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## BUILDING A SYSTEM OF INSTITUTIONAL AUTONOMY OF A HIGHER EDUCATION INSTITUTION: METHODOLOGICAL BACKGROUND

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#### Rayevnyeva O. V.

#### Building a System of Institutional Autonomy of a Higher Education Institution: Methodological Background

The article deals with the further improvement of the methodological background for building a system of autonomy of a higher educational institution (HEI). Based on a critical analysis of the world and national experience, it is determined that the current stage of the functioning of the world higher education system is characterized by the formation of a new development paradigm and implies the need to find a certain balance between university autonomy and government regulation in this sphere. The main dimensions in changing the global paradigm of development of the education market are defined and, accordingly, the peculiarities of changing the paradigm of modernization of the national higher education system in Ukraine are formed. It is proved that autonomy of an HEI is, above all, the decentralization of management culture at the university and the construction of an effective system for managing its structural components — academic, staffing, financial, and organizational autonomy. The stages of development of the concept for building a system of HEI institutional university autonomy are proposed; hypotheses, provisions, functions of the system of autonomy of the university are formed.

**Keywords:** institutional autonomy, higher education institution, concept of the system of autonomy, paradigm of higher education development, hypotheses, tools, mechanism for managing autonomy.

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Rayevnyeva Olena V. – Doctor of Sciences (Economics), Professor, Head of the Department of Economic Theory, Statistics and Forecasting, Simon Kuznets Kharkiv National University of Economics (9a Nauky Ave., Kharkiv, 61166, Ukraine)

E-mail: olena.raev@gmail.com ORCID: 0000-0003-0260-4249 Researcher ID: L-7688-2016

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### Раєвнєва О. В. Побудова системи інституційної автономії закладу вищої освіти: методологічне підґрунтя

Статтю присвячено подальшому удосконаленню методологічних засад побудови системи автономії закладу вищої освіти. На підставі критичного аналізу світового та національного досвіду визначено, що сучасний етап функціонування світової системи вищої освіти характеризується формуванням нової парадигми розвитку та передбачає необхідність знаходження певного балансу між автономією ЗВО та державним регулюванням цієї сфери. Визначено основні напрямки трансформації світової парадигми розвитку ринку освіти та відповідно до цього сформовано особливості трансформації української парадигми удосконалення національної системи вищої освіти. Доведено, що автономія ЗВО – це, перш за все, децентралізація менеджменту в університеті та побудова ефективної системи управління структурними складовими – академічною, кадровою, фінансовою та організаційною автономією. Запропоновано етапи розробки концепції побудови системи інституційної автономії ЗВО, сформовано гіпотези, концептуальні положення, функції системи автономії ЗВО.

**Ключові слова:** інституційна автономність, заклад вищої освіти, концепція системи автономності, парадигма розвитку вищою освіти, гіпотези, інструментальні засоби, механізм управління автономністю.

**Рис.:** 2. **Табл.:** 2. **Бібл.:** 15.

Раєвнєва Олена Валентинівна— доктор економічних наук, професор, завідувач кафедри економічної теорії, статистики та прогнозування, Харківський національний економічний університет ім. С. Кузнеця (просп. Науки, 9а, Харків, 61166, Україна)

УДК 378.1 JEL Classification: IOO

#### Раевнева Е. В. Построение системы институциональной автономности высшего учебного заведения: методологические основы

Статья посвящена дальнейшему усовершенствованию методологических основ построения системы автономии высшего учебного заведения (ВУЗ). На основании критического анализа мирового и национального опыта определено, что современный этап функционирования мировой системы высшего образования характеризуется формированием новой парадигмы развития и предполагает необходимость нахождения определенного баланса между автономией ВУЗа и государственным регулированием этой сферы. Определены основные направления трансформации мировой парадигмы развития рынка образования и соответственно этому сформированы особенности трансформации украинской парадигмы модернизации национальной системы высшего образования. Доказано, что автономия ВУЗа – это, прежде всего, децентрализация управления в университете и построение эффективной системы управления ее структурными составляющими – академической, кадровой, финансовой и организационной автономиями. Предложено этапы разработки концепции построения системы институциональной автономии ВУЗа, сформированы гипотезы, концептуальные положения, функции системы автономии ВУЗа.

