations"). Overall, the recommendations of The Commission read as a shotgun approach, where a large number of the recommendations are so specific as to render them having little impact on the tertiary education system as a whole. This affects the credibility of the small number of recommendations that may have a significant impact; it could even be argued that this may be the result of the competing interests of TEAC's members.

Table 2.11   TEAC's Policies 2000 – 2001

	Shaping a Shared Vision (R1) July 2000
Purpose:	To provide a conceptual overview of government's long-term strategic vision for tertiary education sector
Conclusion:	Need to engage as active stakeholders with TEIs providing leadership, intervention, steering, and access
Key themes:	Leadership, Intervention, Steering, Access
Outcome:	12 initial conclusions 15 guiding principles
	Shaping the System (R2) February 2001
Purpose:	To develop an outline of a proposed tertiary education strategy and the steering mechanisms, policy instruments and structures required to implement some of the 14 conclusions stated in the first report. However, the report concentrates on 6 of the 14 conclusions
Conclusion:	Need to market institutions and steer funding to reflect national priorities and demands. Steering, power and control
Key themes:	Steering, Power, Control
Outcome:	15 guiding principles 97 recommendations
	Shaping the Strategy (R3) July 2001
Purpose:	To recommend a set of strategic priorities for the tertiary system, in order that it contributes to the national goals for economic and social development
Conclusion:	The tertiary education system's focus should be to produce skills, knowledge and innovation that New Zealand needs to transform economy, and to promote social and cultural development and meet national and international labour market needs
Key themes:	Production of skills, knowledge and innovation Meeting labour markets' needs
Outcome:	5 national strategic goals 20 recommendations
	Shaping the Funding Framework (R4) November 2001
Purpose:	To build on the key themes put forward in the three previous reports, particularly the 5 national strategic goals and the tertiary education priorities
Conclusion:	To create a tertiary education sector that will help New Zealand become world-leader in knowledge economy and society
Key themes:	Intervention Resources (Provision and Distribution thereof) Funding
Outcome:	8 guiding principles 77 recommendations 7 key proposals

2.7   The Various Tertiary Education Commissions

2.7.1   The Transition Tertiary Education Commission

The second reading of the tertiary education reform bill was completed just prior to the early election of July, 2002. Parliamentary time constraints meant that the legislation could not be passed before the election. Originally planned to come into effect on 1st July 2002, the Tertiary Education Commission (TEC) was set up in a transitional format (called tTEC) until the legislation governing its existence could be passed through the House.

The Transition Tertiary Education Commission (tTEC) was a response to TEAC's second report, *Shaping the System*, that advocated the creation of TEC. The period started when Dr. Andrew West, then Chief Executive Officer of NZQA, and Chief Executive of the Institute of Geological and Nuclear Sciences from 1997 to 2000, was asked to head the tTEC early in 2001. Kaye Turner, former Deputy Vice-Chancellor (Academic) and Associate Professor of Law at Waikato University, then joined as Deputy Chair. tTEC was disbanded formally on 01st January 2003 when the legislation establishing TEC took effect. tTEC is not discussed further as there is no evidence of any significant contributions in relation to this study.

2.7.2   The Tertiary Education Commission

The Tertiary Education Commission (TEC) was established on 1st January 2003 under Section 159C of the Education Act 1989. The Minister responsible was the Minister for Tertiary Education the Right Honourable Dr Michael Cullen. The Associate Minister for tertiary education was the Right Honourable Jim Anderton. TEC was created as an autonomous crown entity to regulate, fund and monitor the performance of the tertiary system. It was intended that a primary function of TEC was to oversee implementation of the Tertiary Education Strategy (TES). TEC emphasised development of a more collaborative tertiary education sector that would help New Zealand become a world-leading knowledge economy and society. A TES document was developed, alongside a new funding formula with research and teaching becoming separate units. Institutional "charters" and "profiles" were introduced as a mechanism to help "steer" the system. Institutions were allowed to maintain autonomy regarding at what level to set tuition fees.

TEC is the lead agency for managing relationships with the tertiary sector and for policy development. Its role is to implement the tertiary education reforms (such as Tertiary Education Strategy and Statement of Tertiary Education Priorities) in conjunction with other government agencies that share responsibilities for the tertiary sector in New Zealand, for example, the Ministry of Education and New Zealand Qualification Authority (NZQA). It advises government on policies, priorities and sector performance and is also responsible for the distribution of funding from the government to tertiary education organisations as well as performance monitoring. It is TEC's responsibility to ensure the TES and STEP policies are implemented. TEC advise that they use performance indicators based on a shared understanding between education agencies and TEOs on how their contribution will be measured against the TES.

2.7.3   Tertiary Education Commission's Representation

It was proposed that the TEC be made up of a board of people with an understanding of the needs of industry, providers and the wider community, including those of Māori, and be supported by a secretariat (Maharey, 2001a). Eight people were identified who were each considered to have relevant experience and interests to the anticipated activities of the Commission. As with TEAC, it is important to understand the backgrounds of the Commissioners in order to gain an overall perspective of how TEC operated.

Commission Chair was Dr Andrew West who was leader of the Institute of Geological and Nuclear Sciences Ltd. Latterly, he was employed in the capacity of Chief Executive of AgResearch Ltd and current Adjunct Professor of AgriBusiness at the University of Waikato. His career spans education, science and innovation, agriculture, process manufacturing and tourism. He established the New Zealand Tertiary Education Commission (TEC) and was involved in running the New Zealand Qualifications Authority (NZQA).

Deputy Chair was Associate Professor Kaye Turner. She was Deputy Vice-Chancellor (Academic) at the University of Waikato. She has an academic background in law and has lectured in New Zealand and overseas.

Other Commissioners were:

John Blakely, the Chief Executive of the Forest Industries Training Organisation. He has broad experience in education at all levels particularly industry training. He has been involved in tertiary education and training and policy development giving him an overview of the sector. He is the Chair of the Industry Training Federation;

Shona Butterfield, whose background information can be seen in her note in TEAC's representation (refer above); and Jim Donovan, the Managing Director of an investment business, Isambard Ltd, a management and investment consulting company. He has held various senior management roles and is a strategy consulting partner with Ernst and Young. He was brought on board for his understanding of the needs of business in relation to skill development for business growth and their requirements of the tertiary education system.

Andrew Little is the National Secretary of the Engineering, Printing and Manufacturing Union. His involvement with the tertiary education sector includes being President of the Victoria University Students' Association and the New Zealand Universities Students' Association. He has also served on the Victoria University Council.

Tina Olsen-Ratana is the Manager of Te Kokiri Marae in Lower Hutt, which provides community education from Te Kohanga Reo to tertiary level training. She has also been a board member of NZQA and was the national Co-ordinator for the Association of Māori Providers of Training and Education.

Dr Ian Smith is the University of Otago's Deputy Vice-Chancellor (Research and International). He has experience in governance and executive management in industry and other areas of the public and private sectors. His experience includes the fostering of industry-tertiary sector relationships from both the university and industry positions.

The General Manager of TEC is Ann Clark, who previously managed the Community Probation Service and worked as Acting Chief Executive of the Ministry of Women's Affairs in 2000 and 2001.

The criterion for the selection of TEC representatives was much the same as that used with TEAC. What can be seen is a variety of people with a broad range of

complementary strengths that could foster the tertiary education vision. As with TEAC, however, the membership choices satisfy particular interests: political parties, education sector unions, Māori interests, and various sector interests. All had their own areas of expertise. Again, there is potential to see tensions arise over conflicting agendas, which, as discussed earlier, can lead to unsatisfactory outcomes which may include overly detailed conclusions that address specific agendas that are important to individual members; the risk is that members may trade ascensions to promote non-majority views.

2.8   The Various Tertiary Education Strategies 2002/07

2.8.1   The Draft Tertiary Education Strategy 2002/07

In December 2001 the government produced its policy response document Draft Tertiary Education Strategy 2002/07, a strategy intended to cover a five year period. The document outlined six strategies that were considered important to the future development of the tertiary sector. The first strategy focused on fostering generic skills and knowledge considered necessary for the development of a viable knowledge society. The second, third, and fourth strategies were concerned with issues of access and equity, and paid particular attention to the raising of foundational skills and the promotion of Māori and Pasifika interests. Strategy five outlined the government's intention to improve the standard, relevance and connectivity of research across the entire tertiary education sector. The sixth strategy focused on the issues of governance, efficiency and leadership.

2.8.2   The Tertiary Education Strategy 2002/07

The Ministry of Education defines the final version of this as the Tertiary Education Strategy (TES) as "a five-year blueprint for a more collaborative and co-operative tertiary system that contributes to New Zealand's national goals and is closely connected to enterprise and local communities (2005b, p. 92). In May 2002, the Government released the five year plan, which was the government's policy response to the four TEAC reports. One hundred and twenty-one submissions on the contents of the Draft TES were considered prior to the release of the Tertiary Education Strategy (TES) in May 2002. This document outlined the government's slightly amended intentions for the reform of the tertiary education sector. It also identified key aspects of the tertiary education system that were required to change in order to increase the system's

contribution to New Zealand's social, economic and cultural development, from the Ministry of Education's point of view (Cullen, 2007; Ministry of Education, 2004a).

The strategy was designed to cover the tertiary education system as a whole, and to have linkages with not only the tertiary sector but also with the labour market. It outlined how the system was intended to alter the way in which tertiary education was viewed. It posited a shift from looking inwards at consumers (for example, students), to looking outwards at how it could contribute to New Zealand's goals for economic and social development. The production of knowledge that New Zealand needs in order to be a world leader in innovation, produce the skills and competencies that New Zealanders need so as to fuel continuous economic growth; and the development of the capabilities within the sector to meet the needs and expectations of enterprise and communities.

TES set out the government's medium to long term strategy for tertiary education which includes six inter-related strategies, thirty-five interconnected objectives and nine overall change messages. The focus is on lifting the sector's capability to improve outcomes rather than on specific targets. There is an expectation that progress towards the above will be monitored. The six strategies are:

Table 2.12   TES's Strategies

TES's Strategies
1. Strengthen the system capability and quality
2. Te Rautaki Matauranga Māori – Contribute to the achievement of Māori development aspirations
3. Raise foundation skills so that all people can participate in our knowledge society
4. Develop the skills New Zealanders need for our knowledge society
5. Educate for Pacific people's development and success
6. Strengthen research, knowledge creation and uptake for our knowledge society

(Ministry of Education, 2002b, pp. 16-17).

It should be noted that in the TES 2002/07 the government's strategic national goals were renamed, rearranged and extended to six, with economic transformation in first place followed by social development, Māori development, environmental sustainability,

infrastructural development (new) and innovation falling to last place. McLaughlin made the observation that "The strategy's goals are so broad that almost anything could be done. This presents a real opportunity for New Zealand but also a real challenge" (2003, p. 2).

Following on were the TES's nine change messages which were a reinterpretation of TEAC's guiding principles. For example, TEAC's 14th guiding principle "responsiveness" was reframed as "stronger linkages with business and other external stakeholders", "lifelong equitable access" (TEAC's 1st guiding principle) as "increased responsiveness to the needs of, and wider access for, learners", and "Treaty of Waitangi" (TEAC's 6th guiding principle) as "effective partnership arrangements with Māori communities".

Table 2.13   TES's Change Messages

TES's Change Messages
1. Greater alignment with national goals
2. Stronger linkages with business and other external stakeholders
3. Effective partnership arrangements with Māori communities
4. Increased responsiveness to the needs of, and wider access for learners
5. More future-focused strategies
6. Improved global linkages
7. Greater collaboration and rationalisation within the system
8. Increased quality, performance, effectiveness, efficiency and transparency
9. A culture of optimism and creativity

(Ministry of Education, 2002b, pp. 18-19).

2.9 Stakeholder-based Evaluation

House (1976) considered stakeholder-based evaluation to be a way in which to serve social justice, giving voice to the disadvantaged and powerless. However, it involves a value judgement in the selection of stakeholder groups for participation; the role of values in such a selection is emphasised when considering attributes such as the extent of power, legitimacy and urgency held by the various stakeholder groups (Mitchell et al.,

1997) – it is always a fine balance between empowering the "powerless" while still applying exclusivity to those who are "relevant". This process provides feedback (in this research, for policy makers) from the selected stakeholder groups who endeavour to determine the success of the policies; the degree to which policy intentions have achieved their outcomes (Altman & Petkus, 1994). Evaluators tend to agree that stakeholders should be involved at least to some degree in an evaluation (Taut, 2008). As an evaluator, it is necessary to understand the various stakeholder groups' expectations and experiences (Stecher & Davis, 1990). UNESCO (1998) argued that both internal (self-evaluation) and external evaluation are required.

The evaluator's primary responsibility is to collect and communicate information about the effectiveness of a programme (Morris, Fitz-Gibbon, & Freeman, 1990). Early in the evaluation process an evaluator must identify those most likely to have the greatest interest in the evaluation results and what that interest might be. One of the evaluator's biggest problems is to reconcile the conflicting demands of the stakeholder groups (Valadez & Bamberger, 1994). For this to take place, there needs to be open communication between the evaluator and those who are involved with the programme (Morris et al., 1990). It is highly likely there will be more parties with an interest, than there is time, energy, and resources to serve those interests effectively. Therefore, the important distinction between primary and secondary users' needs to be made at this initial stage of the process. Research evaluations of quality improvement interventions will continue to be an important source of insights into how those interventions work, and how they should be used (Walshe & Freeman, 2002).

In 2006, the Ministry of Education, in conjunction with the Waikato Institute of Technology, (Patterson et al., 2006) provided an evaluation of stakeholder group engagement from multiple stakeholder perspectives. Taut (2008) suggests that mixed-methods studies, combining a case study approach (such as the present study) are particularly suitable for stakeholder-based evaluation research concerning stakeholder involvement. As opposed to multiple stakeholder perspectives, this research offers an in-depth stakeholder-based evaluation from the perspective of one key stakeholder group. In conducting the literature review, few evaluation studies were found in this area that have successfully integrated qualitative and quantitative approaches.

2.10 Chapter Conclusion

TEAC's reports were articulated in broad and wide-ranging terms. They were conceptual in nature and at times contradictory. They contained numerous lists, ambiguous and ill-defined concepts, and incompatible goals within TEAC's own reports, as well as goals that conflict with the three fundamental university roles. When contradiction is cancelled out, and duplication eliminated, what remains is very little in terms of something that a new educational framework can be suspended from.

There are certain values that are taken as given in the university context: academic freedom, research capability and equitable access based on intellectual ability. Irrespective of who is governing or what policy objectives are in place, our university education system will always embrace these principles. Without maintaining these fundamental principles, what would remain would not be a university as we understand it (or as defined in legislation), but a polytechnic or training college or some other non-university institution. To pursue such a course is to abandon a method of research and learning that has evolved over nearly a millennium.

The vagueness and other failings discussed above are analysed through the use of Critical Discourse Analysis (CDA). Such an analysis is aptly used when addressing social and political problems (Fairclough, 2003; van Dijk, 1993; Wodak & Meyer, 2001). Central to this analysis is the identification of logical inconsistencies and poorly-defined terms.

Codd (1988) warns against the assumption that policy documents are a transparent vehicle for the transmission of information. CDA provides a lens through which to focus on the sometimes obscure meanings behind the language TEAC used. While much of this language contains duplications and empty rhetoric (discussed in later chapters), the intention of the chapter was largely limited to identifying fundamental concepts required in order to explore TEAC, its representation and documentation.

This chapter served to identify the main highlights in the landscape that is TEAC's four reports. This provides a vocabulary on which subsequent chapters build. Following chapters of this research focus on documenting an academic staff perspective on the

impact of TEAC's policies being implemented across the university sector by cutting through the rhetoric and revealing the underlying reality for academic staff.

Chapter 3

Stakeholder Theory and its Application to University Education in New Zealand

3.1 Chapter Introduction

The previous chapter presented a detailed account of TEAC and its activities. This chapter goes on to now consider stakeholder theory and its use by TEAC in the policy development process. A review of the stakeholder literature, the approach taken by researchers and policymakers is provided, and the problems associated with stakeholder definition, identification and classification investigated. Some of the unique problems associated with aligning stakeholder analysis to the New Zealand university education sector are also examined.

Attention is given to key areas of stakeholder management that TEAC had to address in order to achieve their intentions, alongside the various expectations that government projected on to stakeholders. Stakeholder engagement, consultation and dialogue, as key components of stakeholder management, are discussed and a framework presented to illustrate the flow of information.

3.2 The Stakeholder Theory Approach

Stakeholder theory provides a conceptual framework of business ethics and organisational management which addresses moral and ethical values in the management of an organisation. In management, it is a paradigm that considers the interests of people who work, invest, or are involved in a particular business or other activity. The stakeholder approach outlines how management can satisfy the interests of stakeholders in a business. A concern for the interests of all stakeholder groups has become a widely recognised feature of ethical management.

Stakeholder theory identifies the groups that have some form of interest in the activities of an organisation, in this instance, the university. It also focuses on concerns and contributions, and both describes and recommends methods by which management can give due regard to the interests of those groups – it attempts to address who and what really counts. The theorists assert that organisations exist to serve those who have an interest in the outcomes of its activities, and that this cannot be ignored (Agle et al.,

2000). Universities are one such organisation that serves a public purpose and hence the needs of society. They have a distinctive and important role: they serve society as a responsive servant and a thoughtful critic (Shapiro, 2005). It is the university's responsibility, however, to raise questions that society may not want to consider.

It was Freeman (1984) whose seminal book brought stakeholder theory to the forefront of academic research, and many still consider him the leading contributor to stakeholder literature:

> ... those [stakeholder] groups without whose support the organisation
> would cease to exist. Any group or individual who can affect or is affected
> by [the activities of an organisation] (Freeman, 1984, p. 52).

Nearly thirty years later he is held as not only seminal but also relevant. It is common practice for management studies to construct their theoretical perspectives (the primary goal of which is to explain and predict how organisations function with respect to stakeholder influences) on the stakeholder theory he pioneered (Agle et al., 1999; Argandona, 1998; Atkinson et al., 1997; Boatright, 2006; Brenner & Cochran, 1992; Burgoyne, 1994; Clarkson, Starik, Cochran, & Jones, 1994; Donaldson, 1999; Harrison & Freeman, 1999; Hoek & Maubach, 2005; Preston & Donaldson, 1999).

> The concept of stakeholder personalises social responsibilities by
> delineating the specific groups or persons [organisations] that should be
> considered... Thus, the stakeholder nomenclature puts names and faces on
> the societal members who are most urgent to business, and to whom it must
> be responsive (Carroll, 1991, p. 5).

As can been seen in the table below, the idea dates back as far as 1759, when it was first articulated (according to Freeman) by Adam Smith, the Scottish political and economic philosopher born in 1723. Smith is often cited as the Father of modern economics and capitalism, writing extensively on economics and social theory. His writings are still considered relevant today.

A Brief History of Stakeholder Theory Evolution
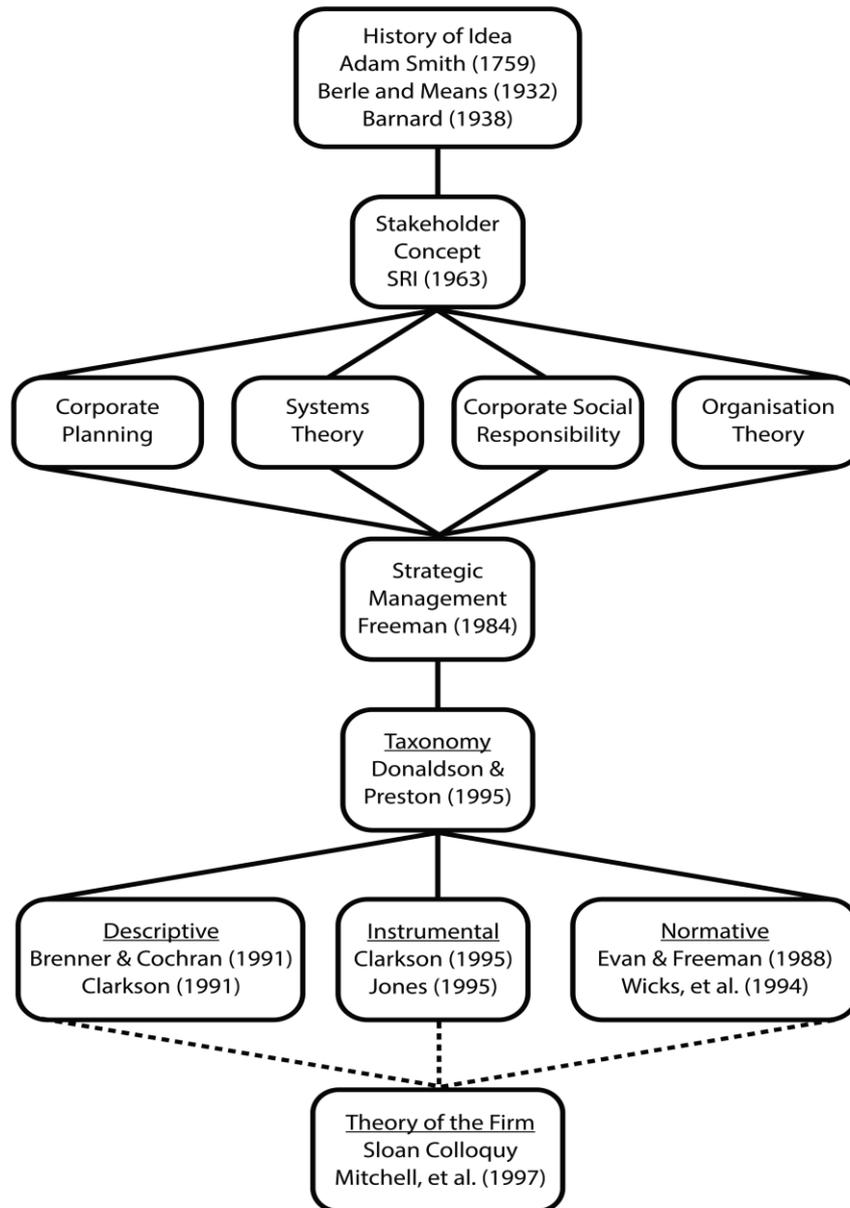
Figure 3.1   A Brief Diagrammatic History of Stakeholder Theory Evolution (Adapted from Freeman, 1984 p.32).

Among academics in general, and management scholars in particular, there is a growing interest in the stakeholder concept. The term stakeholder is a powerful one, particularly because of its conceptual breadth (Phillips, Freeman, & Wicks, 2003). In 1963 the Stanford Research Institute (SRI) introduced the term stakeholder, defining it as "*...those groups without whose support the organisation would cease to exist*". Freeman

(1984) challenged the SRI's original definition as too general and too exclusive to serve as a means of identifying those external groups which are strategically important. The definition of stakeholder offered by Freeman is "...any group or individual who can affect or is affected by the achievement of an organisation's objectives" (Freeman, 1984, p. 52). This has been contextualised for the purpose of this study to define a stakeholder as "any group or individual who can affect or who is affected by the achievement of a New Zealand university's objectives" (as used in question 1.1 of the interview schedule). Further questioning throughout the interview schedule deliberately used TEAC's stakeholder groups. This was done to gain an understanding of participants' perspectives of stakeholders initially as TEAC defines them, and later more generically.

This study identifies stakeholders in the university education sector from an academic staff perspective, and how their relative importance might be assessed. Further investigation of their perspectives on the role of the university and how government policy directions have impacted on those perspectives is of equal importance to this study. Stakeholder theory has provided the framework by which the literature has been analysed. The university's relationship with its academic staff (as key stakeholders) has been examined alongside academic staff's view of TEAC's policies.

Whilst stakeholder theory provides a framework from which to analyse the data collected for this study, the literature provides varying degrees of complexity of the stakeholder concept (Donaldson & Preston, 1995; Phillips et al., 2003). The term stakeholder aims at drawing attention to groups who merit the consideration of managers in business decisions and their actions. However, it is problematic and its interpretation is the basis of much scholarly and professional discourse.

Amongst its many definitions, the stakeholder concept has been described as largely self-explanatory (Antonacopoulou & Meric, 2005), relatively vague (Burton & Dunn, 1996), and deceptively simple (Freeman & Reed, 1983; Wolfe & Putler, 2002). Although it is used with different meanings by different commentators (Achterkamp & Vos, 2007; "Education Act 1989, s162(4)a," ; Lepineux, 2005; Polonsky, 1996), the stakeholder concept is used with increasing frequency and is central to understanding organisations and society (Carroll, 1993) Thus, the notion of stakeholder has spread from the realm of scholarly literature to the arena of popular discussion.

3.3 Stakeholder Definitions

Stakeholder literature reveals over thirty definitions or descriptions of what constitutes a stakeholder. All these definitions are, however, directed toward what Freeman (1984) calls "the principle of who and / or what really counts". This study investigates which university stakeholders' count and to what extent, from an academic staff perspective.

The ("Tertiary Education Reform Bill," 2002) refers in various places to consultation with stakeholders. Providing an exhaustive list of stakeholders in legislation is recognised as problematic: a specific list would risk inadvertently excluding some stakeholders or including groups with little or no relevance. Thus, the definition of stakeholder is omitted from the bill, with the result that the meaning of the term derives from its context. The bill states that the term stakeholder, in relation to a tertiary education provider, includes the staff and students of the provider and members, in the communities served by the provider. Many submissions suggest the addition of other types of stakeholder to this list.

Having produced several glossaries of terms, the New Zealand Ministry of Education literature does not provide a working definition of the term stakeholder in the context of tertiary education. It also lacks consistency when identifying stakeholders in the tertiary education sector. When a New Zealand Ministry of Education Senior Official, who has been kept anonymous due to the sensitive nature of this information, was asked to provide a definition of the term stakeholder; the response received was "*there aren't any definitions specific to education – the word is taken as having its standard meaning*". This is a crucial omission. At a later date, during a personal interview, the Ministry of Education Senior official stated:

> A stakeholder of the Tertiary Education Organisation (TEO) is a group or person who is affected by or has an interest in the TEO's activities, plans or goals. This would include the students of the TEO, the businesses and industries served by the teaching or research programmes of the TEO plus groups working with those businesses, community groups in the locality/localities served by the TEO, local iwi …
>
> Highly Ranked Senior Official, Ministry of Education

This non-specific impromptu definition is an example of the vague language used by the Ministry of Education. As discussed in this chapter, "standard meanings" are lacking for many of the key terms referred to, leading to many of the misunderstandings that followed through the TEAC process. It is noteworthy, however, that educational policy in general has been criticised for its vagueness since as far back as the 1980s (Ball, 1990; Codd, 1988; Prunty, 1985).

3.4 Stakeholder Identification

The apparent lack of commitment to finding strategies to identify stakeholder groups is a significant problem. This has resulted in disparate meanings and uncertainty over what groups constitute stakeholders and their identification. In 1994, Gregory and Keeney (1994) pointed out that little attention had been given to identifying improved strategies based on clearly articulated stakeholder parameters. A decade later, Bunn, Savage, and Holloway (2002) complained that there was still little in the way of evaluation of generic stakeholder management strategies; there is a lack of literature on exactly how to systematically identify stakeholders (Bryson, 2004).

This lack of specificity of stakeholder identity remains a hindrance to the further development of stakeholder theory and its adoption in actual practice by management and policy-makers alike. This thesis aims to contribute towards bridging this gap.

In theory, the selection of which stakeholder groups to involve in the process represents the wish to satisfy the needs of all relevant stakeholder groups – including those who have not been selected. In practice however, the identification of who to include and who not to include is a value judgement that can only be assessed (as a success or a failure) retrospectively. The choice of a rationale for stakeholder participation is itself a value judgement, implicitly or explicitly (Mark & Shotland, 1985).

The broad view of stakeholders is based on the reality that organisations can affect, or be affected by, almost everyone (Mitchell et al., 1997). This idea may seem daunting to managers. Identifying stakeholders equips managers with the ability to respond effectively to the various groups. However, an important conceptual problem with such a view is that no one group is excluded from being a stakeholder. Stakeholders are as diverse as they are numerous, and in any given instance there are multiple stakeholder

groups competing for attention (Buchholz & Rosenthal, 2004; Carroll, 1991; Clark, 1999; Clarkson et al., 1994; Clulow, 2005; Miller, 2000). It is clear then, that one of management's challenges is to decide which stakeholders merit the most consideration (Bunn et al., 2002).

Freeman's listing of (1984) stakeholder groups include over twelve examples. Brenner and Cochran (1992) form a diagram with about ten examples of stakeholder groups. Many of these differ from Freeman's. Hill and Jones (1992) list is made up of six examples of stakeholder groups. These are different again. Clarkson (1995) lists the organisation as a stakeholder itself, along with about six other key primary and secondary stakeholder groups. Donaldson and Preston (1995) include around seven stakeholder groups in their list as do Buchholz and Rosenthal (2004) who consider there to be around seven typical stakeholders – but yet again, a different set. From these examples it can be seen that respected opinions vary widely as to who should or should not be included as relevant stakeholders.

The concept of community as stakeholder is increasingly used by stakeholder theorists. However, the meaning attributed to the term may be different within varying contexts (Brenner & Cochran, 1992; Donaldson & Preston, 1995; Hill & Jones, 1992). In the policies, TEAC repeatedly refers to the "local community", the "national community" and the "wider community" of New Zealand, but then, conspicuously, the discourse changes to the "international labour markets". There has been criticism by (Harvey, 2003) regarding the lack of mention of the "academic community" (Harvey refers to as "key national knowledge institutions") in the TEAC documents - and which is more commonly referred to as the "academic community" (Ramsden, 1998). The fundamental characteristics of a community may include the number of members, its size, its power, or its influence, but none of these parameters directly reflect its relevance in any given context. As such, one needs to exercise caution when determining which communities are truly relevant in a given context, and that those communities are explicitly identified and defined.

The University as a Community

An important aspect of traditional academic culture is the concept of collegiality (the university as a community). Ramsden (1998) defines it as a group of people who are

individually committed to excellence and equally capable of realising it. Such a view stresses the community of scholars, the dominance of the faculty, the separation of academia from worldly affairs, and a sense of common heritage (Perkins, 1973). It covers a range of academic processes, having acquired an iconic meaning related to values of unselfish collaboration amongst distinct groups of scholars. Collegiality is closely related to the idea of individual academic freedom, disciplines as frames of reference, conservation of special knowledge, and academic professionalism. It also involves the idea of a functional community, a concept that emphasises not merely what everybody has in common, but also a recognised division of labour and mutual interdependence which takes differences into account.

Traditionally, the benefits of collegiality related to the sense of community and ownership which it gave academics over their affairs. However, collegiality has come under pressure where responses to external changes are required (Brett, 2000; Ramsden, 1998). Brett (2000) argued that it has (unduly) been scorned at as an historical tradition of the past that does nothing more than hinder the modern university. However, the centrality of collegiality is not only to traditions of university organisation but to the disciplinary organisations within which academics produce knowledge. Collegiality spans faculties, refereeing papers, marking theses, serving on professional bodies, editing journals and organising and attending conferences. The professional disciplinary life is embodied with formal professional associations and in the informal networks of colleagues.

The Public as a Stakeholder

The *public* is often considered to be a stakeholder (Clarkson, 1995; Hill & Jones, 1992). Defining the public poses its own set of problems: the taxpaying public, the voting public, the parents of students, and the public conscience – whatever one wishes that conscience to be. It could also be argued that the public is the same as the community. This highlights the potential for excessive inclusivity at the risk of including those who neither have any interest in, or even care about the issues. Some of the definitional problems stem from the numerous types of stakeholders and the variation in nomenclature. Kelsey (2001) argues that there are too many new stakeholders in the university sector.

Māori as a Separately-defined Stakeholder

Throughout their policies, TEAC repeatedly refer to Māori, Whānau, Hapū and Iwi as stakeholders. Sometimes they simply refer to Māori, and at other times they include the various alternate groupings. At all times, they fail to use correct Māori language by not including the macrons where required. Although dwelling on incorrect spelling may seem pedantic, it demonstrates a lack of respect. Similarly, when referring to the peoples of the Pacific Islands, TEAC use anglicised language. The correct term is Pasifika.

There is also a difficulty is in defining the group "Māori" or ethnic identity in general for that matter. This area is of interest to political commentators, policy developers, and Māori authorities, as well as other stakeholder groups - in part, because defining the boundaries has become increasingly complex (Howard & Didham, 2007), reflected in TEAC's uncertainty over what definitions to use. More recently, the accuracy of ethnic and racial data has come under scrutiny. The issue of who is a Māori stakeholder thus becomes relevant.

The Māori Statistics Framework developed by Statistics New Zealand (2008) does not actually ever define who is or who is not Māori. Folk definitions, such as those found in Stankovitch (2008) of Iwi, Hapū and Whānau are readily accessible but at the same time, although widely accepted, they do not appear to be definitive and are open to interpretation.

Table 3.1   Folk Definitions

Folk Definitions	
Māori	Indigenous Polynesian people of New Zealand
Iwi	Form the largest tribe or social unit in Māori culture; descent group of tribe
Hapū	The modern meaning is section of a tribe, secondary tribe; clan or kinship group
Whānau	Extended family group

(Stankovitch, 2008).

By using all possible terms, the impression is given that the authors of the TEAC reports are attempting to achieve all-inclusive politically correct documentation. No other

stakeholder group included in their policies is afforded this level of cautionary attention; contrast this to Samoan students, who are taken as a single homogenous group.

The criteria that determines who is Māori for policy purposes has been questioned in recent years by (Kukutai, 2004). Statistics New Zealand point out that because ethnicity is self-perceived, people can identify with Māori ethnicity even though they are not descended from Māori ancestors. In some circumstances, to be considered Māori you do not have to speak the language, live in a Māori community, adhere to Māori customs or even look like an individual of Polynesian descent (Potiki, 2007). This form of self-identification could be criticised for lacking objectivity as well as its imprecision. Underlying the debate is the fundamental question of how to define an ethnic or racial group in contexts where rewards and resources are involved. Māori traditionally define "Māoriness" in terms of whakapapa or genealogy (Howard & Didham, 2007);

To be Māori one must have an "ethnic affiliation", based on genealogical descent, from one or more Māori ancestors. Statutory definitions almost always rely on descent, while official statistics use self-identified ethnic affiliation (Gray, 2001). These differing definitions support Kukutai (2004) in illustrating that there are several ways to define who is Māori, and that it is dependent on many variables. This raises the question of what it really is to be Māori and challenges the right of any organisation to even try to set down a concrete definition.

An Information and Reporting Data Analyst from the Data Management Unit at the Ministry of Education advised the author via correspondence that:

> Ethnicity is no longer prioritised… this means that we count the students in each group that they identify with. In the past if a student was Māori/Samoan, they were prioritised as Māori. Now, they will be counted under each group. Secondly, I have never used the disability indicators before so am not sure of their quality. You will see from the table that there is one year where… [one] university reported no student with disabilities and the same for… [another] university. It is likely that they have coded incorrectly these years as the chances of having no student with disabilities is pretty much nil.

She finished by warning:

> I would therefore be very careful about drawing any conclusions from this data.

<div align="center">
Information and Reporting Data Analyst,

Data Management Unit, Ministry of Education
</div>

Even with questionable validity, ethnic data continues to play an important role in informing public policy development, inclusive of steering the distribution and allocation of resources, and fulfilling Treaty of Waitangi legislative requirements.

There is no single place where all of TEAC's identified stakeholder groups are listed. However, across their four reports the following stakeholders were variously mentioned:

Employers · Individuals

Government · Students

Business and Industry, also often referred to separately as Business, and Industry

The Wider Community of NewZealand, also referred to as the Wider Community Outside the System, and the Wider Community

Local Communities

Community Groups

The Research Community

Those in the Tertiary Education System

TEAC's Stakeholders

University Staff

Pacifica Peoples

International Labour Markets

Maori, Whanau, Hapu and Iwi

National Community

Government Agencies

The Ministry of Education

Industry and Labour Markets

Crown Research Institutes

Other Key Groups with a Vital Interest in the System

Other Agencies and Advisory Bodies

Figure 3.2   TEAC's Stakeholders as synthesised from TEAC's four reports

3.5   Prioritising Stakeholders across the Literature

To be meaningful, stakeholder theory must provide guidance for prioritisation of competing stakeholder claims. If one takes the view that an organisation's stakeholders are not all equally relevant, then deciding which stakeholders to involve is a key strategic decision management must make. Stakeholder theory has been criticised for its inability to prioritise stakeholders, which is why stakeholder theorists suggest that different types (or classifications) of stakeholders exist (Donaldson, 1999; Donaldson & Preston, 1995). Some of the definitional problems stem from the numerous types of stakeholders. Examples include primary and secondary, active and passive, direct and

indirect. There are many ways that stakeholders can be classified - what matters is that the various stakeholder groups involved need to agree on the form of classification that has been employed. Without such agreement it is difficult to get the various stakeholder groups to accept the validity of the selection and inclusion phase of the stakeholder-based process. This, in turn, may impede the successfulness of the whole process itself.

Stakeholders should be involved if they have information that cannot be gained otherwise, or if their participation is necessary to assure successful implementation of initiatives (Bryson, 2004; Thomas, 1993). This information gathering and communication process may enable the problem definition and intended outcome to be more efficiently facilitated (Altman & Petkus, 1994). Hoek and Maubach (2005) emphasise that when focusing on an organisation's goals it may reduce the importance of some of the stakeholder groups. Those developing stakeholder theory have concentrated on classifying stakeholders into categories that provide an understanding of how individual stakeholders influence organisations.

Primary and secondary stakeholders are two of the more commonly used terms that theorists and researchers have suggested (Mitchell et al., 1997). Primary stakeholders are those whose continued participation is necessary for the organisation to survive (Clarkson, 1995). Thus, a primary stakeholder is one whose participation is essential. The Government is one such example, without whose financial input a university would be unable to operate. Secondary stakeholders are defined as groups and individuals who are not essential for the organisation's survival. One example of a secondary stakeholder, taken from TEAC's own lists, are community groups where although their opinions are valued, their participation is not essential for the functioning of an institution such as a university.

Similarly, Freeman and Reed (1983) propose that stakeholders can be classified as *narrow sense* and *wide sense*. A narrow sense stakeholder is any identifiable group or individual on whom the organisation is dependent for its continued survival, such as students or government. A wide sense stakeholder is any identifiable group or individual who can affect the achievement of an organisation's objectives or who is affected by the achievement of an organisation's objectives. In the present research, this categorisation would include TEAC itself, trade associations and unions.

Clarkson (1995) suggests a *risk-based stakeholder framework* in which the defining feature of stakeholders is having something at risk, either voluntarily or involuntarily. Savage, Nix et al. (1991) classify stakeholders as internal and external, and Goodpaster's (1991) argument relates to fiduciary and non-fiduciary stakeholders. Jones (1995) proposed an adapted version of the stakeholder theory based on a synthesis of the stakeholder concept, economic theory, behavioural science and ethics. He thought that the core theory in association with a subset of ethical attributes, trust, trustworthiness and cooperativeness, could result in significant competitive advantage.

Price (1997) distinguishes between *passive stakeholders*, those who conduct routine business with an organisation, and *active stakeholders*, for example, those who attend public meetings and speak with the news media. A passive stakeholder of a university might be the cleaners. Active stakeholders would include academic staff and students. Schuler and Rehbein (1997) address the issue of stakeholder importance by asserting that organisations analyse their dependence based on stakeholders and their ability to help the organisation remain competitive.

These examples show the diversity, and sometimes similarities, of classifications that exist across the literature. What can be seen from this is a common desire to distinguish between stakeholders that are closely tied to an organisation, and those who are more peripheral (although who may consider themselves just as important). There are authors who suggest more than two distinctions, some of whom are discussed below.

