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Le financement des universités 1995-2003

Bibliographie sélective

par

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Décembre 2003

TABLE DES MATIÈRES

ALLEMAGNE

1. Efinger, M. **Financing higher education according to performance parameters : the Rhineland-Palatinate**. *Higher Education in Europe*. Vol. 28, no 2 (July 2003). P. 171-179.

   « In the 1990s, two models for the financing of higher education were introduced in Rhineland-Palatinate. In 1993, a special system for distributing the budget was established (mittelbemes sungsmodell). According to this model, euro35 million is given to eleven universities annually. In 1998, a second model, called personalbemessungskonzept, was implemented. Here the personnel costs for approximately 7,000 academic and non-academic members are distributed amongst the universities. This article describes these two models in some detail and gives some information about the performance parameters used. »

2. Hornbostel, S. **Third party funding of German Universities : an indicator of research activity?** *Scientometrics*. Vol. 50, no 3 (March 2001). P. 523-537.

   « This article focuses on third party funding of research in German universities. The central question is, whether funding data can function as suitable indicators for the measurement of research performance of university departments. After a brief description of the importance and the extent of third party funding in the German system of research funding, the quality of data is discussed and the funding indicator is compared with bibliometric indicators. Resultened, one can say that in subjects where external funding of research is usual, the funding indicator points to the same direction as other indicators do. Because of the peer review process involved in grant awarding, a funding indicator is in many subjects a suitable indicator to evaluate R&D impacts. »

3. Hufner, K. **Governance and funding of higher education in Germany**. *Higher Education in Europe*. Vol. 28, no 2 (July 2003). P. 145-163.

   « After a short description of the overall development of the higher education system in germany, some explanations are given regarding the complex functioning of decision making in relation to legal, administrative, planning, and financial matters in the federal state of Germany. One section is devoted to the present increase of privatization of higher education in germany and to the ensuing legal and financial problems. Another section deals with the introduction of new funding schemes based on performance indicators which augur major changes in the legal status and management structure of higher education. All these reform efforts should be viewed as part of the adopted policy of increasing the competitiveness of German higher education. »

4. Institutional Management in Higher Education. **Management mechanisms and financing of higher education in Germany**. *Higher Education Management and Policy*. Vol. 15, no 1 (May 2003). P. 93-118.

   « The higher education sector has to face competition much in the same way as other economic entities do. Much has been done to introduce reforms making use of economic terms and concepts. This paper will highlight the manner in which different models for financing higher education can contribute to the management of higher education. The general higher education framework in Germany -- which differs from that in other countries -- has to be taken into account. Amongst these differences are notably: -- the absence of fees as an instrument for the financing and management of higher education; -- the fact that only a restricted number of students are selected by institutions of higher education. Where student numbers for subjects in great demand are too high, applicants are distributed amongst various universities by a central office. This paper is divided into four part: (1) an analysis of the German higher education system; (2) an examination of different management methods relating to a new system of distributing students amongst the different types of institutions ordinary universities and universities of applied sciences -- fachhochschulen. A discussion of the management of student distribution within a given university follows; (3) in this context, it is recommended to introduce a market-oriented system of tuition fees instead of making provisions for student admission on the basis of available capacity, curricular standards cnw and centralized procedures of the distribution of students; (4) conclusions are drawn from these reforms in order to develop systems for performance analysis management accounting and control. »

5. Schily, K. **A New model for the financing of higher education institutions by students and alumni**. *Higher Education in Europe*. Vol. 28, no 2 (July 2003). P. 195-197.

   « The private Witten Herdecke University began operations in may 1983, starting with the Faculty of medicine. For thirteen years, the University financed itself exclusively on the basis of donations. Tuition fees were introduced in 1995. Now, a « reversed generational contract » guarantees that students, who are admitted purely on the basis of personal features and interest, can actually be enrolled in the programmes of their choice. Tuition fee totals are fixed, and students are not forced to keep their study periods as short as possible. The essence of the contract system is that graduates having a certain level of income finance the studies of those who follow them by contributing a fixed percentage of their incomes over a set period of time. »

AUSTRALIE

6. Australia. Department of Education, Science and Training. **Our Universities: Backing Australia's Future [site Web]**. Site Web, [accédé : 15 octobre 2003]. URL : http://www.backingaustraliasfuture.gov.au

« Dans le cadre d'une révision de l'organisation et du financement de l'enseignement supérieur, le gouvernement australien a défini un plan d'action pour ses universités. Le gouvernement entend consacrer 1,5 milliards au cours des quatre prochaines années pour la réalisation de ce plan. La politique pour l'enseignement supérieur est fondée sur quatre principes : continuité, qualité, équité et diversité. La réforme est en partie basée sur une dérégulation de l'enseignement supérieur, avec laquelle chaque université est capable de capitaliser sur ses propres forces et de déterminer son offre dans un environnement compétitif. L'accent sera mis sur l'apprentissage, le rôle des campus régionaux et la recherche. De nouvelles mesures seront prises pour aider les étudiants à financer leurs études et assurer ainsi l'égalité d'accès pour tous à l'enseignement supérieur, dont les groupes de population défavorisés qui seront spécifiquement encouragés. Une place plus importante sera faite à l'enseignement supérieur privé sous réserve du contrôle de la qualité des prestations fournies. La diversité sera favorisée à travers la création, pour les institutions, d'incitatifs basés sur la performance et permettant de différencier leurs missions. » [Source du résumé : Vigie, septembre 2003, Vol. 6, no 4, p. 2.]

7. Chapman, Bruce. **Australian higher education financing : issues for reform**. *The Australian Economic Review*. Vol. 34, no 2 (June 2001). P. 195-204.

8. Harman, G. **Vouchers or 'Student Centred Funding': the 1996-1998 Australian review of higher education financing and policy**. *Higher Education Policy*. Vol. 12, no 3 (September 1999). P. 219-235.

