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**THEORETICAL AND METHODOLOGICAL BASES OF THE INTRODUCTION OF INNOVATIONS IN  
THE MANAGEMENT SYSTEM OF EDUCATIONAL INSTITUTIONS  
ТЕОРЕТИКО-МЕТОДОЛОГІЧНІ ОСНОВИ ВПРОВАДЖЕННЯ ІННОВАЦІЙ У СИСТЕМІ  
УПРАВЛІННЯ ЗАКЛАДАМИ ОСВІТИ**

Фу Яньцзюнь  
Теоретико-методологічні основи  
впровадження інновацій у системі  
управління закладами освіти. *Український  
журнал прикладної економіки та техніки.*  
2022. Том 7. № 3. С. 311 – 317.

Fu Yanjun Theoretical and methodological bases  
of the introduction of innovations in the  
management system of educational institutions.  
*Ukrainian Journal of Applied Economics and  
Technology.*  
2022. Volume 7. № 3, pp. 311 – 317.

*Метою статті є теоретико-методичний аналіз основних теорій щодо управління закладами освіти та перспективи впровадження інновацій у цей процес. У роботі використані такі методи дослідження як: системний аналіз та оглядово-аналітичний. Досліджено чотири основні теорії управління. Визначено їх переваги та недоліки, які враховують специфіку діяльності закладів освіти Китаю та інших країн. Теорія ієрархії наголошує на відмінності розподілу праці на різних рівнях управління закладами освіти. Наголошується, що при побудові інноваційної системи управління слід враховувати розмір закладу, розподіл предметів і дисциплін, формування організаційної системи з ефективним контролем та координацією на нижчих рівнях. Теорія людського капіталу має велике значення у контексті обговорення функцій закладів освіти і напрямків впровадження інновацій у систему управління. Розуміння соціальної цінності є важливою основою для визначення функції коледжів і університетів. Повне усвідомлення відмінностей між потребами у людському капіталі та динамізмом розвитку економічних систем визначають масштаб професійного розвитку закладів освіти та всього суспільства. Відповідно теорії конкурентоспроможності, управління закладами освіти не може копіювати набір інноваційних методів управління на підприємствах реального сектору економіки. Впровадження інновацій у систему управління закладами освіти повинно зосередитися на викладанні, наукових дослідженнях та покращенню якості освіти. Наразі досягнуто значного прогресу у реформуванні системи інноваційного управління у коледжах та університетах, але реформа зосереджена в основному на розподілі функцій та системній інтеграції в коледжах та університетах, тоді як першочергова увага повинна приділятися навчанню та науковим дослідженням. Констатується, що кожна з теорій не є ідеальною і не може бути впроваджена у чистому вигляді. Проте, беручи найкраще з кожної теорії, можна побудувати ефективну систему управління, яка буде враховувати джерела фінансування закладу освіти, його структуру, розмір, наукові дослідження, рейтинги та інші фактори, у чому і полягають перспективи подальших досліджень.*

**Ключові слова:** інноваційний розвиток, управління, заклади освіти, інтелектуальний капітал, ієрархія, конкурентоспроможність, економічний розвиток.

*The article's purpose is a theoretical and methodological analysis of the main theories regarding the management of educational institutions and the prospects of introducing innovations into this process. The work uses research methods such as system analysis and survey analysis. Four main theories of management were studied. Their advantages and disadvantages are determined by considering the specifics of educational institutions' activities in China and other countries. Hierarchy theory emphasizes differences in the division of labor at different levels of management of educational institutions. It is emphasized that when building an innovative management system, one should consider the size of the institution and the distribution of subjects and disciplines and form an organizational system with adequate control and coordination at lower levels. The theory of human capital is of great importance in discussing the function of educational institutions and directions for introducing innovations into the management system. An understanding of social value is an essential basis for determining the function of colleges and universities, a full awareness of the differences between human capital needs and dynamics, intelligent functions in colleges and universities and the development of higher education policies, intelligently defining the scope of professional development is essential for the healthy development of the entire education system and the whole society is also helpful. According to the theory of competitiveness, the management of educational institutions cannot copy a set of innovative management methods at enterprises in the real sector of the economy. The introduction of innovations in the management system of educational institutions should focus on teaching, scientific research, and improving the quality of education. So far, significant progress has been made in reforming the innovation management system in colleges and universities. However, the reform focuses mainly on dividing functions and system integration into colleges and universities, while the primary focus should be teaching and research. Each of the theories could be better and can be implemented. However, by taking the best of each theory, it is possible to build an effective management system that will consider the educational institution's funding sources, its structure and size, and other factors.*

**Keywords:** innovative development, management, educational institutions, intellectual capital, hierarchy, competitiveness, economic development.