**Ключевые слова:** институциональная автономность, высшее учебное заведение, концепция системы автономности, парадигма развития высшего образования, гипотезы, инструментальные средства, механизм управления автономностью.

**Рис.:** 2. **Табл.:** 2. **Библ.:** 15.

E-mail: olena.raev@gmail.com
ORCID: 0000-0003-0260-4249
Researcher ID: L-7688-2016

Раевнева Елена Валентиновна — доктор экономических наук, профессор, заведующий кафедрой экономической теории, статистики и прогнозирования, Харьковский национальный экономический университет им. С. Кузнеца (просп. Науки, 9а, Харьков, 61166, Украина)

E-mail: olena.raev@gmail.com
ORCID: 0000-0003-0260-4249
Researcher ID: L-7688-2016

**Problem statement.** In the modern world, higher education institutions (HEIs) play an important role in the development of interstate cooperation in the field of education, science, culture, and socio-economic relations. Higher education systems are very sensitive to changes in the external environment. Thus, the development of technology has had a significant impact on the institutional functioning of HEIs. In the new era of developed technologies (mid-twentieth century), HEIs had to change their internal management and begin to work using the principles of market relations.

According to B. Clark, universities can no longer remain traditional institutions, since such management model does not allow to quickly adapt to demands of the surrounding world. Requirements to modern HEIs are constantly increasing. So, government authorities expect that HEIs will become their social partners; students, as the main consumers of educational services, want to get a quality education; society expects from HEIs preparing highly qualified personnel for the labor market, which is dynamically transforming in the digital economy [1; 2]. Under the influence of diverse growing demands, universities have to change their curricula, requirements to the teaching staff, as well as modernize the material base and equipment.

At the beginning of the 21<sup>st</sup> century, these trends are becoming dominant in the global process of modernization of the higher education system. Therefore, modern HEIs are organizations where management principles are mixed with traditional academic values [3]. The rapidly changing external environment requires universities to become more flexible and adaptable regardless of their individual characteristics or history of development.

The autonomy of a higher educational institution is, first of all, the decentralization of management culture in the HEI, which implies that management of universities are able to independently decide on their internal organizational matters [4].

The EUA's Lisbon Declaration (2007) sets out four dimensions of university autonomy:

- academic autonomy is a university's ability to decide on academic programs, methods of teaching, areas of research, educational disciplines, degree supply;
- organizational autonomy is the possibility to independently set university structures and statutes, make contracts, elect decision-making bodies and persons;
- financial autonomy is the ability to acquire and allocate funding, decide on tuition fees, accumulate surplus;
- staffing autonomy is a university's ability to decide freely on issues related to human resources management, including responsibility for recruitment, promotions, staff salaries.

However, it should be noted that autonomy has two sides associated with cognitive behavior of a man within the margin of discretion. Thus, on the one hand, freedom allows humanity to participate more actively in the economic, environmental, social, political life of society and ensures the realization of the goal of each person. Freedom in this sense is an increase in opportunities. On the other hand, freedom is a decrease in the number of limitations, rules of the functioning of a particular system. In view of this, a critical reduction of limitations leads to chaos or even collapse of the system; therefore, such an increase in freedom turns into entropy for society. Thus, studies of university autonomy should be carried out from the position of providing opportunities for universities to make independent management decisions with consideration for the moral and traditional principles that exist in a particular country.

Based on this, we can conclude that autonomy of a country's higher education system depends on its national structure, which, in turn, is based on traditions of its society. The unlimited increase in the degree of autonomy of HEIs in countries whose higher education system has a vast experience in providing university freedom can open up new opportunities. While for higher education systems that traditionally functioned under considerable state control, this increase in autonomy can lead to an inefficient functioning of the system. Thus, the degree of autonomy of a higher education system and HEI depends to a great extent on the existing state of democratic and academic freedoms in the society.

Analysis of recent researches and publications. The problem of determining the form and boundaries of university autonomy is one of the most important under conditions of the active integration of the higher education system of Ukraine into European educational space. Modern researches of foreign scientists focus on such issues as peculiarities of university autonomy in EU countries and prospects for its strengthening (T. Estermann, T. Nokkola; K. Ren, J. Li; Å. Gornitzka, P. Maassen; T. Fumasoli); academic freedom in Europe – common and peculiar features (T. Karran, P. Altbach, R. Zoltán); processes associated with the internationalization of universities and the knowledge economy (M. Shattock, T. Carvalho, S. Diogo); features of the Bologna process in the context of internationalization (H. Aittola); the role of the State in enhancing internationalization and competitiveness of prominent universities and establishing their autonomy (H. Horta), and others [5-10; 12-15].