« Vouchers, or publicly supported tuition entitlements, are often considered amongst a range of different options in national higher education funding reform efforts, but are seldom adopted. This paper reports on an Australian government committee of enquiry into higher education funding and policy which, in april 1998, recommended adoption of a voucher or 'Student Centred Funding' scheme. While both the coalition liberal party-national party government and the opposition labor party have rejected vouchers, at least in the short term, and many other stakeholders oppose vouchers, pressures are likely to continue for modification of the current funding system, especially in view of reductions in government operating grants and rapid increases in staff salaries. »

9. Harrison, Mark. **Government financing of higher education in Australia : rationale and performance**. *The Australian Economic Review*. Vol. 30, no 2 (June 1997). P. 225-239.

10. King, Stephan P. **The Funding of higher education in Australia : overview and alternatives**. *The Australian Economic Review*. Vol. 34, no 2 (June 2001). P. 190-194.

11. Marginson, Simon. **Trends in the funding of Australian higher education**. *The Australian Economic Review*. Vol. 34, no 2 (June 2001). P. 205-215.

12. Marginson, Simon ; Considine, Mark. **The entreprise university : power, governance and reinvention in Australia**. Cambridge, UK : Cambridge University Press, 2000. 272 p.
LB 2341.8 A938 M328 2000 Recherche, Science et Technologie

« Throughout the industrialised world, universities have undergone remarkable changes since the mid-1980s. In Australia, interest has been intense, and publication of The Enterprise University is very timely. It is the first systematic study of the Australian system since the momentous Dawkins reforms ten years ago. The book is grounded in case studies of most of the major Australian universities: the authors interviewed a large number of senior managers. They also have taken account of global trends and have prepared the book in the light of recent international research on the university as an institution. The authors contend that the modern university can be understood as an 'enterprise university', characterised by corporate-style executive leadership. In a hard-hitting conclusion they propose novel policies and new directions for Australia's higher education system. »

13. Williams, Ross. **Funding Australian universities**. *The Australian Economic Review*. Vol. 31, no 2 (June 1998). P. 148-156.

« This article sets out the principles that should govern university funding, outlines the extent to which current funding arrangements meet these principles, and examines alternative funding models that would encourage flexibility and diversity in universities. »

AUTRES PAYS

14. Akinkugbe, O. **Higher education financing and equality of educational opportunities in Swaziland**. *International Journal of Social Economics*. Vol. 27, no 11 (October 18, 2000). P. 1074-1097.

« This paper constitutes a major attempt at examining financial flows within the educational system in Swaziland as well as in computing the households, relative to public contribution to unit costs in education. It found that financial resources to the education system derive from the traditional sources, that is, government, local communities and households, non-governmental organizations, private enterprises and corporations as well as foreign aid. While the government contributes about 83 per cent of the total fund in the tertiary level, the household and families contribution is higher at the primary, secondary and high school levels. This is an indication of the fact that higher education is heavily subsidized by the government at the expense of basic education, bringing about inequality of educational opportunities within the education system. To redress the imbalance in the funding mechanism, cost-sharing or cost recovery measures are being proposed at the higher education level. »

15. Conseil des recteurs des Universités francophones de Belgique (CREF). **Financement des universités**. 1999. Site Web, [accédé : 4 novembre 2003]. URL : http://www.cref.be/financement.htm

Table des matières : 1. La place de l'enseignement universitaire dans l'enseignement en général. 2. Le financement des institutions universitaires - Le coût forfaitaire. 3. Évolution du nombre d'étudiants, d'étudiants financés, de diplômés et des moyens. 4. L'évolution du personnel enseignant et la dégradation de l'encadrement. 5. Le décret du 1er octobre 1998. 6. La productivité des Universités. 7. Ce que le CRef demande en matière de financement. Annexe I. Comparaison internationale des dépenses par élève de l'enseignement supérieur pour 1994. Annexe II. Dépenses totales et d'enseignement - formation pour 1998 (millions FB) pour la Communauté Française, Région Wallonne et Cocof après transfert.

16. Farrington, Dennis. **The Law of higher education in the Russian Federation : funding and assessment**. *European Journal for Education Law and Policy*. Vol. 2, no 1 (1998). P. 31-40.

17. Institutional Management in Higher Education. **The Rationale behind public funding of private universities in Japan**. *Higher Education Management and Policy*. Vol. 14, no 1 (March 2002). P. 75-86.

« The aim of this study is to examine the rationale for, and methods of, funding private universities with public money in Japan. In the mid-1970s, the national parliament passed the first law in its history that permitted the allocation of taxpayers money to private colleges and universities. Lawmakers justified this action on the premise that over 75 of japanese students were attending private institutions and that these institutions were facing great financial difficulties. However, the passing of the law created a whole new series of controversies and arguments among scholars and educators with regard to the mechanisms of funding, accountability, and autonomy of higher education institutions that received taxpayer money. »

18. Koelman, J. B. J. **The Funding of universities in the Netherlands : developments and trends**. *Higher Education*. Vol. 35, no 2 (March 1998). P. 127-141.

« Recently, the Dutch Minister of education, culture and science proposed that the funding system of Dutch universities be drastically altered by introducing a system of capacity funding. The intention is to abandon the current (direct) student dependence in funding and, instead, to offer a stable, long-term funds perspective. If this capacity funding is actually adopted, a trend break in the funding system of higher education and research in the Netherlands will occur. This article describes the developments in the funding of Dutch universities over the past decades and the (expected) developments for the future. With regard to the near future and in addition to the capacity funding intended the author will also discuss other developments anticipated by him. It will be shown that during the last forty years four "generations" of funding models have been used in the Netherlands. Soon the changeover to the fifth generation will possibly be made. A number of issues will be discussed, such as the introduction (and enlargement) of lump sum funding, elements of output funding (performance based funding) and competition on the basis of quality. First, some basic characteristics of funding systems in general will be presented. They will be used to analyse the relevant developments in the Dutch higher education allocation systems. »

19. Mora, J.-G. ; Villarreal, E. **Financing for quality: a new deal in Spanish higher education**. *Higher Education Policy*. Vol. 9, no 2 (June 1996). P. 175-188.