## Introduction

A people-oriented, comprehensive, balanced, and sustainable scientific development view is in the process of contemporary social development in China has become an increasingly important position and role of the human subject, especially on the one-sided pursuit of economic growth development comes at a cost to the reflection-based put forward a new idea of development, reflects the new understanding of development issues in China. Creating a scientific view of talent is an essential requirement of implementing the strategy of reinvigorating the country through talent and a concrete embodiment of implementing the scientific view of development. As China continues to publicize, study, and thoroughly implement the Scientific Outlook on Development, the principle of «putting people first» has been deeply rooted in the hearts of the Chinese people and has greatly influenced all undertakings in China. In the process of the reform of the management mechanism of colleges and universities, more and more people have realized that the basic idea of deepening the reform of the management mechanism of higher education in China is to carry out the principle of «people-oriented» and implement humanistic management of colleges and universities. It is an essential part of China's higher education reform mechanism to adhere to the principle of people-oriented management and realize the innovation of local university management mechanisms.

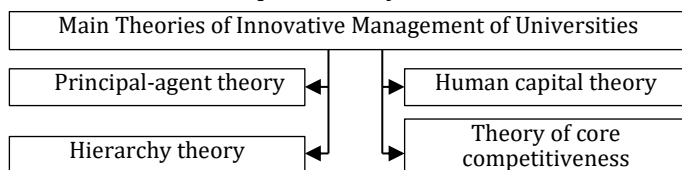
Analysis of recent research and publications. Theoretical and methodological aspects, problems and prospects of using fundamental concepts in the management of educational institutions are devoted to the works of scientists and practitioners, in particular Biyase M., Kirsten F. [1], Chi W., X Qian [2], Feng H., Wang Q. [3], Huang J.Y., Wang J.M. [5], Ingars E. [7], Qi Y.G. [10], Wang T.Y. [12]. However, in scientific works, more attention should be paid to implementing innovations in the management of educational institutions in China.

### Formulation of the goals of the article

The purpose of this scientific article is to study the main theories of management with an emphasis on the specifics of educational institutions, to find differences in the management of educational institutions and ordinary enterprises, as well as to outline the leading prospects for the introduction of innovations in the management of universities.

### Presentation of the main research material

Higher education system reform mainly revolves around two lines: one is the reform of the macro level, mainly the higher education system, and the adjustment of education structure, including the management system of colleges and universities, educational system, financing system, the recruitment of students employment system and the adjustment of subordinate relations in colleges and universities, colleges and universities merger of running a school, the relationship between government and universities, etc.; Second, the reform at the micro level, mainly the reform of the internal management system of colleges and universities, such as streamlining the organization and changing the mechanism; Reducing staff and increasing efficiency, and diverting redundant staff; Full employment and equal competition; Logistics services, social and so on. These two levels are interrelated and complementary.



**Fig. 1. Main theories of innovative management of universities**

Let us consider four main theories of innovative management of universities.

First – principal-agent theory. From the perspective of ideological origin, principal-agent theory can be traced back to Adam Smith. In his book «The Wealth of Nations», argues that shares a manager in a company, rather than their wealth created by

others, could not expect their alertness, such as private partners, to manage the enterprise; therefore, in the enterprise operation and management negligence and wasteful to act is always prevalent. This involves the agency problem, revealing the potential inconsistency of interests between managers and investors. At the beginning of the 20th century, with the emergence of many open companies, the principal-agent problem became more abrupt. Therefore, In Modern Corporation and Private Property, Burleigh and Means (1937) bluntly stated that the increase of managers' power risks harming the interests of the owners of capital. They argue that the continued separation of ownership and control may allow managers to pillage companies. Since then, many economists have studied how principals, namely managers, can effectively control and supervise agents' behavior.

The essence of the agency problem is the separation of ownership and control, which means that essential decision-making agencies do not bear the behavioral consequences of their decisions; that is,

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the decision-making function and risk-bearing function are separated. Of course, the degree of separation varies among different types of companies, such as open corporations and closed Corporations. The former is always more significant than the latter. In addition, due to the difference in the degree of separation of the two rights, the corporate governance structure of the two types of companies is also very different. For example, in terms of internal decision-making systems, a closed company can combine decision management and decision control and control them in the hands of some agents. The primary reason is that in some small and uncomplicated organizations, Important expertise required for decision management and control is often concentrated in one or several agents to whom decision control and management can be efficiently assigned. Of course, in this state, the residual claimant may not be able to resist the agent's opportunistic behavior. This means there is an agency problem. A feasible solution to this problem is to allocate residual claims directly to these important decision-making bodies, replacing costly control measures that limit decision-making bodies' autonomy, thus maintaining a balance between autonomy and the binding force of corporate decision-making bodies.