3.5.1   Stakeholder Salience - Power, Legitimacy and Urgency

Stakeholder "salience" is yet another way of classifying stakeholders. Mitchell, Agle and Wood (1997) proposed a description of salience which is defined as the degree to which priority is given to competing stakeholder claims. They suggested organisational stakeholders be classified based on the presence of three attributes: *power* (the stakeholder's power to influence the organisation), *legitimacy* (the authenticity of the stakeholder's relationship with the organisation), and *urgency* (the importance of the stakeholder's claim on the organisation). Management then determines whether a group is a stakeholder and its degree of saliency. In other words, the degree to which each salient attribute is present in a stakeholder then dictates to management's perception of the stakeholder to the organisation.

Olssen (2002) considers policy a politically, socially and historically contextualised discourse designed to institutionalise systems of power. It has been argued that organisations manage stakeholders by placing an emphasis or priority on stakeholders to whom more power was attributed, responding to *the issues of the most powerful stakeholders* (Clarkson, 1995; Meyer & Scott, 1983).

Stakeholders need to be identified and their *power and influence* examined so that their potential impact on organisational outcomes can be better understood (Bourne & Walker, 2005; Buchholz & Rosenthal, 2004). Power is a critical dimension of stakeholder management and it is suggested that recognition, diagnosis and monitoring of power relationships seems fundamental to effective stakeholder interactions. There are many sources of power available to stakeholders: it may be from control over support (for example, votes or funding), or perhaps religious influences (for example, a church discouraging students from attending an institution that teaches evolutionary theory). Recognising and monitoring power relationships is fundamental to effective stakeholder interactions (Clarkson et al., 1994) because the role of power is central to managerial decision-making.

In the education sector, the government is a unique stakeholder in that it creates the legislation that tertiary education institutions operate within. This puts the government in a position of power, where legislative changes demand a response (compliance) from the institutions (Liaisodou, 2011). As a main source of funding, the government also holds a position of control. Without this funding, tertiary education institutions could not exist in their present form.

Easton (1997) argued that universities find it particularly difficult to deal with what he calls "authoritarian pressures" because by their very nature they are liberal institutions that respond and debate. Academic staff are inherently resistant to being told what to do, particularly when what they are being told to do conflicts with their mandate. Carspecken and Apple (1992) argue that to think seriously about education is also to think just as seriously about power, about the mechanisms through which certain groups assert their visions, beliefs, and practices. This highlights the importance of considering the concept of power from the differing perspectives.

Legitimacy is referred to by seminal authors as a stakeholder attribute (Agle et al., 1999; Agle et al., 2000; Donaldson & Preston, 1995). It is described as the generalised perception that the actions of an entity are desirable or appropriate. Therefore, legitimacy is a matter of perception. A stakeholder's cultural norms and behaviour are viewed through the manager's filter of acceptable cultural norms and behaviour (Agle et al., 1999). Stakeholder theory argues that all the interested parties that can be provoked by the consequences of organisational action are legitimate stakeholders.

Another stakeholder attribute referred to in the literature is *urgency*. Mitchell et al. (1997) define stakeholder urgency as a stakeholder's claim for immediate attention, which has also been referred to as aspiration. Most organisational objectives are at an aspirational level, and high-aspiration stakeholders figure greatly in the immediate context of selectivity and in the mind of the manager. Hence, urgency is based on management's perception that a stakeholder is highly aspirational.

Power and control issues remain unresolved in the use of stakeholder theory, in that there are internal contradictions between the ideology of social good as opposed to the ideology of control (Antonacopoulou & Meric, 2005). In the current context the theory has strong political underpinnings, where the theory itself may have been used as an instrument of control such that participants are steered towards an outcome that has already been defined by the powers who kicked off the process (in this instance, the creators of TEAC).

3.6   Descriptive, Instrumental and Normative uses of Stakeholder Theory

Donaldson and Preston (1995) and Freeman (1994) suggest that there are three different streams of research, all falling under the title of stakeholder theory. They suggest that a taxonomy of stakeholder research consisting of descriptive, instrumental, and normative is a useful way to distinguish among the goals of the various works being carried out under the name of stakeholder theory which are often integrated by some scholars.

Descriptive formulations of stakeholder theory are intended to describe, explain and predict the actual behaviour of managers, organisations and stakeholders including the nature of the organisation (Brenner & Cochran, 1992), the way managers think about managing (Brenner & Molander, 1977), and how organisations are actually managed

(Clarkson, 1991). This type of research could also include how stakeholders think, feel and act towards the organisation's purpose. Jones and Wicks (1999) criticised this type of research for being under-developed, although they recognise that important contributions had been made over the period of 1990 to 2000 (Agle et al., 1999; Frooman, 1999; Mitchell et al., 1997). They also argue that merely studying the way managers currently understand stakeholder relationships is not definitive in determining the best way, (however that may be defined), of understanding such relationships. Butterfield, Reed, and Lemak (2004) argue that an avenue for advancing knowledge in the descriptive realm is to learn more about stakeholder-stakeholder and stakeholder-organisation relationships from the stakeholder's point of view. Despite scholarly calls for research that takes the stakeholder's perspective (Frooman, 1999), few stakeholder–oriented studies have been conducted.

Instrumental uses of stakeholder theory examine connectivity between stakeholder management and the achievement of an organisation's objectives. Instrumental justifications point to the connection between stakeholder management and organisation performance and focus on how organisations pursue their interests through managing relationships with stakeholder groups. Donaldson (1999) argues that if managers view the interests of stakeholders as having intrinsic worth and pursue the interests of multiple stakeholders, then the organisations they manage will be more successful. This approach suggests stakeholder management contributes positively to performance outcomes, focusing on how organisations pursue their interests through managing relationships with stakeholder groups. Jones and Wicks (1999) explain that instrumental versions of stakeholder theory rely on hypothetical claims about how to obtain organisation goals, for example, if managers attend to the interests of stakeholders, then they will do better financially. A hypothetical example of this in the current case might be reducing expenditure in areas that the government perceives as being outside of the core responsibilities of a university, for example sports facilities or catering services.

One way of expressing the stakeholder concept is the moral prescription that managers, in making decisions, ought to consider the interests of all stakeholders. There is an implicit obligation to serve all stakeholder interests. *Normative* stakeholder theorists argue that organisations should consider stakeholders' interests not only for instrumental

or strategic purposes, or because the stakeholder is perceived to possess power, legitimacy, or an urgent claim, but also out of *moral obligation* (Butterfield et al., 2004; Mitchell et al., 1997). The normative aspect of the stakeholder theory attempts to interpret the function of the organisation on the basis of the underlying moral or philosophical principles that should drive stakeholder relations (Jawaher & McLaughlin, 2001). Zsolnai (2006) proposed a normative reinterpretation of the stakeholder theory which modified the stakeholder concept by proposing an ethical component of the concept. Norms are like "oughts", for example, you ought to study for your exams. Oughts are moral, like expectations; whilst they are not compulsory there is an implied expectation of compliance to them. So, in R1 "the tertiary education system should be informed by the Treaty of Waitangi" (Tertiary Education Advisory Commission (TEAC), 2000, p. 12) can be interpreted as a normative statement. Jones and Wicks' (1999) positioning on normative versions of stakeholder theory rely on ethical claims about the right motives for organisations to have. For example, all managers should treat the interests of stakeholder groups as having intrinsic worth, and that they should attempt to respond to stakeholder interests within a mutually supportive framework.

Stakeholders often have direct relationships with one another, as well as being part of a larger network of intertwining stakeholder relationships (Savage et al., 1991). Rowley (1997) argued that prior theorists provided dyadic views of stakeholders, only analysing their behaviour on a two-by-two basis as opposed to across a network. Rowley's biggest contributions are his assertions on network density and centrality. In a dense network, stakeholders will share many common connections. Centrality describes a stakeholder's number of direct ties to other stakeholders, independent access to others, and control over other actors, respectively (Jawaher & McLaughlin, 2001).

3.6.1 Stakeholder Multiplicity

Neville and Menguc (2006) developed a framework for understanding the effects upon the organisation of *competing, complimentary and cooperative stakeholder interactions*, which they refer to as stakeholder multiplicity. Different stakeholders are entitled to different considerations. This development of the stakeholder theory provides further insight into the interactions between the various stakeholder groups and offers a comprehensive literature review on the concept of stakeholder multiplicity. For

example, government and staff both agree on the need for academic freedom but at the same time both sides have strong disagreements over usage of intervention and steering.

3.7 Stakeholder Analysis

Initially, stakeholder analysis was adapted from the literature, drawing on the work of policy scientists, concerned with the distribution of power and the role of stakeholder groups in the policy process and within a broader political, economic and cultural context (Brugha & Varvasovszky, 2000; Wildavsky, 1979). Stakeholder analysis aims to evaluate and understand stakeholders from the perspective of an organisation (in this case a university), and to determine their relevance to a policy. TEAC's use of a stakeholder-based policy development approach leads to the conclusion that their aim was to evaluate, understand and engage the stakeholders, as opposed to using a traditional framework that does not start with obtaining buy-in and feedback from those affected until after the policy has been implemented.

Identification of the central organisation and the important stakeholders is the first task in stakeholder analysis (Bryson, 2004; Burgoyne, 1994; Freeman & Reed, 1983; Kochan & Rubinstein, 2000; Rowley, 1997; Winn, 2001). It provides a conceptualisation which assists in the analysis of interests and influence with a specific focus on stakeholder relationships. This should help decide who the key stakeholders are and what is likely to satisfy them (Bunn et al., 2002; Hoek & Maubach, 2005). Clulow (2005) cautions that this is ambitious, when the diversity of stakeholders is considered.

TEAC's identification of the central organisation was blurred, torn between being the university itself and the university as a branch of central government. This confusion was understandable in retrospect, as TEAC was operating as itself a branch of government – its staff were government employees, its advisors provided by the Ministry of Education, and its work continuously monitored by the government. In the same way, some stakeholder relationships were potentially aligned with the government as well.

Freeman's (1984) development of stakeholder theory explicitly acknowledged the widely divergent perspectives of stakeholder groups, which complicate the management of their conflicting expectations. Balancing these conflicting stakeholder objectives are

among today's most contentious decisions (Achterkamp & Vos, 2007; Blair & Whitehead, 1988; Clulow, 2005; Jamali, 2008; Patterson, 2001). A stakeholder analysis offers potential to assist by enabling strategies for handling conflicting stakeholder demands (Blair & Whitehead, 1988; Clulow, 2005). It is not enough for stakeholder theory to acknowledge that conflict is the result of the different concerns of various stakeholder groups (Carroll, 1999; Madsen & Ulhoi, 2001; Simmons, Iles, & Yolles, 2005). Fundamental to the successful utilisation of stakeholder theory is the consideration of which stakeholder groups merit managerial concern. An evaluation of their expectations should lead to a proposal for their management, determining which stakeholders the organisation such as a university is obliged to consider, or perhaps; it needs to be recognised that this is subjective.

Gregory and Keeney (1994) argued that involving stakeholders in the decision-making process itself is part of defining an appropriate set of stakeholders. However, it is essential to attend to competing stakeholder interests and expectations, enabling a better appreciation of the various points of view (Clarkson et al., 1994), for example addressing the issues of under-representation of specific ethnic groups versus the need for New Zealand universities to retain level academic entry standards across all students. A stakeholder approach can assist managers, promoting analysis of how the organisation fits into its larger environment. This raises Carroll's questions, such as "What are the proper roles and functions of university education in New Zealand?" and "Who are the most important stakeholder groups in the [university] sector; to whom must the university be responsible (Carroll, 1993).

3.8   Stakeholder Management

The aim of stakeholder management is to satisfy the widest possible set of stakeholders (Boatright, 2006; Harrison & St John, 1996; Polonsky, 1996; Post, 2003; Savage et al., 1991); there is empirical evidence to suggest that many managers do understand they are practising stakeholder management if they consider that this is their role (to satisfy a wider set of stakeholders) (Polonsky, 1996). All stakeholders have claims, rights and expectations, but stakeholder management examines the extent to which these can, or should, be honoured. While there is no doubt that universities have obligations, the trade-offs between stakeholder claims may be complex (Altman & Petkus, 1994;

Boatright, 2006; Bryson, 2004; Clarkson et al., 1994; Clulow, 2005), and the stakeholder approach may assist with unravelling these complexities (Carroll, 1993; Freeman, 1984). Stakeholders are now more visible and demanding (Clulow, 2005). For example, Government, as an obviously major stakeholder, demands a tangible return on society's investment in tertiary education. Within the New Zealand university system, there are increasingly limited funds available (from the government, who is itself a stakeholder) whilst at the same time ever-increasing expectations from stakeholders.

This was reflected in TEAC' fourth report, *Shaping the Funding Framework*, where they recommended the following five stakeholder incentives, intended to be used in stakeholder management:

Table 3.2   TEAC's Stakeholder Incentives

TEAC's Stakeholder Incentives
1. The system as a whole is to encourage diversity, sensible risk-taking, and a sense of ownership and responsibility
2. The government is to act as a good steward for the system as a whole
3. Providers are to be cost-aware, to pursue excellence, and to be innovative and responsive
4. Learners shall participate and achieve
5. Employers should develop strong links with providers

(Tertiary Education Advisory Commission (TEAC), 2001a, p. 5).

Carroll (1993) suggests that responses to five questions (paraphrased below) can supply the essential information required for stakeholder management 1) Who are our stakeholders? 2) What are their stakes? 3) What opportunities and challenges do our stakeholders present to the organisation? 4) What responsibilities (economic, legal, ethical, and philanthropic) does the organisation have to its stakeholders? And, 5) what strategies should our organisation take to best deal with stakeholder risks and opportunities?

Given these questions, it would seem reasonable for Government to consider that:

> To manage stakeholder relations is not necessarily to serve each group's interest (although this might be the effect), but to *consider their interests*

sufficiently to gain their cooperation. The manager's role is not
necessarily to coordinate the contribution of the various stakeholders, but
to inspire them to put forth their best efforts in a joint effort to create
valuable products and services. Any firm that neglects is stakeholders or,
worse, alienates them, is doomed to failure (Boatright, 2006, p. 108).

Unlike traditional management, stakeholder management seeks to recognise and manage
a range of stakeholder perspectives and expectations (Boatright, 2006; Frooman, 1999;
Harrison & St John, 1996; Post, 2003; Salmi, 2007; Savage et al., 1991). The
management of a wide range of stakeholders is complex (Bunn et al., 2002). Strategic
decisions influence the importance of various stakeholders and reflect the nature of the
stakeholder relationships (Harrison & St John, 1996) which depend on satisfying key
stakeholders according to management's definition of what is important (Bryson, 2004).
Stakeholder management is sometimes assumed to be commonsensical or intuitively
obvious. But in practice, it focuses on overseeing relationships that may be irrational or
unclear – yet at the same time critical to an organisation's success.

Universities continue to be challenged by changing social demands (Malcolm & Tarling,
2007), and are being forced to serve the social and economic objectives of a multitude of
stakeholder groups who see it as their *right* to have a say in the organisation's running
(Gaita, 2000; Savage et al., 1991). TEAC's policies should provide a vehicle for
categorising these objectives. Balancing the differing stakeholder objectives are among
today's most contentious tasks (Achterkamp & Vos, 2007; Blair & Whitehead, 1988;
Boatright, 2006; Clulow, 2005; Harrison & St John, 1996; Jamali, 2008; Patterson,
2001). There is no simple solution to the problem that each stakeholder group within the
university system wants their own interests promoted over those of others.

Assuming that the purpose of an organisation is to enable each stakeholder group to
obtain the maximum benefit from their involvement (Boatright, 2006; Edelenbos &
Klijn, 2005), management needs to ask: What are the interests of each group that ought
to be protected or served and what is the best way to protect or serve each stakeholder
group's interests? This suggests that if management have clearly-defined objectives,
they will make more effective decisions (Jensen, 2002). A caveat here is Bridgman's
(2007) consideration that the government's "steering" of university education through its

policies is problematic for the management of academic staff, as it poses a direct challenge to academic freedom and institutional autonomy. By the same token, government's financial interest is great, and so (in government's eyes) their influence as a stakeholder should be proportionately large. This is just as in the business world, where those with the greatest financial commitment expect to have priority in the decision-making process.

Stakeholder management integrates concerns about organisational strategy, which assumes that an effective organisational strategy requires consensus from a plurality of key stakeholders about what it should be doing and how these things should be done (Savage et al., 1991). TEC (the stakeholder-focused implementation agency) steers universities to focus on their contribution to the country's national, economic and social goals (Ministry of Education, 2006a) and as Patterson (2001) argues, these goals are in many ways incompatible with those of a New Zealand university.

The university is more akin to a hospital in that there exists responsibilities that go above and beyond the bottom line (Smith, 1955). Just as doctors have obligations under the Hippocratic Oath, so too do academic institutions – obligations to challenge and scrutinise the values of the society that they represent, as well as nurture the development of intellectual independence. This is an illustration of what Smith refers to as "in the middle", where the university fulfils both roles.

3.8.1 Stakeholder Relationships

Stakeholder theory is posited as a scientific means for analysing contractual relationships between parties. Stakeholder management, as it has evolved, has increasingly focused its attention on the importance of relationships that organisations have with their broadening and diverse range of stakeholders (Andriof & Waddock, 2002; Buchholz & Rosenthal, 2004; Jones & Wicks, 1999; Koll, Woodside, & Mühlbacher, 2005). Although stakeholder relationships are context dependent (Bourne & Walker, 2005; Jawaher & McLaughlin, 2001; Savage et al., 1991), robust stakeholder relationships are essential for the long-term survival of an organisation. Nelson (2002) drew attention to the fact that engagement is a two-way process requiring parties to agree on mutual objectives. In their policies, TEAC noted that it was necessary to build and maintain networks by engaging with their stakeholders in a collaborative manner. In

contrast, the TEAC process had many one-way attributes that conflicted with Nelson's assertions of how a stakeholder management should be executed.

In response to demands that universities justify the investment of public funds to support their activities, community engagement now receives a lot of attention. Elmuti, Abebe, and Nicolosi (2005) argue that formal strategic alliances between institutions of higher education and the various stakeholders are a relatively recent phenomena, but some university departments have been working alongside stakeholders to varying degrees in a less manufactured manner for many years. One such example is schools of engineering working with industry to allow students to undergo practical workplace training.

3.8.2   Stakeholder Engagement, Consultation and Dialogue

The phrase "stakeholder engagement" is open to interpretation, and is a term under which different ideological orientations lurk - from a simple reciprocal partnership, to altruism, to marketing (and marketisation) of universities, to institutional survival. Universities initiate numerous engagement activities to address complex issues that are even less clearly defined. Engagement provides a mechanism for the group or individual to express their views on matters that they may consider important.

An essential right of political citizenship in a democratic society is the right to exercise one's voice. Stakeholder engagement requires the extension of these rights and responsibilities to a more inclusive set of stakeholders. The question here is the extent to which the multitude of stakeholders should determine the shaping of policy. Shapiro argues that:

> In a rapidly changing world, the social role and form of the university and its programs exist in an almost perpetual state of transition facing constant challenges of leadership and adaptability. For example, the future role of the university will depend, in part, on the particular shape taken by our evolving liberal democracy (2005, p. 7).

Engagement, consultation and dialogue are popular catch phrases to be used when one wishes to appear to be acting in a politically-correct fashion. TEAC repeatedly utilise these terms in their policies, perhaps hoping that some of the political-correctness will

rub off. However, Ashcroft (2003) argues that much of the political discourse promising to encourage stakeholder engagement was generally superficial, with economic considerations taking precedence. While stakeholder engagement, consultation, and dialogue were high on TEAC's list of initial objectives, so too was the emphasis on contributing to the country's economic growth. Improving education creates more able citizens who are then in a better position to improve their lot.

Claims to a "stake" are inevitable, as demonstrated by the Association of University Staff (AUS) submission to the Education and Science Select Committee. It suggested that the Minister of Education should work with TEIs, students and staff as well as other stakeholders when determining future tertiary education policy in New Zealand. Similarly, the AUS called for greater detail and requirements of consultation processes to be included in the Education (Tertiary Reforms) Amendment Bill.

As we have seen, consultation with stakeholder groups potentially affected by policy enables legislators to make use of the information and expertise they possess. Gregory and Keeney (1994) argue that, to be most useful, stakeholders should have substantial early input, helping to specify and guide the entire decision-making process as well as identifying objectives that should be considered. TEAC advised that all of their work would be informed by wide-ranging consultation and dialogue, expressing their wish to move beyond the consultation approach that results in cycles of submissions that in many cases is not likely to result in real dialogue and engagement. They planned to explore alternative approaches, other than formalised submission rounds, to obtain effective input into their work (Tertiary Education Advisory Commission (TEAC), 2000).

It is, in part, through on-going dialogue that the university has historically maintained its level of involvement, responsibility and thoughtful responsiveness. Such dialogue supports the university's continuing role as both society's thoughtful and responsive servant and society's thoughtful but demanding critic (Shapiro, 2005). The introduction of TEC's steering instruments (charters and profiles) was a new, formalised mechanism designed to encourage engagement between universities and their communities (Ministry of Education, 2006a). Necessarily, the depth of engagement with the various

stakeholder groups did vary and consideration should be given to engagement that emphasised meaningful interaction.

In order to achieve this engagement, it is necessary to employ a framework that is different from the traditional one. A traditional framework for policy generation (adapted for TEAC's processes by this author) can be seen below.
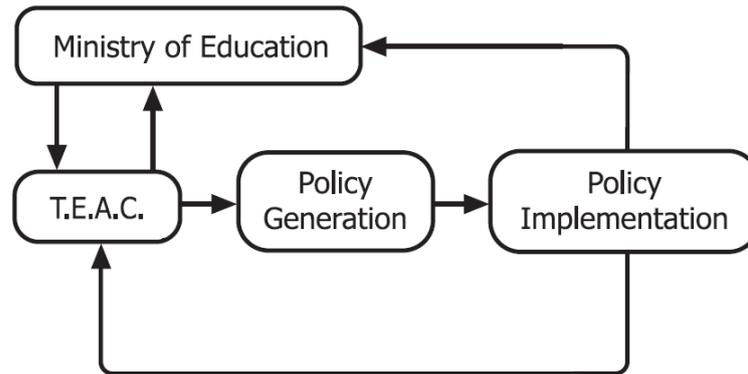
Figure 3.3   A Traditional Policy Development Framework developed by this author

Based on the literature reviewed in Chapters Two and Three, a stakeholder-based framework was developed, grounded in stakeholder theory, which substantially augments the traditional framework. This enhanced framework closely follows TEAC's written intentions, providing a backdrop against which to understand the process of TEAC's policy development.
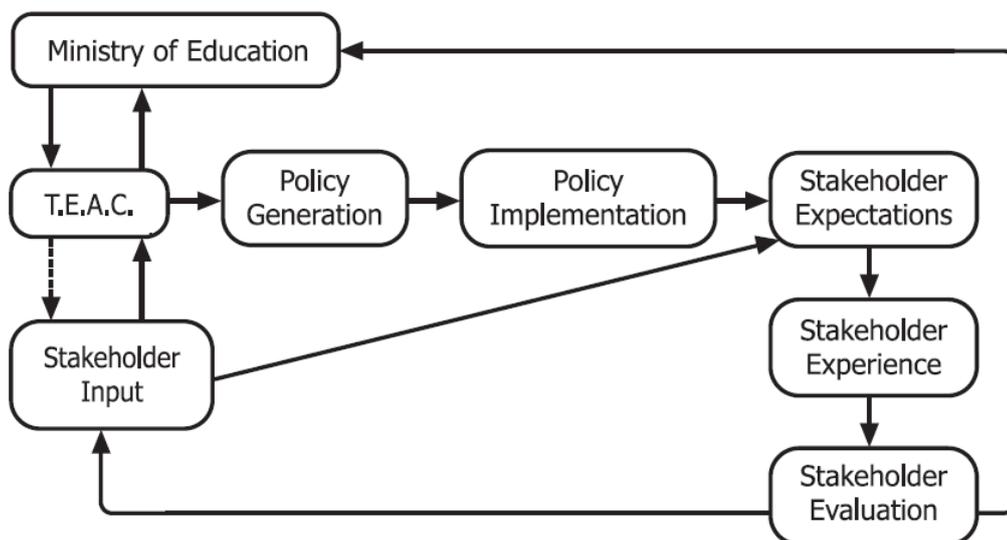
Figure 3.4   A Stakeholder-based Policy Development Framework developed by this author

3.8.3   Stakeholder Expectations of Universities

It is inevitable that the university's role, with its new connectedness to the changing needs of society, is subject to debate. There are strong arguments that a university education creates benefits to society above and beyond those to the individual - benefits in terms of growth, social cohesion, the transmission of values, and the development of knowledge for its own sake (Shapiro, 2005). Those arguments support the notion that taxpayer subsidies for university education should continue (Barr, 2002, 2003). There is also literature confirming that students receive a significant private benefit for their degrees, suggesting a benefit to the individual (Courant et al., 2006).

Universities are now confronted with the challenge of satisfying new and rising expectations of multiple stakeholders (Johnson & Rush, 1995; Sander, Stevenson, King, & Coates, 2000; Yooyen et al., 2011) while being more responsive to communities' needs. They operate in increasingly competitive environments (Salmi, 2007) where individuals and groups (who were once viewed as powerless) now command respect, that is, they have a stake in the outcome (Benneworth & Jongbloed, 2010; Carroll, 1993) This has led to the (presumed) inclusion of such groups, and the associated ability to influence policy and practice.

This notion of a stake allows managers to think in very specific terms, facilitating effective communication, making expectations realistic and achievable. Nonetheless, attempting to balance competing demands, and deciding what priorities to assign the various stakeholders has become increasingly difficult. In practice, all competing demands cannot be accommodated and the idea that every conflicting interest can be negotiated is somewhat naïve (Antonacopoulou & Meric, 2005; Blair & Whitehead, 1988; Bourne & Walker, 2005; Buchholz & Rosenthal, 2004; Clarkson et al., 1994; Freeman, 1984, 1994; Guba & Lincoln, 1989; Mellahi & Wood, 2003; Salmi, 2007).

A significant challenge for universities is created by the discrepancy between traditional academic culture and the challenges brought about by the increasing emphasis on direct involvement with the "factory-style" delivery of mass higher education. Intellectual concerns tend to be regarded as an indulgence if they are regarded at all, and are respected only in so far as they make an economic contribution to society (Openshaw & Rata, 2008; Ramsden, 1998).

In general, stakeholder relationships are dependent on the government, because it is the only entity that has the legitimacy to speak for society as a whole, and can thus change the way [universities] are governed and managed (Buchholz & Rosenthal, 2004; Liaisodou, 2011). As academics have observed, however, universities are struggling to adjust their programs and curricula to meet changing labour market demands as perceived by government (Salmi, 2007). This contrasts with the concept of a private university, where the *source* of funding (be it either student fees, rich patrons, or both) pays the bills and therefore influences administration.

3.8.4   Government's Expectations expressed through TEAC

Academics consider that most expectations come from government (Ashcroft, 2003). Not only in New Zealand, but internationally, universities are under constant pressure to meet immediate social and economic expectations and mandates. TEAC argued that "…tertiary educational policy was to be managed in such a way as to ensure that it is sufficiently innovative and responsive to the changing needs of society and the economy" (Tertiary Education Advisory Commission (TEAC), 2001d, p. 94).

However, the government's stakeholder role might be problematic. One of the traditional and primary roles of a university is to be a servant to society as well as a critic and conscience of society: "…giving enlargement and sobriety to the ideas of the age" (Newman, 1999, p. 160), and furthermore that role cannot be fulfilled if the university is expected to be an arm of government policy (Karmel, 2001). To properly fulfil its role, a university needs to operate at a distance from the government, much like the judicial arm of the court system does. It supports critical appraisals of and opposition to, sometimes popular values of society (Harman, 1989) and assumes an independent questioning stance toward accepted judgments and values.

Stakeholder research focuses on public policy issues such as social responsibility, an example of which is TEAC's recommendation that New Zealand requires a tertiary education system that ensures access for the whole population (Tertiary Education Advisory Commission (TEAC), 2000). Access is an issue of social responsibility. It encompasses issues in relation to ethnicity, gender, age and disability (Greenbank, 2006). However, the problem of increased access is a tiny one compared to the genuine challenge of getting more people to the matriculation starting gate (Watson, 2006).

Even the most unlikely candidates may shine through given the right conditions, while some of the most able students who are not willing to put in the effort required for university studies will fail.

Traditionally, governments have seen increasing access for under-represented groups as the solution to many social and economic problems. However, as far back as the 1970s, Carnoy and Levin (1976) argued that educational reform was limited in its ability to produce social change. It is difficult for university education to remedy educational disadvantage that emanates from educational foundations at school (Nelson, 2002). Priority needs to go to pre-school and school systems to improve foundation learning skills. Children need to be able to read and write before they can attend university. At the same time, university education can be seen as an instrument for democratising society (Pickering, 1967); governments are increasingly concerned with the problems of how university education is to be made freely available to all, irrespective of "birth, wealth, social status or family background".

Improved access has been a driving force of many government education policies in the past thirty years, with the hope of ensuring that New Zealand will have a world-class university education system in the future. However, to expect that improved access will solve both social and economic problems, and, to a lesser extent, have the power to produce true equality of opportunity is at best hopeful. Supporting this view is (Kaiser & Vossensteyn, 2005), who warned that expectations of what government (in The Netherlands) can do to reach targets needs to be modest. Similarly, in the United Kingdom, the study by Bowers-Brown (2006) has shown that family expectations are the key determinants for the likelihood of progression for those from disadvantaged socio-economic groups to higher education.

3.8.5 Student Expectations

Student expectations vary considerably. There is an increasing emphasis on meeting the needs of consumers (students) (Sander et al., 2000). This stance may undermine the academic rigour of university lecturers and other education professionals, who are used to having exclusive authority over matters of educational content, standards and quality (Harker, 2005; Roberts & Peters, 1998). Moreover, Roberts and Peters point out that universities more than other tertiary institutions, have often been singled out as lacking

in their attention to student needs. The strong growth in student enrolment numbers and the shift in the perception of tertiary education from privilege to right has led to change for which the function of tertiary education institutions in many countries continue to be adapted (Hill, Lomas, & MacGregor, 2003). One element of these developments lies in the challenge posed to universities to meet the educational needs of an ever more diverse group of learners (Schuetze & Slowey, 2002). Schuetze and Slowey go on to note that one of the significant changes in university education is the impact of changing labour market requirements, increasing professionalisation, rapid change in occupational structures and rising qualification requirements for many employment opportunities. This fundamental change from an elite system of higher education to a mass education system comes with many complications. Coady (2000b) argues that universities are forced to under-educate some of their students because of a lack of resources, in order to pay for resourcing the education of the less able. While universities have an obligation to create the best possible educational environment (Duderstadt, 2003), in practice they are constrained by limited resources.

However, when incompatibility arises between a student and their course or university (when the academic reality does not meet with the student's expectations) students need to ensure that their expectations are realistic. This may mean taking responsibility for their own learning. There are two sides to this argument, one being the ease of obtaining a university qualification, the other being the scarcity value of a qualification that requires not only ability but also hard work to obtain. Both sides can be seen as serving the interests of the student. In line with this view, TEAC articulate "quality" as a value: They advise that "all tertiary education should be of an acceptably high quality..." (Tertiary Education Advisory Commission (TEAC), 2000, p. 13).

The discourse on the shape of the university reflects an emerging school of thought that the university needs to be more flexible, open, and accessible to be of service in the economy (Meyer, 2002). By contrast, the role of the university to safeguard and advance culture is rarely specified as necessary. If the university is to maintain its role as a mentor of culture, it can do so only as a meritocratic institution able to reconcile expanded access with selectivity.

Marginson makes the point that:

> The corporate and the academic do not have to be mutually exclusive. It
> should be possible to be both university and corporation, to redesign the
> university so as to enhance its particular academic character in a
> knowledge economy. Such a redesign is not occurring. The Australian
> university may lose distinctive aspects of its mission – the primary
> orientation to the production, circulation and transmission of knowledge;
> the pastoral approach to the formation of personality; preparation for work
> in a broad intellectual setting in which student exploration is encouraged; a
> longer-term and critical view of social developments; and an explicit role
> in building national institutions and national identity. It is in danger of
> cannibalising its own professional academic cultures on which so much
> else depends (2000b, p. 7).

This perspective can be applied to New Zealand universities where similar challenges
are being experienced. The TEAC stakeholder-based policy process attempts to capture
the conflicting themes of academe and the corporate world and arrive at a successful
compromise. For example, business, industry and employers want graduates who have
(in a short time frame) completed useful degrees for what they consider to be important
right now, whereas universities are far more concerned with 'learning to learn', which
they achieve through a core curriculum that changes little (or slowly) over time. The
compromise is polytechnic-like courses, some of which may be offered over summer
vacations.

3.9   Research Framework

The research was conducted in three parts. The first was to construct a list of research
questions to be discussed in this thesis. In constructing these questions, attention had to
be paid to what information was likely to be available to be extracted from the raw data.
The second part was to formulate a set of questions to be put to participants. These were
designed to maximise the amount of useful information about the TEAC stakeholder-
based process that could be extracted from participants. The third part, conducted after
interviewing participants, was to obtain answers to the research questions based upon

responses that the participants had given when interviewed. The research questions
were as follows:

1. Who are the main stakeholders in the university education sector?
2. What were the intentions of TEAC's policies?
3. Have the intentions been achieved as planned?
4. How has the implementation of TEAC's policies affected the university's academic staff?
5. How do the current evaluation mechanisms determine the impact of the policies?

3.10 Chapter Conclusion

This chapter discussed stakeholder theory and the difficulties associated with stakeholder definition, identity and prioritisation. It also evaluated how stakeholder theory may or may not be useful when considering universities and their responsibilities within the TEAC framework. The essence of stakeholder relationships and expectations were also considered.

Stakeholder theory requires not only the identification of potential stakeholders but some form of classification, thus prioritising stakeholders' needs and expectations. This is recognised as a subjective process. It is not enough for stakeholder theory to acknowledge that conflict is the result of the relative concerns generated by various stakeholder groups in their pursuit of specific interests, goals and objectives. Fundamental to the successful utilisation of stakeholder theory is the consideration of which stakeholder groups merit managerial concern. If it is applied meaningfully, stakeholder theory provides a framework which offers a useful contribution to the investigation of university education with regard to the role of the university and how government policy directions have impacted on academic staff and their values.

The literature provides many adapted versions of a stakeholder and stakeholder theory. The different meanings attached to the various stakeholder issues, and how these meanings are negotiated and changed will influence the way in which stakeholder importance is interpreted by management. This was one of the major shortcomings of TEAC approach to stakeholder management. They not only failed to clearly define who

the relevant stakeholders were, but also failed to prioritise those stakeholders they did identify.

Stakeholder theory raises several potentially valuable opportunities for government and university interaction. One of the key strengths of stakeholder theory is the fact that it enables one to more comprehensively and systematically identify those individuals and groups with whom the organisation must effectively interact if it is to be successful. It provides an approach which can take into consideration numerous individuals and groups. This, in turn helps clarify the roles assumed by various stakeholder groups.

Chapter 4

Research Method and Approach

4.1   Chapter Introduction

This chapter discusses the method used for the current research and explains why it was considered to be the most appropriate. The methodological steps of defining the issue, determining the sample, collecting the data, and analysing the data are addressed in later sections, and the chapter also includes an explanation of the research design, data collection procedures, and means of data analysis. Consideration is given to the appropriateness of the interpretive paradigm in connection with the research questions, as well as the application of critical discourse analysis to TEAC's literature in order to cut through the rhetoric and reveal the underlying substance.

Throughout the research leading up to this thesis, the term "mixed method" has repeatedly come to the fore. An increasing number of researchers are utilising mixed methods research (a combination of quantitative and qualitative questioning) in their case studies because of its logical and intuitive appeal, providing a link between both types of data (Bergman, 2008; Brannan, 2008; Cresswell, 2003; Onwuegbuzie & Leech, 2006).

In this research, the mixed method approach integrates qualitative and quantitative questioning into a structured interview schedule to help the researcher gain a comprehensive understanding of the stakeholder perspectives. The rationale was that by using the quantitative data to assist in structuring the qualitative responses, it would be possible to maintain a structured interview framework whilst still exploring participants' viewpoints. Should any participants not wish to expand beyond their quantitative responses, the research would still have the numerical data to fall back on. This approach facilitated robust findings and conclusions, based on academic staff perspectives.

An interpretive approach may be applied to a study where the research uses different methods: it is a field of inquiry that cuts across disciplines, fields and topics (Denzin & Lincoln, 1994; Silverman, 2013). The goal is to understand and make sense of the phenomena being studied, without being constrained by any specific method. This

research seeks to understand and interpret the meanings academic staff attach to the themes identified in the literature and subsequently in the research instrument. The research is also evaluative in that it seeks to assess the impact of the four TEAC policies of 2000 – 2001 on academic staff.

> …truth is an evasive concept. One person may describe an experience in one way and another person may describe the same experience in quite another way. Yet both may be telling the truth according to their own perspectives: their own interpretations, rationalisations, fabrications, prejudices, and exaggerations (Bogdan & Taylor, 1975, p. 9).

It does remain that this research used a predominantly qualitative method with a case-study approach combining elements of Stakeholder Theory analysis and structured interviews. While "mixed method" and quantitative questioning were a part of the research framework, it was the qualitative responses that provided the majority of the research outcome.

4.2 Philosophical Position

All research is undertaken with some form of underlying philosophical position (Tolich & Davidson, 1999). As stated above, this research utilised the qualitative interpretive paradigm, which is particularly useful for this study because of its focus on extracting deeper meaning from the participants' responses than would be possible utilising solely quantitative means. The researcher took the philosophical position that data are encoded within the perspectives of academic staff; and therefore, the researcher should engage directly with the participants in collecting the data and strive to decode their responses to yield interpretive richness.

Broido and Manning (2002) argue that research cannot be conducted without the conscious or unconscious use of underlying theoretical perspectives. Merriam (1998) emphasised the need for a sound theoretical basis, suggesting that the framework provides structure for the study.

Thematic analysis was used for encoding qualitative information as part of the data analysis procedure (Boyatzis, 1998). Shank (2006), in discussing the science of qualitative research, asserts that often qualitative research is not particularly scientific in

itself, but that the treatment of the data should be. This study adopts enforced scientific principles over the data analysis in order to achieve reliability and validity in the findings. Finally, critical discourse analysis (CDA) was used as a tool to interpret the language used in TEAC's documentation in order to extract their underlying meanings.

4.2.1 Research Paradigm

A paradigm can be thought of as a set of assumptions about the social world (Punch, 1998). It is a very broad term, encompassing elements of epistemology, theory and philosophy, along with practical methods. Another interpretation is provided by Kuhn who defines a paradigm as "the entire constellation of belief, values, and techniques shared by members of a given scientific community" (1970, p. 75). This definition is rather broad (Guba & Lincoln, 1994). For the purposes of this thesis, a paradigm is considered in the more constrained context of being a specific tool with which to achieve a given goal.

This research is based on an interpretive paradigm, focusing on social interaction as the basis of knowledge. The research is concerned with how others understand their world. A number of assumptions underpin this interpretive approach to research (Blackledge & Hunt, 1985; Yanow, 2000). As a predominantly qualitative study, the main assumption here is that the views of a typical set of academics can be generalised across the wider academic community. This is discussed later in the chapter.