« In recent years, higher education in Spain has undergone major legal and organizational changes. The number of students and the resources committed to higher education has also grown dramatically in the last decade. After this period of rapid changes, the spanish public higher education system (sphes) is launching mechanisms to improve overall efficiency and quality. To meet these objectives, three programs are being carried out: first, a new organization of the teaching system, which aims to make the programs more flexible, varied, of shorter duration and more closely related to social needs; second, a program to assess the quality of university institutions; and, third, a new model to finance the system, which provides a more rational framework for financing and should help to achieve the desired aims of quality. This paper outlines the third program, the financial model, and discusses the proposals to finance public universities designed by a committee of the council of universities. »

CANADA

20. L'Association canadienne des professeures et professeurs d'université. **Accès refusé: l'abordabilité des études postsecondaires au Canada de 1857**

à 2002. *Dossier en Éducation*. Vol. 4, no 1 (Septembre 2002).
http://www.caut.ca/francais/publications/dossiers/dossiers.4-1.pdf

« Les études postsecondaires sont moins abordables en 2002 qu'elles ne l'ont été au cours des soixante dernières années, conclut un récent rapport de l'Association canadienne des professeures et professeurs d'université. Intitulé *Accès refusé : l'abordabilité des études postsecondaires au Canada*, le document trace l'évolution historique des droits de scolarité depuis 1857 et constate qu'ils sont plus élevés en 2002, après leur correction en fonction de l'inflation, qu'à toute autre époque du siècle dernier. Les étudiants et étudiantes d'aujourd'hui paient six fois plus qu'en 1914. »

21. L'Association canadienne des professeures et professeurs d'université. **Droits de scolarité par les universités canadiennes en 2003 : déclin de l'accessibilité aux études supérieures**. *Dossier en Éducation*. Vol. 5, no 1 (Septembre 2003).
http://www.caut.ca/francais/publications/dossiers/dossiers5-1.pdf

« Cette année encore, on demande aux étudiantes et étudiants qui réintègrent l'université d'enfouir un peu plus leurs mains dans leurs poches pour régler le coût de leur études. D'un bout à l'autre du pays, les droits de scolarité moyens demandés au premier cycle ont augmenté de 7,4 %, des hausses encore plus accentuées étant relevées dans les programmes professionnels comme ceux de médecine (+16,7 %), de droit (+19,4 %) et d'art dentaire (20,9 %). D'une manière générale, les droits de scolarité moyens du premier cycle ont progressé de près de 180 % depuis 1990-1991. Vertigineuse et persistante, leur hausse perturbe gravement les finances des parents et des étudiants. S'ils ont flambé au cours de la dernière décennie, les salaires et les revenus sont restés au beau fixe. Ce que nous constatons donc c'est que, aujourd'hui, les études universitaires sont moins accessibles aux étudiants issus de parents à revenu moyen qu'elles ne l'ont jamais été depuis les trente dernières années. »

22. L'Association canadienne des professeures et professeurs d'université. **L'insuffisance du financement de plus en plus marquée : les dépenses publiques dans le secteur de l'enseignement postsecondaire en 2000-2001**. *Dossier en Éducation*. Vol. 3, no 3 (Août 2001).
http://www.caut.ca/francais/publications/dossiers/dossiers.3-3.pdf

« Fondé sur les données les plus récentes relatives aux recettes et aux dépenses publiques, le présent rapport examine les toutes dernières tendances en matière de dépenses publiques dans le secteur de l'enseignement postsecondaire au Canada. De plus en plus, les membres des gouvernements de tous les milieux politiques, tant au palier fédéral que provincial, affirment être voués à l'amélioration de la qualité et de l'accessibilité de l'enseignement dans les universités et les collèges. Cependant, les données présentées dans ce rapport démontrent que cet

engagement est rarement lié à l'appui financier requis pour raviver le système d'éducation postsecondaire au Canada qui bat de l'aile. »

23. Collette, Médard ; Beaudin, Maurice. **Plan de financement multi-années des universités du Nouveau-Brunswick 2000-2001 à 2002-2003 : soumis au ministère de l'Éducation, Province du Nouveau-Brunswick**. [s.l.] : [s.n.], 1999. 130 p.
http://www.umoncton.ca/icrdr/CESPM_FR_fin.pdf

« Même si le gouvernement provincial n'est qu'un acteur parmi d'autres au niveau du financement, il demeure le plus important pourvoyeur de fonds au niveau des opérations des universités, ainsi que pour leur développement. Le but ultime du présent rapport est de recommander un niveau minimum de financement pour les universités ainsi que pour les étudiants auquel devrait souscrire le gouvernement provincial. Il présente à cet effet les modalités ainsi que les termes du support financier requis. »

24. Finnie, Ross. **A new architecture for the Canadian student financial aid system**. *Options politiques*. Vol. 24, no 8 (Septembre 2003). P. 50-53.

« Equal opportunity of access to higher education should be a goal of an enlightened society. Unfortunately, student aid programs aren't leveraging that objective, writes Ross Finnie of Queen's University, even with all the aid programs and scholarships available in the university system. He proposes a reform of student aid that would take into account costs, the ability of students and their families to pay, and their resulting fair share of costs and appropriate subsidy. The resulting difference between costs and resources available would then be declared a student's financial need, and would comprise the amount of student aid. »

25. **Information financière des universités et collèges**. Ottawa : Association canadienne du personnel administratif universitaire
Annuel
Fait suite à : Statistiques financières des universités et collèges
LB 2342.2 C212 S797 Recherche, Science et Technologie

26. Monahan, Edward J. **University-Government relations in Ontario [Canada]: the history of a buffer body, 1958-1996**. *Minerva*. Vol. 36, no 4 (Winter 1998). P. 347-366.