Unlike closed companies, open companies must separate decision management and decision control to control and solve agency problems effectively. The main reasons are as follows: First, the role of professional knowledge. Open the company as a complex organization; its essential characteristics are associated with different decisions scattered professional knowledge in the organization, and decision-making management decentralization is granted rights to have relevant professional knowledge organization can reduce the cost of decision-making, and the resulting agency problems by separation of decision management and decision control to reduce; Second, the role of scattered residual claims. In large open companies, the residual claims are scattered in many institutions; if all these institutions participate in decision-making and control, the cost will be huge, the residual risk-bearing and decision-making control must occur, and the resulting agency problems can define institutions of power (such as decision-making control and management phase separation) and controlled. Therefore, in these large open companies, the benefits from decentralized residual control and the separation of decision-making function and residual risk-taking are generally more significant than the agency costs caused by these two situations. Third, the role of the board of directors and the decision-making bureaucracy. In an open company, residual claimants delegate internal control to the board of directors. Residual claimants generally retain approval authority (through shares) on selecting directors and auditors, mergers and new issues, and other management and decision-making functions delegated to the board. Boards then delegate most of the decision-making management functions and decision-making control functions to internal bodies, retaining only ultimate control over them, including approval of significant policy proposals and the appointment of senior management managers. Such a hibernation mechanism in the decision-making process helps to prevent organizations at all levels of the company from taking actions that benefit themselves at the expense of the interests of the remaining claimants.

Second – Hierarchy theory. The theory of hierarchical management is a branch of the classical organizational school. It was first proposed by German sociologist and management thinker Max Weber. Through analyzing the relationship between traditional authority, charismatic authority, and legal-rational authority, Weber believes that the bureaucracy based on legal-rational is the most effective organizational model. In his book *The Social and Economic Organization Theory*, Weber, from the Angle of sociology, analyzes the nature of the administrative organization and function and puts forward some basic views of the hierarchical management theory, mainly including:

- 1) The division of labor and specialization, the establishment of the organization started with duties division; each department here has several jobs, and every job should be professional;
- 2) In power stratification, an organization, according to the principle of hierarchy, has a line of power from the top to the grassroots. Each level has different responsibilities and powers. This system is called the bureaucratic system.
- 3) Qualifications: The personnel of each position must be competent. The organization defines the qualifications and conditions for each position as «law» and the standards and methods for implementing the assessment. Bureaucracy management is the objective requirement of industrial and commercial economic development after the Industrial Revolution. This rational organization based on a responsibility system and centered on power has a very positive significance in improving the work efficiency of administrative organizations.

From the 1960s, American educational management scientists and school organization researchers began to try to explain the problems of school organization by using the concept of hierarchical organization. Since then, the hierarchy theory has greatly influenced the establishment of

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the internal management mode of colleges and universities. Educational management scientists and school organization researchers have three different views on the applicability of hierarchy theory in educational management.

Although people have different views on the hierarchy theory, it does have a tangible impact on educational management: many Western countries have established a management system that connects the top and the bottom with a clear division of labor in the education system; the state entrusts educational organizations at all levels with clear responsibilities and powers through laws, regulations, and policies. The school has established a perfect administrative management organization network, the functional departments are well organized, the division of labor is clear, and there are standard working procedures. Leaders at all levels should often assess the work efficiency of their subordinates and decide their promotion according to their ability and achievements, etc. Should admit, Weber, and then be incorporated into the thought of some sociologists education management, education management research produced a significant influence on the way of thinking, significantly broadened the horizons of education management, made people realize that the school should be as complicated organization to study, after the '60 s, Europe and the United States education increasing showed strong interest in hierarchical organization, It further brings educational researchers into more direct contact with sociologists, and at the same time guides educators closer to the research track of general management. The study of hierarchical organization also shifts the focus of educational management thinking away from the informal aspects of interpersonal relationships and organizational life. It emphasizes the importance of understanding the formal organizational nature of schools. This process makes the researchers of educational management more aware of the problems of power, general rules, and organizational dysfunction.