Ukrainian scientists, namely, L. Hrynevych, V. Luhovyi, S. Kalashnikova, Zh. Talanova, V. Satsyk et al. [11], are actively working on modernizing the higher education system based on the principles of university autonomy. However, some issues related to building systems for managing institutional

autonomy of Ukrainian universities require further research and elaboration.

The aim of the article is to propose the concept for building a system of HEI autonomy, which contains a number of relevant hypotheses; a system of provisions; justification of the scientific approaches used; tools for its implementation.

**Presentation of basic material of the research.** The strengthening of the autonomy of educational institutions,

changes in the principles and rules of their development have formed the prerequisites for the emergence of three main controversies in the world education system (Fig. 1).

As a result of these contradictions, at the present stage of the evolution of the world, a substantial change in the paradigm of development of the educational market is taking place. The studies carried out have allowed to identify the following dimensions of such transformation:

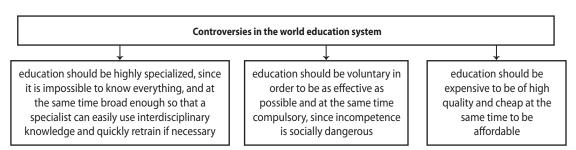


Fig. 1. Controversies in the world education system

The influence of the State on the development of the educational market is constantly decreasing, which leads to an increase in the influence of the system «educational market – labor market – consumer preference market» on activities of an individual HEI;

HEIs in the framework of the new paradigm are considered as agents of economic relations, therefore, their activities are subject to the general principles of competitiveness. In this regard, it is necessary to give HEIs more autonomy to reduce the influence of the State and, as a result, to make competition in the educational market more transparent.

The analysis of the scientific researches has shown that today the new paradigm of development of universities is understood as the university-business cooperation, i.e., the reduction of the gap between fundamental and applied knowledge. Under such conditions, universities become centers for creating innovations, i.e., they provide their students with not only knowledge but entrepreneurial skills as well. The elements of the modern educational paradigm in Ukraine are:

- advanced development of the system of education oriented to the new needs of society;
- development of a new system of values in youth and new relationships between a teacher and a student;
- formation of learning motivation oriented towards the actualization of a student's own value system; overcoming technocracy in education;

- application of new humanistic approaches in the educational process;
- focus on the holistic intellectual as well as moral and aesthetic content of education, introduction of activities aimed at cultivating spiritual identity and proactivity of a student.

In view of this, in the educational process of the Ukrainian HEIs, new subject-subject relations are formed, when a teacher rather helps a student to learn than teaches them. Thus, the main task of teachers is to cultivate the aspiration and creative attitude of students towards learning, to provide an appropriate background for this.

The change in the paradigm of HEI autonomy in Ukraine requires elaborating new management techniques. For this purpose the study proposes to develop a concept for building a system of HEI institutional autonomy. The focus of the **concept** is to build a system of institutional autonomy of an HEI to strengthen its competitiveness in the educational market.

The development of the concept for building a system of HEI institutional autonomy includes a number of stages (Fig. 2).

Stage 1. Formation of hypotheses and conceptual provisions of the concept for building a system of HEI institutional autonomy. The relationship of the working hypotheses and provisions of the concept is given in Table 1.



Fig. 2. Stages of developing the concept for building a system of HEI institutional autonomy

Table 1

Hypotheses and provisions of the concept for building a system of HEI institutional autonomy