« An account of the Ontario Council on University Affairs, the intermediate body established by the government of Ontario to assist in the planning and coordination of a large publicly funded university system comprised on seventeen free-standing, degree-granting institutions enrolling some 320,000 students. Now abolished, this buffer body played a key role in the development of the Ontario University System, in particular through its dealings with the Council of Ontario Universities, the voluntary association representing the collectivity of universities, and government ministries. »

27. Ontario. Groupe d'étude sur l'investissement au service des étudiantes et étudiants. **Portails et voies d'accès : examen du système d'éducation postsecondaire en Ontario : rapport du Groupe d'étude sur l'investissement au service des étudiantes et étudiants**. Toronto : Groupe d'étude sur l'investissement au service des étudiantes et étudiants, 2001.
378.1940973 O59 2001

28. **Point de non-retour : le besoin urgent de renouvellement des infrastructures des universités canadiennes**. Ottawa : ACPAU, 2000. 59 p.
LB 3223.5 C213 P752 2000 Bibliothèque administrative

« Cette étude a été commandée par l'Association canadienne du personnel administratif universitaire (ACPAU) en 1999. L'objectif était de mesurer l'étendue de l'entretien différé accumulé (EDA) sur les campus des universités. La firme de conseils RMC Resources Management Consultants Ltd. a aidé l'ACPAU à faire enquête, à interpréter les constatations et à préparer un rapport. Les constatations de l'enquête sont fondées sur les données venant de 51 universités qui groupent environ 87,5 pour cent de l'effectif étudiants. »

29. Pound, Richard W. **Tuition fees : getting what you pay for or getting your money's worth**. *Options politiques*. Vol. 24, no 8 (Septembre 2003).
P. 41-45.

« Education being a provincial jurisdiction, public policy on tuition fees and the fair share of education to be borne by students is as varied as the country itself. The Chancellor of McGill University notes that tuition fees there in the 1960s, adjusted for inflation alone, would be $4,362 today, nearly three times Quebec’s currently frozen tuition fees of $1,668, and essentially the present cost of tuition in Ontario. Whatever the cost of a university education, whatever the mix of public funding and private endowment, there needs to be a discussion of the appropriate share to be paid by students across Canada. Otherwise, suggests Richard Pound, they will eventually get what they pay for — a second-class rather than a world-class education. »

30. Sweetman, Arthur. **Funding flows by two functions : teaching and research** . *Options politiques*. Vol. 24, no 8 (Septembre 2003). P. 26-29.

« Teaching and research are viewed as both complementary and distinct roles of universities. In Canada, they are essentially funded on different bases, with teaching money coming from the provinces in their constitutional jurisdiction of education, while research funding mostly comes from the federal government. In terms of the separate funding streams, it is obvious that governments should fund teachers through institutions, but the debate arises over whether to fund research through individuals or institutions. Adopting the American model would see Canada funding individual researchers, while adhering to the British model would

see more funding of research through institutions. Arthur Sweetman examines those two models and concludes the British one comes closer to fulfilling the needs of research in Canada. »

ÉTATS-UNIS

31. Callan, Patrick M.; Finney, Joni E. ; Reeves Bracco, Kathy ; Doyle, William R. **Public and private financing of higher education : shaping public policy for the future**. Phoenix, AZ : Oryx, 1997. 246 p.
LB 2342 P976 1997 Univ. Laval Bibl. Sc. humaines et sociales

« Public and Private Financing of Higher Education provides a thorough understanding of the challenges in financing higher education in America, including: the overall health of public finance and budgeting at the state and federal levels; the trends and policy implications in the financing of higher education; and a perspective on the privatization of higher education. The book also includes chapters on changes in higher education finance from 1990÷1995 in California, Florida, Michigan, Minnesota and New York. »

32. Johnson, Sandra L. and Sean C. Rush. **Reinventing the university : managing and financing institutions of higher education**. New-York : J. Wiley, 1995. 432 p. (Nonprofit law, finance, and management series).
LB 2341 R374 1995 Univ. Laval Bibl. Sc. humaines et sociales

« Change has dramatically confronted higher education in the last decade, challenging it to its very roots. Colleges and universities have been rocked by a volatile economy, changing demographic trends, weakening public opinion, lagging state and federal support, and other forces. Leaders from the most highly respected institutions in the country have examined the important issues facing higher education today and this book offers their insights on restructuring administrative operations, new revenue opportunities, debt management, capital renewal, endowment management, and more. »

33. Lowry, Robert C. **Governmental structure, trustee selection, and [US] public university prices and spending : multiple means to similar ends**. *American Journal of Political Science*. Vol. 45, no 4 (October 2001). P. 845-861.

« Public universities located in states with governmental structures that enhance political control and universities whose trustees are selected by nonacademic stakeholders charge significantly lower prices than universities located in states with decentralized systems and universities whose trustees are selected by academic stakeholders. The difference in revenue is reflected in spending on activities that directly benefit administrators and faculty, but that may also benefit students. Different hypothetical combinations of institutions yield similar results, which suggests that the particular set of institutions adopted by each state depends on the politics of institutional change as well as the intended outcomes. »

34. Morgan, David R. ; Kickham, Kenneth ; Laplant, James T. **State support for higher education : a political economy approach.** *Policy Studies Journal*. Vol. 29, no 3 (2001). P. 359-371.

« This research examines state support for higher education by first ascertaining the amount supplied and demanded of this service. Enrollment is the most satisfactory proxy for both supply and demand. State policy is measured as expenditure effort. We estimate three time-series equations using two-stage least squares regression with data for the years 1986-1995. In the final equation, supply/demand (enrollment) emerges as the strongest predictor of state spending effort. Commitment to higher education (effort) is also especially sensitive to variations in the number of employees (per student). Employee costs clearly are a major factor in fueling increases in state higher education spending effort. State per capita income exerts a negative effect on the final dependent variable. Poor states exert greater financial effort in support of their colleges and universities than more affluent states. »

35. Zumeta, William. **Public university accountability to the [US] state in the late twentieth century : time for a rethinking?** *Policy Studies Review*. Vol. 15, no 4 (Winter 1998). P. 5-22.

« Public universities in the US are now asked by their state sponsors to provide quantitative evidence of their "performance" on pre-established measures, with results often linked to budgetary rewards and sanctions. This is a major change from historic forms of academic accountability which have largely depended upon oversight by bodies of distinguished citizens. The new approach reflects a breakdown of trust in traditional arrangements as well as broader societal influences favoring performance measurement generally. One state has legislated one hundred percent performance-funding by 2000. To preserve some autonomy in this climate, academics must participate in the debate about how they will be accountable, show how many of the proposed measurement and reward schemes are flawed, and be more attentive to the legitimate concerns of policymakers. »

ÉTUDES COMPARATIVES OU GÉNÉRALES

36. Ahier, J. **Financing higher education by loans and fees: theorizing and researching the private effects of a public policy**. *Journal of Education Policy*. Vol. 15, no 6 (November 1, 2000). P. 683-700.