The research on hierarchical organization does provide a new strategic idea for higher education management to understand the structural relations and power relations within formal organizations like colleges and universities, which has specific reference significance for the current research on higher education management theory and the innovation of higher education management system mode.

The management of higher education should have distinct levels and a reasonable span. The hierarchy theory emphasizes the distinct management levels, and the division of labor is different with the different levels of higher education management. Therefore, the educational administrative departments and the various management levels of colleges and universities should have a clear and reasonable distribution of duties, responsibilities, and rights to straighten out the relationship. According to the law, what should be managed at all levels, to what extent, how should management be managed, and how should management strive to overcome the blindness and randomness of management, to improve the effectiveness of management, and to improve the quality and efficiency of running schools? At the same time, the level of the higher education management must also pay attention to the problem: a reasonable span too small will span over the ability of managers, appear power out of control phenomenon, an excessive level will command ineffective information transmission slowly, therefore, should consider the development of school size, subject distribution, and the humanities, identify a specific management mode, Form an organizational system with effective macro control and effective micro coordination.

Division of labor and integration are the most fundamental contradictions in management practice. According to the hierarchy theory, a university is a complex organization with an apparent hierarchy structure; that is, a university is composed of the president, administrative staff, teachers, students, and other relevant personnel. They have a strict division of labor between each other; there are significant differences in status, role, and responsibility. The degree of refinement and rationalization of the division of labor is the most critical determinant of the efficiency of human resources utilization in higher education and the most important index to determine whether an educational system structure is scientific. However, we also find that with the improvement of the division of labor and the deepening of disciplinary differentiation it is difficult for colleges and universities to make satisfactory progress in all disciplinary fields, so they can only choose some advantageous disciplines to develop. Therefore, it is necessary to integrate the human resources of colleges and universities while dividing the labor. Modern management studies show that with the refinement of the division of labor, the difficulty of system integration is increasing, and the integration cost is also rising. One of the essential goals of internal management in higher education is to determine the boundary of division of labor and integration according to the difference of organizational scale to achieve the maximum benefit of educational management.

Next – Human capital theory. The theory of human capital arose in the late 1950s and early 1960s and still dominates the economic theories of education in the world and influences the policies of

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educational development in various countries, especially the formulation of educational investment policies. Human capital theory mainly uses the cost-benefit analysis method to analyze the personal rate of return and social rate of return of education cost, fully affirms the economic value of education, and expounds the positive correlation between education development and economic development. Theodore W. Schultz, the founder of human capital theory, also widely used this theory to discuss higher education problems and had a far-reaching influence in practice. There is a fundamental point in Schultz's human capital theory: the higher the level of education a person receives, the greater the personal and social benefits will be. Therefore, it can be inferred that the economic benefits of higher education are greater than those of secondary education, and the economic benefits of secondary education are greater than those of primary education. At the same time, he also believes that the economic value of higher education is much higher than that of other education because it has three functions: talent discovery, teaching, and research. However, the research on the economic value of higher education is usually too much on the research of teaching activities, although the value of research has been recognized. However, insufficient attention and the value of talent discovery are seriously ignored. Schultz's research on the economic value of higher education and education is unprecedented in depth and breadth. The significant development of world higher education in the 1960s and 1970s, in addition to the influence of economic, political, cultural, and demographic factors, the theory of human capital has been deeply rooted in people's minds and undoubtedly played a role in promoting it.

From the experience of human capital theory, we can get such enlightenment: education plays a role in social development, and it is very significant, but the play of this role is based on the degree of education and social needs as a prerequisite. When the products provided by higher education cannot meet or exceed the needs of society, the role of education (including higher education) in social development is often limited. In other words, we can neither deny the significant role of education in social development nor regard education as omnipotent. Some scholars think that the research on educational function still lingers in the normative stage of what education «should» or «must» have or in the speculative stage of education serving social development and overall human development. When discussing the positive function of education, most scholars did not make do restrictions; that is, they did not explain the conditions that the positive function of education must be released or developed, and they did not explain that the positive function of education has its limits.

Therefore, the experience of human capital theory has great significance for us in discussing the function of universities and the development direction of universities. The understanding of social value is the critical basis for determining the function of colleges and universities; fully aware of the differences between human capital requirements and dynamics, the reasonable functions in colleges and universities, and the development of higher education policy reasonably determine the scale of professional development is essential, for the healthy development of the whole education system and the whole society, is also beneficial.