4.2.2 Critical Discourse Analysis as a tool for interpreting the Tertiary Education Advisory Commission's Policies

Van Dijk (1993) discusses how CDA has become a general label for a special approach to the study of text and talk. Its purpose is to facilitate researchers in revealing hidden or obscured meanings (Fairclough, 2003), and uncover the unequal power relationships between various stakeholders in society (Liaisodou, 2011; Wodak & Meyer, 2001). CDA has descriptive, explanatory and practical aims. It attempts to uncover, reveal or disclose what is implicit, hidden or otherwise not immediately obvious in relations of discursively enacted dominance and rhetoric (Bacchi, 2000). Dunn (2006) refers to political rhetoric as a powerful weapon in perpetuating hegemonic power relations. In recent times, CDA has emerged as a socio-politically conscious way of investigating relationships between discourse and communication, and society.

There are a variety of approaches and techniques of analysis which loosely group themselves together under the label CDA (Fairclough, 2001). Van Dijk (1993) described CDA as problem or issue-oriented where any theoretical and methodological approach is appropriate, provided it is able to effectively study relevant social problems. Rather than merely describe discourse structures, it tries to explain them in terms of properties of social interaction and especially social structure.

Dunn (2006) acknowledged that CDA has only been used in a small number of educational policy studies, while at the same time asserting that political discourse is an integral part of policy process. Lo Bianco (2001) emphasised the need for researchers and practitioners to understand the language of policy. Edwards and Nicoll (2001) argue that rhetorical analysis helps to point to the politics of discourse that is at play in policy-making processes. Further, they suggest that this is a politics in which researchers need to engage if their own arguments around policy issues are to be persuasive.

When studying the role of discourse in society, CDA especially focuses on relations of power, dominance and inequality and the ways these are reproduced or resisted by social group members through text and talk. In examining TEAC's policies, this research demonstrates how language works in policy texts, and in particular how it can be used to highlight competing and/or marginalised discourses. Taylor (2004) notes that these discourse issues have implications for how policy texts are read and implemented. TEAC's policies are an example of how power manifests itself through language, thus this research identifies the interplay of unequal power relationships. TEAC articulated a stakeholder-based policy development process and therefore created a discourse consistent with its claims of stakeholder consultation. However, as Fairclough (2012) argues, democratised discourse can in fact simply be a means of disguising power asymmetries, rather than removing them.

Furthermore, Fairclough (2001) asserts that communication has become increasingly important, and for governments this often translates to communicating with the public in a one-sided way - even when the process is seemingly public consultation. In many instances, governments generate policy with a pre-existing agenda, such as an election promise. Politicians often engage in talk and text that may limit the freedom or rights of other participants. Bordieu and Wacquant (2001), when referring to political debate,

even go so far as to describe the discourse as a form of symbolic violence that relies on a relationship of constrained communication to extort submission.

Such symbolic violence represents a government exerting power over stakeholders and society in general. Mulderrig (2011) upholds that traditional authority and government control has progressively given way to a more managerial form of governance, which is increasingly concerned with monitoring performance and emphasising desired outcomes. This in turn leads to a governance framework where academic staff feel increasingly disempowered, specifically as expressed in this thesis.

When referring to the United Kingdom's educational governance, Mulderrig (2011) argues that through its discourse, the government interprets educational roles and responsibilities not only for itself, but also for other educational stakeholders and wider society. While there has been an increasing political emphasis on creating a lifelong learning society, an ideal which has now become a common purpose for educational management (Edwards & Nicoll, 2001), ideological pressures to change and align education more closely with economic policy goals are even more prevalent (Chilton, 2004; Lingard & Rizvi, 1998). New Zealand is no different in that its policy agenda has changed the discourse that articulates the goals and values of education, thus redefining the nature and purposes of education (Dale, 1994; Malcolm & Tarling, 2007; Patterson, 2001).

4.2.3   The Relationship between Qualitative and Quantitative Research

Davies (2000) advises that the relationship between qualitative and quantitative research has challenged social scientists and policy researchers for most of the past two hundred years. Both have a long history of contributing to social science and public policy research. The method selected for gathering data is an important consideration given that different data gathering approaches have the potential to yield different types of information (Ruane, 2005; Sale, Lohfeld, & Brazil, 2002; Taylor & Bogdan, 1998). More specifically, the method needs to be compatible with the types of information that the researcher wants to utilise.

Qualitative research attempts to make sense of, or interpret, phenomena in terms of the meanings people bring to them (Denzin & Lincoln, 1994, 2000; Eisner, 1998; Silverman, 2013). In focusing on processes, meanings and understandings, qualitative

data has a strength and richness (Cresswell, 2003; Miles & Huberman, 1994; Patton, 2002). It uses words, images and categories which is synonymous with detailed in-depth inquiry (Dey, 1993; Reissman, 2002; Shank, 2006). A qualitative approach ensures data is not reduced immediately to numbers, offering vivid accounts and experiences (Fitz-Gibbon, 2000). This goal of understanding phenomena from the point of view of the participants (and its particular social and institutional context) is largely lost when textual data are quantified. In Merriam's words:

> …qualitative research assumes that there are multiple realities – that the world is not an objective thing out there but a function of personal interaction and perception. It is a highly subjective phenomenon in need of interpreting rather than measuring. Beliefs rather than facts form the basis of perception. Research is exploratory, inductive, and emphasises processes rather than ends (1988, p. 17).

Quantitative data, on the other hand, tends to be very specific in nature (Onwuegbuzie & Leech, 2006). Its numerical questioning makes observations more explicit (Babbie, 2007). The data affords representation in graphs and tables, a form that enables rapid visualisation and digestion when it is necessary to quickly convey information.

This research utilises a mixed-method to gather a large volume of qualitative data alongside numerical information. Qualitative data comes under criticism for being anecdotal and difficult to analyse and generalise to other situations (Bryman, 1989, 2008). In this thesis, the quantitative data serves to provide a loose framework within which to structure the qualitative answers. This approach combines the advantages of both methods.

4.3 Case Study Approach: Content Analysis and Structured Interviews

A method is the term used to refer to the tools and techniques used to obtain and analyse data whereas methodology refers to the theory of how research should be undertaken: the process, principles and procedures by which we approach problems and seek answers (Bogdan & Taylor, 1975; Burgoyne, 1994; Saunders, Lewis, & Thornhill, 2003). Research must yield valid results and research techniques should result in

findings that are replicable (Krippendorff, 1980). The most appropriate research method should be determined by the research questions (Nutley & Davies, 2000).

Research (repeated searches within data for apparent patterns) assumes explicitness about method. On the basis of previous work (Bryman, 2008; Haase & Myers, 1988; Merriam, 1988; Yin, 1994), the case study approach was considered to be most likely to achieve a comprehensive understanding of academic staff perspectives. It enabled staff to go beyond simply answering fixed questions, allowing them to provide in-depth responses using the language that they felt most comfortable with (non TEAC terms). Academic staff are a well-educated group, who are likely to respond to, and elaborate on, any given subject they care about with just a little prompting. A case study environment afforded creating this environment. A single case study, as opposed to a multiple case study, was used simply due to resource constraints. The single case study provided the capacity to utilise detailed staff insights as a basis for interpolating overall reaction to the policies and evaluate the outcome of the changes from their (staff) perspective.

The most common limitations of the case study method when interviewing, are bias due to poorly constructed questions, response bias, inaccuracies due to poor recall and socially desirable responses (Alreck & Settle, 1995; Babbie, 2007; Bogdan & Taylor, 1975; Merriam, 1988; Whyte, 1984; Yin, 2003). Great care has been taken to overcome these possible limitations. The questions are clearly constructed, and as part of the data collection process, each participant's answer formed the basis of an in-depth discussion in which the participant was able to freely add whatever they felt necessary. Probes developed as the interview process progressed and the specific areas that were important to participants as a group emerged. Response bias and socially desirable responses were not considered to be of concern due to the characteristics of the sample.

Given that Sekaran (2003) and Yin (2003) consider that documentary materials and interviews are the most important sources of case study information, this study commenced with the initial task of placing the content of the TEAC documents (as well as other relevant literature) into themes that could be developed into an interview schedule. Assuming that the prevalence of a given theme would indicate the importance of a related issue enabled the researcher to identify inferences from the documentary

materials, thus facilitating the interpretation of what the text meant from the TEAC perspective. It had the additional benefit of drawing attention to strengths and weaknesses within the policies – in other words, the identification of areas in need of further examination and discussion with participants.

The phenomenon under study is complex, and so required both framed questions where appropriate to the data required, and in-depth and open-ended response opportunities. Thus, the approach taken integrated a combination of open and closed questioning into a structured interview schedule: "Words or pictures rather than numbers are used to convey what the researcher has learned about the phenomenon, thus it is descriptive" (Merriam, 1988, pp. 19-20). This enabled the researcher to gain insight into the extent to which the policy intentions met their outcomes from one university's academic staff perspective.

4.3.1 The Defining Features of a Case Study

Case studies generally provide qualitative rather than quantitative data for analysis and interpretation (Sekaran, 2003). A case study is defined as in-depth explorations of an event, activity, a process, or individuals or groups (Cresswell, 2003). Case study research analyses in-depth information about a specific participant or small group in their particular context, frequently including the insights and narratives of subjects themselves (Eisenhart & Howe, 1992; Sommer & Sommer, 1985). The aim is to understand as much as possible about a particular situation. Bogdan and Taylor outline the importance of this:

> Qualitative methodologies refer to procedures which produce descriptive data: people's own written or spoken words and observable behaviour. This approach, as we see it, directs itself at settings and the individuals within those settings holistically; that is, the subject of the study, be it an organisation or an individual, is not reduced to an isolated variable or to an hypothesis, but is viewed instead as part of a whole. When we reduce people to statistical aggregates, we lose sight of the subjective nature of human behaviour (1975, p. 4).

Historically, cases studies have been used in the disciplines of law and medicine (Merriam, 1988). It is more recently that education has turned to case study research to

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explore the processes and dynamics of practice (Silverman, 2010). Such studies offer useful insights into educational practice and provide helpful information in policy formation. The result is rich, in-depth descriptions of particular situations. This does not mean that case studies have no wider significance. Rather, it emphasises the importance of the individual (or small group) as a reflection of the values of the wider group. This study is, however, also theoretically based in the sense that interview data are interpreted through the stakeholder theory lens while TEAC documentation is subjected to critical discourse analysis.

Case studies are often used when the research problem addresses "how" and "why" questions, because they may help to explain phenomena rather than just quantifying it (Perry, 2001). In qualitative research the interest is in process, meaning, and understanding: words (rather than numbers) are used to convey what the researcher has learned about the phenomenon. Qualitative research is thus descriptive (Merriam, 1988).

When forming policies, insights may be more useful than numbers, and in the field of the university education, there is already much numeric data available. Anchored in real-life situations, the case study results in a rich and holistic account of a phenomenon (Eisenhart & Howe, 1992; Yin, 2003). It offers insights and illuminates meanings that expand its reader's experiences. These insights can be construed as tentative hypotheses that help structure future research; hence, the case study approach plays an important role in advancing a field's knowledge base. Because of its strengths, the case study is a particularly appealing design for applied fields of study such as education. It is hoped that the insights gained from this research may have a direct influence on policy and practice.

As the main aim of this research was to gain a deeper understanding from a quite limited group (academic staff) spread over a wide area (the whole of New Zealand), resource constraints led to the only feasible approach of a single case study conducted at a single location. Several locations were considered as an option, but were dismissed because of the risk of creating the illusion of a broadness that does not exist, while interviewing across all eight of the universities was impractical due to financial and time constraints.

The nature of the TEAC's stakeholder-based policy development process is one of words and descriptions, and so it made sense to carry on with the same approach in the present study. A quantitative approach using testable hypotheses were not generated by the framework, and could not be generated from a process analytical approach. Numbers and statistics would have produced a result that was fundamentally incompatible with what was being investigated. Educational processes, problems, and programs, when analysed qualitatively, can be examined to bring about understanding that in turn can affect and perhaps even improve practice; Merriam (1988) asserts that the case study has proved particularly useful for evaluating programs and for informing policy.

4.3.2 Content Analysis as a Tool for Codifying the Texts in the Present Study

Content analysis is a method of codifying the text (or content) of a piece of writing into various groups (or categories) depending on selected criteria (Sommer & Sommer, 1985) and is a useful tool for analysing textual data (Silverman, 2000). It uses a set of procedures to make replicable and valid inferences from text (Hodder, 2000; Weber, 1990). Its purpose is to reduce an overwhelming amount of data to enable the identification of useful themes.

In this study, data from the literature review and TEAC's documents was sorted into themes. Specifically, the content of TEAC's documentation was analysed and divided into themes that were suitable for incorporation into the interview schedule. Once all data was collected, a similar process was applied to academic staff responses. This process emphasised important themes from which patterns emerged. These themes were then used to derive more specific sub-categories, enabling the researcher to pay attention to the important themes within the data, whilst at the same time keeping within the integrated framework. This method relies upon the assumption that the extent of disclosure can be taken as some indication of the importance of an issue to the reporting entity (Krippendorff, 1980). Content analysis can provide new insights and increases a reader's understanding of particular phenomena (Holsti, 1969).

The phrase "policy analysis" (also referred to as "critical policy analysis") differs from content analysis in that it is used to refer to the way in which evidence is generated and integrated into the policymaking process (Fitz-Gibbon, 2000; Nutley & Webb, 2000). In

education, there is intense debate with respect to the quality of research, its relevance, and its ability to influence policy and practice (Fitz-Gibbon, 2000).

A critical policy analysis goes further than simply identifying a gap between the rhetoric and reality of official policy (Nutley & Davies, 2000). It endeavours to draw attention to the limitations of policy and put forward suggestions for amelioration, ascertaining whether the policy can be transferred from theory into practice and whose interests are served. It must also recognise and understand the "conflicts between the national, local and institutional [agenda] and the changing relationships between them" (Ball, 1998, p. 127). Krippendorf (1980) asserts that content analysis is one of the most important techniques in communication research. This is especially important in trying to close the feedback loop in TEAC's stakeholder-based policy development process.

In his classic work on policy analysis, Wildavsky (1979) argued that one of the keys to effective policy change was identifying problems that can be solved. Bryson (2004) agrees by adding that policy analysis is a kind of art in which problems must be solvable, at least tentatively or in principle, in order to be understood and addressed effectively.

Whilst a full critical policy analysis has not been conducted in this thesis, content analysis and critical discourse analysis have been used as methods for determining the soundness or otherwise of TEAC's policies. Any such analysis can be a difficult and contentious task given that policy can mean different things to different people depending on the context of the discussion; it is determined by whose interests are at stake (Mitchell et al., 1997). To an organisation such as the government, policy is a word used to define an over-arching code of practice or set of rules by which those affected are expected to conduct themselves.

Lincoln and Guba (1985) take a different approach, distinguishing between documents and records on the basis of whether or not the text was prepared to explain formal transactions. Documents are prepared for personal rather than official reasons including diaries and letters, while records form an official account. The two terms are often used interchangeably although the distinction is an important one. Documents, closer to speech, require more contextualised interpretation. Records, on the other hand, may have other uses that become very distant from officially endorsed meanings. This thesis

is more interested in documents (as defined by Lincoln and Guba), notwithstanding consideration of parliamentary records (Hansard) where they are relevant.

4.4 Development of the Interview Schedule

Literature has a substantial impact on research (Bricker & Chandar, 1998; McKeen & Richardson, 1998). A literature search on various forms of research methods enabled this researcher to identify potential problem areas in the formulation of the interview schedule; sequencing and wording of questions, layout of the interview schedule and ethical considerations (Alreck & Settle, 1995; Ruane, 2005; Seidman, 1991). As already noted, the interview schedule was constructed with a combination of closed and open-ended questions, providing participants with opportunities to expand on their responses. While government research in this field may have been narrowly focused and predominantly based on statistical approaches, Scranton and Horowitz (1997) argue that such exclusivity is inappropriate when advancing knowledge in an interdisciplinary subject such as management, a subject which exists within a complex relationship of social, political, and economic settings.

The distinction between policy and practice is not a rigid one (Nutley & Webb, 2000) and interest in the theory and practice of evidence-based policy has increased in recent years (Amann, 2000). Davies, Nutley, and Smith (2000a) report a considerable increase in the number of organisations seeking to influence governments by way of evidence. Whilst it is not entirely clear why there appears to be an opportunity for research evidence to have substantial impact on policy and practice at the present time (Nutley & Webb, 2000), the general assumption that professionals are the experts is now being challenged – with increasing public scepticism towards the actions of professionals who deliver public services (Davies, Nutley, & Smith, 2000b). An increasingly well-educated and well-informed public, combined with the availability of data and a rising emphasis on accountability has added to the role of evidence in policy (Davies et al., 2000b). Evidence arising from policy evaluation is considered to be one aspect of the policy process (Nutley & Webb, 2000). TEAC, through their stakeholder-based policy process, acknowledge the value of "non-expert" input, for example where iwi are given the status of an interested party in tertiary education. This research concentrates on academic staff as another interested party.

The interview schedule was primarily derived from the recurring themes that emerged from the literature review and TEAC's policy documentation. Whilst not the primary focus in determining the interview schedule, the following eight questions from TEAC's third report, *Shaping the Strategy,* (July 2001, page 3), warrant further attention:

1. From your perspective, what would be the three key performance indicators of a successful tertiary education system?

2. What practical measures would ensure that the tertiary education system is responsive to your needs and interests?

3. Should we have quantitative goals in the Tertiary Education Strategy? For example, New Zealand is in the top 10 of OECD countries for adult literacy levels by 2011?

4. Should we be concentrating on developing our knowledge base in particular areas? If so, which areas? And which areas are of less importance?

5. What are the knowledge, skill, and competency constraints you/your organisation are currently facing? (From an individual, a business, a city, regional, and an iwi perspective and so on).

6. If you had an extra $10 million to spend in tertiary education, how would you spend it?

7. Should there be limits on the choices available to students if this helps to focus resources on education that is aligned with key national strategies, and/or concentrate resources to produce higher quality teaching and research (for example, Centres of Research Excellence)?

8. What responsibility/role should the tertiary sector have in meeting the skill needs of particular industries/labour markets, and what responsibility/role should those industries/labour markets have?

These eight questions represented an excellent launching point for a fuller consultative process. Unfortunately, TEAC either did not fully exploit their use, did not incorporate the responses they got, or failed to attach sufficient importance to the answers that were elicited.

4.4.1   Pre-test Procedure

A pre-test was conducted using a trial interview schedule. The rationale of this process was to experiment with different formatting and questions, and to evaluate how academics may respond.

Seven participants were engaged for this task: three Lincoln University academic staff, three post-graduate students, and a professional researcher. These participants were asked to critically analyse all aspects of the interview schedule, including the wording and sequence of the questions, and to identify redundant or missing questions. They were asked to comment if the response categories were unclear, and to suggest revisions if the wording of open-ended questions were not direct and straightforward. Clarification was sought about areas that they considered could be misunderstood. Results of this pre-test exercise were used to make a few minor changes to the initial items. Some were reworded to make them more precise and easier to understand, and some items which appeared to lack validity were deleted. Additionally, routine probes were developed for several of the items to achieve as much uniformity as possible in the interview format.

Finally, the pre-test participants were also asked to consider three important attributes of interview questions, as recommended by Alreck and Settle (1995): Focus, brevity and simplicity. The information gained from all this was used to further refine the interview schedule.

In the final interview schedule, sixty-three open and closed questions were structured around six recurring themes that emerged from the literature and TEAC's policy documentation (including a synthesis of the eight questions from *Shaping the Strategy*). These themes identified in the literature review were:

1. The role of the university
2. Hegemony and autonomy
3. Differentiation
4. Resource allocation and distribution
5. The university's relationship to society
6. Access to and participation in university education

The closed questions were constructed utilising Likert scales, and sought to provide a ranking of staff perceived priorities within the six themes. Open-ended questions were included to enable participants to freely discuss issues they viewed as important (see Appendix C Interview Schedule). As new ideas were introduced, the researcher made notes and probed further. Standardised open-ended response questions regarding monitoring and evaluating were asked in sections one, two and four of the interview schedule.

4.4.2   Reliability, Validity and Generalisability

Reliability, validity, and generalisability are important considerations in any research project (Kerlinger & Lee, 2000; Tolich & Davidson, 1999; Yin, 2003). Reliability is concerned with the ability of the research instrument to generate consistent results whilst minimising the likelihood of errors and biases (Kerlinger & Lee, 2000; Sekaran, 2003; Yin, 2003). Validity is defined as the degree to which the research instrument measures what it is supposed to measure (Sommer & Sommer, 1985; Yin, 2003). This determines the credibility of the inferences drawn from data (Eisenhart & Howe, 1992). Conventional conceptions of validity derive most directly from Campbell and Stanley (1963) who divide it into internal and external validity. To have internal validity, the research instrument needed to be transparent (Sommer & Sommer, 1985; Yin, 2003), that is, the language employed should be as clear and understandable as possible, without any hidden meanings or deliberate attempts to confuse. To address this, at the beginning of the interview schedule there was a notice that the questions being asked were derived from TEAC's policies, and participants were verbally advised that the terminology used was deliberately specific to TEAC.

Because the research instrument needed to be trustworthy and valid, the goal for reliability was to minimise the likelihood of errors and biases (Kerlinger & Lee, 2000; Sekaran, 2003; Yin, 2003). The use of a structured interview schedule has increased the reliability and validity of this research. In the context of this study the use of open questions allowed staff to elaborate as they so wished in whatever manner they felt most comfortable with, meaning that staff perspectives which might otherwise be lost were captured in the research data.

The extent to which the findings of a study are generalisable is sometimes referred to as external validity (Bryman, 1989; Ruane, 2005; Sekaran, 2003; Sommer & Sommer, 1985; Yin, 2003). As previously mentioned, whilst this case study offers a valuable contribution, its primary aim is to understand the participants' points of view rather than make generalisations; a major aim was to improve understanding of the complex issues at the heart of university education in New Zealand. For some types of studies, such as this one, this may be more important than the generalisability of results (Adams & Schvaneveldt, 1985; Marshall, 1996; Sekaran, 2003; Sommer & Sommer, 1985).

4.4.3 Structured Interviews

An interview schedule may take a number of forms, from being highly structured through to totally unstructured. A structured interview has been defined by seminal authors as a purposeful conversation facilitating detailed information from participants (Babbie, 2007; Merriam, 1988; Oishi, 2003; Tolich & Davidson, 1999). The outcomes are a result of guided, yet open, discourse. Due to the nature of the research problem, a structured interview schedule was considered most fitting for this descriptive and exploratory research (Kerlinger, 1986; Sapsford & Jupp, 1996a; Saunders et al., 2003). A combination of item formats was chosen as most likely to provide both the required uniformity of the data collection as well as obtaining deeper insights from informed participants (Oishi, 2003; Ruane, 2005; Sapsford & Jupp, 1996b; Saunders et al., 2003; Sekaran, 2003; Sommer & Sommer, 1985; Wilson, 1996). The outcomes are a result of guided, yet open, discourse – allowing the participants to talk freely about issues without being constrained in their responses.

One of the many advantages of interviews is that they tend to provide more private and accurate information due to the personal communication between an interviewer and an interviewee (Lin, 1976; Ruane, 2005; Sapsford & Jupp, 1996b). They are also an excellent way of exploring complex feelings and attitudes (Sommer & Sommer, 1985). Interviews yield descriptive data which enable the researcher to see the world as subjects see it. The objective of an interview is to understand the participant's point of view, as opposed to simply making broad generalisations about the group (Rubin & Rubin, 2005).

A good interviewer is able to engage and empathise with their subject, and in exchange the subject will be more willing to reveal their unguarded thoughts: "The interview has the potential to be an extremely sensitive device for the acquisition of valid and reliable data. Most people are more willing to talk and verbally react than write responses to questions" (Adams & Schvaneveldt, 1985, p. 214). At the same time, it is the interviewer's responsibility to not take unfair advantage of this openness and to never lead the subject in the direction that the interviewer favours. Furthermore, (Adams & Schvaneveldt, 1985) argue that the interview is more sensitive than the questionnaire in terms of coping with issues of validity.

Many months were spent deciding what questions to ask in the final interview schedule: "The key to getting good data from interviewing is to ask good questions" (Merriam, 1988, p. 78). Data obtained from structured interviews would need to be able to be translated from the research objectives into more specific findings. From this guidance, a structured interview schedule with a mix of the earlier noted item formats was chosen as most likely to provide both the required uniformity of the data collection and to obtain deeper insights from the informed participants (Oishi, 2003; Ruane, 2005; Sapsford & Jupp, 1996b; Saunders et al., 2003; Sekaran, 2003; Sommer & Sommer, 1985; Wilson, 1996).

"Unlike survey research where the number and representativeness of the sample are major considerations, in interviews the crucial factor is not the number of participants but rather the potential of each person to contribute to the development of insight and understanding of the phenomenon" (Merriam, 1988, p. 77). Because academic staff are, on the whole, well-educated and informed, it is feasible to have them interactively contribute towards the evolution of the individual interview as it unfolds. Given their close and necessary involvement with the educational machine, they possess unique and in-depth knowledge and experience of the subject under research. If individuals are at liberty to talk to us, then we have the potential for great research utility with interviews. If people are honestly supplying requested information, a fair assumption in this instance, then this method of data collection can be both highly reliable and valid (Adams & Schvaneveldt, 1985).

4.4.4 Delivery of the Interview Schedule

The interview strategy provided a means to allow the researcher to tease out additional relevant information that subjects might not otherwise include outside of a one-on-one setting. One of the many advantages of interviews is that they potentially provide more sensitive and accurate information due to the private and personal nature of the communication between an interviewer and an interviewee (Lin, 1976; Ruane, 2005; Sapsford & Jupp, 1996b). They are also an appropriate way of exploring participants' feelings and attitudes (Sommer & Sommer, 1985), which were a central focus of the project; anonymity assures sensitive information can be discussed.

All participants were interviewed in an identical manner to ensure a uniform and unbiased experience for each subject. However, they were also free to provide additional unrestricted responses. This ensured commonality, while at the same time allowing participants the freedom to expand on points they viewed as important (Alreck & Settle, 1995; Cresswell, 2003; Oishi, 2003; Ruane, 2005; Saunders et al., 2003; Sekaran, 2003; Sommer & Sommer, 1985).

4.4.5 The Interview Schedule

The interview schedule (refer Appendix C) was primarily derived from the recurring themes that emerged from the literature review and TEAC's policy documentation. It consisted of six sections focusing on inter-related themes. In the interests of transparency, and so that participants would a) know what to expect, and, b) have time to consider their positions on the themes represented in the interview, a copy of the interview schedule was sent to potential participants with an invitation to participate. Many of those who participated in the interviews took advantage of the opportunity to consider their responses beforehand, noting that they had found it useful; many had read through the questions, and a number had already taken time to complete some of the questions. This also led to more-detailed responses than might otherwise have been given, enhancing the richness of the data.

Section One: The Role of the University

A combination of open-ended questions and rating scales were used to inquire about the participants' beliefs of the role of the university. The initial question asked participants to define what the term "stakeholder" meant to them. Following this, they were

presented with a rating scale (RS) consisting of five responses (where 1 = "not at all" through to 5 = "very much") provided for them to indicate the importance of a list of eight stakeholder groups. An open-ended response question asked participants what they thought were the three main functions of a university. Participants were asked to indicate the extent to which they thought it was the function of New Zealand universities to contribute to the country's economic growth. This was followed by open ended questions as to how they thought this could be monitored and evaluated. The section concluded by asking participants to what extent they thought university activity should reflect the Treaty of Waitangi.

Section Two: Hegemony and Autonomy of New Zealand Universities

Twelve questions were presented to capture participants' perceptions of the level of autonomy of New Zealand universities. A multiple-rating list question (MRLQ), where each group had a choice of 1 = "not at all" through to 5 = "very much", asked participants to report the extent to which they thought the various stakeholder groups were involved in university activity. Using the MRLQ, participants were then asked how responsive they thought New Zealand universities were to the eight specific stakeholder groups identified by the government. The RS was used to ask participants to what extent they thought the government should determine the activities of university practice in New Zealand. Next, participants were asked to what extent they thought the government was actively engaged with New Zealand universities. Open-ended response questions as to how they thought this could be monitored and evaluated followed. Using the RSs, participants were then asked how important they thought it was that New Zealand universities consult with the same list of eight stakeholder groups. Using open-ended questions, participants were asked a) which graduates they thought were in a supply surplus, and b) which graduates they thought were in a supply shortage. The last question in this section used an RS to ask participants the extent to which they thought enrolment numbers should dictate the deletion of courses. Participants were encouraged to discuss this further.

Section Three: Differentiation, Resource Allocation and Distribution

The open-ended question in this section asked participants if they thought universities differed from other types of tertiary education institutions. If participants answered

affirmatively, they were then asked what they thought were the distinguishing features of a university. Next, participants were asked where they thought additional financial input would enhance the function of the university. The following question in this section used the RS to ask participants to what extent they thought the government should financially subsidise students' study. This was further explored by asking an open-ended response question as to what types of subsidies participants might suggest.

Section Four: The Relationship of New Zealand Universities to Society

Twenty-three questions were used to determine participants' perspectives on the university's relationship with society. Using the RS, participants were asked to what extent they thought New Zealand universities influenced "New Zealand culture". This question was followed with the standardised open-ended response questions as to how they thought this could be monitored and evaluated. Next, participants were asked what the term "societal norms" meant to them. The RS was then used to ascertain the extent to which participants considered New Zealand universities influenced societal norms.

Participants were now asked if they could think of any subjects that New Zealand universities were teaching that, in their opinion, were not relevant to society. This was followed by asking to what extent New Zealand universities should focus on teaching an educated workforce and again used the RS. The next questions asked participants the extent to which they thought New Zealand universities should be expected to assess and meet industry and labour markets' skill requirements. The RS was used to measure the academic staff's perception of the expectations made by the local community, the national community, and the international labour markets.

Section Five: Access to and Participation in New Zealand Universities

This section consisted of seven open-ended questions. First, participants were asked what the prerequisites should be for university entrance. Participants were asked who they thought should determine the pre-requisites for university entrance, and finally participants were asked what they thought of the open-entry policy.

Participants were then asked to consider whether they thought there should be targets for the number of Māori and Pasifika students attending New Zealand universities. Next, they were asked to consider whether there should be financial incentives to attract students from groups who are currently under-represented in university study. To

follow, participants were asked whether people with an illness or a disability should have access to additional resources and support when studying. Finally, participants were asked whether there were any areas where New Zealand universities should take more responsibility for helping students.

Section Six: Participants' Demographics

The final section asked participants to provide basic demographics; their age (providing seven age ranges to choose from) and the ethnic groups with which they identify - providing them with six categories and asking them to choose no more than two categories. Note that for the purpose of this research the wording to identify with a certain ethnic group allowed a participant to declare they were of a certain ethnicity, without necessarily being of that ethnic group by descent.

To conclude the interview, participants were provided with an opportunity to talk freely and provide critical commentary if they had any other thoughts regarding the current expression of Ministry policy that they felt should be mentioned. This ensured participants had an additional opportunity to discuss any relevant issues.

4.5   Selection of Participants

Sampling is a core issue, with the validity of the research dependent upon the quality of the sample. The participants must be competent to answer the questions (Babbie, 2007). Merriam (1988) argues that in interviews the crucial factor is not the number of participants, but rather the potential of each person to contribute to the development of insight and understanding of the phenomenon - which participants to choose is primarily a matter of judgement (Adams & Schvaneveldt, 1985) about who would be most able to provide relevant information. Participants need to be carefully selected because they each have considerable influence (because of the small number) on the meanings developed from research, their selection is one of the most important issues, and one that seriously impacts the outcome of the research (Yin, 2003).

It was not feasible to interview the entire target population, so various sampling techniques were considered. This research was field-oriented in nature and used a nonprobablistic, purposive sample, as recommended by (Adams & Schvaneveldt, 1985). Whilst there are various types of purposive samples, the common element is participant

selection according to predetermined criteria considered relevant to the objectives of the research (Guest, Bunce, & Johnson, 2006). This was ideal for the purpose of this research because the participants were interested and well-informed.

4.5.1 Sampling Technique – Criterion Sampling

Criterion sampling is based on a set of participant characteristics relevant to the research questions (Babbie 2004), while purposive sampling is the same as what Goetz and Le Compte (1984) call criterion-based sampling. In this research a criterion-based approach was taken where sampling involved selecting academic staff to interview that had been employed in the tertiary sector in New Zealand from 2005 to the present, in other words those who had several years' experience within the New Zealand tertiary education environment. This technique, based on a reasoned set of criteria (Babbie, 2007; Miles & Huberman, 1994; Patton, 2002) was directly relevant, even necessary for this project, given the knowledge and experience of the participants of university education and the changes in the tertiary sector over time. It was assumed that participants in this group would provide "information-rich" interviews based on their levels of experience and expertise (Patton, 1990). Participants' experience ranged from recently appointed lecturers (provided they had been employed in the tertiary sector since 2005) through to long-standing professors with over thirty-eight years' experience.

4.5.2 Saturation

Sample size in qualitative research can be problematic. Patton claims that there are no set rules for sample size in qualitative research:

> The validity, meaningfulness, and insights generated from qualitative
> inquiries have more to do with the information-richness of the cases
> selected and the observational/analytical capabilities of the researcher than
> with sample size (1990, pp. 184-185).

Sampling in qualitative research then is less about size than about the richness of the information provided by each participant contributing to the understanding of the phenomena (Eisenhart & Howe, 1992). Guest et al., (2006) argue that qualitative sample sizes typically rely on the concept of saturation, or the point at which no new information or themes are observed in the data. Morse (1994) argued that whilst saturation has been recognised as an essential consideration in qualitative work, there is

little in the way of published guidelines for determining required sample sizes. Merriam (1988) asserted that an essential factor in interviews is not the number of participants, but rather the potential of each person to contribute to the development of insight and understanding of the phenomenon. This still leaves the question of when to terminate the data collection (Flick, 2006; Patton, 2002).

The guidelines for determining nonprobablistic sample sizes vary greatly. When considering the time and cost involved, it was initially thought that a minimum sample of twenty would be a reasonable size to realise the goals of this study. McCracken (1988) suggests eight interviews are sufficient in exploratory interview research. Bernard (2000) observed that most ethnographic studies are based on thirty-six interviews and Bertaux (1981) argued that fifteen is the smallest acceptable sample in qualitative research. Cresswell (2003) recommended between five and twenty-five interviews for a phenomenological study and between twenty to thirty for a grounded theory study. Kuzel's (1992) suggested a sample size of between twelve to twenty.

Clearly, there is little consensus on an ideal sample size for qualitative research. In the research undertaken, this was not a problem as Lincoln University has a relatively small number of academic staff (approximately 140) of which a large number were willing to participate in the study. Therefore, in this study data collection simply continued until no new themes or relevant information appeared and further data collection would have resulted in replication. The saturation point was hence determined empirically, through the observation that few new themes were emerging from the interview process. This was reached after the first forty out of sixty interviews. It is noteworthy that the sample size was larger than any previously cited (Bernard, 2000; Bertaux, 1981; Cresswell, 2003; Kuzel, 1992; Miles & Huberman, 1994; Patton, 2002; Sandelowski, 1986). Additional academic staff were willing to be interviewed but data collection ceased when it was clear that subsequent data would only confirm what previous participants had already identified. After forty participants had been interviewed, the falloff in response variations provided a high level of confidence that saturation was close to being achieved. Interviews continued up to sixty to ensure that the saturation point was well passed.

4.6 Data Collection and Analysis

The Lincoln University Human Ethics Committee (HEC) gave approval for the participants in the study to be interviewed for the purposes outlined in the application, and an agreement to preserve confidentiality and anonymity of individuals was signed by the researcher and returned to the HEC prior to receiving the raw data files (see Appendix D). A letter was then sent to all potential participants informing them of the research and inviting their participation (refer Appendix A). As noted above, to increase the time that potential participants had to think about whether to participate or not, and to potentially reduce the refusal rate, the interview schedule was included with the invitation letter.

Interviewing began in October 2008, with all interviews were completed by the end of November 2008. Interviews varied from 40 minutes to over three hours; the majority of interviews took around 90 minutes. On 06 April 2009 the HEC conducted a random audit on this research. Their findings were that all ethical requirements had been adhered to. All documentation was securely stored as per HEC protocols and the identity of all participants appropriately protected.

4.6.1 Data Collection - Recording and Transcriptions

All of the sixty interviews were voice-recorded, providing the advantage of precision (Ruane, 2005; Sommer & Sommer, 1985). The researcher focused on listening to the participants without taking notes as she was aware that note-taking alone may provide distorted information, as noted by (Ruane, 2005). Since interviews were the primary source of research data, systematic ways of summarising the information obtained from the interviews was necessary (Sommer & Sommer, 1985). The first step taken here was to fully transcribe the interviews. This took from four to five hours for a professional to transcribe each one-hour of taped dialogue. Two of the sixty participants requested a copy of their transcript, for their own interest. The transcripts were then read and reread while listening to the tapes again to ensure that meanings had not been lost in the transcription.

4.6.2 Analysis of Data and Interpretation of Findings

The interviews provided an abundance of rich qualitative data requiring analysis and interpretation. The recording and analysis of numerical data used routine methods.

Likert scales, rating and MRLQ were applied to the numerical portion of the data. Bar charts were used to provide pictorial summaries of the response frequencies. Means and standard deviations were presented in table form where appropriate. In discussion, positive responses are taken to be those that agree "very much" or completely" while negative responses include "not at all "and "very little".

Unlike quantitative data, there is little consensus as to how qualitative data should be analysed and interpreted (Cresswell, 2003; Holbrook & Atkinson, 1996; Silverman, 2000, 2001; Yin, 2003). What is agreed is that qualitative analysis should involve examining, classifying, tabulating or combining data to address the initial research questions (Yin, 2003). This process was facilitated by the use of computer assisted qualitative data analysis software (CAQDAS). The benefits of CAQDAS for qualitative research (including improvements in coding quality) have been addressed in the literature (Gilbert, 2002; Kelle, 1995; Lee & Esterhuizen, 2000). The main concepts, themes, patterns, issues and questions that emerged from the interviews were initially developed manually into individually-themed groupings. Later, the qualitative research software QSR NVivo 8 was used for categorising the large amounts of qualitative interview data. The qualitative responses were sorted and coded into specific categories (Sommer & Sommer, 1985). As suggested by Miles and Huberman (1994), checks were made on coding during the initial data analysis.

For findings to be credible, the methods of analysis need to be transparent and systematic. This is a challenge because the objective analysis of case study evidence is recognised to be one of the most difficult problems (Lofland, 1971; Miles & Huberman, 1994; Yin, 2003). To ensure that the data analysis was of the highest quality the researcher followed Yin's (2003) principles of "good research" by including all of the raw data, analysing all major interpretations, and finally, demonstrating and applying an awareness of current thinking and discourse about the topic.

The analysis of the data was a continual process from the period of initially conducting the interviews to the final write-up stage of this thesis. Throughout the interviews, possible trends and common themes were identified and noted. While reading, listening, and correcting, the researcher simultaneously maintained a secondary electronic document in which likely coding themes or commonalities were noted for further

analysis. As per (Eisenhart & Howe, 1992; Miles & Huberman, 1994; Yin, 2003), the use of illustrative vignettes in the form of direct quotes or comments of the participants relative to the narrative have been used where appropriate to add descriptive depth and insight to this research.

4.6.3 Data Reduction, Coding, Tabulation and Interpretation

The researcher began to group concepts and themes as similarities emerged. Data reduction was repeatedly undertaken through segmentation, summarisation and editing of data. It also entailed coding, finding themes, patterns, concepts, descriptions and explanations. The challenge was always to ensure that there was no significant loss of information and that data was not isolated from its original context (Punch, 1998).