« Whilst Research has looked at the effects on students of the introduction of higher education loans, the implications for their families have, for the most part, been ignored. This paper examines some of the possibilities and problems in studying the private effects of this public policy. Difficulties are identified in the use of approaches derived from family studies, research on family-education dynamics, and rational action theory. Not only does some of this work have a strong culturalist emphasis, but where economic matters are included, the significance of, and distinctions between different kinds of family financial assets tend to be ignored. The suggestion is that recent changes in the system of funding higher education in the UK are consistent with some forms of family assets and obligations, but challenge others. It is argued that the promotion of privatization, in education and elsewhere, and of individual investment in human capital, not only fails to acknowledge the importance of collective private intergenerational transfers. It also increasingly depends upon the state and the financial services working in combination. »

37. Bayenet, Benoît. **Performance et financement des universités**. *Journées de l'AFSE*, Lyon, [s.l.]: Association française de science économique, [s.d.]. 45 p.
http://www.gate.cnrs.fr/afse2002/program/com/28.pdf

« Si personne ne nie que la qualité de l'enseignement supérieur doit être récompensée ou que les ressources doivent être allouées avec la plus grande efficacité possible, ce consensus disparaît rapidement quand on cherche la manière d'évaluer et de récompenser la performance. Dans cet article, nous montrons que l'État pourrait inciter les institutions universitaires à la performance en divisant le financement en deux parties : une allocation de base (contrat implicite) qui couvre leurs activités habituelles et un ou des contrats explicites qui dépendent de la performance. L'allocation de base serait basée sur des estimations quantitatives du coût de la formation et de la recherche et devrait permettre à l'université de fonctionner correctement. Le deuxième montant serait lié à la performance relative de chaque institution et constituerait une récompense pour les institutions qui rempliraient au mieux les tâches que l'État leur a assignées. Il s'agit d'établir un contrat explicite entre l'État et les universités qui stipule les éléments pris en compte lors de l'évaluation de la performance. L'efficacité de la réglementation dépendra des techniques dont disposent les pouvoirs publics pour mesurer les performances de chaque institution. »

38. Caraca, J. ; Conceicao, P. ; Heitor, M. V. **A Contribution towards a methodology for university public funding**. *Higher Education Policy*. Vol. 11, no 1 (March 1998). P. 37-57.

« Following a system of indicators, a public funding methodology for the universities is proposed. This methodology is based on a formula and lies on the principle of differentiating universities amongst themselves according to

the indicators previously defined. These indicators were developed in order to promote academic excellence in terms of the current understanding of the mission of the university. The result is a funding methodology aiming at leading the university to the prominent role that is required in the emerging knowledge-based economies and societies. »

39. Cassidy, F. ; Murry, E. ; Forest, K. ; Carroll, B. J. ; Justman, M. ; Thisse, J.-F. **Implications of the mobility of skilled labor for local public funding of higher education**. *Economics Letters*. Vol. 55, no 3 (September 12, 1997). P. 409-412.

« Inter-jurisdictional labor mobility reduces the incentive for local public funding of education. This can be rectified by dividing the financial burden between the federal and local level, subsidizing local expenditures by inter-jurisdictional payments based on net migration flows. »

40. Combarnous, Michel. **Quelle formation, quels diplômes, quels modes de financement**. *Mondialisation et francophonie : 3e forum de l'an 2000*, Beyrouth, Liban , p. 133-139. Montréal : Agence universitaire de la Francophonie, 1998.
337.1 F745 1998

41. Howard, R. D. ; Hitz, R. ; Baker, L. J. **Adequacy and allocation within higher education : funding the work of education schools**. *Educational Policy*. Vol. 14, no 1 (January 2000). P. 145-160.

« The perception held by many teacher educators is that the commitment by colleges and universities to education programs is weak and funding for education lags far behind that of other disciplines. This perception was validated by a national study in which expenditure data for education programs were compared to those of other academic disciplines. The results of the study are presented in this article, followed by a discussion of the role a strong national accrediting body could play in support of stronger funding for teacher education programs. »

42. Jongbloed, B. ; Vossensteyn, H. **Keeping up performances: an international survey of performance-based funding in higher education**. *Journal of Higher Education Policy and Management*. Vol. 23, no 2 (November 1, 2001). P. 127-145.

« This paper presents an overview of government policies for funding higher education in 11 Organization for Economic Co-operation and Development (OECD) countries. In particular, it describes the mechanisms for funding the university sector and the extent to which the grants to universities are oriented on performance. Are universities funded on the basis of what they produce in terms of graduates and research outputs? And what is the share of public funding supplied through research councils? Although in recent

decades the attention paid to issues of efficiency, effectiveness and quality has increased, there are only few governments that explicitly link universities' resources to universities' results in the areas of teaching and research. This is illustrated by means of a graph. A number of tentative reasons for the popularity of enrollments-based funding approaches are presented in the final section of the paper. »

43. Justman, M. ; Thisse, J-F. **Local public funding of higher education : when skilled labor is imperfectly mobile**. *International Tax and Public Finance*. Vol. 7, no 3 (May 2000). P. 247-258.

« If higher education is publicly funded by local (sub-federal) jurisdictions, while skilled labor is heterogeneous in responding to wage differentials between jurisdictions, the spillovers that result give rise to a disparity between the centralized output-maximizing allocation of resources to higher education and decentralized equilibria. Generally, decentralization leads to under-provision, which can be offset by inter-jurisdictional subsidies based on gross migration flows. But the extent of the discrepancy depends on the local balance of political forces. Indeed, when the welfare of native-born emigrants is highly valued while new immigrants carry little political weight, over-provision in equilibrium is possible. »

44. Layzell, D. T. **Linking performance to funding outcomes at the state level for public institutions of higher education : past, present, and future**. *Research in Higher Education*. Vol. 40, no 2 (April 1, 1999). P. 233-246.