Working hypothesis	Provisions	
	Provision 1. On shaping a new paradigm for the development of the system of higher education on the basis of the new discourses formed.	
1. Increasing the level of a country's competitiveness at the world level is impossible without permanent modernization of the higher education system in accordance with the priority directions of development of the world educational space of the 21st century	Under modern conditions, in the world, there shaped new educational paradigms, in which new principles of marketing policy and market mechanisms, aimed at reducing state control, are applied. In most countries, the marketing educational process is used as a compromise among academic autonomy, privatization, and state control. Besides, under the influence of globalization, the content of the paradigm of higher education has been revised. National providers, previously limited in rendering services by the state borders of the host countries, began to export them to other countries. Gaining knowledge has acquired the character of a trade transaction that requires the ability to sell knowledge. The idea of competition and the market as a universal means requiring the transformation of HEIs into educational business structures has spread	
The reform of the higher education system in Ukraine is aimed at integrating into	Provision 2. On components of autonomy of a system of higher education and individual HEI and their synergistic impact on competitiveness of HEIs.	
the world and European educational space due to strengthening autonomy of domestic HEIs, which contributes to enhancing quality of education and attractiveness of national universities	Autonomy of a system of higher education and HEI is characterized by the following components: organizational, financial, staffing and academic one, which constantly interact with each other. Effective activity of both a national higher education system and that of a particular HEI depends on a balanced, systematic and permanent strengthening of all components of institutional autonomy, and its level is equal to the level of the weakest component of autonomy	
3. The system of HEI institutional autonomy is multi-level and has a complex structure. It is based on a systems and marketing-oriented approach, and should reflect effective relationships and organizational forms of interaction within the hierarchy «HEI – labor market» and «HEI – consumer preference market»	Provision 3. On determining a set of indicators for components of autonomy of a higher education system and HEI.	
	Assessment of HEI autonomy has a multistage structure. At the first level, there analyzed the legislative framework and normative acts regulating the functioning of a country's system of higher education and HEIs, on the basis of which the variants for individual indicators of autonomy components are determined. At the second stage, using the arithmetic mean, the indicators are combined to obtain an autonomy indicator for each component. At the third level, there determined the weight of each component, on the basis of which, using a weighted arithmetic mean, a general indicator of autonomy of a higher education system or HEI is formed	
	Provision 4. On the relationship between the competitiveness and autonomy of a higher education system and HEI.	
4. Institutional autonomy of an HEI improves	HEIs become separate agents of economic relations, so they begin to operate in a competitive environment. The tight control of the state over HEIs limits their competitive advantages and results in lobbying interests of individual HEIs in the educational market.	
its characteristics as a business entity and is a means of encouraging educational institutions to actively search for innovative ways, forms, and tools to increase their own competitiveness both in the national and European educational market.	To ensure effective competition in the educational market, the State has several options:	
	Option 1 – ensuring equal opportunities for the operation of all HEIs to satisfy their financial needs. Thus, the task of earning a profit recedes into the background, and a HEI focuses on its immediate function – providing higher education services. In this case, the competition among HEIs takes place only in terms of organizational, staffing, and academic components;	
	Option 2 – if the State does not have sufficient resources to ensure financial support for all HEIs of the national higher education system, then within the framework of financial competition it should provide financial autonomy for HEIs and the financial strategy becomes one of the main priorities of HEIs. With the second option, state control over the quality of personnel and education is important, which, in turn, leads to a decrease in autonomy in terms of these components	

Stage 2. Formation of the set of principles for the concept for building a system of HEI institutional autonomy.

The principles of the concept for building a system of HEI institutional autonomy are broken down into *system-wide* and *specific* ones.

The *system-wide principles* include:

 principle of hierarchy. The concept for building a system of HEI institutional autonomy combines two spatial systems: the system of higher education and the system of autonomy. Each of the systems has two

levels of hierarchy. For the spatial system of higher education, there inherent the hierarchy «national higher education system – HEI»; for the spatial system of autonomy – «general indicator of autonomy – indicators of autonomy by each of its four components – local indicators of autonomy – variants of local indicators». This spatial-hierarchical relationship provides, within the framework of the concept, a possibility to develop an instrumental basis for assessing autonomy and forming effective management decisions on enhancing competitiveness of HEIs;

- principle of integrity, which lies in the fact that studying autonomy of a system of higher education and HEI should serve achieving the main goal – strengthening competitiveness of HEIs due to establishing the balance between autonomy and centralized management;
- principle of emergence is implemented through obtaining by the system «higher education HEI» of a new quality, namely, the transformation of an HEI from a state-controlled entity into a separate agent of economic relations, which, exercising its autonomy, freely realizes its potential in the educational space;
- principle of dynamism. The issue of autonomy of a higher education system arose as a necessity at changing the paradigm of development of the educational market. Thus, with the further transformation of the paradigm, it is advisable to change the rules for the functioning of the system «educational market labor market consumer preference market» and, as a result, the formation of new approaches or concepts to studying HEI autonomy;
- principle of adaptability. Autonomy is a dual category, so it's important not to obtain a complete autonomy but to determine the balance between autonomy and state regulation and ways to achieve it. Therefore, adaptability is taking into account the traditional structure of a country's higher education system and the formation of limits or normative boundaries of the optimal autonomy of a system of higher education and HEI.