Coding

As suggested by Miles and Huberman (1994) the investigative themes were coded into word or word groupings, which were then applied to sets of data in order to summarise the content. These summaries were then labelled into two types of codes, referred to as descriptive and inferential. Both types of codes were used in this study. Coding was then used to categorise and differentiate themes within the data using content analysis. Content analysis is a way of coding groups of words from transcripts into categories (Auerbach & Silverstein, 2003; Miles & Huberman, 1994). This process of coding involves attaching labels to, or grouping pieces of data, including phrases, sentences, or paragraphs (Carson, Gilmore, Perry, & Gronhaug, 2001).

Summaries were prepared by themes and sub-themes which outlined the key issues, their nature and relationships and possible links to other issues, including references to potential quotations for later use. Such summaries not only provided an overall picture of staff accounts, but offered a structured means for comparing and contrasting narratives. They also acted as reference points for locating the original interview transcripts when additional details were required. Emergent themes were identified by grouping together answers to particular questions and by considering major themes across different interviews. This enabled the researcher to become even more familiar with the contents of every interview and was a catalyst for establishing the similarities and differences, the range of individual interests, and whether saturation was attained when themes constantly appeared from the interviews and literature.

Tabulation of Data

Organisation of the large amount of data involved repeated reduction and assembling of data. This involved the production of tables, graphs and diagrams. Overall, however, the data were collated into more specific themes.

Associations with the themes in TEAC's policies, and the other literature reviewed in Chapters Two and Three, which guided this research inquiry, were also used to organise and summarise the interview data. This assisted in establishing the complex interconnections and relationships between the various themes studied. It needs to be clarified that the data from the interviews was translated into answers to the research questions. The results were fitted into the research framework, unmodified, so that the originality of the data and information were maintained.

Data Interpretation

A hermeneutical approach was used to interpret and reveal academics' knowledge and experiences so as to develop an understanding of their perspectives. Knowledge is a social and subjective construct where language and actions contextualise the meaning of data. Reality is construed as pluralistic and relative, with purposeful action following on from people's interpretations. In this regard, the findings of the study were effectively rich accounts or "thick descriptions" of people's realities, the factors shaping, and how they act within them (Wolcott, 1992). Quotations from the data sets supported and emphasised key conclusions of this study.

Interpretation involved the collation of data into conclusions. The conclusions were drawn from the similarities (regularities) and differences inherent in the thick descriptions and explanations discovered during the data reduction and organisation exercises. To this end, the data reduction and organisation was a catalyst for drawing conclusions once data was interpreted, although arguably provisional conclusions commenced with data collection and was refined after data were analysed and interpreted. Miles and Huberman (1994) outline methods for generating data in qualitative research and for drawing meaning and conclusions from the said data, including checks for researcher effects and getting feedback from informants.

4.7   Chapter Conclusion

This chapter has included a discussion of the appropriateness of the interpretive perspective for this study. It also justifies the specific strategy of inquiry used in the research - the single-case study method using interviews and qualitative analysis. Wolcott explains that what sets this category of qualitative research apart from other types is that:

> Coupled with an act of inquiry is an underlying (and presumably conscious) assumption on the part of the researcher that things are not right as they are or, most certainly are not as good as they might be. The avowed purpose of research is to bring about change directed at improvement (1992, p. 15).

This chapter also explained and justified the sampling technique. Issues of rigour are presented and the reliability and validity of the sample was explained. The pre-test procedure was described, and the structured interview schedule was outlined. The use of qualitative methods in a combination of both textual and numerical criteria was justified. The data collection procedure was described and explained and finally, the process for data analysis was discussed.

Based on this discussion, a single case study research approach was used to investigate the synchronicity between policy intentions and their outcomes from an academic staff perspective.

Chapter 5

Results and Discussion

5.1   Chapter Introduction

This chapter discusses from the perspective of academic staff at Lincoln University whether TEAC's policy intentions have achieved the outcomes sought. In structured interviews participants addressed the role of the university, defined relationships with stakeholders and identified the consequences of TEAC's policies for academic outcomes. Considerable attention is paid to the exploration of tensions between academic staff and the government. For example, the significant resources devoted to monitoring and evaluation of performance. The principles upon which academic staff base their perspectives are discussed; it was found that the ambiguous language contained in TEAC's documentation misses opportunities for mutually desirable outcomes. Throughout this chapter, reference is made back to corresponding questions from the interview schedule (Appendix C) that were asked of participants as part of the interview process.

5.2   The Sample

Academic staff are considered key informants because they are likely to have a good understanding of research and research processes, and are thus able to respond knowledgeably to the research questions of the study. Following the English tradition, they are represented by designations of Professor, Associate Professor, Senior Lecturer and Lecturer. Whilst these titles are shared with other traditions, notably in the United States, the meaning of, and the expectations attached to each rank differ substantially. The following charts show the breakdown (at the time of interviewing) into these categories of the sixty participants:

Figure 5.1   Breakdown of Participants by Designation

Figure 5.2   Breakdown of Participants by Division

5.2.1   Representativeness of the Sample

Carefully designed purposive sampling can increase the diversity of a sample, in recognition that the population contains meaningful differences among individuals. The researcher exercised minimal subjective choice in selecting a suitable sample – only excluding participants who were newcomers to academic staff. Sekaran (2003) pointed out that the outcome of such a procedure can be very good if the researcher's judgement is sound. In the case of this study, the sample size was a significant portion of the

population and those interviewed were well-informed. Academic staff as a group represent a range of political affiliations and numerous philosophical perspectives on university education. They are literate and expressive. As such, they make excellent research subjects when investigating contemporary issues.

The selection process used is justified by a) the size of the sample (over fifty percent) relative to the population, b) the balanced distribution of participants across divisions (all divisions were well and fairly represented), and c) the distribution across staff designation (seniority).

5.2.2 Demographics of the Sample

One hundred and forty invitations were sent to prospective participants, those who were eligible to participate. By the time sixty interviews had been completed, emails from staff willing to participate were still being received. It was surprising how many of those contacted wanted to take part in this research, and it would have been possible to interview many more staff if necessary. The overall interview rate was forty three percent of the total number of eligible academic staff.

Of the sixty participants interviewed, fifty-one were male and nine were female. Eighty percent (n=48: 80.0%) were aged between forty-five and sixty-four, while seventy two percent (n=43: 71.7%) of participants identified with the New Zealand / Pakeha ethnic group. Thirteen percent (n=8: 13.3%) of the participants identified with more than one ethnic group. Three persons declined their invitations to be interviewed: one did not feel qualified or competent to take part in the research, whilst two others declined because impending leave would make them unavailable. Five other potential participants consented to be interviewed, but after sixty interviews were completed and saturation had been reached (as discussed in Chapter Four), it was decided that further data collection was unnecessary.

The New Zealand Ministry of Education statistics show that at the eight New Zealand universities, the ratio of male to female academic staff ranges from fifty-four percent to forty-six percent, whereas at Lincoln University sixty-nine percent of the academic staff are male and thirty-one percent are female. Lincoln University believes the most significant influence is the nature of the discipline. The biggest faculty at Lincoln University is the Agricultural Group and Life Sciences (AGLS) Division. Historically,

agriculture has been a male-dominated industry, and this was always reflected in the low numbers of female students studying agricultural subjects. However, the AGLS Division is starting to see an increase in female applicants for academic positions. A representative of Lincoln University's Human Resource Department stated that it "purely depends on the type of applications received for academic positions and the majority tend to be male. So therefore more males are hired. Not rocket science!" Lincoln University has emphasised its adoption of a strict Equal Employment Opportunity policy and promotes this throughout their faculties. It is instilled in the recruitment processes, but in the majority of cases there are still a higher number of male applicants for academic positions.

Table 5.1 shows in more detail the demographic characteristics of the participants, by gender, age and ethnicity. Participants were given a choice of six ethnic groups, and asked to identify themselves with no more than two; the responses were as shown below. Note that in order to sum to n=60, four new ethnic group categories were defined[*].

The disparity in male and female staff ratios is exaggerated, as eighty-five percent (n=51: 85.0%) of interviewees were male; fewer females consented to be interviewed than males. The majority of participants were thirty-five years of age or over, which can be accounted for by the pre-requisite criteria. Comparable data from the other universities in New Zealand about age and ethnicity was not available. Prior to submission, the Ministry of Education advised that information about these two variables would be collected for the first time at the end of 2012. As of November 2013, this information had not been publicly released.

Table 5.1   Participant Demographics (n=60)

Characteristic	Frequency (n)	Percentage (%)
Gender		
Male	51	85.0
Female	9	15.0
Age		
25 – 34 years	1	1.7
35 – 44 years	8	13.3
45 – 54 years	25	41.7
55 – 64 years	23	38.3
65 and over	3	5.0
Ethnic Group		
New Zealand European / Pakeha	36	60.0
New Zealand Māori	0	0.0
Pasifika	0	0.0
Asian	3	5.0
European	6	10.0
Other	7	11.7
*NZ European / Pakeha and NZ Māori	1	1.7
*NZ European / Pakeha and European	2	3.3
*NZ European/ Pakeha and Other	4	6.7
*NZ Māori and European	1	1.7

5.3   The Role of the University

5.3.1   Defining University Stakeholders

TEAC emphasises the importance of stakeholder interaction. Their use of stakeholder terminology has the stamp of sensible policy, ostensibly supporting the role of universities as critic and conscience of society. However, participants found that the interview terminology, *deliberately derived from TEAC*, seemed too superficial for the diverse and complex stakeholder relationships that required individually-tailored strategies. When viewed through a CDA lens, it quickly became apparent that the language lacked substantive meaning, in that academic staff needed to use their own terminology in order to critically discuss TEAC's policies. Nonetheless, participants understood the term "stakeholder" at a broad conceptual level (where members of society could influence an organisation) and most also understood the more specific uses

of the term, citing primary and secondary classifications (Appendix C, Part One, Question 1.1). Notwithstanding, any stakeholder's standpoint is inevitably dependent on an individual's interpretation of the facilitator's language. Because no stakeholder consultation had taken place prior to the writing of TEAC's policies, there is an absence of mutually agreed classifications. The interview phase of this thesis (which discussed terminology) accomplished what TEAC could have done at the initial stage of their stakeholder-based policy-development process.

Throughout their documentation, TEAC refer to various "communities" to which they believe universities should be responsible. The problem is that the concept of community as stakeholder lacks definition. Communities can be geographical, cultural, linguistic, religious, generational, national, international, social, economic or professional. It is important to identify and justify which communities one is engaging with and why. Responses from this study concur with the Burton and Dunn (1996) argument that the "community" is amorphous, nebulous, and open to interpretation. Participants wanted to know what was meant by "local communities" and "national communities" and how the differences could be distinguished. One participant summed up the general consensus: "How do you define national community? There is no such thing".

5.3.2   Stakeholder Identification

The questions of who is, and who is not, a stakeholder has long been somewhat contentious. The next question (Appendix C, Part One, Question 1.2) examined who academic staff identified as the three main stakeholder groups. Of a total of one hundred and eighty responses (three per participant), seven *primary* categories were identified. Within these categories, an astonishing sixty-five *secondary* categories emerged. Overall, fifty-seven participants nominated students as one of their most important three stakeholders, forty-five participants nominated academic staff, while thirty-six nominated the government. Note that the percentages in the following table reflect the percentage of the maximum possible nominations (60), as participants had three "votes" but could only cast one vote for any particular group.

The wider community followed in fourth place with twenty-eight nominations. However, the diverse range of *secondary* categories in the *wider community* brings into

question whether stakeholder status should be assigned only to those who have a close relationship with a university, or be broadly interpreted and take into account *all* of the potential stakeholder groups. It also invites the question as to whether some categories, specifically, employers, business and industry should be treated as one. It is noteworthy that ethnic categories (such as those identified by TEAC: Māori and Pasifika) were not mentioned by any of the participants in answering this question. See the following table:

Table 5.2 **Main Stakeholder Groups identified by Academic Staff (n=60)**

Stakeholder Groups	Frequency (n)	Percentage (%)
Students	57	95.0
Academic Staff	45	75.0
Government	36	60.0
Wider Community	28	46.7
Employers	8	13.3
Business	3	5.0
Industry	3	5.0

5.3.3 Importance of Various Stakeholder Groups

The next question presented TEAC's eight categories of stakeholders, of which Business and Industry were bundled together, and participants asked to rank each with a level of importance in relation to New Zealand universities (refer Appendix C, Part One, Question 1.3).

The top four groups identified in the previous question corresponded (as was expected) with four of TEAC's stakeholder groups (students, academic staff, government and the wider community), and these four groups achieved the same ranking order. Each of these four groups received a similar level of support as in the previous question even though the questions were asked in different ways: in question 1.2 academic staff identified the stakeholder groups themselves, whereas in question 1.3 the list was predetermined from TEAC's policies.

An interesting result of the ranking exercise was revealed by the stakeholder groups who filled the remainder of the list – those who sat behind the *obvious* top three of four contenders. Whereas TEAC placed Māori and Pasifika as stakeholders ranking

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alongside students, academic staff, government and wider community in importance, staff did not. Indeed, while answering question 1.3 with regards to Māori and Pasifika, staff queried why Chinese, Indian and other ethnic groups were not singled out when Māori and Pasifika were.

The following tables show actual staff responses to this question. As can be seen, the graphs for students, university staff, government and the wider community are well skewed towards the "very much" and "completely" end. Employers, business and industry are a close fit to a bell curve (biased towards a neutral response), and responses for Māori and Pasifika are relatively flat.

Table 5.3   Importance of TEAC's Stakeholder Groups According to Academic Staff
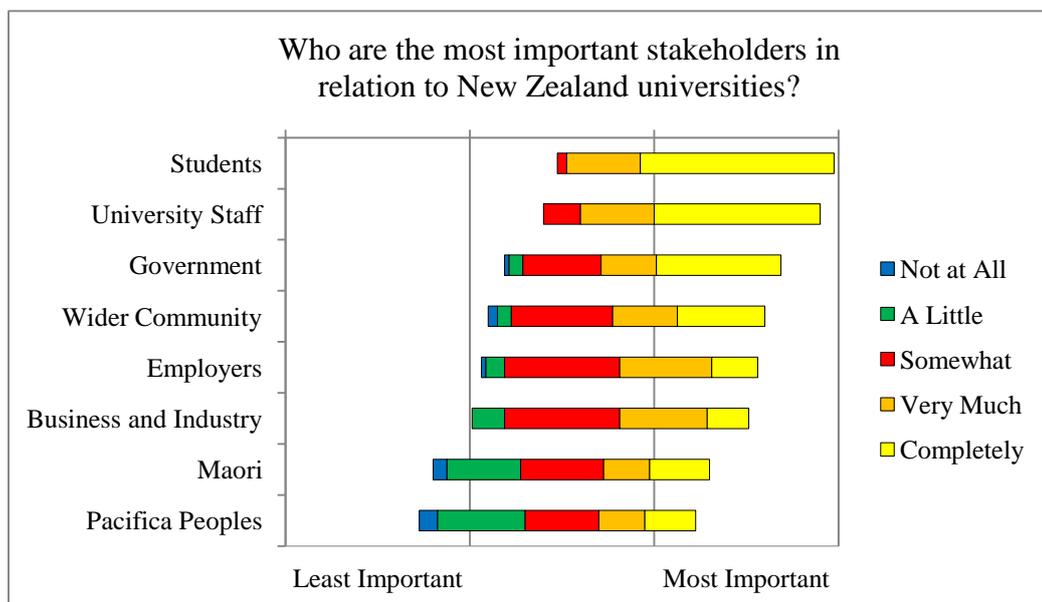
(see Appendix F for raw data)

5.3.4   Stakeholder Classifications

As discussed in Chapter Three, there are numerous ways in which to classify stakeholders. TEAC do not formally classify their stakeholders and as a consequence, when reference is made to stakeholders, terminology varies. For example, at times "Māori" will be used to be representative of that entire community, while at other times "Hapū" and "Iwi" broaden this stakeholder base. In contrast, participants were consistent when identifying their key (primary) and other (secondary) stakeholders. In addition, they recognised the variable importance of stakeholder categorisation: "There

are large numbers of stakeholders and not all of them are relevant," said Participant 42. The comment was echoed by others. However, when inclusion equates to power, the question arises of how to fairly and impartially allocate priority to potential stakeholder groups.

TEAC individually itemise some of the secondary groups that staff do not differentiate from the wider community in an educational context. Staff see little benefit from this level of categorisation. Reconciling the differing viewpoint of TEAC and staff on this matter brings to the fore an interesting dichotomy. The prioritisation of stakeholders is always subjective and stakeholders are unlikely to agree unanimously upon relative status. It is crucial that stakeholders agree to mutually acceptable prioritisation of stakeholder groups at the early stages of the process. Without this consensus over the fair distribution of "power", little can be achieved within a stakeholder-based framework.

5.3.5   The Main Functions of a University

One of the challenges that universities continue to face is the number of overlapping and divergent roles and functions that they fulfil. Shapiro discusses the historical changes in some detail:

> In prosaic terms, the three main functions [roles] of the university are the preservation, transmission, and advancement of knowledge. These functions and the freedom to interpret what they mean, however, are always in transition. At times the university's social role has been to serve as a bastion of the status quo and a defender of the interests and values of those currently in power. The medieval university, for example, after a relatively brief period of independence, quickly became captive to the interests of the church and ruling elites, although there were always some heroic souls who fought for the application of independent logical analysis in matters of scholarship. Their programs, attitudes, and commitments fully reflected this subservient status (2005, p. 10).

What today's participants thought were the three main functions of the university (Appendix C, Part One, Question 1.3) is presented in Table 5.3. This confirms that

academic staff agree with the traditional view, deeply embedded in the psyche of the profession, that universities are institutions primarily associated with research and advanced learning. For generations, the University culture has had a profound influence on the way its students receive their learning and subsequently pass on that knowledge. It has become a political opinion as much as an intellectual position. The danger here is the point at which political opinion (or even intellectual position) becomes dogma.

Table 5.4   The Three Main Functions of a University (n=60)

Function	Frequency (n)	Percentage (%)
Research	59	98.3
Teaching	58	96.7
Critic and Conscience of Society	57	95.0

Research as a Main Function of the University

The Ministry of Education confirms that New Zealand universities are the largest contributors to research and innovation in New Zealand (Ministry of Education, 2006a). TEAC identifies both research and innovation as key themes in their policy and recognise that universities make an important contribution to New Zealand's economic and social development through their research.

Forty two participants (n=42: 70%) agreed with the definition of research as: "The pursuit of knowledge for knowledge's sake" and "a process of generating new knowledge" as a distinguishing function of New Zealand universities. The majority thought that research should not be constrained by government policies or economic imperatives. They thought that the university's production of original "blue-sky research", without policy constraints, should be one of their distinctive contributions. This highlights a significant misalignment between TEAC and the participants of this study. Participants were concerned that research was only considered important if it was in accordance with government expectations, and that it contributes to industry and the economy, with an emphasis on job preparedness. This is an example of how the language used can limit the conversation in that academic staff wish to discuss university roles and functions in the broadest sense, whereas the language of TEAC (as revealed by CDA) steers discussion towards TEAC's preferred outcomes.

TEAC's desire to measure research against economic outcomes prevents it from recognising the value of intellectual outcomes, whilst the participants' desire to remain free of government constraints compromises their ability to validate their research in an economic context. Both perspectives are understandable as outcomes from the traditional conflict (primarily driven by funding) between government and universities, a conflict-driven situation that needs to be broken down to enable meaningful dialogue between these two stakeholder groups. "Blue sky research" (the notion of research not bounded by the limitations of practicality) and economic return are not mutually exclusive. Every piece of research has some value to someone, somewhere.

There is a philosophical divide between TEAC and participants over the worthiness of research where a clearly defined economic benefit is not apparent. Some staff thought that a formal recognition of the value of theoretical research would help. The fact that theoretical research contributes to the country's economic well-being, even where it may be intangible, is not the primary motivator from an academic perspective. Participant 11 commented that: "…the role of government is to support universities in their mission to create new knowledge and disseminate it, and to engage globally with other universities. This is at odds with government understanding".

New Zealand Universities Role in "Teaching an Educated Workforce"

Forty one participants (n=41: 68.3%) strongly agreed that New Zealand universities should focus on teaching an educated workforce. Qualitatively however, participants were critical of the use of the word "workforce" because of the underlying implication of a vocational focus, and this may account for the twenty percent (n=12: 20.0%) that did not hold strong views either way. Because the production of skills to meet vocations, in turn meeting the needs of the labour market, are high on TEAC's agenda, it can be argued that there is discrepancy between TEAC and the participants' perspectives.

Participants' expected that at the university level, teaching meant "educating students", "enlightening people" and "developing people" as opposed to "vocational training". Participant 3's comment highlights the disquiet expressed by many: "universities are places to educate, [they are] not for vocational training". Concern about the increasing weight given to vocational training mirrors the unease that Maclean (2007) found in the United Kingdom. Governments' emphasis on vocational training, as opposed to

educational achievement, is another source of tension between government policy and the participants' understanding of a university's societal function. The participants' view is that the purpose of a university education is much greater than simply preparing students for jobs. They believe the principal aims are to develop intellectual independence, to foster the desire and ability to think independently and to produce lifelong learners.

Superficially, staff and TEAC agree over "teaching an educated …". The discrepancy lies in the use of the next word, "workforce". This is not a word academic staff closely-align with university education. Again, TEAC has initiated this "dialogue" with a pre-defined constraint that steers the discussion towards an economic-based agenda. In a sense, this is a form of hijacking the buy-in of stakeholders. The stakeholder generally agrees with the statement, however disagrees with one implication (that the goal be to educate the workforce, as opposed to educate society).

Table 5.5   New Zealand Universities Role in "Teaching an Educated Workforce"
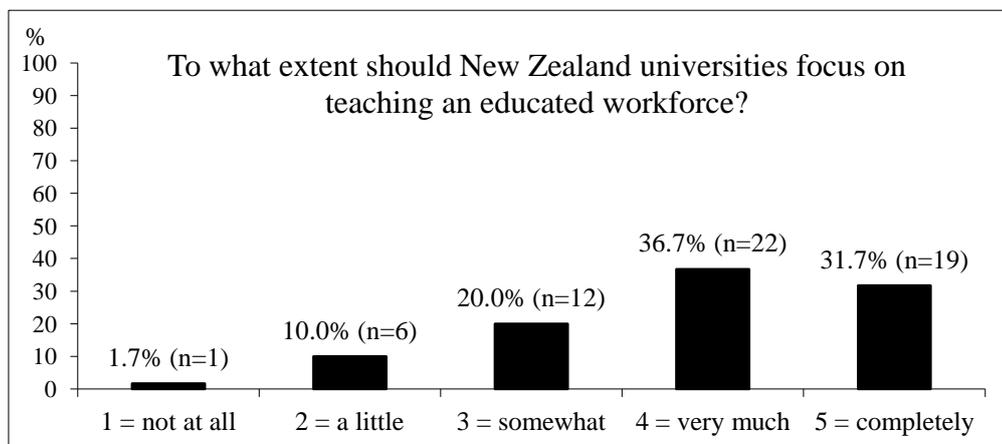
Critic and Conscience of Society

Participants were aware that the critic and conscience of society function has traditionally been accepted as a role of the university (and several referred to Section 59 of the Education Act 1991 which identifies it as such). All understood the university's responsibility to properly fulfil it. To quote from Participant 6:

> It is very much in society's interests for academics to take some distance
> from what is going on in society because, in the longer term, that is in
> society's interests. If only the present day needs were met it is very likely

in twenty years' time society will be behind in many areas. Everyone gains if universities can take a distanced, longer-term view of things, whilst keeping an eye on the broader interests of society, rather than being ruled by a plain economic perspective.

Participants argued that universities act as a critic and conscience of society by contributing to debate and discussion within the wider community, and by providing a home for the intellectual endeavours that address questions of importance to the country. "Questioning everything", as one participant said, "is how universities serve the wider community", (Participant 12). TEAC acknowledges this function, but since intervention, steering, power, control and meeting labour markets' needs are five of its seven key themes (see Section 2.7, Chapter Two), and it is these very themes that participants are opposed to, TEAC seems to them to be dictating rather than facilitating this function.

Participants thought that increasing bureaucracy had disabled the universities' critic and conscience function to such an extent that it had diminished the stream of ideas necessary to address society's problems. If the focus on meeting criteria imposed by an external agency is pressing, then areas identified by individual researchers will inevitably be side-lined. As a consequence, the scope of intellectual inquiry becomes narrower, potentially becoming subservient to political demands. With this comes a reduction in the range of criticism they may be able to provide. Many agreed with Participant 12 who warns that: "Bureaucrats in Wellington have a huge influence in our day-to-day activities at the managerial level, too much so!"

The Economic Role of the University
As the below table indicates, most participants agreed that a university education should contribute to the country's economy, but serious concern was expressed about the government's increasing emphasis on the explicitly functional role of a university: in particular, the university's contribution to New Zealand's economic growth. The New Zealand government's determination to exclusively align university education with the country's economic and social goals, as in *Shaping the Strategy,* alarmed them.

Table 5.6   The Economic Role of the University
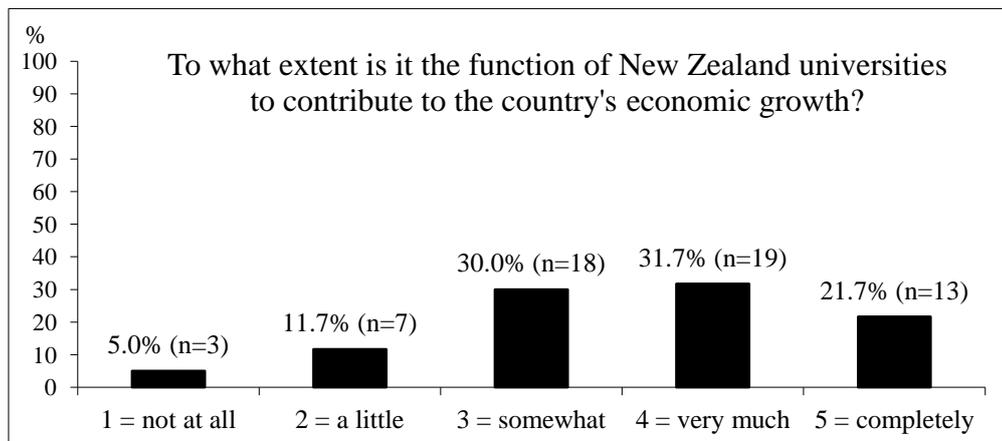
Participants argued that the economic benefits of a university education come in many forms, with returns to their communities much greater than their cost: by the provision of well-educated graduates, by research, and by fulfilling a critic and conscience role.

Although there was agreement that universities make an indirect contribution to the country's economic growth, participants did not consider this to be their primary function. The point was made that it may be too easy to focus on the economic benefits of a university education, such as the expectation of gaining a well-paid job on completion of a degree, while neglecting less direct gains to society and the individual. Participant 3 commented that "We should be contributing to the intellectual growth of the country", highlighting the significance of an education to not just the individual, but also to society as a whole. This is in line with Fitzsimmons who argued that:

> The purpose of promoting mass participation in tertiary education is not
> limited to the purpose of the individual student per se. It is also promoted
> on the premise of a dream of shared prosperity that comes from the
> expected economic growth (1997, p. 125).

It was noted that many criteria are being monitored through the Performance-Based Research Funding (PBRF) initiative. However, there was some debate over whether it is possible to monitor or evaluate the contribution that New Zealand universities make to the country's economic growth with any accuracy. Participant 8's comment typifies the general consensus that:

Intellectual concerns tend to be regarded as an indulgence, if they are regarded at all, and are respected only in so far as they make an economic contribution.

The Significance of the Treaty of Waitangi

TEAC specified that university activity should reflect the Treaty of Waitangi. It is perhaps not surprising, given the socio-political sensitivity of this debate that (n=49: 81.7%) of participants thought that university activity should recognise the Treaty of Waitangi on an underlying basis; even so, just over half (n=31: 51.7%) held views that strongly support this premise. Amongst those that did, there appeared to be a good deal of passion about the belief that certain areas of university education should be profoundly informed by it. Comments stating that: "It is crucially important" Participant 5, and "It is a foundation document that differentiates New Zealand" Participant 27 were sincere. Eleven participants (n=11: 18.3%) held the opposing view and they felt there should be little or no account taken of the Treaty of Waitangi.

Table 5.7   The Significance of the Treaty of Waitangi
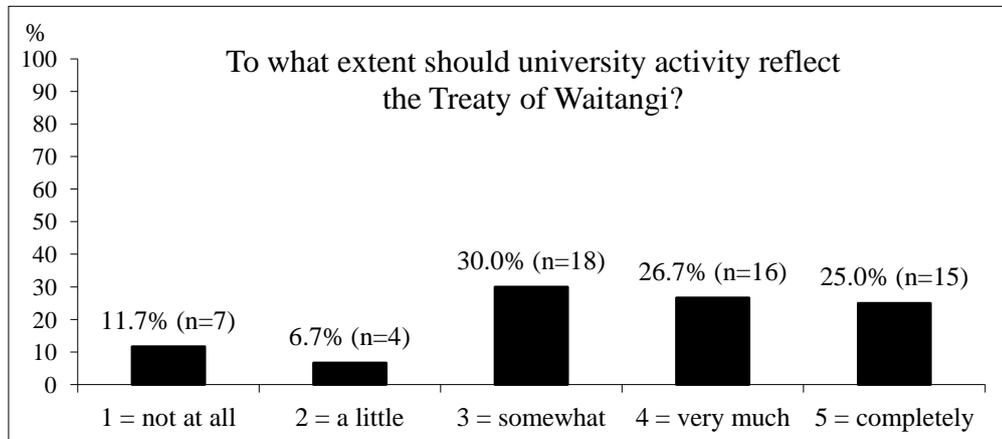
In contrast to the above numeric results, during the interviews a majority of participants expressed strong sentiments that there were more important, fundamental issues that needed to be addressed. Indeed, there was a view that the emphasis on the Treaty of Waitangi is a distraction, even that there was "tokenism" attached to the question itself. It was reported by these participants that in practise the Treaty of Waitangi is rarely raised as a major factor.

Given the gap between numeric and verbally-conveyed views over the place of the Treaty of Waitangi in university education, one must ask the degree to which responses to any questions regarding the Treaty are distorted. This provides a good example of where the method of data collection can have an influence over the results. Participants were not questioning the importance of the Treaty of Waitangi in New Zealand society, but did question its relevance to much of a university's activities. One participant commented that "if you speak out against it, like I am now, you're probably considered a red-neck" (Participant 2). Another participant's comment was: "We have many students of various ethnicities, all of which deserve equal respect" (Participant 18).

The majority of participants thought that a university, in the truest sense, should be a forum for the free exchange of ideas and debate, where diverse perspectives are encouraged. They thought that any "political correctness" attached to references to the Treaty of Waitangi do not fit with this ideal, but it appears that opinion is equally divided on this point. It could, therefore, be argued that the university is fulfilling its role as a critic and conscience of society, with diverging opinions representative of that. It must be acknowledged that only two participants indicated a Māori ethnic alignment. The data collected may have been different if there had been a higher percentage of participants in the sample who identified themselves as Māori. This cannot be determined from the data.

5.4 Differentiation

The preponderant influence of the university has been definitively challenged, and institutional differentiation is perhaps even more important than ever. The distinction between a university and other types of tertiary education institutions has always been its research-led teaching, as well as its role as critic and conscience of society. The distinctive contribution of New Zealand universities towards society are required by law. Examples include the expert advice offered by academics in various public forums, the unique relationships that universities participate in with business and industry, and the number of academics who participate on governmental committees (TEAC's own membership included academics). The Ministry of Education defines distinctive contributions as "the differentiated and complementary roles that each type of tertiary education organisation plays within the tertiary education system" (2007c, p. 41).

Under this Ministry of Education definition, however, there is a danger of confusing education with training and universities with other tertiary education providers. The Government's overall intention to highlight the particular distinctive character and responsibilities of individual providers, to reduce competition between institutions, and to bring about greater efficiency through what is termed a "clearer focus" on the part of providers was signalled through the promotion of charters and institutional profiles. These charters and profiles were intended to enable each provider to focus on both what differentiates them from other providers, as well as how to best meet the needs of their stakeholders. This approach was also designed to enable the steering of funding in a manner that reflected both national and local priorities and demands (Tertiary Education Advisory Commission (TEAC), 2001d, 2001e).

Despite such intentions, governments have come under scrutiny for allowing the boundaries to be blurred between types of tertiary education institutions. Dougherty referred to the "blurring of the distinction between the latter-day technical institutes and the universities" (1999, p. 57) which, in the 1990s, resulted in some polytechnics seeking university status and others seeking mergers with universities. Despite the emphasis on differentiation, government policies still often regard tertiary education as a homogeneous group. Peters and Roberts write:

> The blurring of the boundaries between universities and other institutions
> is simultaneously recognised and *promoted* by the New Zealand
> government. Policy developers tend to talk of "tertiary education" and
> "post-compulsory education", rather than dealing in a comprehensive way
> with policy questions pertaining to each domain within the sector
> (universities, polytechnics, colleges of instruction, wānanga, and private
> training establishments (1999, p. 30).

The participants' views are that it is in teaching, research and scholarship that universities make their distinctive social contributions. The TES stated that a small country such as New Zealand needed to move to greater differentiation and specialisation of TEOs (Ministry of Education, 2002b) to aid this objective. The findings from this study demonstrate that staff fully support this. For example, Participant 52 commented:

> Research-led teaching is the fundamental distinction, and it should mean
> that most university teachers are actively engaged in research. I think it
> should mean that students might expect to be required to be a little bit more
> independent in their own learning.

However, despite government's recognition of the distinctive features of the universities, participants felt constrained by policy in the fulfilment of this differentiated role. The following quote highlights this:

> Universities should be more independent. They should not be
> unreasonably controlled from the outside. We need to be able to pursue
> knowledge for knowledge's sake (Participant 49).

TEAC promotes functional classifications to enable greater differentiation, specialisation and clarity of roles for the various tertiary education providers. Fifty-nine out of sixty participants (n=59: 98.3%) agreed that universities differ from other TEIs in New Zealand because of the relationship between teaching and research that has always been one of the defining features of a university. A polytechnic education, for example, tends to be more vocationally-directed (although this is changing) and polytechnics historically do not usually carry out independent research. Another example is private training institutions, who provide specific skill sets that apply to a narrow range of job descriptions (that were once considered on-the-job training) and are now delivered without state funding at a total cost to the student or employer. While this demonstrates differentiation in the form of funding, CDA reveals a lack of clarity over the difference between pursuits.

Furthermore, participants considered that if universities did not differ from other tertiary education institutions, they should, while others thought there was not enough of a distinction. Participant 9 expressed the view: "I favour a clear stratification and I don't think we have that in New Zealand". Kelsey (2001) and Kuiper (2001) expressed concerns about the lack of clearly defined functional distinctions between the tertiary education institutions in New Zealand. This view (reminiscent of "Ivory Towers") remains prevalent in the academic community.

Since both TEAC and academic staff see stratification amongst tertiary education institutions (university, polytechnic, private tertiary education institutions) as desirable, one would expect there to be little resistance to achieving it. However, in many cases stratification may be actively resisted by those who do not occupy the "top" most level of strata, in particular polytechnics. Participants were critical of a lack of visible differentiation, indicating that the implemented policy has not yet met its objective and with active resistance may never be achieved.

The implementation process is (largely) written for the sector as a whole, so it may be that the university quickly becomes mired in unnecessarily complex bureaucracy. The ensuing delays and confusion may blur the boundaries even further between the different types of tertiary education institutions. Several participants were quick to point out that the difference between universities and other tertiary education institutions does not imply that universities are superior. For example, Participant 5 said: "I think polytechnics should be concerned with practical trades and training. I am not being disparaging – they do it extremely well". Participants questioned TEAC's notion of relevance, and when asked if they could think of any subjects that New Zealand Universities were teaching that were not relevant to society, none were able to do so.

It may be that there is a natural reticence among academics to anonymously criticise their peers. According to their responses, participants do not think that they personally influence society, yet they maintain that all areas of study that they teach are relevant to society as a whole; it is through the education they provide to students that society is influenced. We then start to see why TEAC's policies and academic perspectives begin to diverge.

5.5   Resource Allocation and Distribution

5.5.1   Financial Input to Enhance the Function of a University

Some great universities such as Oxford, Cambridge, Harvard, and Princeton operate with a mix of public and very substantial private funding (Coady, 2000b). While Coady does not regard the private funding of such universities as "inherently objectionable", he does regard context and tradition as all-important. Countries such as The United States of America maintain a significant number of private universities that operate on the basis of large fees and private assistance.

New Zealand, however, does not have the supply of sponsors with the wealth and traditions of magnanimity towards education that The United States of America can boast. Consequently, universities get what they can and pursue fee-paying students which has led to competition for recruitment. Government funding is also tenuous. Participant 15 discusses the risk of compliance in return for funding:

> The government are the financial purse strings and ok you can say what you like, but they may carefully avoid funding any further activities. The dairy industry did that a few years ago in relation to some research done by the Agribusiness Unit – they didn't like the research [findings] and they cut all their funding – chop. That can be quite devastating.

Financial concerns continue to become increasingly more important in a context where resources are scarce and funding less generous. The university's revenue streams are ever more constrained while its costs continue to rise (Baxter, 2012; Johnson & Rush, 1995). Governments demand tangible returns on society's investment in tertiary education (Jesson, 1997; Keep & Mayhew, 2004), demonstrating the government's power as a stakeholder over academic staff who are being treated as units of economic production, as opposed to a key stakeholder group whose expertise is essential in the success of university education. Universities in New Zealand appear to be charged with the task of doing more, but with less funding. Many of the issues that confront university education, whether in relation to individual universities or to academic staff working within the institutions, stem from funding problems (Blackstone, 1991; Karmel, 2000). Likewise, government concerns have been largely in relation to funding (Maani, 1997). External demands on universities have placed increased pressure on academic staff as to how they spend their time. Bowen (2005), Johnson and Rush (1995) and Ramsden (1998) have all considered that perhaps one of the largest struggles for academic staff was the pressure to perform more highly in all aspects of academic work, and to do it with fewer resources.

When asked where additional financial input would enhance the function of the university, responses varied from "everywhere" to "I think on the whole we manage very well with limited resources" (Participants 51 and 3). There were no surprises in the responses; they merely supported Karmel (2000) and Ramsden (1998). One of the main

themes that emerged was that limited resources meant some of the basic facilities were very much in need of an upgrade, which was supported by comments such as: "Upgrading labs and microscopes that are over thirty years old" (Participant 15), "Getting new science equipment" (Participant 22) and generally "To enable the universities to have better facilities" (Participant 57) because "Facilities need to be maintained and upgraded" (Participant 14).

As previously mentioned, how academic staff spent their time was another major theme to emerge from this question. With increased student numbers, and not enough time to allocate to them, many participants thought "The student-teacher ratio needed to come down" (Participant 17). Furthermore, many participants also wanted to see "Reduced teaching levels" (Participant 59) in order to "free staff up to do more professional development" (Participant 54), as well as "free[ing] up more staff to do research, provide teaching assistance" (Participant 19). The majority of comments indicate a basic need for more time to be spent on teaching and research (two of the three main functions of a university). This is indicative of the bigger problems that staff are concerned with, but which are excluded from discussion by TEACs' choice of language.

A significant number of participants echoed the comment that "salaries are not compatible with the rest of the world" (Participant 37) and noted that "University staff used to be part of the Higher Salaries Commission" (Participant 32). Furthermore, one participant said, "Higher quality staff require higher salaries" (Participant 3). On the surface, these responses may appear selfish, but it was observed that when these comments were being made, participants were not referring to themselves; it was more that they were concerned with the issue of quality and attracting good staff.