« This article discusses the use of performance indicators and performance-based funding by states for their systems of higher education drawing on the existing literature on the topic. The different types of mechanisms currently used by states for measuring institutional performance are described as are recent state experiences with performance indicators, including their pitfalls and limitations. Additionally, a summary of the current status of performance-based funding applications is discussed including some of the reported difficulties in implementing such funding models. Finally, the author explores the future implications of performance indicators and performance-based funding mechanisms for public higher education. »

45. Longden, B. **Funding policy in higher education : contested terrain**. *Research Papers in Education*. Vol. 16, no 2 (June 1, 2001). P. 161-182.

« Funding higher education institutions is inextricably entwined with funding student support. The contested terrain between them is a legitimate area for struggle between university, student and state, not solely for who should contribute to the cost but increasingly for the level of the contribution. Factors underpinning the decision by Gillian Shephard, who at the time was Secretary of State for Education and Employment, to establish a national committee of inquiry are identified and discussed. Policy is interpreted as a process - a dynamic process rather than product, and as a consequence the paper explores the contextual dimension of those engaged in the struggle to influence policy. The contribution and influence of educational research underpinning policy is considered. Finally the paper identifies some of the potential obstacles to the successful implementation of a funding policy for higher education. »

46. Schulte, P. **Extrabudgetary funding and institutional relationships between higher education, industry, and social partners**. *Higher Education in Europe*. Vol. 28, no 2 (July 2003). P. 189-194.

« Close co-operation between higher education institutions and industry is the best instrument for the application of research and the use of r&d outcomes in economic processes. It is the basis for the development of new products, techniques, and services. Such co-operation helps to develop the economy and society, and, therefore, to enhance structural change in regions in which higher education institutions are located. At the same time, any income earned through this process (third-party funds) for a higher education institution means that the institutional budget provided by the state can be used to meet additional challenges. A second result deriving from this form of co-operation is higher quality teaching and learning at the given higher education institution, as well as the development of innovative course programs for undergraduate, postgraduate, and continuing education. »

47. Stiles, D. R. **Higher Education Funding Council (HEFC) methods in the 1990s : national and regional developments and policy implications**. *Public Administration*. Vol. 80, no 4 (Winter 2002). P. 711-731.

« The Higher Education Funding Councils (HEFC) were established to implement a devolved higher education funding policy. Over the 1990s, HEFC funding methods evolved to reflect government aims of expanding student places and reducing unit costs, while increasing equity, access and competition as well as teaching and research quality. This analysis tests the achievement of funding council methods and resulting block grant allocations against these goals. While research funding became more influenced by research assessment exercise scores, student numbers continued to be a main force in the allocation of teaching grants. Despite variations in allocations between regions and institutional types, HEFC funding methods reinforced research and teaching funding differences between institutions. »

48. Talib, A. A. **Formula based allocation of public funds : the case of higher education research funding**. *Public Money & Management*. Vol. 21, no 1 (January 2001). P. 57-64.

« Formula funding models can be used to achieve broad objectives while maintaining the recipients' autonomy to take decisions. In order to avoid the transfers becoming a complex web of specific grants, formula funding models can incorporate a `veil of ignorance' which permits the recipient to spend the resources on a different pattern from the one on which they were `earned'. The research selectivity exercise, operated by the higher education funding council for england is one such model. This article analyses the use of formula funding to shed light on whether the outcome reflects national policy objectives. »

49. Wagner, L. **Dearing is dead - blunkett is born? The future funding of higher education**. *Higher Education Quarterly*. Vol. 52, no 1 (January 1998). P. 64-76.

« The dearing report's most substantial and rigorous piece of work on funding has been rendered irrelevant by the government's decision to adopt a different approach which dearing had not considered. Much time, effort and money could have been saved if the government had made its objectives clear before the report was finalised rather than on the day it was published. Yet the dearing chapters on funding are not wasted because they provide the case for a student contribution to tuition costs on the grounds of equity. These arguments are examined and supported in the paper. The report is criticised for missing the opportunity to argue for credit-based funding in relation to both the public and student contributions. The reasons for the government preferring its particular mix of means-tested fee and loan instead of means-tested maintenance grant are explained in terms of its political objectives. The effect of the government's proposals is that no student or parent pays more now for higher education than under existing arrangements. The extra private costs are incurred by graduates in repaying their additional loans out of their future income. Finally, the misplaced emphasis on dealing with the full-time student funding problem led the committee to give insufficient attention to other students. The adoption of a genuine lifelong learning model of higher education might have generated more relevant proposals not only on funding but elsewhere. »

50. Wasser, Henry ; Picken, Robert. **Changing circumstances in funding public universities : a comparative view**. *Higher Education Policy*. Vol. 11, no 1 (March 1998). P. 29-35.

51. Wigger, Berthold U. and Robert K. von Weizsäcker. **Risk, resources, and education : public versus private financing of higher education**. Washington, D.C. International Monetary Fund, 1999. 21 p. (IMF Working Paper; WP/99/174).
Disponible sur Internet à http://www.imf.org/external/pubs/ft/wp/1999/wp99174.pdf

« This paper develops a public education scheme that takes uncertainty aspects of private educational investments explicitly into account. In the author's framework, the social merits of public education schemes are related to the lack of markets in which students can insure against educational risks. A case is made for tuition fees that depend on the expected returns of investments in education. The consideration of uncertainty provides a neglected link between educational choice, resource endowment, and productivity growth, which may serve to redefine the public role of education financing. »

52. Zhao, F. **Impact of diversification of financing sources on higher education quality**. *Assessment & Evaluation in Higher Education*. Vol. 26, no 5 (September 1, 2001). P. 427-436.