The last theory is the theory of core competitiveness. Core competence, also known as core competence, is an essential branch of strategic management theory, first proposed by American scholars C.K. Prahalad and Gary Hamel in 1990. They believe that «core competitiveness» is a collection of skills and competitiveness, a «disorderly accumulation of learning» that contributes to the success of enterprise competition, and a copy of potential resources that constitute the advantages of enterprise organization. Core competitiveness theory wholly changed in the 70 s before the advent of the «target F diameter method» of traditional ideas of management; the management decided to act before questioned whether they should formulate a strategy, thought management action logic should be «do not development plan first and then get ability, on the contrary, should first establish ability, and then encourage the development of programs to develop those capabilities».

Application of core Competence theory in internal management of colleges and universities. It is one of the ultimate goals of the development of higher education to train qualified talents needed by society and contribute exemplary scientific research achievements, while competitive advantage is the main form of realizing the development goals of colleges and universities. Here, the rational allocation and effective use of educational resources are the basis and premise of forming competitiveness. At the same time, cultivating core competence is the key to forming competitiveness, and the two complement and promote each other.

In terms of the efficiency of resource allocation, the planned economy system to form education resource allocation and use of the principle has exposed more and more disadvantages, dispersion, low teaching quality, and education investment scale of some problems existed in different degrees affect the further development of higher education reform, restricting the full play of the enthusiasm and

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creativity of running colleges and universities. At the same time, in the possession and use of resources, the closed and backward concepts of «for my use» and «equal distribution» are still viral, seriously restricting the socialization of educational resource use. Therefore, it is necessary to follow the law of the market economy and carry out the principle of «giving priority to benefit and giving consideration to fairness».

In terms of the cultivation of core competitiveness, on the one hand, we should emphasize the role of the «survival of the fittest» mechanism, ensure that the disciplines and specialties urgently needed by economic construction are «satisfied», support a group of promising new disciplines and specialties to form scale as soon as possible, so that the existing colleges and universities form their characteristics at different levels and in different types. On the other hand, we should break through the concept of «static value», focus on the «dynamic effect» of resources, and devote ourselves to building core competencies that can help improve the competitiveness of colleges and universities, such as environmental atmosphere, cultural tradition and organizational mechanism with its characteristics, and stimulate the team spirit of employees through management and practice cultivated by core competencies. Promote the reform of university development from development - diffusion - concentration - deepening - renewal.

Of course, schools are not enterprises; talent training is different from material production; the management of educational resources cannot copy the set of management methods of production and investment, put teaching and scientific research in the center of the reform of the internal management system of colleges and universities. At present, significant progress has been made in the reform of the management system in colleges and universities. However, the reform focuses mainly on the division of functions and system integration in colleges and universities. At the same time, the attention to teaching and scientific research needs to be increased. Therefore, when cultivating core competitiveness, we should focus on teaching, scientific research, and promotion and make great efforts to improve the quality of education and more scientific research achievements.

### **Conclusions and prospects for further research**

In the development process, it is essential to introduce innovations into the management process of China's educational institutions. The level of innovation implementation in the management system depends on the regional affiliation of the educational institution, its size, and subordination.

In this scientific article, we considered the main theories that can be put forward to form an innovative management system for educational institutions. Each of the theories could be better and can be implemented. However, by taking the best of each theory, it is possible to build an effective management system that will consider the educational institution's funding sources, its structure and size, and other factors.

Hierarchy theory emphasizes different levels of management, and the division of labor is different at different levels of higher education management. Thus, educational administrative departments and various levels of college and university administration should have a clear and reasonable division of duties, responsibilities, and rights. Therefore, it is necessary to consider the development of the size of the school, the distribution of subjects, and humanitarian disciplines to determine a specific management regime to form an organizational system with adequate control and coordination at lower levels.

The experience of the human capital theory is of great importance for us in discussing the function of universities and directions for introducing innovations into the management system. An understanding of social value is an essential basis for determining the function of colleges and universities, a full awareness of the differences between human capital needs and dynamics, intelligent functions in colleges and universities and the development of higher education policies, intelligently defining the scope of professional development is essential for the healthy development of the entire education system and the whole society is also helpful.

Of course, educational institutions are not enterprises; the training of talents is different from material production; the management of educational resources cannot copy a set of innovative methods of production and investment management and put training and scientific research at the center of the reform of the internal management system of colleges and universities. So far, significant progress has been made in reforming the innovation management system in colleges and universities. However, the reform focuses mainly on dividing functions and system integration into colleges and universities, while the focus is on teaching and research. Therefore, while cultivating core competitiveness, we must focus on teaching, research, and promotion, improving education quality and more extraordinary scientific research achievements.

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Стаття надійшла до редакції 27.10.2022 р.