The most significant argument was that academic staff felt the need to be freed up from administration and clerical tasks so they can devote more time to teaching and research. It was also suggested by Participant 49 that it was necessary to "Review the non-replacement of staff policy (when someone leaves they are not replaced)".

One final, considered comment, which sums up the range of responses in terms of areas where additional financial input would enhance the function of the university, was:

I think that differs in different parts of the university – in the sciences additional funding could be used for research infrastructure, scientific equipment in laboratories, technical support staff. And in the social sciences and commerce areas additional funding could be used to lighten teaching loads and free up time for academics to engage in more research and supervision of students (Participant 20).

5.5.2   Funding

One of the most important changes proposed by TEAC was that total funding would be determined by a subsidy per student, and that research funding would be allocated separately. Hence, the Performance Based Research Fund (PBRF) strategy was set up which assumes that research output should be proportionate to the number of students. This is not however, relevant to this research.

There is a tendency to over-simplify the complex relationships between student numbers, research output (and where to publish), funding requirements, and achievement of the university's role in society. The risk is where staff are pushed to make strategic decisions based on maximising funding over academic quality. Langtry (2000) uses the example of the form in which academics decide to publish and achieve departmental rewards for their work, often resulting in both inefficient allocation of resources and perceived unfairness. A concrete example of this is where an academic may accept publication in B grade journals, as opposed to using more resources to achieve "A" grade journal publication. Ballard (2004) refers to "grade inflation", giving higher marks for tactical reasons, as another example of pressure to chase funding may have an undesirable outcome.

5.5.3   Government Subsidies for University Study

Currently, government policy states that the costs of university education are to be shared. Part of the overall resourcing is provided by the government and the remaining costs are met by both students and their families, as well as by users of research (Ministry of Education, 2006a). Overall, the majority of participants deemed the current approach to government subsidies reasonable (Appendix C, Part Three, Question 3.4) - they thought it realistic to expect students to bear some of the costs. The majority of

participants also thought that student allowances should be standardised. Participant 42 called for the abolition of tuition fees altogether.

The following table illustrates that there was near unanimous agreement among participants (n=59: 98.3%) that the government should subsidise students' study to at least some extent. Suggestions as to how the Government should do this ranged from "A means-tested subsidy for students from low income households" (Participant 26), to "Additional tuition subsidies" (Participant 44); the subsidy types most favoured were the student allowance, student loan scheme and scholarships – basically, the status quo. Only one participant thought students should incur all of their university study costs (without any government assistance) and said "Students get more than enough already. They need to pay for their education, because if it is free it is abused" (Participant 46).

Table 5.8   Government Subsidies for University Study
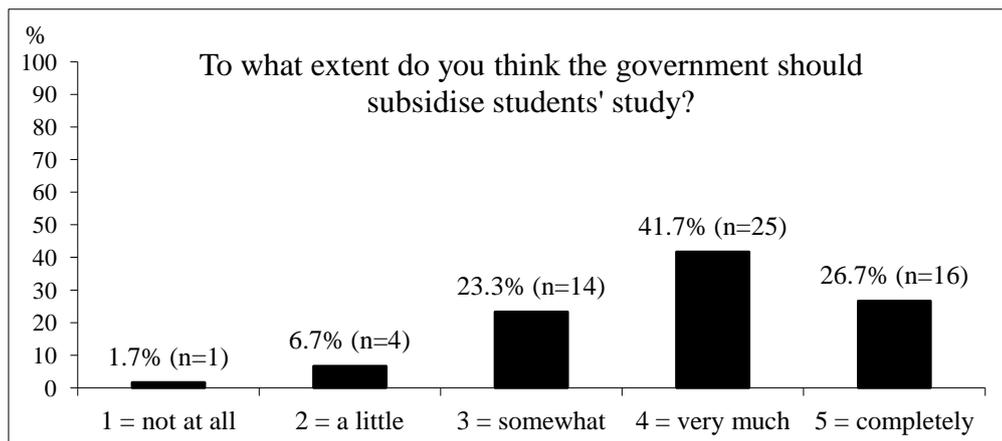
Over a quarter of participants (n=16: 26.7%) thought the government should fully subsidise students' study: "When I went to university it cost nothing - why should it cost anything now?" (Participant 27), "Fees should be fully paid for by the government - like they used to be. I had free education - I think it must be very tough finishing with huge loans the size of mortgages" (Participant 50). Overall, participants thought that there should be a universal student allowance or at least "the student allowance should be widely available" (Participant 21). Participant 55's words were, "Students should not be fully funded, but supported – yes". This sums up the overall essence of responses.

The majority of participants made favourable comments in terms of the student loan scheme: "Student loans are appropriate", "I think the loan system is fair", "I think loans

are important and should be easy to get". Staff did display an opinion that loans needed to be managed and that students should still be working in their holidays whilst focusing on their studies during term time. Participant 23 commented that: "Living costs seem a very sensible way of dealing with [student living expenses]", where the students actual expenses are considered.

The concept of scholarships was popular with a representative response being: "I'm a great fan for scholarships - that's a much more targeted and efficient way of funding students" (Participant 4). This highlights staff's (traditional) concerns with the provision of financial assistance to the academically gifted and disadvantaged groups. The concept of linking financial assistance from the government to student performance was also popular amongst participants. Examples include, "Link the student allowance to performance" (Participant 29), "You have to earn your subsidy" (Participant 38), and "Students should pay their fees and get reimbursed when they pass" (Participant 48). Reimbursement of fees after passing is just another way of implementing a 100% fees scholarship. A recent example of reimbursing costs after the event is the introduction of student loan repayments for graduate doctors willing to work in rural locations.

Many wanted subsidies to be based on the student's on-going academic performance, with constant monitoring and re-evaluation: "If the quality goes down, then so too does the subsidy – if a student continues to fail then cut the funding, and if a student gets good marks, subsidise them completely" (Participant 11). Two participants raised the point that given New Zealand has a universal unemployment benefit, "we should also have a universal student 'benefit' or allowance. If someone is going to the trouble of learning, then they should be afforded no less support than someone who is unemployed" (Participant 24).

5.6 Hegemony and Autonomy

Hegemony is about the exercising of political power and control. This power and control encompasses the guiding principles, national strategic controls, and stakeholder incentives that comprise TEAC's policies. They are seen by many as a threat to the autonomy of the university. Although TEAC acknowledges the need to recognise and respect academic freedom and provider autonomy, government expects universities to respond to the large number of increasingly fragmented stakeholders such as business,

industry and employers and their requirements, for example meeting labour market needs. Participant 32 had this to say:

> Well, we're into debates about academic freedom here… and I take a
> strong position on academic freedom – and it needs to be free! And I think
> the answer is that they should not be influencing universities in New
> Zealand at all.

The increasing hegemony of government, where university activities are monitored continuously, brings into question the extent to which the university is free to exercise its academic freedom. Respondent 35's comment reflects the discussion in Section 2.4.4 of this thesis concerning academic freedom and institutional autonomy:

> I think there is probably a statutory protection that universities can rely on
> if the government was interfering unduly with the universities right as
> critic and conscience of society. For example, it would have legal
> remedies. The trickier point is that the government imposes requirements
> in return for funding and at the moment I can't think of any mechanism
> that is monitoring those requirements unless it is the NZVCC making
> submissions on behalf of the sector as a group which would be a
> reasonably weak read for that purpose.

Academics feel that their freedom is threatened most by those who want to use them as a means to express their own will, or by those who do not believe that universities have any purpose beyond the service of strictly practical ends.

TEAC's consultation process is perceived by academic staff as an example of the misuse of power, as opposed to a legitimate attempt to engage in meaningful consultation. Staff see it as something of a stage for expression, where stakeholders are invited to engage in discussion, but where little debate concerning conflicting interests takes place. Meaningful participation requires more than an invite to express one's voice. Consideration needs to be given to power differentials between the various participants.

5.6.1 Stakeholder Involvement in University Activity

Participants were provided with TEAC's previously determined list of stakeholder groups, and asked to what extent they thought each of the given stakeholder groups were

involved in university activity (Appendix C, Part Two, Question 2.1). As illustrated in the table below, (n=51: 85.0%) of participants thought the government was "very much" or "completely" involved in university activity, (n=48: 80.0%) of participants thought the university staff were "very much" or "completely" involved, and (n=46: 76.7%) of participants thought the students were "very much" or "completely" involved.

These same three stakeholder groups appeared at the top of the rankings for questions 1.2 (list your top three main stakeholders) and 1.3 (select the top three of TEAC's list of stakeholders). It is generally undisputed that these three stakeholder groups are the most significant in the university sector. Again, what is interesting is the responses about the remaining groups.

Māori were considered more involved than Pasifika but they were still well behind the top three stakeholder groups. Several participants commented that this question might elicit different responses from staff at universities located in the North Island due to differing demographics. Participant 37 supported this view by saying that: "…there are far more Pasifika in a city such as Auckland as opposed to Christchurch".

Industry, business and employers all showed a solid "middle-of-the-road" placement. Many participants again said that these three stakeholder groups belonged together – Participant 1 was one such example: "We're into this business, industry, employers loop again – why would you separate them". He went on to say: "Of course they should have some input, but it shouldn't be over-riding". This is supported by the numbers and general shape of the response curves; (n=59: 98.3%) staff placed industry as having an involvement between "a little" and "very much", (n=56: 93.3%) thought the same of both business and employers. However, very few provided a "completely" response for any of these three stakeholder groups.

The following chart (Table 5.9) provides a graphical representation of the raw data in Appendix F, coded by colour and offset by the median of the neutral response "somewhat". This provides a good indication for what participants perceive to be the relative differences in involvement of TEAC's stakeholder groups.

Table 5.9   Stakeholder Involvement in University Activity

To what extent are each of the following stakeholder groups involved in university activity?
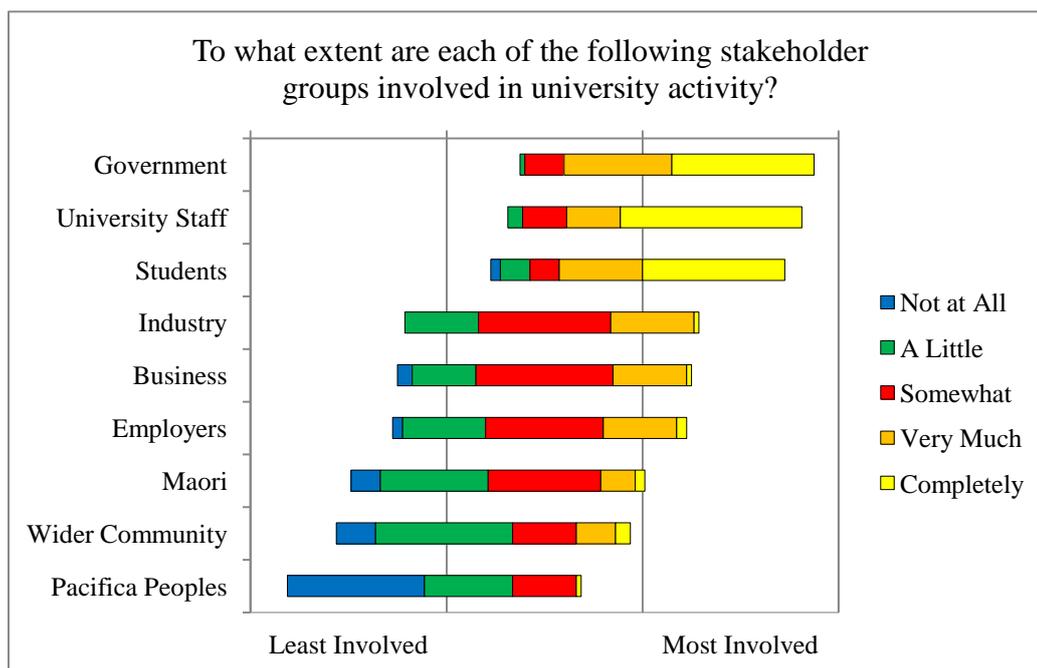
(see Appendix F for raw data)

5.6.2   New Zealand Universities Responsiveness to Stakeholders' Requirements

When asked how responsive New Zealand universities are to the requirements of particular stakeholder groups (Appendix C, Part Two, Question 2.2), academic staff indicated that they thought New Zealand universities were most responsive to government requirements (n=53: 88.3%) and student needs (n=44: 73.3%) with responses of "very much" or "completely". Industry followed next in terms of priority, receiving (n=27: 45.0%) support ("very much" or "completely"), even exceeding that of university staff themselves as stakeholders.

Given that academic staff view themselves as having a duty of care to their students (discussed later in this chapter), it is perhaps understandable that staff will rank students' requirements above those of other stakeholders. What is surprising is that academic staff ranked themselves next to business, industry and employers in terms of importance. This contrasts with other comments throughout the interviews where responses indicated that intuitively academic staff feel that who they are, what they do, and what they represent (their intellectual endeavours) have a higher priority than the interests of business, industry and employers. Participant 59 said: "I think in the past we [academic

staff] may have had been held in a much higher regard, but now, ah, I suspect that we aren't really considered much at all".

The remaining entries in the chart reveal two distinct perspectives to consider when investigating how universities address the needs of particular stakeholder groups. On the one side, there is the government and wider community, with both groups scoring a negative ranking ("not at all" or "a little") of (n=26: 43.3%). In relation to this, open responses exposed a good deal of antagonism towards the government and a lack of clarity regarding the wider community.

The other side relates to Pasifika and, to a lesser extent, Māori. Participants ranked these ethnic groups in terms of their relevance to the university as a whole, not in relation to those stakeholder groups and their needs as individuals. Participants indicated that this may be partially due to the fact that the numbers of Pasifika students at Lincoln University are minimal. It was also suggested that this stakeholder group belonged to the "wider community" which covered all ethnic groups. If Māori and Pasifika were to be separate groups, then it seemed logical that all of the many other ethnic groups who live in New Zealand should also have their own representation as stakeholders.

The distinction being made by participants above is one of stakeholder priority. It was suggested that the needs of minority ethnic groups could be combined. The view of many participants was that the key stakeholder groups identified by participants in question 1.2 (students, academic staff, wider community and government) already represent these groups. This issue would be resolved if an appropriate priority ranking had been applied by TEAC, so that the interests of ethnic minorities could be taken into consideration without becoming over-represented. There is also a looming conflict with government where participants thought that the university should maintain a certain level of autonomy, where academic staff maintain a level of independence. Their perception was that this was not currently possible because (from their perspective) government interference determined most of what they do: "I feel that universities should be totally independent and …I don't think there needs to be a lot of interference" (Participant 45).

It can be argued that the views of some *are* more important than others, and therefore merit more influence over policy outcomes. Consequently, as a nation familiar with a

political system based on proportional representation to distribute political influence in a representative fashion, it should not be a great leap to reconcile the practical application of a ranking matrix with regard to stakeholders. Striking the balance will be fundamental in fulfilling the expectations of both the government and the profession. A stakeholder ranking matrix could be developed specifically to address this.

The following chart provides a graphical representation of the raw data in Appendix F, coded by colour and offset by the median of the neutral response "somewhat". This provides a good indication for what participants perceive to be the relative differences in university responsiveness to the requirements of TEAC's stakeholder groups.

Table 5.10   New Zealand Universities Responsiveness to Stakeholders' Requirements
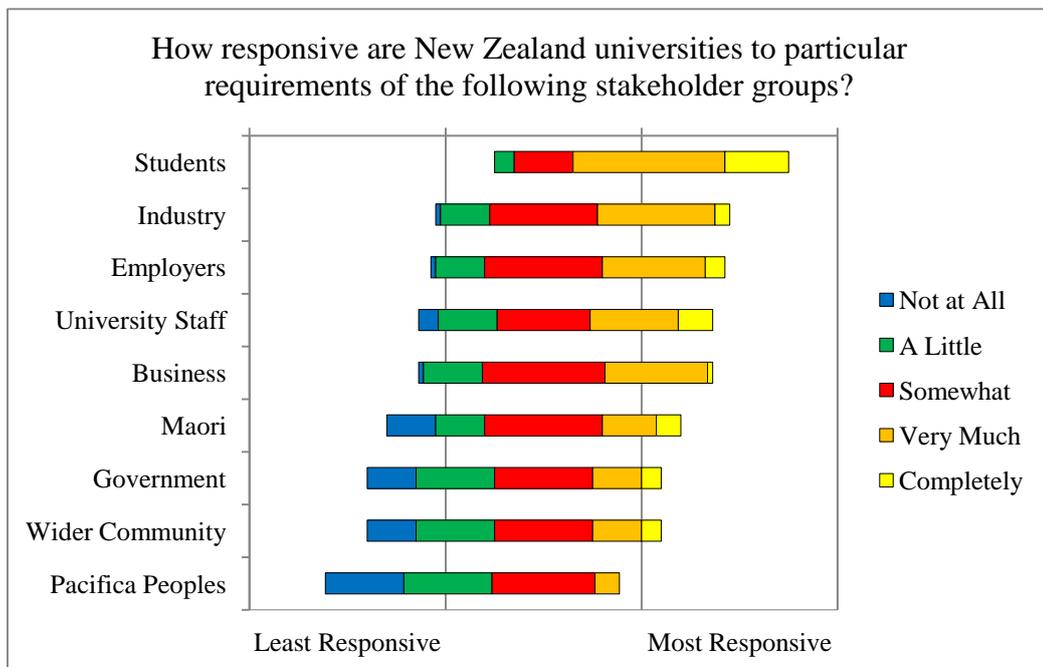
(see Appendix F for raw data)

5.6.3   Government's Determination of Activities of University Practice

When addressing this question (Appendix C, Part Two, Question 2.3), many participants asked for clarification of what "activities of university practice" actually meant. These were educated people who regularly question that which is not clear. A university's activities are something that can be readily articulated, as can be a university's practices. However, put together as "activities of university practice" the combination of these words make little sense and were perceived by participants as largely meaningless – a

grammatical error on TEAC's part. Many participants expressed agreement with the observation made by Kuiper (2001) that the imprecision of the discourse enables one meaning to be implied and the reality hidden, necessitating them to carry out their own CDA. This resistance when the level of language manipulation goes beyond a certain point is encouraging. However, with participants required to critically analyse TEAC's language, interpretation issues are left wide open. Each individual stakeholder may be talking a completely different language, so to speak, without any record of this major failing of the stakeholder-based policy-development process existing.

When participants did address the question, as best they could interpret its meaning, they thought that the government should have "only limited influence over the activities of university practice" (Participant 33). Open discussion revealed the reasoning behind this. While some participants did express positive views that the government should have a strategic role which included monitoring university practice and standards, they felt this should not manifest itself through constraining the university's autonomy: "I like to think that universities have a certain autonomy to be independent thinkers, and at the moment that's not really possible because the government determines most of what we do" (Participant 16). This is reiterated by Participant 47:

> [There should be] very little [government direction over the activities of
> New Zealand universities]; but in reality that's never going to happen. I
> think the government should fund universities adequately and let them get
> on with the job, and not have to go backwards and forwards to TEC and
> NZQA for every little decision to change a course. It's micromanagement.

Even though protection of this right to autonomy is enshrined in the Education Act, concerns were expressed that in meeting its policy objectives, there was a sense that it imposes requirements in return for funding without any substantive mechanism to monitor the nature of those requirements. The government's requirements were seen by some to be largely revolving around economic and social development (although many participants were not convinced that this was anything more than a facade), as opposed to a genuine concern for the needs of society.

Table 5.11   Government's Determination of Activities of University Practice

To what extent do you think the government should determine the activities of university practice in New Zealand?

- 28.3% (n=17) — 1 = not at all
- 26.7% (n=16) — 2 = a little
- 25.0% (n=15) — 3 = somewhat
- 15.0% (n=9) — 4 = very much
- 5.0% (n=3) — 5 = completely
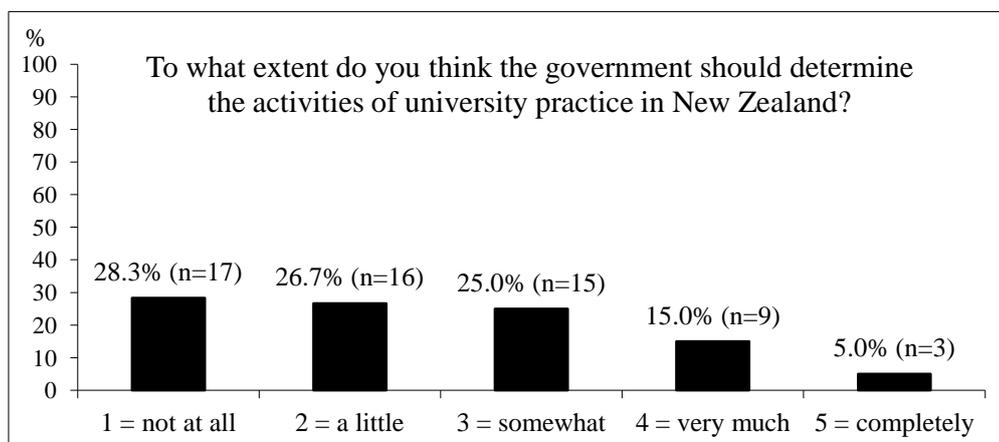
5.6.4   Government's Level of Engagement with New Zealand Universities

Seventy eight percent (n=47: 78.3%) of participants thought that the government was at least "somewhat" actively engaged with New Zealand universities; (n=33: 55.0%) classed this engagement as "very much" or "completely". These numbers were transposed during discussions with participants, where the critical finding expressed was that very little of this "engagement" was viewed as beneficial or positive, in any sense. The two recurrent themes that emerged from this were "bureaucratic interference" and the use of "power and control". TEAC's emphasis on leading the tertiary sector through "intervention" and "steering" towards New Zealand government's economic, social and cultural goals have had negative impacts on academic staff who think that excessive interference has impeded their institution.

Participants expressed strong views, reflecting on the cost of bureaucracy with so many layers, organisations and people employed on bureaucratic exercises that do not necessarily generate better educational outcomes. Participant 60, who has a close relationship with administrative requirements, complained:

> You could look at the red tape cost of the bureaucracy and inefficiencies caused by it and I know that in my management role I spend most of my time satisfying the requirements of Wellington and it seems largely to be a waste of time. And it's gotten worse, there are just so many layers, organisations, people employed and money spent on bureaucratic exercises that do not generate better learning outcomes, or better research outcomes.

Direct engagement at a senior level caused concern that those involved spend more time in Wellington than at Lincoln University. Open discussion led to expressions of contempt that may have lacked credibility ("TEC must be costing this country billions") but certainly emphasised the depth of feeling. A more considered response was from Participant 10: "They have a strategic role…but the university needs to have the freedom to operate within guidelines and without being micromanaged".

Table 5.12   Government's Level of Engagement with New Zealand Universities
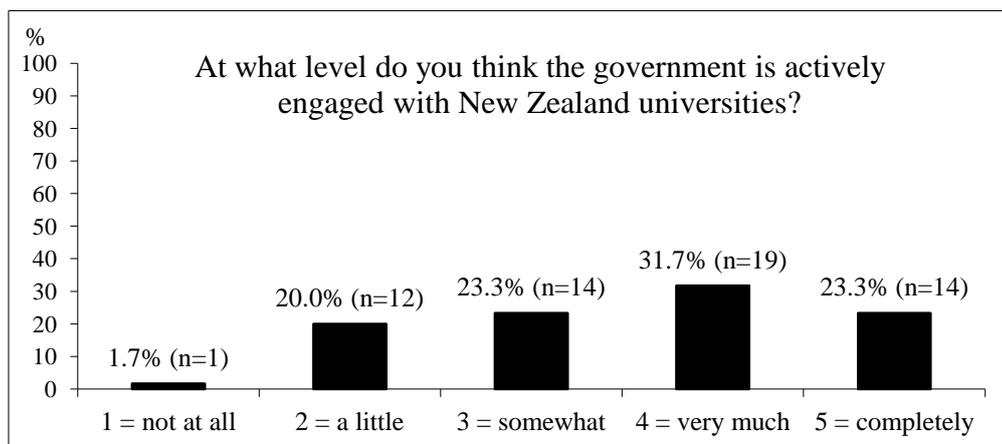
What these views amount to is an interpretation of the term "engagement" to mean "interference" in terms of dollar cost, cost in time, and cost in relevant outcomes. One of the most difficult challenges seen by academic staff is (in their view) the unwarranted time and attention spent on issues that interfere with the university's ability to get on with its proper roles and functions. Participant 44 commented that: "I do think the government should trust the universities a bit more".

5.6.5   The Importance of Universities Consulting with Stakeholders

Consultation with all stakeholder groups is acknowledged as important by participants. However, along the same lines as other responses, university staff were ranked the most important with (n=54: 90.0%) (grouping "very much" and "completely" together), followed by students (n=52: 86.7%), and government where (n=48: 80.0%). The wider community followed next with (n=43: 71.7%) – slightly above the remaining stakeholder groups.

As illustrated in the chart below, all stakeholder groups were considered important by academic staff, but with university staff and students slightly ahead of the other

stakeholder groups. A common point raised by participants was that "consultation" needed to be through two-way dialogue, where the relevant stakeholders continuously communicate back and forth amongst themselves. This would ensure that the language used was commonly understood and agreed upon, and that feedback was an integral part of the process of "on-going discussion". As highlighted in previous sections, an analysis of the discourse reveals that academic staff apply different meanings than TEAC to the terminology being used. This leads to a fracturing of the language where different stakeholders apply different meanings to the same words. Overall, participants thought that to date, academic staff were not particularly well consulted (often dictated to) and that they should be more included in many areas of decision-making.

Some acknowledged the university's responsibility to consult with students and thought that the university was very good at it, yet others agreed that whilst it was important to consult with them, it was not an over-riding responsibility. This demonstrates that participants perceive the university to be good at consulting with their student stakeholders, and perhaps believe that TEAC and the government could learn through observation. There is considerable discourse throughout TEAC's four reports in relation to the commitment to working with the tertiary education sector and other key stakeholders, however from an academic staff perspective; this was not seen as being successfully put into practice.

Consultation with government is considered a fundamental compliance issue. Participants felt that they have no choice and that it is akin to "reporting in" as opposed to genuine dialogue or mutual engagement. One participant suggested there is a certain ambiguity in the question in the sense that the government provides university funding, so they have a right to know what universities do with it. That is different from feeling that academics should check in with government when they want to make a critical enquiry or a critical statement – such a requirement would be counter to the role of a university as enshrined in legislation. Comments indicated that consultation depended on many factors including the situation, the context, the issue and the discipline. For example:

It is my understanding that universities' engagement with society is
consistently understated. There is no shortage of examples of businesses
and industries keenly seeking out relationships with universities both for
research and training purposes, (Participant 31).

Many participants noted to varying degrees that it is extremely difficult to consult with
the wider community (some considered this to be a big issue), but in principle they were
in favour of the idea. One participant thought "It would be fantastic to get [members of
the wider community] more involved" (Participant 48). Reconciling this with another
opinion that "It is impossible and largely irrelevant" (Participant 13) is symptomatic of
the subjective nature of opinions over stakeholder importance and accessibility, even
within the same group. This problem is brought about to some extent by the on-going
debate around who should be included in the wider community. Furthermore, how best
to include the wider community – be it through consultation or more directly by
involving the wider community in university life; for example, local members of the
Lincoln community are welcome to use the facilities at the Lincoln University
Recreation Centre.

A recurrent theme raised by participants was the notion that all of the *secondary*
stakeholders (other than students, university staff, and government), other fragmented
groups (such as business, industry and employers) and significant minorities (such as
Māori and Pasifika) could be grouped under the "wider community". One participant's
comment was that "They are all part of [the] broader society" (Participant 6). One
example, (n=16: 26.7%) of participants indicated in discussions that Pasifika should be
considered part of the wider community.

There was also the consideration that placing one group's interests above another is
fundamentally challenging for some participants. One admitted "I couldn't differentiate
between some of these categories and say one was more important than the other"
(Participant 14). When it is difficult to differentiate between groups, and this difficulty
is not unreasonable, this in itself may become a justification for combining the groups.

Again a compelling feature of consultation with employers, business and industry was
that over a third of participants (n=22: 36.7%) indicated in discussions that they fitted in
the same category, despite TEAC's having specified them as separate stakeholders.

Even so, there were examples given when engagement with other stakeholders in their own right had taken place, with varying degrees of success. For example, Participant 51 noted that:

> When Industry Trade Organisations (ITOs) were first set up we expected a very close linkage but it never really materialised - not in my area, anyway. But then again, in some programmes which are professionally accredited such as rural valuation, landscape architecture and environment management there are close affinities between the profession and the professional standards and degrees.

The following chart (Table 5.13) provides a graphical representation of the raw data in Appendix F, coded by colour and offset by the median of the neutral response "somewhat". This provides a good indication of how important academic staff consider consultation with each of TEAC's stakeholder groups.

Table 5.13   The Importance of Universities Consulting with Stakeholders
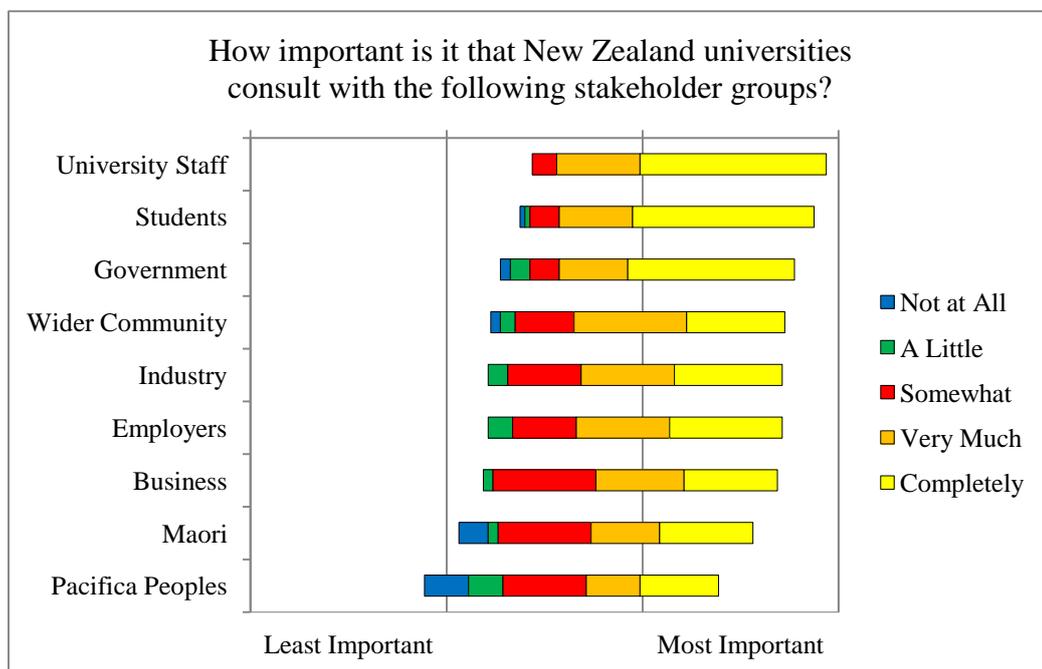
(see Appendix F for raw data)

5.6.6   Surplus and Shortage of Graduates

When asked which graduates participants thought were in a "supply surplus", participants' answers were varied. Whilst some provided a single category, others

offered two or more categories, while a small number (n=6: 10.0%) answered that they could not think of any. Staff identified four major categories: Law (n=13: 21.7%), Commerce (n=11: 18.3%), Arts (n=7: 11.7%), and Social Science (n=5: 8.3%) graduates, but were mindful that their category choices were based on hearsay and what they had heard or read in the media. Despite this, they still had strong opinions to express on the topic. There was a concern expressed that TEAC's approach may, in times of higher demand, generate unacceptable outcomes in terms of "mediocre graduates".

There was an overall feeling typified by Participant 58 who said: "There is no such thing as a supply surplus of graduates". Participant 58 also said that: "if a student has attained a good level of education from their time at university, then this in itself will benefit not only the individual but society as well, irrespective of what they have studied". Another participant expanded upon this theme, with: "The perception is that arts degree graduates are in a surplus but they actually get a good general education then they can become a bit more career focused" (Participant 28). The benefit comes from the ability to obtain the degree, rather than from the content of the degree. Participant 12's comment supports this argument:

> Well, I mean if you run out of doctors it's fairly obvious there's a shortage of doctors, if you have too many lawyers there is a supply and demand problem, but they are specific degrees. If you get someone with a degree in history, a *good* degree in history, then they will be able to do most jobs well.

Participants were critical of students whose only goal was to get "a piece of paper", with the minimal possible effort. Whilst this is the student's prerogative, staff considered that the objective of a university education is to develop critical thinking skills. This represents the divide between the emphasis placed on vocational training and the ideals of imparting a "classical education". One participant was concerned that we are seeing: "Poorly skilled, uncritical, unthinking graduates" (Participant 9), another lamented: "Graduates who want to wear crimplene suits and sell things" (Participant 25).

There was also the belief that the university was producing too many doctoral graduates. Staff were concerned that high numbers of doctoral students were being taken on to

obtain funding – with little chance of these students obtaining relevant employment within New Zealand. The funding flows into the university, and the New Zealand economy in the case of international students, while the student is studying, but with little long-term benefit for New Zealand society once the student has graduated. This illustrates staff interest in the wider benefits to New Zealand's economy and society beyond the next parliamentary election, or the one after that.

Next, participants were asked which graduates they thought were in a "supply shortage". Again, participants' answers were varied, with some provided a single category and others offering two or more categories. Overall, staff identified five major categories: Medical (n=17: 28.3%), Science (n=12: 20.0%), Information Technology (n=11: 18.3%), Engineering (n=6: 10.0%) graduates and Teaching (n=6: 10.0%).

General comments typical of the majority of participants included: "Hearsay…I hear the medical profession is desperately short at all levels from specialists through to nurses" (Participant 52), "I get the impression that we have a shortage in sciences and engineering graduates" (Participant 43), "We hear that there are shortages of skilled labour" (Participant 53), and "We're told by the media that we're short of doctors" (Participant 26). Staff's concerns here, which they admit comes from the media, reflect the concerns of society as a whole. The medical profession, teachers, and engineers are also amongst those most highly trusted in society, and hence always desirable professions to enlarge.

Another theme that came through was the importance of developing numeracy and general science techniques: "New Zealand is generally grossly under appreciative of numeracy and science" (Participant 52). Staff commented on New Zealand falling behind our Asian neighbours.

With regard to both questions, the language of "surplus" and "shortage" was questioned by participants. They wanted to know: "How do you define surplus?" (Participant 22). Participant 34 complained: "I find it hard to reply actually", whilst others 'clarified' the point with statements such as: "There are surpluses and surpluses and shortages and shortages" (Participant 1), and "I don't look for surpluses. Who is looking for surpluses?" (Participant 8). These themes of asking for meanings and questioning the relevance are further illustrations of the obfuscatory nature of TEAC's language.

5.6.7 Enrolment Numbers and Course Deletions

Universities have been criticised for continuing to run subjects with small enrolment numbers. Yet they appear to persist with what have been called unviable subjects. It has been suggested that a reduction in resources devoted to small enrolments may release additional resources to service the areas of growing student demand. In 2010, tight government funding lead to twenty-eight summer courses being dropped from Canterbury University because they were either unpopular or repeats of courses run during the normal university year (Gilbert, 2010). Miller (1993) argued that the content of many courses is changing to meet the needs of future employers. Lauer (2002) supports this argument by highlighting that labour market expectations impact significantly on enrolment decisions - wages, for example.

Table 5.14   Enrolment Numbers and Course Deletions
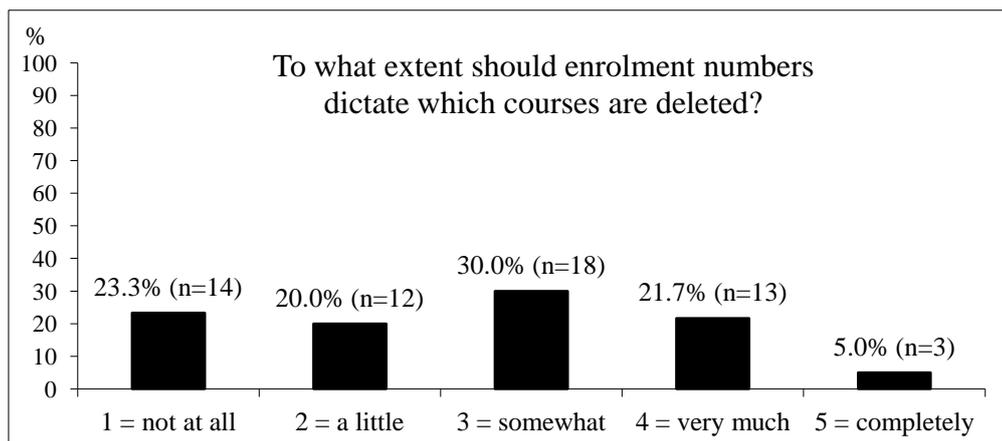
When asked to what extent enrolment numbers should dictate which courses are deleted, participants provided mixed views. However, their comments revealed a more universal set of opinions; all staff acknowledged that resources were limited and should be put to the best possible use – they respected and appreciated this. Most still maintained that some courses will always be important to a small number of postgraduate students, and it is essential they continue to be offered, despite the fact that they will always attract only a small number of candidates:

> It is inefficient and costly to run courses where numbers are too low, but
> within that there has got to be some strategic balancing where there may be
> very important courses but only a few people do them. I have to qualify

my answer by saying some very necessary courses have relatively low numbers. An example of that, it's not Lincoln's fault, but horticulture is poorly supported at Lincoln, mainly because it's been shafted by the politics of the university over the years (Participant 41).

Nearly a quarter of participants (n=14: 23.3%) thought enrolment numbers should have nothing at all to do with which courses are deleted. Participant 55 said, "I don't think they should. It's totally the wrong philosophy" while Participant 30 commented, "Education is about quality not quantity". The majority of participants thought courses should not be determined by the number of students, and that, "regardless of the number of students one of the functions of the university is to be a repository of knowledge" (Participant 12).

While (n=18: 30.0%) participants numerically answered "somewhat", most expanded upon their numeric answers with commentary indicating a bias towards the cautionary end of the scale – to retain courses rather than rushing to delete them. An example of this from Participant 42, who responded "somewhat", was:

> Well, you can't solely rely on upon numbers at least in the short term, because there are some courses which are very important but may only be relevant to a small group. Econometrics might be an example where there aren't too many people taking [the course] but it is a pretty important skill for people who are going to go onto higher levels of [quantitative] research.

Another important aspect identified by Participant 23 related to cyclic changes in popularity of courses almost as if following a style trend that changes over years:

> Enrolment numbers may increase or decrease in a subject, depending on whether the subject is considered sexy at the time, and therefore it changes how many people are being taught. You can't just take it out because then you compromise quality. Whatever happened to a liberal education? Different pressures have led to the adapting of academic tradition (liberal education) to suit clientele demand.

This leads into a common concern expressed, that once a course has been deleted, it is far more difficult and resource-hungry to reinstate it. Many course subjects are kept alive by being taught.

An extreme view from the other end of the spectrum sees a completely market-driven approach, "Because of the economic pressures and of a service orientation, programmes are adjusted to meet the expressed interests of particular stakeholder groups. Classes are added and dropped [deleted] according to the verbalised preferences of the clients directly concerned" (Participant 5). Whilst there was a diverse range of opinions, the majority of participants still tended in their extended responses towards retaining courses that only attracted smaller numbers.

5.7   Relationship to Society

> Society is richer for containing intellectuals of independent spirit and
> integrity who value ideas for their own sake
>
> > (Peters, 1997, p. 15).