« This paper explores the effects of diversification in financing sources upon quality of higher education. The current research found that there is no evidence indicating that a diversified financing pattern improves the current stringent financial situation of higher education. The funding deficiency has affected not only higher education infrastructure but also quality of teaching and learning. « Paying the piper and calling the tune » is clearly threatening the integrity and academic independence of higher education as sponsor funding increases. The linkages between universities and industry initiated mostly for economic and funding reasons have brought to both parties benefits as well as concerns in terms of quality. This author holds that assessment of higher education quality should go far beyond quantifiable indicators upon which funding is based. Quality of higher education should be evaluated based upon its achievement of both economic and social goals, and on both short-term benefits and long-run interest of a nation. »

EUROPE

53. Charle, Christophe. **Université et recherche dans le carcan technocratique : la nouvelle orthodoxie contre la science**. *Le Monde diplomatique*. No 546 (Septembre 1999). P. 24-25.

« Réorganisation de la recherche et de l'enseignement universitaire en France et en Europe, sur le modèle américain avec un partenariat accru entre les entreprises et les laboratoires ainsi qu'un financement plus dépendant de la rentabilité future des découvertes; analyse des effets négatifs sur la recherche et le fonctionnement des universités. »

54. Chevaillier, T. ; Eicher, J-C. **Higher education funding : a decade of changes**. *Higher Education in Europe*. Vol. 27, nos 1-2 (April 1, 2002). P. 89-99.

« The authors, two French specialists on the financing of higher education, reflect on the conclusions they drew in an article, "rethinking the financing of post-compulsory education", which they published in this review ten years ago. As they foresaw, higher education funding became increasingly based on mixed sources with students being required to pay a greater share of the costs of their education. But mechanisms to make cost sharing increasingly equitable have been refined. At the same time, the determination of actual costs per institution, per course programme, and even per course has become increasingly accurate, and funding is increasingly taking into account the verdict of performance indicators of various kinds. The funding of research is being increasingly differentiated from funding for teaching/learning. Across the board, higher education institutions have had to do more for less. »

55. Noden, P. ; Nieminen, M. ; Kaukonen, E. ; West, A. **External evaluation and the funding of universities : a comparison of the UK and Finland**. *European Journal of Education*. Vol. 34, no 3 (September 1, 1999). P. 357-371.

56. Weiler, H. N. **States, markets and university funding : new paradigms for the reform of higher education in Europe**. *Compare*. Vol. 30, no 3 (October 1, 2000). P. 333-339.

« The construct of the market is an interesting new element in the discourse on higher education in Europe. It has generated serious initiatives in deregulating higher education, in developing performance-based models of resource allocation, in fostering inter-institutional competition and efficient management structures, and even in considering the 'privatisation' of higher education. These developments affect particularly the financing of higher education, where new models of resource generation and allocation, institutional steering and controlling, and accountability are being explored. Within this context, and with a view towards the future of higher education in europe, four issues are being examined in more detail: formula funding, the mobilisation of external resources, the introduction of tuition fees, and the creation of private institutions of higher education. »

QUÉBEC

57. Beaulieu, Paul ; Bertrand, Denis ; Ayala de la Peña, Amalia. **L'État québécois et les universités : acteurs et enjeux**. Sainte-Foy : Presses de l'Université du Québec, 1999. 270 p. (Enseignement supérieur; 10).
379.122409714 E83 1999

« Les auteurs définissent le système universitaire et s'efforcent d'identifier au sein de celui-ci les domaines d'intervention de l'État. Ils resituent les rapports de l'État et du monde universitaire au cours des trente dernières années en retraçant la place occupée par les politiques scientifiques et technologiques québécoises et canadiennes. Ils comparent les tendances des

politiques publiques au Canada et aux États-Unis et les changements survenus dans les systèmes universitaires européens. Ils analysent, ensuite, la démocratisation et le financement des universités et évaluent le rôle des directions des établissements et de l'État dans la planification du réseau. Finalement, ils présentent une réflexion prospective sur un nouveau partenariat à établir entre État et monde universitaire. »

58. Marcotte, Étienne ; Serge Leroux. **Pour un nouveau modèle de financement des universités**. Montréal : Fédération étudiante universitaire du Québec, 2003. 31 p.
379.11809714 F111 2003

59. Ministère de l'Éducation. **Rapport du groupe de travail sur le financement des universités**. [s.d.?]. Site Web, [accédé : 4 novembre 2003]. URL : http://www.meq.gouv.qc.ca/ens-sup/ens-univ/rap_fin/docum.asp

Table des matières : Première partie : Contexte du rapport; Rappel de la dynamique des règles de financement gouvernemental des universités; La portée du mandat; Le rythme des compressions budgétaires et le niveau de financement; L'enseignement universitaire québécois dans le contexte international; Le nombre de professeurs; Les déficits de fonctionnement. Seconde partie : 1. Le mandat 1.1. Le financement du service de la dette des immobilisations 1.2. La rationalisation des activités d'enseignement 2. Les questions plus précises du mandat 2.1. Le financement des variations d'effectifs étudiants 2.2. Les programmes conduisant à l'obtention d'un certificat et les autres programmes courts 2.3. Le niveau des cours 2.4. La diminution de la durée des études et les abandons 2.5. La diplomation 2.6. Les secteurs de disciplines et les cycles d'études 2.7. Les établissements situés dans les régions périphériques 2.8. L'utilisation des nouvelles technologies de l'information et des communications 2.9. La recherche 2.10. Les fonctions d'enseignement et d'encadrement dans la tâche des professeurs 2.11. Les revenus autonomes en provenance des fonds de dotation et des fondations 2.12. La limitation des transferts entre les différents éléments de la subvention. Conclusion. Liste des tableaux.

60. Québec (Province). Ministère de l'éducation. **Politique québécoise de financement des universités**. Québec : Ministère de l'éducation, 2000. 19 p
Disponible sur Internet à http://www.meq.gouv.qc.ca/ens-sup/ens-univ/financement/1410-43.pdf

« La présente politique décrit les principes d’une nouvelle formule de répartition des subventions entre les établissements qui tient compte des orientations générales de la Politique québécoise à l’égard des universités et des divers aspects de la réalité universitaire. »

61. Turcotte, Stéphane. **À propos du financement des universités et des droits de scolarité au Québec**. *Options politiques*. Vol. 24, no 10 (Novembre 2003).