The *specific principles* of forming the concept for building a system of HEI institutional autonomy include: the principle of predominance of quality of education over the financial result, the principle of accessibility of higher education, the principle of staffing, and the principle of forming an optimal organizational structure (reducing bureaucracy).

# Stage 3. Development of the instrumental basis for the concept for building a system of HEI institutional autonomy.

The concept for building a system of HEI institutional autonomy is presented in Figure 3.

The proposed concept serves as the basis for building a mechanism for managing autonomy of a particular higher education institution, which is intended to fulfill the following functions:

- assessment, which on the basis of a justified set of indicators for each component of institutional autonomy of an HEI, in particular, academic, staffing, organizational, and financial one, will provide retrospective information about the state of autonomy of the HEI;
- analysis, which implies the determination of the degree of using capabilities of the external environment by an individual HEI characterizing its level of autonomy;
- forecasting, using the instruments of which the management of an HEI can determine future benchmarks for strengthening both individual components of autonomy and its overall level;
- *coordination*, which justifies the need to build a corporate information space and software tools intended to ensure the interconnection of actions of various departments of the organizational structure of an HEI to strengthen its autonomy;
- decision-making, which, based on the formation of a system for supporting and making decisions on strengthening HEI autonomy, implies elaborating tactical and strategic guidelines for achieving this goal.

Table 2 shows a list of tasks aimed at achieving the targeted focus of the functions singled out.

Table 2 Complex of functional tasks of the mechanism for managing HEI autonomy				
Name of the function	Tasks	Modeling toolkit		
1	2	3		
Assessment	<ol> <li>Determining a justified set of indicators for assessing the components of institutional autonomy of an HEI.</li> <li>Developing a procedure for the examination of measuring the degree of HEI autonomy.</li> <li>Constructing a system of integral indicators for assessing the components and the general level of institutional autonomy of an HEI</li> </ol>	<ul> <li>Monographic analysis,</li> <li>comparative analysis,</li> <li>expert analysis,</li> <li>economic and mathematical method</li> </ul>		
Analysis	Determining retrospective trends in the development of the components and the general level of institutional autonomy of an HEI.     Identification of latent and explicit factors that determine the assessed level of HEI autonomy	Economic and mathematical method,     monographic analysis		

1	2	3
Forecasting	Stratifying the external environment of an HEI by the level of autonomy of the country's higher education system.     Forming the targets for strengthening institutional autonomy of an HEI.     Modeling the resource capacity of an HEI to enhance its autonomy	<ul><li>Methods of taxonomy,</li><li>econometric modeling,</li><li>cognitive modeling</li></ul>
Coordination	Developing a corporate information system for strengthening autonomy of a HEI.     Building a system for providing the information monitoring of degree of HEI autonomy	Cyber defense models
Decision-making	Developing a decision-making system for strengthening autonomy of an HEI.     Forming tactical and strategic measures to strengthen autonomy of an HEI.	System dynamics models

Conclusion. Thus, the proposed concept, which is developed on the basis of a systems approach, allows not only to form the theoretical and methodological background for building a system of institutional autonomy of a particular HEI but also to cover all the management functions of this system, starting with assessing and analyzing the level of all components of institutional autonomy and ending with strengthening and development of these components. In addition, the presented concept has a practically oriented character, creating prerequisites for determining appropriate strategic and tactical trends in the development of an individual HEI as an agent of economic relations in competitive national and world educational markets. Further studies on building a system of HEI autonomy should be aimed at developing a mechanism for the functioning of this system in the form of methodological recommendations and technologies for assessing the state of academic, staffing, organizational, and financial university autonomy as well as the formation of a complex of managerial influences to strengthen them. ф

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