The strong growth in student enrolment and the shift in the perception of participation from privilege to right has led to changes for which the functions and structures of university education in many countries continue to be adapted. One key feature of these developments lies in the challenge posed to universities to meet the education needs of an ever more diverse groups of learners (Schuetze & Slowey, 2002).

Traditionally, the well-being of a university demanded constant response and attention to the internal responsibilities and relationships within the academic community. Most often this approach succeeded in achieving a desired common purpose. Molony (2000) writes that "mission statements were not needed" because academic staff were the experts on higher education, with society entrusting their students to them. At the same time, academic staff were dedicated to their research responsibilities and the sharing of their knowledge with the wider society as appropriate. Malcolm and Tarling capture the idea as follows:

> The idea of a university is based on human intellectual capacity and the
> desire to know and understand; it is open to the intellectual traditions of all

human societies and cultures and will continue to be shaped and developed

by the legitimate intellectual aspirations of all human beings (2007, p. 17).

Despite government reforms and agendas, universities remain sites of intellectual endeavour carrying on much of the traditional role that academics, if not society, expect of them. Intellectual life must be at one and simultaneously apart from the wider interests of society through its research, curriculum and many other contributions to public affairs. At other times, the university plays a significant role in society's critical self-examination, necessarily stepping back from their integrated role.

5.7.1   University Influence on New Zealand Culture

In a broad sense, the culture of any society includes the features that account for its distinct identity (Schuller, 1991b). Culture includes a society's system of values, ideology, and social codes of behaviour. It may be expressed in many forms – in its architecture, art, dress, entertainment, food, and literature.

Jesson (1997) argues that New Zealand culture is "thoroughly practical" and that our image of ourselves is doers rather than thinkers. In the early eighties, Renwick argued that "there is a deep vein of anti-intellectualism in this country" (1981, p. 29). Similarly, Peters (1997) argued that the modern university in New Zealand has shifted from an institution with primarily cultural values, towards an institution governed by corporate values – that the overall nature of the university has become corporate rather than cultural. TEAC states that university education should preserve, renew and transmit culture, promote national identity and cultural diversity and enrich our national and cultural heritage. The participants agree with this statement. However, their view is "that there is a wide gap between the rhetoric and the reality". Their responses were that, they felt, the corporate university (as discussed by Peters above) is the direction in which the university is headed.

The majority of participants did not disagree with the government's intention of enrichment of the cultural heritage, but discussion revealed concern with the lack of clarity in terms of definition and substance. The need to define the term "New Zealand culture" was the main issue that arose from this question: "I am struggling with this one, what exactly are we talking about? What is New Zealand culture?" (Participant 39). The context most readily adopted by participants defined culture broadly as "the collection of

values and norms across institutions of wider society which does not only refer to specific areas like music or literature but includes concepts like a shopping culture or texting culture that evolves into society and to which universities contribute" (Participant 25). In many instances, participants thought it was inappropriate to monitor [culture]; that there is not an easy way of defining the issue. There was concern amongst participants that if government starts monitoring and evaluating culture, they [government] are going to start controlling it, the thinking being that if you control it you have lost the creativity.

Hackney (1999) argued that as cultural values become more contentious, educational institutions get caught in the crossfire. For example, in New Zealand, this may be evident in the battle to increase the relative proportion of university attendance by underrepresented groups such as Māori. Major initiatives often place the onus on universities to solve these seemingly intractable problems. However, it has been demonstrated in numerous studies (Barr, 2002; Bowers-Brown, 2006; Brown, 2002; James, 2003; Kaiser & Vossensteyn, 2005; Schuetze & Slowey, 2002; Watson, 2006) that the solutions are far more complex than barriers to university entrance.

Table 5.15 shows that there is no clear consensus among academics when considering the extent to which New Zealand universities influence the nation's culture. Views were evenly split with (n=23: 38.3%) thinking that there was little or no influence and (n=20: 33.3%) thinking very much so or completely. The most striking feature here is that participants felt that New Zealand culture stands in its own right and those who selected "not at all" "a little" and "somewhat" (n=40: 66.7%) did not consider that they played an important role in influencing the nation's culture. Participant 54 argued that: "The culture of rugby is much more important to New Zealanders than the culture of the mind". Rugby and sports in general, fashion, music and performing arts through to Marmite and jandals (artefacts that are commonly termed "Kiwiana") may be where the pulse of the nation can be measured, but they did not feel that those cultural aspects are directly linked to universities.

Table 5.15   University Influence on New Zealand Culture
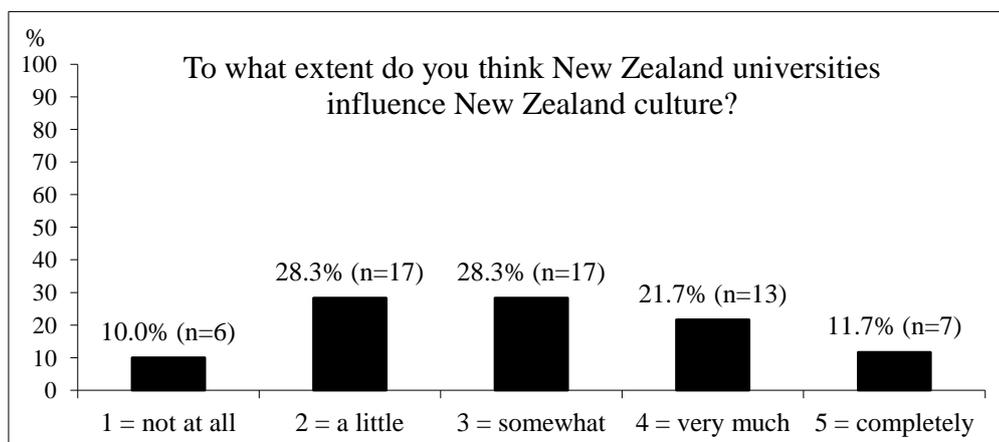
Those that felt the university had a strong connection with New Zealand culture appeared to recognise that sporting talent and aspiring musicians often mature in the rich environment of their respective institutions. Each successful graduate is likely to go on to fill the wide variety of roles now represented in a post industrial economy with ever increasing connectivity between them through technology. Their exposure to socio-political commentary inevitably influences their decisions as they progress through life. Consequently, the university has the potential to have a profound impact on a society's culture into its future.

5.7.2   University Influence on Societal Norms

Prior to addressing the question of the extent to which New Zealand Universities influence societal norms, participants repeatedly requested a definition of what TEAC meant when they referred to the term. To them, it was important that the term be clearly defined. However, it is worth noting that definitions offered by participants themselves were reasonably consistent in referring to mainstream conventions and recognising behaviour around which boundaries are set. So, although assumptions are not a sound basis for consultation, it could be argued that this term is unambiguous when in context.

Table 5.16 reveals that (n=56: 93.3%) of participants thought New Zealand universities influence societal norms to at least some extent. However, only (n=17: 28.3%) feel that the university's influence on societal norms is significant (selecting "very much" or "completely" as their answers). In qualitative responses, however, a little over two-thirds of participants indicated that they felt the universities probably have less influence

now than they had in the past. The majority suspected that any influence New Zealand universities have on societal norms is currently be minimal. Some cited the university population being such a small part of the New Zealand population as the reason for this. In 2010 the university student population represented four percent of New Zealand's total population (Ministry of Education, 2011).

Whilst it may be argued that numerically it is a small proportion, the influence of this group may well be disproportionate in terms of political activism, trendsetting and their ability to organise and communicate. This is exemplified by the rapid mobilisation of the student army following the devastating earthquakes in Christchurch.

Several participants also thought that in the past universities probably had much more of an influence on societal norms because they were held in higher regard than perhaps they are today. The following example is Participant 32's response to the question: "If you'd asked me that [to what extent do universities influence societal norms] twenty years ago, I would have said much higher". This argument is further supported by Participants 52 and 17: "I don't think we have a great deal of influence and I think we have probably got less of an influence now than we had in the past", and "I think they [universities] did [influence societal norms] a lot more in the past".

Many participants reflected the view of Ramsden (1998) that it is no longer special to be a student, and not very exceptional to be an academic staff member; academics are no longer considered by many to be important and influential. It is not clear what measure participants use in drawing this conclusion. Their responses could be symptomatic of the belief that their autonomy is being undermined, and the drive to focus educational attainment on graduate employment prospects as opposed to intellectual rigour.

Table 5.16   University Influence on Societal Norms
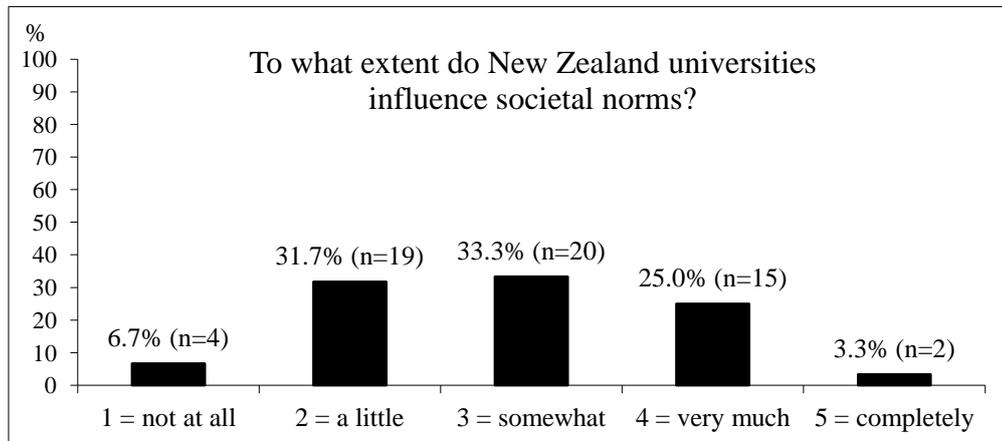
It is clear that the social role of the university is considered important to society, not only from the literature, but also by the prominence given to it by TEAC's documentation. TEAC's intention was to create a tertiary education sector that would help New Zealand become an enlightened society which promotes social cohesion. Although social benefits may be revealed by characteristics, such as socially responsible citizens who are more informed, better educated and more capable problem-solvers (thus benefiting society as a whole), participants were concerned how universities could serve these needs without neglecting their more traditional obligations outside of teaching, such as theoretical research, and critic and conscience of society (Wilhite & Silver, 2005).

5.7.3   Expectations of Universities to Meet Government Requirements

One of the key objectives of TEAC's policies was to strengthen university relationships with industry and labour markets, local and national communities and international labour markets. However, the level of engagement required with the broad range of stakeholders varies significantly. It is important to clarify the subtext of engagement from both perspectives in order to have a reciprocal agreement. Both parties need to agree on mutual objectives. The expected engagement refers to an initiative conducted through some form of partnership and characterised by shared goals, a shared agenda, agreed upon definitions of success that are meaningful both to the university and to the stakeholder. Ideally, the resulting collaboration or partnership is mutually beneficial. However, whilst engagement can be defined, the characteristics of that definition are often in conflict. In some instances it is fundamental and in other instances there is little

conflict. A number of participants expressed concern that whilst being invited to engage, the government's strong steer overwhelms this mutual exchange turning it into an imbalanced influence of power by one party over another.

Power is an attribute that is often closely linked with stakeholder theory and in this case is primarily a function of the dependence of the university on the stakeholder. The differing power relationships will help explain and predict variability in stakeholder interactions. Theoretically speaking, the more dependent the university is on a particular resource from a stakeholder, the more powerful the stakeholder becomes. For example, the power of government is a function of the university's dependence on its financial input, and the policies it generates. As TEAC have not prioritised the multiple stakeholder groups, it could be inferred that it thinks that all stakeholders make equal contributions and deserve equal consideration.

Participants considered that academic staff have a significant contribution to make towards much of the decision-making concerned with university education and its outcomes, which is in theory in line with TEAC's policies. However, some felt the reality was quite different. Participant 5's comment was: "Personally, I think we are driven by bureaucracy - we are responsive to bureaucrats". This participant's quote is representative of the disempowerment expressed by many academic staff who perceive the "consultation" process as "steered" by the government's expectations.

5.7.4 Expectations of Universities to Meet Societal Requirements

Societal expectations of New Zealand universities have been considerably heightened by policy, placing increased emphasis on the university to meet societal requirements. That universities should meet all of these needs and expectations in the first instance is problematic. It assumes society "knows" what it wants and that universities are there to provide it. This may contradict the critic and conscience role of a university. One of TEAC's primary objectives is to consult, involve and engage multiple stakeholders in order to facilitate a stakeholder-based policy development process, as opposed to the traditional policy development process, where the policy generators make their decisions independently. A stakeholder theory perspective can be useful here, in that it provides a means for dealing with multiple stakeholders with conflicting interests through providing a consultation framework. As discussed in Chapter Three, stakeholder theory

has not made great advances in recent years; however, any system is better than no system when attempting to prioritise and organise stakeholder involvement.

Participants considered it important to have an idea of what society expected of them, but they did not think these expectations should be formal requirements. While acknowledging the need to be aware of expectations, some participants noted that they did not need to assess them, or necessarily set about to meet them. It was pointed out by several that it would be impossible to meet all of the requirements. Academic staff agreed that the university had an obligation to society in general, noting their responsibility to debate societal issues, and they expected their points of view to be unpopular at times. The following quote from Participant 49 is representative of this:

> I think the university sector has an obligation to be part of New Zealand as a whole. It has a contribution to make in that it is critic and conscience of society talking about the issues of the nation and being involved in the debates, but it is not about universities doing what society wants, we may bring new perspectives which sometimes will not be appreciated or liked.

Participants unanimously agreed that if society expects that a university education will provide graduates that meet high academic standards, measured both nationally and internationally, then the universities should meet those expectations. That there is a primary obligation to serve New Zealand was acknowledged, as was the secondary obligation to serve the rest of the world by meeting international standards, given a university's reputation is assessed internationally.

A recurrent theme was that assessing and meeting societal requirements and expectations was not a main function of a university, and therefore did not warrant so much emphasis. Societal expectations are only one part of the university's mandate, certainly not a core activity, and consequently should not be a driving force. While it was generally accepted that to some extent acknowledging the social role is a requirement if students are to gain accreditation, some participants found it challenging to define exactly where the boundary lay. There was concern amongst participants that community focus can often be short term, with an emphasis on the commercial requirements of industry, and does not really understand what universities are for or what they can offer.

Dependent on which department the participant is a member of, comments were diverse and range from "I don't think we should be in the area of meeting industry and labour markets' skill requirements" (Participant 36) to "We have a very strong link with industry" (Participant 18). One view was that the university might be able to judge when something is not being well done or a process is dangerous and that this is a legitimate objective. This attention will produce graduates that are prepared for a career in the global labour market. Alternative responses underlined the view that universities are there to educate and not necessarily to meet job requirements and that it was perhaps unrealistic to meet the wide ranging demands of the national and international market place. This leads to concern regarding the sustainability of educating a workforce with such a short term focus.

Taking account of the multicultural nature of our society, some participants felt that the local community is primarily what the university is serving, but that that position should not be exclusive. The general consensus is that universities have an overarching role. However, formalising what the local community represents was an issue and views differed between its relative importance vis-à-vis the wider and global community. Participant 9 asked bluntly: "How do you define the local community? …" In today's interconnected world, the local community will mean different things to different people in different contexts.

Participants were next asked to consider the extent to which New Zealand Universities should be expected to assess and meet the various demands of local and national communities in conjunction with needs of industry, and the skill requirements of both local and international labour markets. Two issues emerged: first, participants did not like the terminology used and questioned the word "skill", saying that it implied trade or vocational work, as opposed to educational achievement. Secondly, the inconsistency when referring to local and national communities and subsequently to international labour markets was also questioned.

Despite having questioned the merits of the terminology used, (n=27: 45.0%) of participants strongly felt that New Zealand universities should not only assess but also meet industry and labour markets' skills requirements. A significant minority dissented from this view, principally over their concern that the ability to assess this is neither their

role nor their responsibility. Just over half of participants felt that meeting the expectations of the national community was complimentary to the main roles and functions of a university. The caveat here is the contrast between the government's view and academic staff's view of the role of the university: "If the government reflected the genuine needs of society, then I'd be happy [to meet their expectations] but they seem to just reflect their own [needs]" (Participant 27).

Table 5.17   Expectations of Universities to Meet Societal Requirements
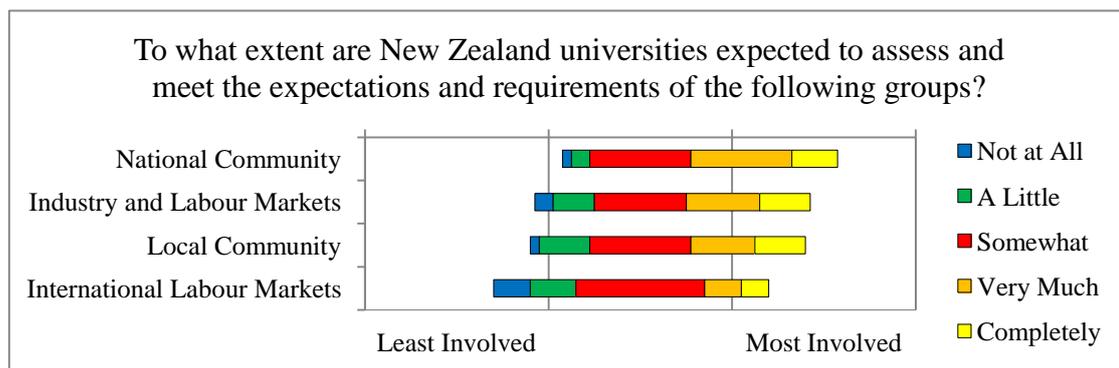
(see Appendix F for raw data)

Throughout the interviews, there was a clear divergence between quantitative and qualitative responses. The expectations of international labour markets are a prime example where the evidence is stark. Statistically, only (n=14: 23.3%) of participants positively stated that universities should be expected to assess and meet relevant criteria while (n=18: 30.0%) took the opposing view; the remainder expressed equivocal views. Commentary in open dialogue did not reflect this balance. Only two observations made by participants could be interpreted as being negatively inclined towards this question. One was focused on the financial obligation inherent in spending tax dollars to meet New Zealand requirements rather than those of the international market. The other came down to the impracticality of meeting specifics, such as Job "X" in San Diego. The remainder of participants all provided positive answers and comments, reflecting the view that national trends are often proximate to international trends and as the world becomes more globalised academic staff are no longer producing students for New Zealand alone. Lincoln University has a relatively high proportion of international students, and produces graduates in areas such as international finance, suggesting that the university is pursuing these goals.

In all four aspects of this question, the degree to which participants offered no clear unified opinion was notable. Why these responses are inconsistent with the conversational dialogue is open to several interpretations. First, it is not clearly articulated what the expectations of the stakeholders identified in each question are. Second, if there are not clear channels of communications between those groups and the academic community, then the provision of university courses designed ultimately to fulfil those requirements will not occur. Third, it may be that university staff are unwilling to commit either way to answering this question because it either lies outside their area of expertise, or, when they critically analyse the discourse they find little meaning.

It is apparent that the questions themselves are very similar. This suggests that it is perhaps inevitable that there will be no significant shift in opinion around those majority neutral responses. The views expressed in open discussion were often more negatively-presented, however, participants were not emphatic and the use of the Likert scale has toned their responses to the middle ground. Taking account of the open discussion, it is reasonable to conclude that participants are not comfortable assessing and meeting the expectations of other stakeholder groups in this context. Once again, semantics revolving around definition of expectations, and incompatible stakeholder comparisons were unhelpful.

Participants acknowledged the expectations placed on New Zealand universities, but questioned whether much of society understands the proper role and functions of university education. It was suggested that a disconnection exists between what employers want and what university education is providing, highlighting the need to find mutually acceptable expectations that are in accordance with the proper roles and functions of a university. Overall, participants felt that the expectations placed on universities by government, were misaligned. For example, participants acknowledged the importance of liaising with industry but stressed that it is not always fundamental to a university education, whilst a university education producing skilled workers and meeting labour markets' needs are high on TEAC's agenda. The comment of Participant 53 in this regard was:

We are here to produce students with knowledge and critical thinking skills, and the ability to write - people with a broader understanding of the world. If that meets industry needs, then great.

5.8   Monitoring and Evaluating

The concept of monitoring and evaluation is intended to improve the quality of processes, standards and outcomes. Numerous organisations are involved in monitoring the tertiary education sector, but it is the Ministry of Education that monitors tertiary performance as a whole. The idea is to provide stakeholders with an understanding of the sector's contribution towards meeting national goals, specifically the achievement of the TES. As such, this data informs the sector and other agencies about the broader context for policy development and sector planning processes. So, for example, the TEC prepares progress reports on the TES for the government from the data made available. In their turn, tertiary education organisations also monitor and report on their own performance against delivery commitments and the key performance indicators agreed in their Investment Plans. This information combined then informs discussions during the Investment Plan engagement process.

Thus, participants were questioned about monitoring and evaluating economic, social and cultural contributions, including the university's contribution to the country's economic growth, how university activity should reflect the Treaty of Waitangi and the extent to which New Zealand universities influence societal norms. Comments were forthcoming regarding the accuracy, the necessity, the benefit, the appropriateness and the seeming interference of monitoring and evaluating. Participant 40 said:

Monitoring takes place all the time through checks, processes, and the bureaucracy that are currently in place. But I am not sure that it's particularly useful.

This view is further supported by Participant 20, who said:

This monitoring business is so narrow in the spirit of long term - I'm not fond of it. That doesn't mean we are irresponsible, of course we need to be responsible, but that doesn't mean we have to have these bureaucrats running around ticking boxes. What does it accomplish?

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Yet another participant's comment (Participant 43) illustrates the contextual importance, that much of the time monitoring and evaluating would be subjective:

> It's important in some situations, sure, but a classic example is [how] we monitor teaching. Students evaluate teachers, but the professors I had who made me think, I still appreciate the line they took, they were hard bastards, and they wouldn't get top student evaluations … they weren't there to be popular.

Monitoring and evaluating appears to be viewed in the same context as engagement. As we have established that participants correlate engagement with interference, this interpretation can be extrapolated to include "evaluation" of the university. Supplementary questions clarified this point and responses indicated this was indeed the feeling. Participant 2's comment:

> Well, there's the debate about universities being the critic and conscience of society versus political interference…because they are the funder …they obviously should have some input. There was a belief that the TEC "doesn't have any right" and that "universities should be able to govern themselves".

Staff see monitoring as not only as the collection of information, but also as an activity that interferes with their core academic functions (educating, researching, and critiquing). This is the negative side of micromanagement:

> A large amount of this [monitoring and evaluating] does go on now … a huge amount of work goes into compliance in universities and a great deal of the practices within universities are already monitored and evaluated by government and its agents, so it's reporting all the time to TEC and other external bodies, (Participant 10).

Caulkin (2008) warns of the distorting effects of frequent measurement, that may encourage overproduction of highly measurable items and neglect of the less measurable ones. A topical example of this is the NCEA debacle, where the secondary school system has gone from a system of progressive educational milestones paced by a relatively few, yet major and salient points of examination (School Certificate - relevant

to entry into the workforce, University Entrance – leading to higher education) to the current regime where the sole goal is to accrue points with scant regard for an either complete or rounded education that provides a foundation for higher education or even a functional place in the workforce.

A further response was:

> TEC is a monster in terms of the evaluation and the compliance that they make universities do…it's a huge monster in that it is constantly evaluating. And, I get this because I am on the university council. They place huge demands on us often with very tight timeframes, (Participant 60).

Most participants expressed dismay with the government determining what universities do. There was widespread concern that there is a high level of government interference with the day-to-day activities of university practice, and academic staff spoke of spending a lot of their time complying with government policy initiatives. There was concern that funding has become a major control mechanism, through which governments can and do regulate universities and their services through the enforced compliance with their policies and ideologies. They perceive inadequacies that include variable teaching loads, cumbersome administrative systems and process inefficiencies.

The findings from this research also suggests that heavy compliance requirements impose additional workloads on not only academic staff but administrative staff as well, shifting their focus to compliance rather than on meeting teaching, learning and research goals. One participant's comment described how, whenever the government does something it seems to be without concern for any (unintended) consequences of their actions. Caulkin's (2008) warning to be careful of what is being measured, because measuring sets up incentives that drive behaviour, may be pertinent. Government policies have wrought considerable change to academic work conditions and consequently to the attitudes and perceptions of academic staff regarding their work.

Many participants were apprehensive about the impossibility of monitoring numerous aspects of university education in a direct manner. They cautioned that there are things that cannot be directly monitored, for example, the extent to which New Zealand

universities influence New Zealand culture. Culture itself lacks a common definition, therefore how do you measure it? A number of participants raised the concern that in many instances there are no direct links between what it is desired to monitor and what it is possible to monitor.

While there is a need to search for meaningful measures which would support university goals, TEAC is asking staff to obtain data to attempt to quantify largely intangible goals. Staff feel that TEAC needs to provide appropriate methods of measuring outcomes for quality purposes, as opposed to setting monitoring goals without providing any indication as to how to collect the data. This "bureaucratic nightmare" is fundamentally problematic when presented as a key task for academic staff. Participant 54 summed it up when saying: "There are no tangible measures with all this bureaucracy". Other participants agreed: "Some of these things are incredibly hard to evaluate" (Participant 50), and "I don't know how it could be [done]… I have no idea how you would go about monitoring that" (Participant 23).

Several participants did offer various suggestions for monitoring and evaluating, many of which are already in place. For example, Participant 40 offered pragmatic examples:

> There is a whole raft of ways that this is being monitored and evaluated. You've got things like the Marsden Fund, and the results of implications to the Marsden Fund, FORST, MORST, reporting processes involving TEC, the PBRF process and that includes things like publications' outputs.

While the many suggestions were quite creative, most were more indicative in nature and in practice fall outside of what bureaucratic processes can monitor:

> By contributions to debate, for example The Press, Refereed papers in prestigious international journals, Student retention rates, Academic audits, Annual reporting, It can be evaluated in terms of national and international recognition of research of the numbers and levels of graduates at the different levels, and in terms of international rankings of universities, Look at the quality of programmes, Keeping tabs on graduates, Public comments and reactions, but that's informal, Degree numbers, Possibly by polls and surveys of attitudes using some sort of qualitative assessment techniques, A longitudinal study of some sort to see what the trends are, it would be tricky and, If a researcher could come up with a list of criteria then they could do some analysis, I really

don't know and The Ministry of Culture is doing a big New Zealand
encyclopaedia online and that's pulling together the people from the system and
when you look at it it's very much a coming of age in New Zealand, Individual
university's presence in debates, Publications, Through industry bodies, OECD
reports, and You can use things like Hofstede's measures and look at culture,
but in the end it is too nebulous a concept to be able to really measure it, The
New Zealand Values Survey, It would have to be qualitative research, and The
World Values Survey.

Figure 5.3   Staff suggestions on ways of Monitoring and Evaluating

5.9   Access to and Participation in University Education

Increased access and greater participation in university education are at the top of the
political agenda (Donnelly, 2004). The government and tertiary education providers
have keenly felt the responsibility of ensuring broad access to tertiary education
opportunities (Knight, 2002) and have argued that minorities are under-represented in
university student bodies. This is a challenging issue as the demand is steadily growing,
and is considered crucial in providing social and economic benefits to society.
Achieving this is universal, and not unique to New Zealand. The reasons for under-
representation are complex and diverse, and evidence shows that financial incentives
alone do not create a simple solution. It could be argued that TEAC's policy intentions
in relation to access and participation have had little, if any, positive impact on
participation rates for specific groups. This would indicate that the policies need to be
re-addressed from a different perspective.

Many universities struggle to create an environment in which diversity is not just
tolerated but is a defining feature of institutional life (Brown, 2002). It is considered
crucial in raising aspirations, creating opportunities for individuals and providing social
and economic benefits for society (Teichler, 2003). Kaiser and Vossensteyn (2005)
point out that women, who were once considered an "under-represented" group have
increased their participation substantially. Women now make up between fifty-five and
sixty percent of university students across all levels of study in New Zealand, surpassing
their male counterparts (Ministry of Education, 2001). It is a widely-held belief that
fundamental changes in the attitudes of society are behind women achieving equalities
of this nature.

Success in compulsory (secondary) education is advantageous and widening participation is potentially about improving the quality of school-based experiences for all students, especially for those from under-represented groups. As previously discussed, Ramsden (1998) warns that students are no longer a gifted and motivated academic group, leaving academic staff having to treat their students more like secondary school students. This study highlighted this issue by revealing a discrepancy between the current university entrance requirements and the academic staff perception of what the requirements should be. A typical response was: "In terms of NCEA I don't know what the actual credits are these days… but whatever it is it's not good enough!" (Participant 17). There was a view that a lack of preparation for the university experience meant some students do not have the educational basics required for independent study.

Academic staff argue that for successful participation at the university level the groundwork needs to be put in place in the early years of life. Depriving students of a sound education at their early years will severely limit their life chances when they leave school. It is at this early stage that students acquire the relevant attitudes, aspirations and information that may lead them to take up university education if they so desire. In quantitative terms, the expansion of tertiary education has largely been achieved and access is a real possibility for a large part of society. However, qualitatively, the situation is disappointing with continuing disparities. McLaughlin supports this view:

> While overall participation in tertiary education has increased substantially since the mid-1980s, significant disparities exist for ethnic groups and for students from low-decile schools. Māori and Pacific Nations students are under-represented in tertiary education as are students from low and middle decile schools, especially at the higher levels of tertiary education. Most Māori and Pacific Nations students attend low or middle income schools. These opportunity gaps mean the goal of broadening access has not been solved in New Zealand (2003, p. 3).

5.9.1 University Entrance Requirements

Minimum entrance requirements to undergraduate programmes at New Zealand universities are governed by national regulations. The National Certificate of Educational Achievement (NCEA) was implemented between 2002 and 2004 as New Zealand's main national qualification for senior secondary school students, with the intention to establish standards for national qualifications. It forms part of the National Qualifications Framework (Ministry of Education, 2006a) and reflects the change in direction of education in New Zealand towards the acknowledgement of both academic and vocational achievement. For students with qualifications from New Zealand and other developed countries, this is usually a successfully completed Year 13 qualification or equivalent. Students in Years 11 to 13 are assessed on "unit standards", small blocks of work which are assessed and credited upon completion. These unit standards exist across a range of learning areas, where achieving a given number of credits from an approved subject list leads to the award of a National Certificate for those wishing to enter university.

In New Zealand there is also an "open-entry" policy for domestic students aged 20 years and over, regardless of secondary school achievement. This originated at the close of the First World War and was designed to enable ex-servicemen entrance to university without examination.

In discussion, (n=37: 61.7%) of participants could not be specific about the current pre-requisites for university entrance, and the remaining (n=23: 38.3%) had no idea at all what those requirements might be. Typical responses to this question were provided by Participants 27, 56, and 34 "It used to be called University Entrance (UE) and it was in the sixth form, now its NCEA something or other, sixth form certificate", "NCEA level 2 Maths and English, I think", and "It's school certificate, isn't it?".

However, the academic staff were persuaded by their experience from teaching entrants that the requirements were inadequate. Participant 53's comment was: "I'm not sure exactly [what the standards mean], but they are appallingly low". Another participant (Participant 1) noted:

They are not high enough! I don't know, a certain number of NCEA
credits… I think one of the problems is that the education system is not
preparing people well enough for university level study.

One of the most contentious concepts in higher education is that of quality. The
heightened awareness of quality is an issue amongst academic staff that has a direct
relationship with the concomitant suggestion of lowering of entry standards (Taylor et
al., 1998). Houston, Knox, and Rimmer (2007) refer to good degrees such as those
gaining first class honours. The recent trend in the treatment of success and failure is
presented by participants as a significant weakness in TEC's policy: a situation where
no one ever fails. Academic staff argue that while "most" people are going to succeed,
some are not.

Lincoln University staff thought that universities needed to ensure that entrance pre-
requisites acted as appropriate screening devices to ensure a place was available to
anyone, provided that they have the necessary educational attainments. However,
Participant 12's comment tempered this with: "Well, any citizen who reaches a certain
age has the right to go to university". Vice-Chancellor Roger Field of Lincoln
University was quoted in The Press as saying current university entrance standards are
unhelpful (Todd, 2010). The students were not seen to be at fault, but academics
complained that some students were, to a surprising degree, illiterate and innumerate.
Participant 3 went so far as to say that: "About a third of my students should never see
the inside of a university". Typical though quite complementary comments were offered
by Participant 41 and Participant 7:

Students should be competent in mathematics and able to write and express
themselves clearly – [these basic skills] are hugely important when
entering a university.

Students should demonstrate willingness and a capacity to think and learn.
They should have ability, a certain attitude towards learning and a capacity
for independent study.

Responses conveyed a view that this "unpreparedness" is largely a result of teaching
approaches that have arisen as a consequence of the adoption of NCEA. Furthermore,

TEC's requirement to increase retention rates under these circumstances is problematic for some staff. They suggested that it may be more appropriate for those students that repeatedly fail to explore other opportunities outside of the university. Otherwise, the options were limited to one of two choices - pass all students with the result that the degrees and qualifications will be worth less in both the domestic and international markets, or to continue to apply academic rigour and fail students with the ultimate consequence of disenfranchisement. Participant 60 offered the comment:

> TEC keeps telling us to improve our retention rates, it's all our fault. My answer to [them] is, OK we'll comply and pass the lot [of students] but our degrees, our qualifications will be worthless in the international market.

A desire for consistency in terms of pre-requisites amongst the universities in New Zealand was clearly expressed. It was observed that requirements for domestic students are set by the NZVCC in association with the Ministry of Education. For international students, requirements are set on an individual university basis. At least insofar as English language requirements are concerned, (Participant 32) summed it up as, "It just so happens we talk to each other".

5.9.2   Age as a determining factor for University Entrance

New Zealand is unusual in allowing much freer access to its universities for mature students, those over 20 years of age (Matthews, 2010). As previously noted, this scheme dates back to the post-war era of the 1920s, enabling returning servicemen to improve their lot via further education. The "open entry" policy divides opinions. Principally, those in favour of the policy like the way it provides people, who may have missed out at an earlier age, or had chosen to defer study, with an opportunity to further their education. Many considered these students to be among the best. Views were at times emotive where participants had themselves been beneficiaries of the open entry policy.

Many of those in favour of the policy, however, thought a pre requisite should be necessary, suggesting that a bridging course or a foundation course should be completed first. Those against the policy pointed out that students in their early twenties making use of direct entry may not be a good fit and should be counselled into considering if university is where they want to be. Some participants simply thought that twenty was too young, whilst others were concerned with the ability of these students to cope. Some

simply decried the lack of exclusivity. Participant 3 went so far as to say, "Regardless of merit, I don't agree that everyone can go to university - we can't all be doctors".

Much has been written in the literature about the public and private benefits to be gained from tertiary education. The public benefits include increased productivity, reductions in social and economic problems – such as crime and poor health, and greater stakeholder engagement through increased voting and public service (Becker, 1962; Fitzsimmons, 1997). The private benefits include, for example, increased earnings, reduced unemployment, improved health and quality of life. The greatest economic benefits of tertiary education are increased earnings and reduced unemployment (Maani, 1997; Peters & Roberts, 1999).

5.9.3 Targets for Māori and Pasifika Students

One of TEAC's main intentions was to "promote social cohesion", a goal that includes reducing inequality. It is a key policy initiative to increase the number of Māori and Pasifika students who attend tertiary education institutions. While overall participation in tertiary education has increased substantially since the mid-1980s (Altbach, 2004; Coady, 2000b; Ramsden, 1998), significant disparities in achievement still exist for Māori and Pasifika students (McLaughlin, 2003); certain groups remain under-represented, such as those from lower income households. Since most Māori and Pasifika students attend low or middle income schools, opportunity gaps remain and therefore the goal of broadening access continues to be unresolved in New Zealand (McLaughlin, 2003).

Affirmative action is used increasingly in efforts to overcome educational exclusion (Brown, 2002). Targets, financial incentives and additional support have been popular mechanisms used by governments in attempts to increase participation from under-represented groups of society, even an initiative as simple as school breakfasts for primary students can have a positive long-term impact on educational outcomes years later. However, the choice of which targets and indicators are adopted is contentious, complex, and thus fraught with potential for unintended and dysfunctional outcomes (Pugh, Coates, & Adnett, 2005).

Participants argue that historic policy intentions have had little positive influence on the outcome for Māori and Pasifika students, suggesting the issue needs to be re-addressed.

Significantly, (n=28: 46.7%) of participants did not think there should be targets for Māori and Pasifika students attending New Zealand universities, with a further (n=12: 20%) undecided: "Why differentiate?" said Participant 19. "Are you aware that there are some courses that […] if you are a Māori then [you] have a lower entry requirement than if you are a European?" Participant 15's direct response was: "I think, more importantly it's an issue within Māori families to encourage young people to study at university if they have the ability and the interest".

Participants also thought that early intervention to encourage young minority students to aspire to participate in university education is essential and would be far more constructive in improving university attendance. However, they argued that there needs to be a distinction between social elitism, and intellectual elitism which is both necessary and desirable. There is nothing inequitable about intellectually elite institutions. The access imperative is a system in which the brightest students are able to study at the most intellectually demanding institutions irrespective of their socioeconomic background (Barr, 2002). This is at odds with any notion of lowering entry standards in order to better balance representation.

The word "target" was opposed by many participants who preferred to use words such as "support" and "encouragement". Targets, some said, were dangerous because what tended to happen was that institutions lowered their standards to meet their targets, rendering targets meaningless. They would prefer to see a greater focus on scholarships, identifying those people with potential and doing everything to encourage them to attend university. Participants thought that this was a social issue. It was deemed more important that young Māori people be encouraged to study at university when they have the ability and the interest. Further, that it is not the university education sector's responsibility and the expectation that the problem can be solved for this sector of society are naïve and unrealistic. Māori and Pasifika need support and encouragement from their whānau, hapū and iwi, from as early as pre-school, if they are to conceive of themselves studying at a university level:

> If Māori and Pasifika aren't coming to university we need to ask why and
> what's going wrong with the education system…and we need to address
> that at an earlier stage (Participant 4).

> We should actively promote Māori and Pasifika to attend university, of
> course, but not by use of target numbers which may compromise quality
> (Participant 28).

A clear message came through from participants that ethnic targets can have negative consequences for academic standards. Regardless of background, individuals need preparation and readiness, and this must start years before in earlier education. Targets bypass this, sometimes granting entry to those who are ill-prepared for university study. Academic staff considered that if somebody enters university they should have a good chance of getting through and not be disadvantaged by having gained entry when they were not necessarily academically prepared.

5.9.4 Financial incentives for under-represented student groups

Financial incentives are one form of government initiative used to influence under-represented student groups (Kaiser & Vossensteyn, 2005). Thirty-eight participants (n=38: 63.3%) supported the idea of financial incentives to attract students from groups who are currently under-represented. They were aware of the fact that those who do not have the financial resources to come to university could be some of the brightest students. It was suggested that targeted funding to facilitate equitable access be made available to universities on a performance basis. Even so, (n=11: 18.3%) of this study's participants were directly opposed to financial incentives.

Scholarships were the participants' preferred form of financial incentive, but it was suggested that focusing on areas where society needs more graduates would be beneficial as opposed to targeting specific groups. The majority of those in favour of financial incentives supported the idea of connecting any financial assistance to performance, in order to maintain a certain academic standard. The actual need to provide financial incentives was a fundamental objection offered by those not in favour of them. It was suggested that a sentiment of entitlement could come about; where the expectation is that the student is guaranteed to pass. The fear among some academics was that under these circumstances, there was the potential to have assisted students legitimately being failed for academic reasons, but perceiving that they were being discriminated against.