P. 73-77.
Disponible sur Internet à http://www.irpp.org/po/archive/nov03/turcotte.pdf

« En matière de droits de scolarité, les étudiants québécois jouissent d'une situation unique au Canada et en Amérique du Nord. Gelés à un peu moins de 2 000$, ces droits ne comptent que pour 10,9 p. 100 des revenus des établissements, contre 19,7 p. 100 en moyenne dans le reste du pays. Alors que le niveau de fréquentation des universités tend à progresser et devant la nécessité pour les établissements de disposer d'un financement adéquat pour répondre à la demande tout en demeurant concurrentiels face à leurs vis-à-vis ontariens et américains, il devient urgent de s'interroger sur la part de la facture qui doit être assumée par chacun des acteurs en jeu, nommément l'État, les étudiants et le secteur privé. Parce que la question du financement des universités est indissociable de celle des droits de scolarité, il devient urgent d'expliciter une politique générale des universités qui tienne compte de la part des coûts réels reliés aux études que devrait assumer l'étudiant lui-même. »

62. Turenne, Martine. **Comment sauver les universités [québécoises]**. *L'Actualité*. Vol. 24, no 18 (19 novembre 1999). P. 31-42, 57-62.

« L'université assassinée, p. 32-42. Dix solutions pour financer les universités, p. 57-62. »

ROYAUME-UNI

63. Atallah, Gamal ; Boyer, Marcel. **Le financement et l'évaluation de la performance des universités : l'expérience anglaise**. [s.l.] : [s.n.], 2002. (CIRANO Project Reports; 2002rp-14). Disponible sur Internet à http://www.cetech.gouv.qc.ca/site/documents/financement%20université.pdf

« Le but de notre rapport est d'examiner les modalités d'évaluation de la performance des universités au R.U. , avec le but d'en tirer des leçons qui pourraient servir à adopter une évaluation plus explicite de la performance dans d'autres pays. […] Les Pays-Bas et l'Allemagne ont déjà commencé à s'inspirer du système d'évaluation du Royaume-Uni. »

64. Barr, Nicholas. **Financing higher education: lessons from the UK debate** . *The Political Quarterly*. Vol. 74, no 3 (July 2003). P. 371-381.

« Though directly an assessment of the 2003 White Paper on higher education in England and Wales, this paper offers analysis and strategic conclusions that apply to all advanced countries. After introductory discussion, successive sestions weigh up current arrangements (generally unfavourably), assess the White Paper strategy (generally favourably), and discuss the follow-up actions necessary to ensure that the strategy works. A concluding section stresses political leadership, portrays two constracting futures, and summarises broader lessons for policy design. »

65. Greenaway, D. ; Haynes, M. **Funding higher education in the UK : the role of fees and loans**. *The Economic Journal*. Vol. 113, no 485 (February 2003). P. F150-F166.

« Higher education has undergone considerable expansion in recent decades in a number of OECD countries. Expansion has been especially dramatic in the UK where aggregate student numbers have doubled in 20 years. However, over the same period, funding per student has halved in real terms. In the UK as well as in other countries, most notably Australia, innovation to diversify the funding base has taken place. This has included a limited role for fee contributions. This paper makes the case for much greater reliance on fee contributions from students, accompanied by a greater availability of income contingent loans. »

66. Johnes, G. **Multi-Product cost functions and the funding of tuition in UK universities**. *Applied Economics Letters*. Vol. 3, no 9 (September 1, 1996). P. 557-561.

« A quadratic multi-product cost function is estimated for UK universities prior to the abolition of the binary divide. The arguments of the function include linear and interaction terms in undergraduate tuition, postgraduate tuition and research, and in each case these are separately identified for the (broadly defined) arts and sciences. The preferred specification is used to evaluate ray economies of scale, product-specific economies of scale and economies of scope. Estimates of average incremental costs are also provided. Results from ols and stochastic frontier methods are compared. »

67. **New ways of working : the Higher Education Funding Council for England**. *Competency & Emotional Intelligence Quarterly*. Vol. 7, no 2 (December 1, 1999). P. 8-11.

« Katherine Adams examines how this important Government Agency is using competencies to encourage new ways of working. »

68. Sizer, J. ; Howells, L. **The Changing relationship between institutional governance and management in the United Kingdom: a Scottish Higher Education Funding Council perspective**. *Tertiary Education and Management*. Vol. 6, no 3 (2000). P. 159-176.

« The changing relationship between institutional governance and management in the United Kingdom arising from the second report of the Committee on Standards in Public Life, the United Kingdom National Committee of inquiry into higher education, and from significant increased government expenditure on higher education is examined. The framework of accountability within which higher education institutions operate is related to these reports. The Scottish Higher Education Funding Council's (SHEFC) perspective of the role of the governing body is examined and contrasted with Bargh, Scott and Smith's research on governing bodies. Both SHEFC's perspective and Bargh et al.'s research are also contrasted with, and related to, a number of National Audit Office (NAO) reports and also to professor sizer's investigation and the NAO report into allegations of misconduct at glasgow caledonian university (1998). Finally, the paper draws conclusions on the changing relationship between governing bodies and managements, on the requirement on governing bodies to demonstrate that they are appropriately constituted and operate effectively as corporate bodies, and on how these are reflected in the SHEFC code of good practice and good practice benchmarks. »

69. Stiles, D. R. **Higher Education Funding patterns since 1990 : a new perspective**. *Public Money & Management*. Vol. 20, no 4 (October 2000). P. 51-57.

« Conventional wisdom is that the restructuring of UK universities in 1992 has had significant effects on the pattern of funding. This perception is challenged in this article by an analysis of aggregated HEFC data since 1990. The extent of the higher education funding squeeze is evident, but this can be seen as the intensification of a trend from the 1980s rather than a major policy redirection. Institutional consolidation in the sector has been minimal, with HEFC policies serving to reorganize the existing number of institutions under a single funding umbrella rather than creating new institutions or forming widespread mergers and closures. Petrifaction is also apparent in the continuing gap between pre- and post-1992 universities in terms of real research income per student capita. This is of particular interest for higher education institutions preparing for the 2001 research assessment exercise. »

70. Wolf, A. **Funding the UKs universities**. *Public Money & Management*. Vol. 23, no 3 (July 2003). P. 131-132.

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