Several participants believed that there are a lot of financial incentives currently available that are not utilised to their full extent. For example, (Participant 47) commented that: "I've heard that generous financial support is offered [to under-represented student groups] and they don't take advantage of it". This was supported by another participant (Participant 16) who said: "Well, yes, but […] we already have financial incentives [for under-represented student groups] and they aren't necessarily used". Participant 52 offered the comment:

> Yeah, absolutely I do, both for class and ethnic groups. By class I mean people who have come from backgrounds that are not well resourced financially, you know, if they're bright then they should be given a chance.

In this context, having more graduates from under-represented groups is seen as socially beneficial to society, as well as to the individual groups. This is an area which could be opened to further "involvement" by a variety of stakeholder groups (from central to peripheral) in terms of sponsorship of less-advantaged students with ability. Such sponsorship could even alter stakeholder priorities. An example of which may be a small iwi who, through sponsorship of students, becomes more "engaged" in the university and its educational outcomes.

5.9.5 Additional support for people with an illness or a disability

Widening access and increasing participation includes confronting issues such as illness and disability. Whilst the Ministry of Education does not explicitly define "disability", the term has been used in their statistical literature. It refers to students (based on a self-declaration) using the Statistics New Zealand definition of "any self-perceived limitation in activity resulting from a long-term condition or health problem; lasting or expected to last six months or more". Lincoln University defines "disability" as "an on-going issue that creates a barrier to the student's learning" (email from Scholarships Office). Special supplementary grants for tertiary students with disabilities are intended to meet the needs of these students who have high cost service needs. The additional funding is provided to all public TEIs to improve the access of students with disabilities to educational opportunities, increase the level of enrolments of students with disabilities, and increase the accountability of tertiary institutions for their support of these students (Ministry of Education, 2004a).

All but one participant thought that if additional support was important in helping a student with an illness or a disability make progress, then in principle they should receive it. It was noted that often the additional support that people need is "absolutely minimal" and simple things like designing buildings for wheelchair access is really important. However, most participants did qualify their answers, expressing some concern over where the boundaries need to be drawn. The definition of illness and disability was seen to provide a very broad cover. Some approached the issue thus: if it was a physical disability under discussion then they had no problem to the extent that changes could easily be made to the physical environment, but, if it was a learning disability, then it was more difficult for them to reconcile. Participant 3 was outspoken on this matter:

> If you've broken your arm and you can't write an exam, by all means we should provide you with the resources if we can. If you've … been in hospital … so you've missed a semester and you want us to give you a credit [for the course], I've got a problem with that. In principle yes, and within reason.

Categorically, students in need should have the same opportunities to participate in education, but there was resistance to lowering the academic standards to achieve it. This was nicely framed in one answer: "I suppose the limit should be to allow them to perform to the level of their capability, not to substitute for lack of ability" (Participant 22). While Participant 29 reiterated the need for careful consideration on a case by case basis: "If it's a physical disability, then I have no problem with that. But, if it is a learning disability or a mental handicap, then it is more difficult".

Important to academic stakeholders is the point at which the limit of this capability is met and the way in which it is measured. An example given was the situation where some students have trouble reading and writing and they have readers and writers to assist. This resource was considered worthy, but concern arose when students in their third year still had poor literacy.

Academic staff took their responsibility to provide a supportive learning environment for their students very seriously. When asked if they could think of any areas where New Zealand universities could take more responsibility for helping students, the main talking

point was the need to clarify student expectations before they embark on a university education. Concern was also expressed at the lack of distinction between who is responsible for what. Participants were clear that a university education is a learning experience more than a teaching experience, and that it is up to the individual whether they succeed or not. There were also those participants who expressed an even firmer stance on the need for students to take more responsibility for themselves. Participant 30 said that: "University staff do too much hand holding". Participant 20 said: "there seems to be an expectation that if you come to university you will pass, irrespective of input. That's just not how it works".

Teaching and Learning Services were held up as "heroes of the university" (Participant 29) with praise also given to those working in Foundation studies. It was suggested that this is, in a sense, an early intervention area where the university could make a difference and that additional resources may be of benefit. However, the readiness of students was again a major issue for many participants. A number of staff at Lincoln University consider there is a long-standing problem of admitting students who are not ready for university study. They attribute this to a fear of declining entry to candidates when it would be appropriate to do so. The majority of participants were in agreement that a strategy for dealing with student readiness needed a range of interventions much earlier in life. Many participants remarked that the purpose of a university education is not to teach students to read and write; it is, amongst other things, to encourage independent lifelong learning at an advanced level. The most important dimension about students' learning is not what they learn, but a process of self-education: developing an enquiring mind that is open to opposing points of view. Whether a matter of readiness, student ability, or perhaps both, some view literacy and numeracy problems as major issues. There were no clear answers to these problems, but participants were not sure it was the role or responsibility of New Zealand universities to rectify them.

General concern was expressed by some participants for the level of support available to international students. They thought that more responsibility should be taken for helping them fit into New Zealand, noting that a number struggled because of cultural differences. The general view was that if universities continue to enrol high numbers of international students, those students need to be looked after. It was acknowledged that

seeking support for academic and personal matters can be more difficult for international students than for domestic students. Western notions of pastoral support and advisory services may be foreign in concept to many international students. The university is concerned with the pastoral care and support services they provide and work hard at meeting their students' needs.

Participants were also concerned about international students' poor language skills. One participant made the comment that in some Australian universities, anyone that comes from a non-English speaking country has to attend compulsory academic English language classes, irrespective of their level of English, and the participant thought that this was a great idea which should be introduced into New Zealand universities.

There has been a major increase in the number of international students enrolled in tertiary institutions in New Zealand during the last decade (Meade, 2003). This group of students is increasingly diverse in many ways. Biggs (1999) argued that international student's experience socio-cultural adjustment issues, language issues, and teaching and learning issues related to different expectations concerning learning. Beaver and Tuck (1998) wrote that international students have significantly greater difficulties adjusting to academic requirements, mainly in the areas of study methods, independent learning, participation, time management and language skills. Most of these differences stem from different learning preferences and styles. In Chinese culture, for example, learning by memorisation and understanding are not perceived as opposites but rather as complimentary techniques which lead to deeper levels of learning and understanding (Meade, 2003). This is a matter that predominantly falls under the domain of Teaching and Learning Services mentioned above, where international students' and academic staff approaches need to be brought together by a third party.

As noted above, there are currently about two million students worldwide studying outside of their home country. It has been calculated by Altbach that the number may increase to eight million by 2025 (Altbach, 2004). Ward and Masgoret (2004) found that more was needed to be done for these international students to feel included in their educational environment.

The over-riding concern of all participants when discussing access and participation was the quality of the applicant and their capacity to meet the demands placed upon them,

regardless of age, disability, or nationality. The majority opinion was that inadequate entry requirements, alongside pressure to retain underperforming students, leads to a lower calibre of graduate. Participants believed that the resultant declining standards demanded stakeholder agreement about minimum entry requirements to be applicable to the eight universities in New Zealand. Thus, pre-requisites for university entrance need to be determined. Who should be responsible for this stimulated a range of views from participants. Forty-four participants (73.3%) thought academic staff should be integral to the process. Participant 12 commented: "The academics are the ones who are best able to judge whether someone is prepared for university study". Overall, the majority of participants wanted various stakeholder groups to be engaged in the process. Whilst there was no consensus in terms of who should be involved, the favoured stakeholder groups were the wider community, the New Zealand Vice Chancellor's Committee (NZVCC), TEC, the Ministry of Education and the secondary education sector.

As is illustrated in the assembled quotes below, academic staff readily identified numerous stakeholder groups that they perceive should be important participants in the policy-making process, specifically in terms of defining mutually acceptable university entrance requirements:

> Ministry of Education in conjunction with the universities, …universities in consultation with representatives of the secondary education sector and the government, It should be determined by our education officials …made up of people from the Ministry of Education in consultation with universities, The university and the wider community in cooperation with the government, It should be cooperative between the universities, high schools and maybe even industry, I think it needs to be a combination of the university sector and the government, I guess it requires input from the government who are ultimately funding universities, and university staff who are in the best position to know who should be at university – so, involvement from both of them, I think, Schools in consultation with the university: Notice I didn't say government. The government administers it, but they

shouldn't determine it; there was an almost unanimous agreement that there should be dialogue and consultation between the stakeholder groups involved. An overall feeling is illustrated by this response: I think there needs to be a national standardised system, so it's interfacing between the secondary school system, the university system and some sort of government body.

Figure 5.4   Stakeholders Relevant to Decision-making over University Entrance Requirements

5.10 Terminology and Semantics of Language Issues

The language used in the interview schedule was deliberately taken from TEAC's policy documentation and this was made clear to participants in writing before the interview phase, and again at the start of each interview. Participants still expressed their dislike of the words, terms, and phrases used throughout the document. Furthermore, participants complained of the notable absence of definitions in the government's publications for terms commonly referred to, creating a lack of trust from their perspective. There was a feeling of "deliberate ambiguity". One participant's comment was that TEAC's policies, with their lack of definitions, provided opportunities to be evasive, thus producing meaningless documentation in order to fulfil their political agenda. The following assembled quotes further illustrate this:

> Whatever happened to clear, direct communication –
> straight talk?, Bureaucratic buzzwords muddling the
> message, What are they [TEAC] talking about?,
> Meaningless and obfuscatory, Bureaucratic jargon.

Figure 5.5   Academic Staff Quotes on TEAC's Language

How an individual or an organisation differentiates the rhetoric from the reality is often a matter of perception based on personal political convictions, as well as on social and economic stimuli. The core vocabulary of TEAC's policy documentation differs greatly from that used by academic staff at Lincoln University, forcing them to each conduct their own CDA in order to try to make sense of TEAC's policies. It was not surprising then, that one of the major findings of this research has been that the academic staff think the policies are meaningless because of their lack of clarity. Further, it is argued

that policy is a politically, socially and historically contextualised discourse designed to institutionalise systems of power (Arts & Tatenhove, 2004; Fairclough, 1989; Foucoult, 1982; Liaisodou, 2011) . More specifically, Coady (2000b) considers that "bureaucratic language" is the "jargon of domination". Bridgeman (2007) argues that policymakers remain infatuated with discourse which is problematic for academic staff because its articulation by government poses significant challenges to academic freedom and autonomy. Participants mirrored this theme with comments that used terms such as: "the language of politics", and "language [of] power".

The doubt about the meanings of words and catchphrases were too numerous to capture and discuss individually. A large number of words, notions and phrases were identified by participants as open to broad and potentially inconsistent interpretations. What follows is only a brief subset of a much longer list:

> stakeholder, involved in, university activity, reflect, responsive, requirements, determine, activities, university practice, actively engaged, consult, supply surplus, supply shortage, New Zealand culture, societal norms, not relevant to society, an educated workforce, industry and labour markets' skill requirements, local community, national community and international labour markets, access, participation, targets, illness and disability.

Figure 5.6   TEAC's Terminology that Academic Staff Identified as Undefined

This is just a sample of an embarrassingly plentiful set of words that are over-used and under-explained. A considerable amount of negative feedback concerning the use of the word "stakeholder" was received. Participant 52 said: "…basically, it is a fancy new word for somebody who has an interest in an organisation", another participant (Participant 31) said: "…it is an overused weasel word, [if] it is people who are involved, why don't we say that?!" Several participants associated the word with politics: "I think it is a neo-liberal term that we didn't even use ten years ago, but that everybody uses now, and you have to use, even if you don't like it". These complaints seem to arise from overuse and over-generalisation concerning what a "stakeholder" is in the TEAC context. The absence of a clear contextual definition alongside a lack of prioritisation leaves the term "woolly" (the word used by Participant 26). This criticism

concerning TEAC's terminology was expressed by many participants throughout the interviews.

Another example is the use of the word "consult", which attracted a lot of questioning. What "consultation" encompasses is subjective and unclear if one tries to take an objective approach whereby others' views of the word's meaning are considered. Academics are renowned for contemplating the third party view, not just their own: "I have circled the word consult, and have a question mark after it. I am not quite sure what consult means" (Participant 49) and "… it depends on what you are talking about" (Participant 21). In this environment, without further guidance (a glossary definition by TEAC), an academic audience will contemplate all the possible meanings before even considering the surrounding context. This process is illustrated in the following response:

> The word consult is very flexible and you may be aware that in the
> literature there are different interpretations of what it means because it can
> go from complete tokenism to power sharing in the other end of the scale,
> so it depends… (Participant 15).

At the other extreme, consultation is taken as a given: "Should we consult? Well again it is a statutory requirement, it's in *The Plan*. I get annoyed because it is tokenism. It is in everyone's interests to consult". This participant (Participant 36) saw consultation as something so simple that it did not even warrant being a question. A third perspective is that perhaps the word "consultation" trivialised a more important underlying process: "Consultation is a weak form of participation, there needs to be on-going commitment to the interaction" (Participant 28) and, "Consultation is a hard word, in here; certainly [there should be] engagement". These participants thought commitment (to interaction) and engagement were the more salient concepts, and that "It is a matter of discourse" (Participant 10).

Overall, participants were dissatisfied with the consistently unclear language and concepts, and the recurrent application of general terms that afford vague interpretations. The general mood was that: "This [TEAC's chosen language] is typical bureaucrat language – it's not real language" (Participant 31). The bluntest response was: "All this political correctness, it's bullshit. It doesn't actually mean anything" (Participant 56).

This one participant echoed what others were too polite to say so openly. Participants were fed up with the use of meaningless jargon that did nothing to contribute towards the sector in resolving the real issues of quality, standards, and access.

The findings of this study provide evidence that the *meanings* of much of the language that dominates TEAC's documentation are *multiple* and *contested*, from an academic staff perspective. The famous British author and academic Lewis Carroll discusses the problem of meanings and their variability in his treatise *Through the Looking-Glass* (Carroll, 1871), where the character Humpty Dumpty discusses semantics and pragmatics with Alice. This discourse has been widely quoted in some two hundred and fifty judicial decisions worldwide.

"I don't know what you mean by 'glory' " Alice said. Humpty Dumpty smiled contemptuously. "Of course you don't—till I tell you. I meant 'there's a nice knock-down argument for you!' ". "But 'glory' doesn't mean 'a nice knock-down argument' " Alice objected. "When *I* use a word," Humpty Dumpty said, in a rather a scornful tone, "it means just what I choose it to mean—neither more nor less". "The question is," said Alice, "whether you *can* make words mean so many different things". "The question is," said Humpty Dumpty, "which is to be master——that's all". Alice was too much puzzled to say anything, so after a minute Humpty Dumpty began again. "They've a temper, some of them— particularly verbs, they're the proudest—adjectives you can do anything with, but not verbs—however, *I* can manage the whole lot! Impenetrability! That's what *I* say!"

(Carroll, 1871)

http://en.wikipedia.org/wiki/Humpty_Dumpty#In_Through_the_Looking-Glass
(This image is in the public domain because its copyright has expired)

5.11 Chapter Conclusion

Academic staff have clear views about their responsibilities to the university's stakeholders. They were in favour of consultation, but believed it vital for stakeholder groups to agree on "mutually acceptable levels" of stakeholder importance. Participants identified who they believed the university should be most responsive to. This indicates that to academic staff the views of some groups are more important than others in reconciling the expectations of the government and the profession.

There was unease that the university's autonomy may be constrained by government and that consultation with government is being treated as a one-sided conversation where staff input is ignored and government views are presented under a false guise of negotiation. There is much talk of "engagement" and "consultation", yet academic staff hold the view that the decisions were predefined prior to consultation. They expressed a desire for what they described as "genuine dialogue" or "mutual engagement" rather than "one-sided conversation".

Staff scepticism, cynicism, and disengagement was exacerbated by widespread concern that there could be a high level of government interference with day-to-day activities of university practice through monitoring and evaluation. This level of compliance uses limited resources, while also preventing staff from having adequate time to perform their main duties. This lost time represents many hours every week that are taken away from the most intangible responsibilities first. Staff cannot easily reduce teaching hours, time spent marking, or obligatory student contact hours; what does get cut back are abstract things such as research and (even more so) the role of critic and conscience of society. Participants frequently reiterated that increasing bureaucracy had disabled this "critic and conscience" function of New Zealand universities, forcing them to become subservient to political demand.

There is little doubt within this sample, and perhaps the larger academic community about the primary roles of the university. However, there are divergent opinions concerning the level of importance placed by government on other functions of a university, such as contributing to the country's economic growth. This reinforces the author's anxiety that political opinion, as much as intellectual position, increases the philosophical divide between TEAC and participants. For example, there is scepticism that TEAC recognised the economic benefits of theoretical research. Both TEAC and the academic staff often desire the same outcomes, such as institutional differentiation, however, boundaries are often blurred by unnecessarily complex bureaucracy. The case of universities and polytechnics is one such example, where both institution types offer degree courses with largely similar content due to market demands, despite the best efforts by each to offer something unique.

Irrespective of consideration for targets, financial incentives and additional support, first and foremost, participants wanted higher quality applicants. This quality needs to cover entrance pre-requisites, quality of the applicants who are admitted, and their capacity to meet the demands placed upon them throughout their course of study. Staff expectations were that TEAC should be addressing these quality issues first and foremost and that monitoring and evaluation (as one example) are peripheral issues that avoid having to address the real issue of the declining quality of applicants and weakening admission standards.

Chapter 6

Conclusion and Implications

Having presented the detailed findings of this research in the previous chapter, this final chapter discusses these in relation to the relevant literature (refer Chapters Two and Three), and the research questions guiding this enquiry (refer Chapter Four). It reflects on the extent to which the study's objectives have been achieved and provides a summary of the important aspects of this research, reviewing the key findings and reporting several conclusions based on the discussion presented in Chapter Five. Specifically, it focuses on how the findings substantiate the unique contributions of this research and its implications. The theoretical and managerial contributions, limitations, and avenues for future research are also discussed.

There is widespread consensus that the tertiary education sector is vital to New Zealand's future economic and social performance. There is no such consensus on how to ensure that the sector performs in the best way. It is recognised that making policy suggestions is easy. By contrast, implementing policy is one of the most complex managerial tasks imaginable. This thesis attempts to provide constructive input from an important stakeholder group, with a view to contributing in a positive way to the on-going debate.

6.1 Revisiting Research Questions

The objective of this research was to investigate the nature of government policy generation and its relationship to stakeholders, implementation and evaluation, and to provide feedback to policy makers, management practitioners and academic staff about how these are perceived.

These questions were:

1. Who are the main stakeholders in the university education sector?
2. What were the intentions of TEAC's policies?
3. Have the intentions been achieved as planned?
4. How has the implementation of TEAC's policies affected the university's academic staff?
5. How do the current evaluation mechanisms determine the impact of the policies?

6.1.1   Who are the main stakeholders in the university education sector?

Staff identified four main stakeholders in the university education sector in New Zealand, these being: students, staff, government, and wider community. It is not that other stakeholder groups were considered unimportant; it was more that they were viewed as parts of the four stakeholder groups already identified by staff. For example, Māori were considered in terms of their role as students, members of staff, or part of the wider community.

It is also noteworthy (and commendable) that staff placed students as the most important stakeholder in the university education sector. This demonstrates the pastoral role of staff and the importance they place on their duty of care to students.

6.1.2   What were the intentions of TEAC's policies?

TEAC's policies intentions can be reduced to four main actions:

1. Link tertiary education with New Zealand's economic, social and cultural goals
2. Exercise on-going assessment and control in tertiary education
3. Facilitate national strategic goals, which included innovation, economic development, social development, environmental sustainability, and fulfilling the obligations of the Treaty of Waitangi
4. Include stakeholders in the policy-making process

The findings from this research indicate that academic staff perceive the linking of tertiary education with New Zealand's economic, social and cultural goals to be of little real importance. These goals are so broad and spread so thinly as to preclude any major impact.

Further, staff interpret the government's intervention as interference. In many instances, the national strategic goals are viewed as irrelevant to university education, a distraction to it, or in conflict with it. As core stakeholders, the university's academic staff feel fundamentally disengaged in TEAC's stakeholder-based policy making process.

6.1.3   Have the intentions been achieved as planned?

The next question was to ascertain whether the policy intentions had been achieved as planned. The conclusions reached in Chapter Five were that no real means existed to determine if linking of tertiary education with economic, social and cultural goals had

been achieved. Again, this was another broad-ranging intention that was so undefined as to be, in many instances, unmeasurable, or, in places, irrelevant.

6.1.4 How has the implementation of TEAC's policies affected the university's academic staff?

Because this research only utilised interviews with academic staff, conclusions can only be drawn about this stakeholder group. However, within this group, there is strong evidence that participants throughout the group perceive there to be a lack of consultation between the government and academic staff.

Implementation of TEAC's policies has affected staff in three main areas: responding to increasing bureaucratic demands that fall outside of their main roles and functions, tailoring courses to students unprepared for university education (whilst still trying to maintain standards), and meeting excessive and often unnecessary monitoring and evaluation requirements. In many instances, the policies are seen as a distraction from their more important day-to-day teaching activities.

6.1.5 How do the current evaluation mechanisms determine the impact of the policies?

Due to the broadness and ambiguous presentation of the policies, and the elusive nature of what is to be measured or evaluated (for example, Treaty of Waitangi obligations), the current evaluation mechanisms contribute little towards determining the impact of the policies. In many instances what is being measured is subjective, is often immaterial in the university education environment, and at times rendered impossible to gauge.

6.2 Key Findings and Research Contributions

The findings of this research may provide useful guidance for academic staff, management practitioners and policy makers. Initially findings and contributions were addressed separately, however because that they were closely intertwined, it seemed appropriate to integrate them. This has been done in the form of the below table which pairs each key finding with the matching contribution.

In brief, it is necessary to distinguish between a university's primary responsibilities of research, teaching and critic and conscience of society, and government agenda. This thesis argues that whilst the participants are in agreement with current legislation (refer

Education Act) as to the primary roles and functions of a university, TEAC's policies lack clarity and present contradictory roles and demands for the university. There is a need to clarify their definition of academic work in line with their legislation. For example, teaching at a university level means enabling advanced learning, as opposed to vocational training. Clear roles and responsibilities need to be agreed upon, and introduced, and consistently maintained in policy.

Despite the single location for all participants, several universal inferences can be drawn from this research – there are many concerns that are likely to be shared by academics across the various universities of New Zealand, because of their common jobs and obligations. The key findings and contributions of this research are broadly defined under the following categories:

Table 6.1   Key Findings and Research Contributions

	Key Findings	**Research Contributions**
6.2.1	Academic staff were not included in the consultation process in a way that used their expertise	The importance of including key stakeholder groups (in this study, academic staff) in all stages of consultation processes
6.2.2	Deficiencies in the language of TEAC's policies left academic staff (as a key stakeholder group) uninformed of definitions and meanings of key concepts and terms	The identification of the need to use a common language where all stakeholders share the same definitions and understandings of key concepts and terms; identifying the gap between rhetoric and reality from an academic staff perspective
6.2.3	Slippage of Standards	Mutually agreed objectives (in this research one example being academic standards) which enable all stakeholders to fulfil their obligations within the education sector
6.2.4	Whilst statutory requirements exist to maintain core roles of the university, the government's agenda delivered through TEAC is at times in conflict with academic staff perceptions of these requirements	The government needs to address the conflict of priorities that are being placed across the education sector
6.2.5	Government's intervention is perceived as a threat by academic staff	Identifying the need for the government to respect the knowledge and expertise of academic staff
6.2.6	TEAC failed to prioritise stakeholder groups leaving academic staff (as a key stakeholder group) feeling disenfranchised	Without some form of prioritisation of stakeholder groups, the rhetoric of a stakeholder-based policy development process does not deliver meaningful outcomes
6.2.7	From TEAC's original terms of reference, a theoretical framework was constructed as part of this thesis to guide the stakeholder-based policy development process. The intention of this framework was to enable a TEAC-like process to succeed in the future	The theoretical framework derived from the intentions of TEAC's rhetoric that articulates a stakeholder-based policy development process within the New Zealand education sector
6.2.8	The data collected produced a relevant body of evidence capturing academic staff perspectives	This body of evidence adds to the data available on academic staff perspectives within the New Zealand education sector

The following eight sections discuss each of these points in more detail.

6.2.1 Staff Included in Consultation Process

TEAC's Report One advised that the document provided the basis for TEAC's future work, whilst at the same time identified its conclusions as "necessarily preliminary" and that it "had not yet had the opportunity to consult with those in the tertiary education sector or the wider community" (Tertiary Education Advisory Commission (TEAC), 2000). It is noteworthy that these findings were arrived at *without* staff input and had changed little by the time Report Four was published *after* consultation had been completed.

TEAC's policies may have been aimed at extending the traditional policy process to include stakeholders, but staff feeling was that there has been little meaningful interaction between themselves and the government. Involving relevant stakeholders (staff) from the policy generation stage of the policy making process would create a sense of inclusiveness and ownership. If staff were involved from the early stages of the process, they would be far less likely to feel disengaged at a later date. There are many benefits from fostering a sense of ownership and involvement. Whilst the shape of the final outcome may not have been any different with staff input, the process of collecting that input would have created other positive side effects: staff would have had a greater sense of engagement and empowerment, and therefore a greater affinity with TEAC's intentions. A stakeholder-based policy development process that had promised engagement can result in a perceived loss of empowerment if, in fact, the stakeholders are not involved.

The findings of this study indicate that academic staff expected to be consulted throughout the decision-making process. There needs to be a degree of collaboration between government and their key stakeholders for policies to be effective in achieving their goals. Evidence-based policy or stakeholder-based evaluation that adequately considers key stakeholder perspectives is more likely to facilitate change and a closer connection between policy and stakeholders.

The OECD found widespread acceptance of recent education reforms, a conclusion with which this study disagrees. Despite requesting submissions from interested stakeholders, suggestions were submitted, yet did not appear to lead to modification of the policies. Staff might well accept that changes will be made, but it is clear from

discussions with them that they do not agree with many of these changes. While there exists much management literature focused on stakeholder involvement in decision-making, this research demonstrates an example of what is often a gap between the rhetoric and the reality, acceptance and agreement. The discrepancy between TEAC's policy rhetoric to include stakeholders in the consultation process and the experience of Lincoln University's academic staff feeling largely excluded from the process, supports Otero and Whitworth (2006) in their questioning of consistency between policy rhetoric and policy practice.

TEAC's intentions at the outset may well have been noble, but in having a process that failed to deliver on even the most basic of mechanisms (listening to stakeholders), all they really accomplished was to disenfranchise and disappoint. It may well be many years until staff are prepared to take seriously any further consultation process that a government attempts. Spending considerable time developing rhetoric without following through with action did a great disservice to the sector. What has resulted is TEAC effectively just following the traditional policy development framework as illustrated in Chapter Three, section 3.8.2. Had this been the original intention, it could have been accomplished in a shorter time frame, with fewer resources and most importantly, without raising stakeholder expectations.

6.2.2   Language of the Policies

Through the use of CDA these findings provide evidence of the diverse (and inconsistent) ways that much of the language used by government is interpreted by academic staff. These two stakeholder groups failed to use a common language right from the start of TEAC's stakeholder-based consultation process. To achieve more successful outcomes, it is necessary to assist policy makers in their articulation, implementation and execution of their policies, in a language that all stakeholders have in common.

Clarity and conciseness of language, through the use of terms and concepts that all stakeholder groups understand, are necessary to ensure that everyone does indeed understand these terms and concepts prior to consultation being initiated. The interview process conducted as part of this research revealed a great deal of misunderstanding. This was largely due to the imprecise language used in the policies and the decision to

override concerns expressed in the submission rounds as not important enough to warrant modification of the policy documentation. Staff's frequent questioning of TEAC's vague and imprecise language, be it through ambiguous terms or unclear meanings, highlights the failure of TEAC to communicate with this well-educated stakeholder group at the most basic level. At times, staff even found the policies to be self-contradictory. To expect stakeholders to uncover obscured meanings in their policy documentation, TEAC are abusing their power in the relationship, thus positioning those stakeholders at a disadvantage from the outset.

The quantitative data (collected before deeper discussion with the participant in the interview) illustrate academic staff having a general agreement with TEAC's overall policy intentions. However, this research has shown that whilst the language of TEAC's policies is difficult to disagree with at first glance, the lack of clear, specific goals in the policies in many instances preclude any deeper understanding, leading to academic staff frequently considering the policies meaningless.

Qualitatively, discussion revealed great concern over the policies and their openness to numerous interpretations or misinterpretation. From a staff perspective, vagueness is a marked characteristic of the language used in TEAC's policy documents. There are no definitions provided for the terms and phrases repeatedly referred to in TEAC's policy documents. Without specific definitions, policies become meaningless, as each reader is left to define these in terms that are meaningful to her or himself. Similarly, expectations also need to be defined. The repetitive theme of misalignment of expectations, and who is responsible for what, illustrates a failing on TEAC's behalf to clearly articulate the portion of their message relating to who is responsible and accountable for enacting TEAC's goals. At the moment, for example, there exists a demonstrable gap (from a staff perspective) between the abilities of students exiting secondary education and the level of ability required to commence and complete a university education (Taylor et al., 1998). TEAC fails to say who should take ownership of this problem. Further, imprecise intentions cannot readily be quantified and translated into economic, social and cultural achievements. TEAC's policies represent an attempt to make concrete some quite vague notions and put them into a structure that can later be formalised as policy. The result appears to be anything but satisfying.

6.2.3 Slippage of Standards

The majority of participants expressed concern about the underlying lack of academic motivation and preparedness they recognised in their students, particularly at the undergraduate level. Staff thought that the secondary school system in general needed to lift the basic level of education – reading, writing and arithmetic, whilst career services at high schools needs to increase and improve advice given to potential university entrants regarding their suitability for university study. The view was that the promotion of increased access has come, in the overall judgement of participants, at the cost of quality.

Ensuring the system meets international standards of excellence in both research and learning is essential. Government bodies such as TEAC and TEC need to consider the value of raising both admission standards and academic standards for learning – either through entry requirements or providing better education at the primary and secondary levels. There was a clear frustration from staff over having to educate students on the fundamentals that students should already have mastered before arriving at university.

In order to achieve this, it appears to simply be a matter of spending more money on the education sector as a whole (from primary through to tertiary). However, limited financial resources are always an issue in the educational debate that seems to never be resolved. The broad issues, some of which have been discussed in this thesis, and often covered in the media include: the basic essentials of a home environment where children are warm, safe, and nurtured; parental influence as the first educators; making sure every child can read and write to a given standard by the time they leave primary school, and providing remedial classes for those who need it. Pre-school, primary and secondary schools are major providers of education to students from disadvantaged backgrounds (Ministerial Consultative Group, 1994). Depriving students of a quality education at these early stages will severely limit their life chances when they leave school. Another aspect of this issue is ensuring practical real-world priorities. Whilst it is important to provide a rounded and culturally-enlightened education, a solid foundation of reading, writing and arithmetic is essential to engage in further learning.

6.2.4   Maintaining Core Roles of the University

The roles and functions of university education in an increasingly homogenous tertiary sector were not clear when Patterson (1996) commented on change in 1996. This lack of clarity would appear to remain today. Across the sector, measures have sought to treat all tertiary institutions as the same, to bring universities under greater control, which has downgraded what is regarded as the traditional character and special role of the university. Academic staff interviewed considered that the university should be permitted to continue to serve society and its stakeholders via its traditional three main roles: teaching, research, and by being a critic and conscience of society. These staff responses support Coady (2000b) in the argument that these traditional roles are now deemed by politicians and market forces as being secondary to their role in providing skilled workers. They hold these three roles as fundamentally necessary, and immutable.

Government policy attempting to closely manage universities, requiring them to conform to certain practices and to pursue government priorities (Karmel, 2001) has resulted in considerable government intervention. This, in turn, has created a perceived conflict in the minds of staff. Academic freedom is an intrinsic right enjoyed by university communities that must be recognised as a mechanism that enables universities to meet their responsibilities more effectively. Similarly, autonomy is an instrument through which the university can more effectively pursue its public purpose unimpeded. While part of the university's role is that of the educator, requiring a degree of responsiveness to society, being a critic and conscience of society requires distance from, and scepticism of, the status quo (Shapiro, 2005).

Tertiary education policy has been shaped by international trends in other OECD countries. New Zealand is similar to other OECD countries in the desire to expand and change the structure of the higher education system, to make it more responsive to the needs and expectations of society, and help create conditions supporting further economic development. This global phenomenon is very much a recent trend that policy-makers need to be cautious of adopting, in case it does turn out to be just another "fashionable trend" that may be usurped in a few years' time. This presents a similar

problem expressed by Pickering (1967) in the 1960s that education was an instrument fashioned by society. It is not always the case that what is fashionable is right.

Policy-makers also need to be aware that a complex and dynamic tertiary sector is not easily measured or manipulated and is resistant to rapid change. The current emphasis on monitoring and evaluating is another part of the above global phenomenon. Governments need to accept that not everything within the sector can be monitored and evaluated, and that trying to do so may in fact be an unwise use of the limited resources available. Academic staff are a qualified and able group of people, who are dedicated and capable (given the long history of the university in society) of successfully shepherding a student body towards academic achievement. Often authors of children's books provide a secondary message that is intended for an adult audience, sometimes it is dark humour, other times philosophical comment. Dr. Seuss (1973) warns in a humorous way that it is very easy to get caught up in a cycle of bureaucracy - attempting to make the bee (the university and its staff) work harder by increasing the number of bee-watchers (TEAC's monitoring and evaluating), but this may not lead to more honey (improved educational outcomes).
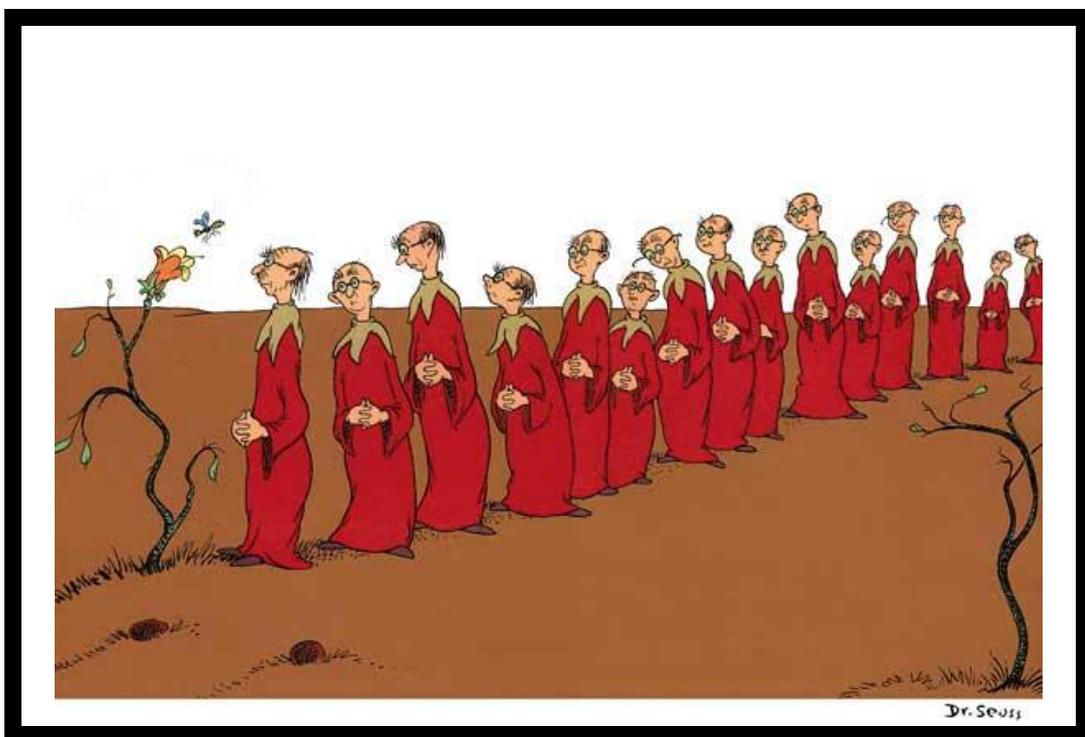
Figure 6.1   Illustration Demonstrating the Hazards of Over-monitoring
            (Taken from Dr. Seuss, *Did I Ever Tell You How Lucky You Are?* without permission)

6.2.5   The Perception of Government Intervention

Government's preference for *intervention* and *steering* through the use of *power* and *control* (TEAC's own terms) has led to the perception by staff that other aspects of TEAC's policies have been demoted (for example, *academic freedom* and *institutional autonomy*). Power and control are not mechanisms that staff embrace, hence the emerging message through this research that their role as educators, researchers, and critics and conscience of society has been undermined. The government's preferred approach is clearly and substantially at odds with staff principles. The result of this is a disengaged group of stakeholders.

From the standpoint of these stakeholders, the mechanisms of government intervention (power and control) in the university sector need to be readdressed. Mechanisms that are not only responsive to staff apprehensions of being managed, but also respectful of their autonomy, are required. Government intervention should be limited in scope, and universities and their staff allowed to exercise their academic freedom and institutional autonomy, their core founding principles, in accordance with the original intentions of the Education Act and the long history and tradition of the university. Bosetti, Landry, and Miklos (1989) argued that it is not in a nation's best interests to force tertiary education to meet short-term macro-economic policy goals. Similarly, Patience (2000) warns of making universities pawns in macro-economic policy and directing public funding according to the narrow perceptions of specific interest groups about short-term employment and labour market requirements.

Governments come and go. Their policies are often entangled with election promises, promises which are themselves transient. Such policies are not necessarily helpful, and may lead to adverse effects that do not emerge for some time. One of the main concerns of the academic staff interviewed was the slippage of standards in new entrants' basic reading, writing and comprehension. Many government policies have been introduced over past decades with the intention of improving access, and whilst student numbers have increased, the emerging adverse effect has been this slippage of standards. Many other examples exist where a short term policy change has created unforeseen consequences at a later stage.

As in the previous section, the government needs to respect the dedication and expertise of staff to carry out their duties without imposing external controls. The values of academic staff extend far beyond the next election. They have a duty of care towards their students and to society as a whole.

6.2.6 Identifying and Prioritising Stakeholder Groups

This study makes a valuable contribution to the application of stakeholder theory, and provides useful direction to management practitioners and policy makers in the New Zealand university education sector (and in general). The findings also contribute to the stakeholder theory literature by providing in-depth insights into the past application of elements of stakeholder theory (by TEAC) in the New Zealand university education sector. These contributions are identified and discussed below.

TEAC's Commissioners, discussed in Chapter Two, included a variety of members from across the political and education sectors. Even with the combined range of experience and backgrounds, their collective efforts have fallen well short of academic staff expectations of how to generate and implement policy initiatives. However, as has been discussed, even with the collective range of knowledge and expertise amongst the members, it is not an easy task to put personal interests, agendas and ideals aside in order to collaborate and consequently instigate change. At the same time it could be seen that there were both political and administrative pressures competing to steer the outcome of the policy process.

Chapter Three then looked at the various ways that stakeholders can be classified. It is essential for those involved to agree on stakeholder classification, as this will, in turn, help clarify and mandate roles and responsibilities assumed by the various stakeholder groups. One of the major shortcomings of much of the extant stakeholder literature is this problem of stakeholder identification and classification, which may create difficulties in that neither the scholar nor the manager has one specific method for determining stakeholders' identity or priority. It is an entirely subjective process, potentially creating a major limitation where this subjectiveness may erode stakeholder confidence in the stakeholder-based policy development process.

Furthermore, there are always stakeholder groups who are more or less important than others. Stakeholder groups' level of interest, commitment, and willingness to help

resolve issues also needs to be analysed and the effectiveness of the communication monitored. An important stakeholder group that does not communicate may need to be given a lower priority in the interests of expediency. Some of the various stakeholder groups face a limited capacity to be responsive and this in itself needs to be addressed. It is important that more vocal stakeholder groups do not unfairly receive prioritisation over those groups such as academic staff who traditionally are less assertive.

Stakeholder Theory, upon which TEAC's policy development process appeared to draw heavily, has a key deficiency in not accounting for the difference between *high* importance and *low* importance stakeholders. Similarly this deficiency exists for stakeholder classifications such as: *active* versus *passive*, *primary* versus *secondary*, and *narrow* versus *wide* (discussed in Chapter Three). Despite the clear recognition of the role stakeholder groups play in government's TEAC policy documents and the many suggestions of ways to both identify and classify stakeholders in terms of their perceived importance, there is no evidence [that TEAC's documents use] to support the use of such mechanisms. Conflicts between satisfying individual needs and the fulfilment of social obligations are inevitable. Even a liberal society cannot accommodate the entire spectrum of diverse needs because almost every right involves a claim against others. The findings highlight tensions inherent in satisfying multiple stakeholder demands, and illustrate that resolving conflicting interests between stakeholders has not been fully considered.

The Commissioners failed to recognise the importance of identifying and prioritising stakeholders and in doing so, disenfranchised a key stakeholder group by not giving recognising the importance of their input given their central role within the university education system. Nowhere in TEAC's documentation are stakeholders classified or prioritised within a hierarchy. It is not that staff feel themselves to be more important than others, but the fact that they are at the forefront of the university sector - as such, they have essential knowledge that only arises from within the academic community and should have been given more consideration and weight in redesigning tertiary policy.

6.2.7 Theoretical Framework

The findings of this study provide a basis for developing new and more accessible policy generation mechanisms – TEAC's consultation process failed to generate goodwill

within the academic community at Lincoln University before even the first stage of the consultation process had begun. Any stakeholder-based process requires a degree of mutual respect and understanding in order to reach a successful conclusion.

In 2006, a research team based at Waikato Institute of Technology, under contract to the Ministry of Education, conducted a study which focused on the level of stakeholder engagement of various groups in the tertiary sector (Patterson et al., 2006). Their findings talked about the need for similar themes to those raised in this thesis: mutual respect, simplicity and clarity, common goals, meaningful communication and new forms of engagement. Aside from that study, there has been little published research examining tertiary education policy in New Zealand from an academic staff's perspective.

This study developed a framework that facilitated the investigation of TEAC's stakeholder-based policy development process in the university education sector in New Zealand. The collective insights gained from this research make a valuable contribution in that they provide a clear evaluation of the level of success of the consultation process (from a staff perspective), thereby providing a feedback loop useful for continuous improvement, thus potentially improving stakeholder relationships, with government.

Developing a framework (Chapter Three) demonstrated the importance of constructing a formal representation of the process that is about to be embarked upon. Without going through this process, it may be difficult to visualise how to achieve desired outcomes, for both stakeholder and policy-maker. With a clear framework in place, it becomes possible to introduce stakeholders even earlier in the process and gather valuable input from them such as whether or not they consider themselves to be key stakeholders. With early participation comes both commitment as well as a better understanding of the stakeholders' role in the process.

A plan (in this study, the framework) provides transparency to the process, as well as assisting in the prevention of divergence from the objectives of the process. While TEAC created the impression of a stakeholder-based policy-development process through their use of stakeholder rhetoric, their actual method failed to reveal this (so lacked transparency) and as a result failed to meet academic staff expectations that had been fuelled by the language used throughout TEAC's documentation.

6.2.8   Data Collected as a Body of Evidence

Guba and Lincoln (1989) argued that multiplicity of stakeholders and their expectations concerning policies, and the political and thus debateable ground on which evaluations tend to rest, have been at the centre of discussions since the late 1970s. More recently, McLaughlin observed that "more and better data, analysis, programme evaluation, and research are needed to inform the design and implementation of policy… Without this public funds are likely to be used ineffectively" (2003, p. 55). This thesis contributes to the literature McLaughlin refers to, by adding to the data available on academic staff perspectives (both in the text of the thesis and through the raw data collected) thus providing an avenue for collective academic staff narratives that give new insights. This, in turn, contributes to the wider debate. It is hoped that the New Zealand Ministry of Education, politicians and the various tertiary education policymakers will integrate this information to inform future policy direction.

6.3   Implications of Research Findings

The findings of this research have important implications for academics, management practitioners and policy makers. Specific points have been covered in the previous section (key findings and research contributions), while the following two sections set these findings against the wider educational debate.

6.3.1   Theoretical Implications

At a general level the findings of this study contribute to current knowledge in the literature of stakeholder theory, particularly with regard to the need for identification, classification, and prioritisation of stakeholder groups. Despite the stated use of a stakeholder-based policy consultation process, TEAC's policy documents provide little evidence of the successful use of such mechanisms. Further, there is inconsistency in their documentation when identifying stakeholders. This, combined with the simple lack of stakeholder classification (or prioritisation) has led to a sabotage of their own processes.

TEAC identified everyone as a stakeholder – they failed to exclude any stakeholder group, no matter how peripheral. This demonstrates their unwillingness to accept the responsibility for the process they were initiating. In a similar way, prioritisation was sidestepped, again avoiding making any contentious decisions. Whilst it is recognised

that stakeholder theory is based on subjective assumptions, these assumptions need to be explained and justified. In not prioritising the stakeholders, TEAC has deliberately excluded itself from accountability over which stakeholders take precedence in any given situation. Furthermore, to spell Māori without the macron shows a lack of genuine consideration to cultural detail, as does identifying Pasifika as "Pacifica Peoples". These oversights make it difficult to have faith in TEAC's process.

The misuse of the elements of stakeholder theory has invalidated the process and many of the conclusions. At the same time, staff, a key stakeholder group, displayed dissatisfaction and disaffection with the vague and imprecise language utilised by TEAC. It is almost as if TEAC had no consideration of who the relevant stakeholders were when formulating policy, and disregarded contributions by those it did solicit. This lack of accountability can be interpreted in a number of ways, none of which are positive.

Whilst TEAC could have previously claimed that they applied stakeholder theory within the tertiary education sector (a theoretical accomplishment), they failed. The theoretical contribution within this thesis is the identification of this failure. This is identified by the presentation of two very different frameworks (in Chapter Three). One framework (Figure 3.3) represented a traditional policy development process, while the other (Figure 3.4) was developed (as part of this thesis) as a representation of how a stakeholder-based policy development process should function. From the perspective of the academic staff interviewed, there was strong agreement that TEAC's approach was closer to that of a traditional policy development process as opposed to a process that genuinely engaged *relevant* stakeholders.

The positive side is then that this thesis presents a comprehensive evaluation of an academic staff perspectives of the extent to which TEAC's intentions have been (or not) achieved using elements of stakeholder theory. In the process, a *theoretical framework* for what TEAC *should* have done was developed, a framework that is now available as part of stakeholder literature.

6.3.2   Managerial and Practical Implications
The findings of this study also have important practical implications for academic staff, management practitioners, and policy makers in government departments.

Determining mutually acceptable objectives must become a higher priority. Consider, for example, the case of writing ability. Government defines this in terms of NCEA grades, whereas university staff define it in terms of the ability of students to produce clear, logical written arguments. Frequently, NCEA evaluations do not mirror student ability.

One of the biggest complaints of staff is the low literacy level of students. As noted above, from the government's perspective this is addressed by NCEA-defined grades for university entrance. However, staff views on NCEA were largely unfavourable; whilst students were achieving the university entrance requirements, their ability was often lacking, leading to staff having to use university teaching-time to fill gaps left by secondary education. The consequence of this is the necessary lowering of academic standards as teaching-time is consumed by basic literacy training.

Preoccupation with responding to the needs of the labour market and supporting business and industry development has emerged in the findings as a major concern for university staff. Setting up and running courses for example, is a long term process, whereas labour market requirements are often transient and short-lived. Industry is also often not skilled in defining what educational requirements will lead to the workers they desire. There is no easy solution to this dilemma, beyond recognising that although business and industry are major stakeholder groups, in some instances they may lack the necessary skills to provide useful input into long-term strategic planning. This illustrates the importance of careful contextualising and prioritising of stakeholders and, furthermore, of careful periodic reconsideration of curricula.

Balancing autonomy and responsiveness follows on from this theme. Staff recognised the necessity of responding to the wishes of other stakeholders, to varying extents. At the same time, they had clear views on matters such as autonomy, academic standards, and their responsibility to act as a critic and conscience of society (a role enshrined in legislation). These roles were often seen as being blended by the government's influence, generating ill feelings and unease. By touching upon highly sensitive matters, the TEAC process in places elicited an over-reaction from staff. This demonstrates the need to recognise stakeholder sensitivities over certain key matters; at the same time

stakeholders need to be included and educated about where policy process may be heading.

One of the additional challenges facing the tertiary education sector is the mix of ideologies driving the changes. An appropriate balance has yet to be reached if indeed a balance can be reached at all. While people with a broad range of ideologies may bring together complementary strengths, it is also possible for ideological differences to be irreconcilable. Even TEAC's own composition illustrates the ideological diversity that exists. While TEAC's diverse membership was designed to bring together differing perspectives, perhaps the vagueness of TEAC's policies was a result of the need to compromise across Commissioner ideologies.

6.4 Research Limitations

No study is without limitations and it is widely recognised that a single case study approach raises generalisability concerns. Although sixty participants were interviewed, the scope of this research is necessarily limited in that the data collected was only from one of the eight universities in New Zealand. Whilst it is appropriate to draw conclusions from this study, the data cannot be generalised. The generalisation from it is necessarily limited due to the fact that it is a study of a single instance (Campbell & Stanley, 1963; Sommer & Sommer, 1985). It would thus be useful to repeat the study at the seven other universities in New Zealand. This could further support the conclusions put forward and identify and examine any particular regional characteristics.

Lincoln University has the unique set of properties: students traditionally coming from an agricultural background, a geographically isolated community, limited subject choices (for example, no chemistry, history, liberal arts, mathematics, and physics) and more recently a strong focus on international students. Although this may not necessarily invalidate the generalisation of the results, this cannot be guaranteed. As was seen in the participants' demographics, Lincoln University academic staff are predominantly older males. This contrasts with a completely opposing (hypothetical) demographic: balanced gender, younger age group, and sciences oriented. While no one of the other seven universities represents such an extreme opposite, it is possible that their demographics may differ sufficiently to produce a significantly different staff perspective of university education in New Zealand.

Great care has been taken to overcome the most common limitations of the case study method, which were discussed in Chapter Four. The questions are as clearly constructed as possible, given that they intentionally used TEAC's policy language. Response bias and socially desirable responses were not considered to be of concern due to the characteristics of the sample.

A snapshot study of such a fluid topic has its limitations, particularly related to design and sampling. However, key strengths of this research are its investigation of issues that have remained largely unexplored from an academic staff perspective in the New Zealand context, and the greater depth allowed by a mixed method approach. The use of both textual analysis and quantitative and qualitative data-gathering methods to investigate assumptions underpinning stakeholder policies has added to the relevance and usefulness of this enquiry. The project sought to investigate the concept of stakeholder policies in an open-minded manner, and largely succeeded in documenting how academic staff (from Lincoln University) viewed the TEAC process.

Although the representativeness of the sample was thoroughly examined, as already stated the results cannot be generalised to all universities within New Zealand. The conclusions made may be necessarily regional – particularly in terms of issues such as targeting because of the difference in population demographics, the agricultural emphasis and the historical status of Lincoln University. With the completion of this thesis, the groundwork is now in place to address the issue of generalisability, and to conduct similar research across the country. Based upon the now completed groundwork, such a process would be relatively economical to duplicate.

6.5   Recommendations for Future Research

As well as contributing to the knowledge about how tertiary education policies affect a university's academic staff and the tertiary education sector, this study identified important gaps that warrant further research. It would be beneficial for the Ministry of Education to be directly involved with further research that includes the tertiary education sector's stakeholders. This research has provided important insights into a stakeholder perspective. If the government is genuinely interested in improving their policy-making process and the outcomes for the tertiary education sector, it would be in their best interests to make use of this information. Academic staff perspectives on the

future of university education can facilitate dialogue, and assist with identifying common objectives that will assist in building consensus in a diverse multi-stakeholder environment.

The obvious extension of this study would be to involve academic staff from *all* of the eight universities in New Zealand. Future research could also be extended to compare academic staff perspectives from the different types of tertiary education institutions, such as polytechnics or Industry Training Organisations. This information is needed to gain a better insight into the various stakeholder groups' perspectives, which in turn would provide further valuable information for management and policy makers.

Policy makers may wish to re-evaluate the importance of stakeholder input and understanding when formulating new policies. For example, research could be carried out into how best to involve all relevant stakeholders at the same level of intellectual discussion. It might also be appropriate to have more in-depth debate and discussion with stakeholders who are involved, interested, or affected, as well as investigating a means of identifying those who are "primary" and those who are "secondary". Research is needed to understand the ways in which various stakeholder groups choose to voice their interests and how this influences their ability to contribute. Consequently, the resulting strengthening of stakeholder relationships would help improve the overall efficiency of the tertiary education system, which, in turn would contribute to the country's national goals. Future policies should be articulated and implemented with caution and awareness of the deficiencies in TEAC's policy development process.

6.6 Concluding Remarks

This thesis argues that, according to the group of stakeholders interviewed (academic staff), TEAC's policy reports have been largely ineffective due to deficiencies in the policy development process. Despite TEAC's continual references to including and engaging stakeholder input, the stakeholders themselves do not feel that they have been engaged. As academic staff are among the main agents that affect the university education sector, their perspectives should be integrated in the policy process in its entirety. In other words, university education policy cannot be effective in isolation from those who will execute it (the academic staff) and the experience and input they provide.

University and government objectives, by their very nature, are dissimilar. This research indicates that much more needs to be done if the government and academic staff are to work in collaboration to achieve mutually-acceptable outcomes. The disconnect between academic staff perspectives and that of government policy-makers is considerable and needs attention.

The research presented a detailed account of academic staff perspectives in relation to the key themes as identified in TEAC's policies. Through the emphasis and promotion of their own priorities, TEAC are seen as obstructing academics in their capacity to fulfil their primary roles of teaching, researching and being the critic and conscience of society. The fundamental difference in perspectives and expectations alongside the division between academic staff and those expressed in TEAC's policies was made clear from the findings of this study. The challenge for academic staff remains to stay true to their beliefs and values whilst complying with continuous changes in government policy. University education will always continue to be subject to intense debate and political agendas as long as financial resources are limited.

A parallel can be drawn as was done by Smith (1955), between the current dilemma facing the university, and American hospitals in the mid-1950s. Smith referred to the phrase "caught in the middle", where there is a moral conflict between fiscal and (in the case of the hospital) humanitarian values. While administrators want to maximise marginal utility, medical practitioners want to save lives. This parallels the university case where the government is primarily interested in maximising the economic benefit that the university is able to generate for society, versus the academics' perspective of upholding the traditional roles of the university. For Smith this comes down to two lines of authority, while for New Zealand universities it equates to two quite different ideological approaches to university education and what its role in society should be.

The policy documentation and interpretations and reactions to it that were examined for this thesis exhibits a distinct lack of clarity, alongside an absence of mutually accepted goals. The language used is obfuscatory and demonstrates little understanding by TEAC of many of the key concepts underlying the policies presented in their documents. This research concludes that these serious discrepancies concerning the university and its

main functions, demonstrates that fundamental questions, such as what is the role of the university in today's society, remain unanswered.

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Appendix A
Invitation to Participate

CONFIDENTIAL
(Name of Participant)
(Title/Position)
(Division)
Lincoln University

Wednesday 01 October 2008

Dear (Prof Dr, Mr Mrs)

Invitation to participate in PhD research

I am seeking your assistance with my study of tertiary education in New Zealand as part of my Doctor of Philosophy Degree in Commerce here at Lincoln University. You have been selected from the university staff list.

My research investigates whether; from the perspective of current academic staff, tertiary education stakeholder policy outcomes fulfilled their intentions. By interviewing staff who have been employed in the tertiary sector since 2005, this study aims to gain insight into perspectives of a key stakeholder group. This project has approval from the Lincoln University Human Ethics Committee.

Request for participation

I am asking if you will consent to an interview as your name was chosen using a census of the population of eligible academic staff at Lincoln University. Further information about the research is attached in the following three documents:

  Research information sheet for participants
  Interview schedule
  Consent form

Proposed benefits of the research

This research provides an opportunity for academic staff to contribute to defining, discussing and assessing policy effectiveness from their perspectives and based on their practical experience. It is hoped that the results of this study will be of benefit to university staff, students, government, and other key stakeholders, all of whom are concerned in one way or another with government policy in tertiary education.

The interview procedure

Participation involves an interview of about half an hour to an hour on an agreed date and time in October or November. The information you provide will be kept strictly confidential and your anonymity will be preserved. Your transcript will be assigned a random four-digit code. The list associating your name with the code will be stored in a secure and separate location and no one other than me will have access to this list. Once the data collection and quality control processes are complete, the list will be destroyed.

Participation

If you do not fit the criteria required (i.e. you have not been employed in the tertiary sector since 2005) please let me know and I will know not to contact you again. **If you agree to be interviewed please complete and sign the consent form and return it to me before the end of October 2008 in the envelope provided.** I will contact you to arrange an interview time and place after receiving your consent form. If you have any questions or would like further information please contact me on (03) 325-3838 ext. 8512, 021 113 5647 or by email at mortonl2@lincoln.ac.nz or my supervisors, Dr. David Cohen, Supervisor, or Dr. Alison Kuiper, Associate Supervisor.

I look forward to hearing from you and thank you in advance for your support.
Yours sincerely,

Lise Morton
PhD Student
Commerce Division
Lincoln University

Appendix B

Research Information Sheet

Lincoln University

Commerce Division

Research Information Sheet for Participants

You are invited to participate as a subject in a doctoral project entitled:

A Stakeholder Theory Perspective of University Education in New Zealand

The aim of this project is to gain insight into current Lincoln University academic staff perspectives of key themes of stakeholder policies in tertiary education in New Zealand. Your participation in this project will involve an interview that is estimated to take between half an hour to an hour of your time.

Background to the research

In April 2000 the Tertiary Education Advisory Commission was established to investigate and provide information of and to the tertiary sector. The resulting changes in policy are considered to be significant reforms of the sector. The changes sought to shift the tertiary education sector into a strategic environment that aligns educational outcomes with New Zealand's social, economic and cultural goals.

The reports that followed set out to change the tertiary education system and its funding. Whilst the stakeholder policies have been the subject of much discussion, little research, however, has explored the perspectives of university staff concerning the key themes of the policies.

The results of the project will be published and data may be used in future research. If you answer the interview questions it will be understood that you have consented to participate in the project and consent to publication of the results of the project with the

understanding that anonymity will be preserved. To ensure anonymity and confidentiality the following steps will be taken:

At no stage of the interviews will any participant be identified

Participation is voluntary and you may withdraw your participation at any time prior to the completion of the interview. Once the interviews are complete it will not be possible to withdraw as all interviews are anonymous.

You do not have to answer any question that you do not wish to.

The project is being carried out by Lise Morton, a postgraduate student from the Commerce Division at Lincoln University. She will be pleased to discuss any concerns you have about participation in the project. Contact details are (03) 325 3838 ext. 8512, 021 113 5647 or via email to mortonl2@lincoln.ac.nz.

Supervisors for this doctoral research are Dr David Cohen (email: cohend@lincoln.ac.nz) and Dr Alison Kuiper (email: kuiper@lincoln.ac.nz). Please feel free to approach either Dr David Cohen or Dr Alison Kuiper directly if you wish.

The project has been reviewed and approved by the Lincoln University Human Ethics Committee.

Appendix C

Interview Schedule

A Stakeholder Theory Perspective on University Education in New Zealand

Interview Questions - Lincoln University Academic Staff

<u>Pre-interview Information</u>

Interviewer:

Date of Interview:

Time of Interview:

 Interview Location:

Pseudonym of Participant:

Gender: Male   Female

<u>Introduction</u>

Hi…

This study focuses on Lincoln University academic staff perspectives of tertiary education in New Zealand. In particular, I am interested in what government policies have set out to achieve, and whether from your perspective as a current staff member the objectives have been met.

It is important to let you know that the information for this interview is largely derived from government policy documents.

The information from this interview will be very helpful in gathering data on perceptions of the impact of the recent policies, and will be a key part of my research.

The information you provide will be held in the strictest confidence, and only used for this research. No individual names will be identified in any future publications. You will be and will remain anonymous.

I would like to record the interview on tape to speed up the note-taking procedure. The tape will simply have a number to identify who was interviewed and will be destroyed after the data has been analysed. Is that OK with you?

Instructions

I'd like to ask you some questions about the role of the university, the government's role in relation to the university, intervention, differentiation, resource allocation and distribution and the university's relationship to society.

Part One: The Role of the University

1.1   What does the term stakeholder mean to you? If participant provides a response that is similar to 1.2 go straight to 1.3.

1.2   If a stakeholder is any group or individual who can affect or who is affected by the achievement of a New Zealand university's objectives, then from your perspective who would be the three main stakeholders in the New Zealand university education sector?

1.3   From the following list of stakeholder groups, who do you think are the most important (in relation to New Zealand universities)? Please give each one a rating on a scale of 1 – 5 with 1 being not at all to 5 being completely). Please note: You may use each number as many times as you wish and you do not have to use every number.

Government

The wider community of New Zealand

Employers

Business and Industry

Students

University Staff

Maori

Pacifica peoples

1.4   What do you think are the three main functions of a university?

Can you tell me why?

1.5   To what extent is it the function of New Zealand universities to contribute to the

country's economic growth?

Not at all 1 2 3 4 5 Completely

1.5a.   How do you think this can be monitored?

1.5b.   How do you think this can be evaluated?

1.6   To what extent should university activity reflect the Treaty of Waitangi?

Not at all 1 2 3 4 5 Completely

1.6a.   How do you think this can be monitored?

1.6b.   How do you think this can be evaluated?

Part Two: Hegemony and Autonomy

2.1   To what extent do you think each of the following stakeholder groups are

involved in university activity?

Government   Not at all 1 2 3 4 5 Completely

The wider community of New Zealand   Not at all 1 2 3 4 5 Completely

Employers   Not at all 1 2 3 4 5 Completely

Industry   Not at all 1 2 3 4 5 Completely

Pacifica Peoples   Not at all 1 2 3 4 5 Completely

Business   Not at all 1 2 3 4 5 Completely

Maori	Not at all 1 2 3 4 5 Completely
University Staff	Not at all 1 2 3 4 5 Completely
Students	Not at all 1 2 3 4 5 Completely

2.2 How responsive are New Zealand universities to particular requirements of the following stakeholder groups?

Government	Not at all 1 2 3 4 5 Completely
The wider community of New Zealand	Not at all 1 2 3 4 5 Completely
Employers	Not at all 1 2 3 4 5 Completely
Industry	Not at all 1 2 3 4 5 Completely
Pacifica Peoples	Not at all 1 2 3 4 5 Completely
Business	Not at all 1 2 3 4 5 Completely
Maori	Not at all 1 2 3 4 5 Completely
University Staff	Not at all 1 2 3 4 5 Completely
Students	Not at all 1 2 3 4 5 Completely

2.3 To what extent do you think the government should determine the activities of university practice in New Zealand?   Not at all 1 2 3 4 5 Completely

2.3a How do you think this can be monitored?

2.3b How do you think this can be evaluated?

2.4 At what level do you think the government is actively engaged with New Zealand universities?   Not at all 1 2 3 4 5 Completely

2.4a How do you think this can be monitored?

2.4b. How do you think this can be evaluated?

2.5   How important is it that New Zealand universities consult with the following

        stakeholder groups?

        Government   Not at all 1 2 3 4 5 Completely
        The wider community of New Zealand   Not at all 1 2 3 4 5 Completely
        Employers   Not at all 1 2 3 4 5 Completely
        Industry   Not at all 1 2 3 4 5 Completely
        Pacifica Peoples   Not at all 1 2 3 4 5 Completely
        Business   Not at all 1 2 3 4 5 Completely
        Maori   Not at all 1 2 3 4 5 Completely
        University Staff   Not at all 1 2 3 4 5 Completely
        Students   Not at all 1 2 3 4 5 Completely

2.6   Which graduates are in a supply surplus?
2.7   Which graduates are in a supply shortage?

2.8   To what extent should enrolment numbers dictate which courses are deleted?

                                        Not at all 1 2 3 4 5 Completely

        Please explain your answer...

Part Three: Differentiation and Resource Allocation and Distribution

3.1   Do you think universities differ from other types of tertiary education institutions

        in New Zealand?

3.2   If yes, what are the distinguishing factors of a university?

3.3   Where would additional financial input enhance the function of the university?

3.4   To what extent do you think the government should subsidise students' study?

                                        Not at all 1 2 3 4 5 Completely

        Probe - What types of subsidies?

Part Four: Relationship to Society

4.1   Given your understanding of the term New Zealand culture, to what extent do you think New Zealand universities influence New Zealand culture?

Not at all 1 2 3 4 5 Completely

4.1a   How do you think this can be monitored?

4.1b   How do you think this can be evaluated?

4.2   What does the term societal norms mean to you?

4.2.1   To what extent do New Zealand universities influence *societal norms*?

Not at all 1 2 3 4 5 Completely

4.2.1a How do you think this can be monitored?

4.2.1b How do you think this can be evaluated?

4.3   Can you think of any subjects that New Zealand universities are teaching that are not relevant to society?

4.4   To what extent should New Zealand universities focus on teaching an educated workforce?

Not at all 1 2 3 4 5 Completely

4.4a   How do you think this can be monitored?

4.4b   How do you think this can be evaluated?

4.5   To what extent should New Zealand universities be expected to assess and meet the industry and labour markets' skill requirements?

Not at all 1 2 3 4 5 Completely

4.5a   How do you think this can be monitored?

4.5b   How do you think this can be evaluated?

4.6   To what extent should New Zealand universities be expected to assess and meet the expectations of the local community?

Not at all 1 2 3 4 5 Completely

4.6a   How do you think this can be monitored?
4.6b   How do you think this can be evaluated?

4.7   To what extent should New Zealand universities be expected to assess and meet the expectations of the national community?

Not at all 1 2 3 4 5 Completely

4.7a   How do you think this can be monitored?
4.7b   How do you think this can be evaluated?

4.8   To what extent should New Zealand universities be expected to assess and meet the expectations of international labour markets?

Not at all 1 2 3 4 5 Completely

4.8a   How do you think this can be monitored?
4.8b   How do you think this can be evaluated?

Part Five: Access To and Participation In University Education

5.1   What are the pre-requisites for university entrance?
5.1.1   Who should determine them?
5.1.2   What do you think of the "open entry" policy, where anyone over the age of 20 is allowed to go to university?
5.1.3   Should there be targets for the number of Maori and Pacific Island students attending New Zealand universities? Probe…
5.1.4   Should there be financial incentives to attract students from groups who are currently under-represented towards university study?
5.2   Should people with an illness or a disability have access to additional resources and support when studying?
5.3   Can you think of any areas where New Zealand universities should take more responsibility for helping students?

Participant's Details

I wonder if you would mind putting yourself into one of the following age ranges:

1.   Under 20 years

2.   20 – 24 years

3.   25 – 34 years

4.   35 – 44 years

5.   45 – 54 years

6.   55 – 64 years

7.   65 and over

To what ethnic group/s do you identify with? (Please choose no more than two categories)

1.   New Zealand European / Pakeha

2.   New Zealand Maori

3.   Pacific Peoples

4.   Asian

5.   European

6.   Other…

Conclusion

Are there any other thoughts regarding the current expression of Ministry policy that you feel should be mentioned?

Thank you for your participation.

Appendix D

Consent Form

Name of Project:

A Stakeholder Theory Perspective of University Education in New Zealand:

I have read and understood the description of the above-named project. On this basis I agree to participate as a subject in the project. I understand that participation will involve an anonymous interview that will be tape recorded. I consent to publication of the results of the project with the understanding that anonymity will be preserved. I understand that I may not withdraw my consent once the interview has been completed.

Name: _____

Email Address: _____

Contact Telephone Number: _____

Signed: _____ Date: _____

Appendix E

Chronology of Key Policy Decisions

Chronology based on Goedebuure, L., Santiago, P., Fitznor, L., Stensaker, B,, and van der Steen, M. (2007). Thematic review of tertiary education, New Zealand country note. Paris: Organisation for Economic Co-operation and Development.

1970 - 1989	Before the reforms: - The universities were regulated through the University Grants Committee (UGC). The UGC managed the system's accountability to government and allocated government funding to universities under a quinquennial system, using the equivalent full-time student (EFTS) as a funding metric. - While the universities funding was received as a bulk fund, the government controlled major capital investments. - The management of the institutes of technology and polytechnics and colleges of education was closely controlled by the Department of Education. - Tuition fees were low and much of the fee was paid through the student support system. - A tertiary grants system supported students' living costs.
1989 – 1990	The first round of reforms: - The Education Act 1989 was enacted – setting the statutory framework for all tertiary education. The UCG and the Department of Education were abolished. The Ministry of Education (MoE) and New Zealand Qualifications Authority (NZQA) were created. - All tertiary education institutions (TEIs) were given autonomy. Councils had a governance role, with chief executive responsible for management. Funding was delivered to all as a bulk fund, using EFTS as a metric, with the amount of funding dependent on the number of EFTS in different funding categories. The principle of equal funding for similar courses underpinned the

	funding system. TEIs had control over their capital spending. ▪ Quality assurance responsibilities were split between the NZQA and the NZ Vice Chancellors' Committee. ▪ Awarding of non-university degrees was permitted. ▪ The standard tertiary fee was created. ▪ The tertiary grants scheme was replaced by student allowances – with targeting on the basis of parents' income for those under 20. ▪ TEIs were free to enrol international students on a full cost-recovery basis.
1991 – 1992	The second round of reforms: ▪ The standard tertiary fee was abolished, with TEIs given the freedom to set their own fees, including the right to set fees with differences between levels of study and/or fields of study. ▪ Some limited funding was made available for private training establishments (PTEs). ▪ Targeting of student allowances was extended to the age of 25 years. ▪ The student loan scheme was created. ▪ A moving cap on the number of EFTS places that could be funded was set. ▪ The Studyright policy was implemented – introducing funding differentials between students of different age groups. ▪ Industry Training Act was enacted – enabling industries to develop qualifications and implement work-based training arrangements that are responsive to the needs of industry.
1993 – 1998	Over this time, additional spending was put into funding additional student places. There was also a series of funding rate cuts. Fees rose in consequence.
1994	Publication of *Education for the 21st Century* as a statement of the government's strategy for tertiary education.

1995	The Ministerial Consultative Group (Todd Review) was set up to examine tertiary education resourcing – and in particular, the issue of the balance of the public and private contributions to the costs of tertiary education.
1997 – 1998	The government developed a consultation paper (green) followed by a policy paper (white) on tertiary education. While many of the reforms proposed in these papers were never enacted, some of the changes were implemented – for instance, removing the fiscal cap on tertiary funding, improved monitoring and improved information systems.
1999	The third round of reforms: • The moving cap was lifted – funding in the TEIs became demand driven. • At levels 3 and above, the funding of PTEs was put on a level footing with TEI tuition funding.
2000 – 2001	The Tertiary Education Advisory Commission (TEAC) was established to map out a new direction for tertiary education. TEAC proposed: • The creation of a Tertiary Education Commission (TEC) – a new government agency to allocate government funding. • The creation of a Tertiary Education Strategy (TES) and Statement of Education Priorities (STEP) to ensure better alignment of tertiary education with national priorities. • The system of charters and profiles to help the Commission influence the direction of tertiary education organisations and to improve alignment with the strategy. • The separation of research funding from funding for teaching and learning.
2000	The government introduced fee stabilisation, providing extra funding in exchange to tertiary education providers in exchange for an undertaking to hold fees. Fee stabilisation remained in place for three years. The government also moved to write off the interest of student loans for those in study.

2002	Limits were placed on funding for PTEs.
2002 – 2003	The fourth round of reforms: Amendments to the Education Act 1989 gave effect to many of the TEAC proposals, including the creation of the TEC. The legislation also provided for the performance-based research fund and for fee and course costs maxima. The *Tertiary Education Strategy 2002 – 2007* was published.
2003 – 2005	Limits were placed on growth in some areas of tertiary education provided by TEIs. Government removes interest on student loan scheme borrowers for those that remain in New Zealand. Fee and Course Cost Maxima policy replaces Fee Stabilisation policy by setting maximum limits within which fees set by institutions might be increased without specific approval for an exemption by TEC.
2006 – 2007	The fifth round of reforms: ▪ Amendments to the Education Act 1989 to require government funded tertiary education organisations to have a three year plan and to allow TEC to make decisions on funding for individual TEOs based on that plan. ▪ TEC develops new funding policy to replace EFTS bulk funding policy and give effect to the Investing in a plan policy. The new approach consists of two elements: ▪ A tertiary education organisation component (TEOC) to provide the government contribution to costs that enable providers to focus on their specific and distinctive role in the tertiary education network of provision ▪ A student achievement component (SAC) to provide the government contributions to the costs of teaching and learning and other costs driven by student numbers. ▪ TEC prepares operational policy to support investing in a plan that differentiates each subsector in tertiary education.
2008	First year in which TEC funding of TEOs is based on a three-year TEO Plan.

Appendix F

Raw Data for Totem Pole Graphs in Chapter Five

Raw data for Table 5.3 in Chapter Five:

"Who are the most important stakeholders in relation to New Zealand universities?"

Stakeholder Groups	Not at all (1)	A little (2)	Somewhat (3)	Very Much (4)	Completely (5)
Government	1.7% (n=1)	5.0% (n=3)	28.3% (n=17)	20.0% (n=12)	45.0% (n=27)
University Staff	0.0% (n=0)	0.0% (n=0)	13.3% (n=8)	26.7% (n=16)	60.0% (n=36)
Students	0.0% (n=0)	0.0% (n=0)	3.3% (n=2)	26.7% (n=16)	70.0% (n=42)
Business and Industry	0.0% (n=0)	11.7% (n=7)	41.7% (n=25)	31.7% (n=19)	15.0% (n=9)
Employers	1.7% (n=1)	6.7% (n=4)	41.7% (n=25)	33.3% (n=20)	16.7% (n=10)
Māori	5.0% (n=3)	26.7% (n=16)	30.0% (n=18)	16.7% (n=10)	21.7% (n=13)
Wider Community	3.3% (n=2)	5.0% (n=3)	36.7% (n=22)	23.3% (n=14)	31.7% (n=19)
Pasifika	6.7% (n=4)	31.7% (n=19)	26.7% (n=16)	16.7% (n=10)	18.3% (n=11)

Raw data for Table 5.9 in Chapter Five:

"To what extent are each of the following stakeholder groups involved in university activity?"

Stakeholder Groups	Not at all (1)	A little (2)	Somewhat (3)	Very Much (4)	Completely (5)
Government	0.0% (n=0)	1.77% (n=2)	13.3% (n=8)	36.7% (n=22)	48.3% (n=29)
University Staff	0.0% (n=0)	5.0% (n=3)	15.0% (n=9)	18.3% (n=11)	61.7% (n=37)
Students	3.3% (n=2)	10.0% (n=6)	10.0% (n=6)	28.3% (n=17)	48.3% (n=29)
Industry	0.0% (n=0)	25.0% (n=15)	45.0% (n=27)	28.3% (n=17)	1.7% (n=1)
Business	5.0% (n=3)	21.7% (n=13)	46.7% (n=28)	25.0% (n=15)	1.7% (n=1)
Employers	3.3% (n=2)	28.3% (n=17)	40.0% (n=24)	25.0% (n=15)	3.3% (n=2)
Māori	10.0% (n=6)	36.7% (n=22)	38.3% (n=23)	11.7% (n=7)	3.3% (n=2)
Wider Community	13.3% (n=8)	46.7% (n=28)	21.7% (n=13)	13.3% (n=8)	5.0% (n=3)
Pasifika	46.7% (n=28)	30.0% (n=18)	21.7% (n=13)	0.0% (n=0)	1.7% (n=1)

Raw data for Table 5.10 in Chapter Five:

"How responsive are New Zealand universities to particular requirements of the following stakeholder groups?"

Stakeholder Groups	Not at all (1)	A little (2)	Somewhat (3)	Very Much (4)	Completely (5)
Government	16.7% (n=10)	26.7% (n=16)	33.3% (n=20)	16.7% (n=10)	6.7% (n=4)
Students	0.0% (n=0)	6.7% (n=4)	20.0% (n=12)	51.7% (n=31)	21.7% (n=13)
University Staff	0.0% (n=0)	20.0% (n=12)	31.7% (n=19)	30.0% (n=18)	11.7% (n=7)
Māori	16.7% (n=10)	16.7% (n=10)	40.0% (n=24)	18.3% (n=11)	8.3% (n=5)
Wider Community	16.7% (n=10)	26.7% (n=16)	33.3% (n=20)	16.7% (n=10)	6.7% (n=4)
Employers	1.7% (n=1)	16.7% (n=10)	40.0% (n=24)	35.0% (n=21)	6.7% (n=4)
Industry	1.7% (n=1)	16.7% (n=10)	36.7% (n=22)	40.0% (n=24)	5.0% (n=3)
Pasifika	26.7% (n=16)	30.0% (n=18)	35.0% (n=21)	8.3% (n=5)	0.0% (n=0)
Business	1.7% (n=1)	20.0% (n=12)	41.7% (n=25)	35.0% (n=21)	1.7% (n=1)

Raw data for Table 5.13 in Chapter Five:

"How important is it that New Zealand universities consult

with the following stakeholder groups?"

Stakeholder Groups	Not at all (1)	A little (2)	Somewhat (3)	Very Much (4)	Completely (5)
Government	3.3% (n=2)	6.7% (n=4)	10.0% (n=6)	23.3% (n=14)	56.7 (n=34)
University Staff	0.0% (n=0)	0.0% (n=0)	8.3% (n=5)	28.3% (n=17)	63.3% (n=38)
Students	1.7% (n=1)	1.7% (n=1)	10.0% (n=6)	25.0% (n=15)	61.7% (n=37)
Employers	0.0% (n=0)	8.3% (n=5)	21.7% (n=13)	31.7% (n=19)	38.3% (n=23)
Industry	0.0% (n=0)	6.7% (n=4)	25.0% (n=15)	31.7% (n=19)	36.7% (n=22)
Wider Community	3.3% (n=2)	5.0% (n=3)	20.0% (n=12)	38.3% (n=23)	33.3% (n=20)
Business	0.0% (n=0)	3.3% (n=2)	35.0% (n=21)	30.0% (n=18)	31.7% (n=19)
Māori	10.0% (n=6)	3.3% (n=2)	31.7% (n=19)	23.3% (n=14)	31.7% (n=19)
Pasifika	15.0% (n=9)	11.7% (n=7)	28.3% (n=17)	18.3% (n=11)	26.7% (n=16)

Raw data for Table 5.17 in Chapter Five:

"To what extent are New Zealand universities expected to assess and meet the expectations and requirements of the following groups?"

Stakeholder Groups	Not at all (1)	A little (2)	Somewhat (3)	Very Much (4)	Completely (5)
Industry and labour markets	6.7% (n=4)	15.0% (n=9)	33.3% (n=20)	26.7% (n=16)	18.3% (n=11)
Local Community	3.3% (n=2)	18.3% (n=11)	36.7% (n=22)	23.3% (n=14)	18.3% (n=11)
National Community	3.3% (n=2)	6.7% (n=4)	36.% (n=22)	33.7% (n=22)	16.7% (n=10)
International labour markets	13.3% (n=8)	16.7% (n=10)	46.7% (n=28)	13.3% (n=8)	10.0% (n=6)