INTRODUCTION

1. Rationale for this dessertation

Higher education is the highest learning and training level of a national education system. In the trend of the globalization, international integration and the development of knowledge-based economy today, higher education is strongly affected by new approaches and faces up to the challenges. The renewal of higher education is essential to ensure intellectual independence, to create and advance knowledge, and to educate and train responsible, enlightened citizens and qualified specialists, without whom no nation can progress economically, socially, culturally or politically [70]. As the Declaration of the World Conference on Higher Education Higher Education in the Twenty-first Century Vision and Action (Paris, 5–9 October, 1998) emphasizes, since society is "increasingly knowledge-based (...), higher education and research now act as essential components of cultural, socio-economic and environmentally sustainable development of individuals, communities and nations." [70] The development of higher education must therefore feature among the highest national priorities.

An university president is a person at the forefront to lead or guide the renewal and to implement the missions of his/her university. The university president is a key person with an important responsibility for guiding the academic and professional development, scientific research, technology transfer and the overall activities of the university, also a person to make important decisions affecting to the university's development and survival, especially when the mechanism of autonomy, self-responsibility and empowerment has been recognized and appeared in reality, and when the renewal of higher education has become a global trend.

The resolution on substantial and comprehensive renewal of higher education of Vietnam in the period of 2006-2020 determines some achievements of higher education, which have not been accomplished steadily, fundamentally systematic, not met the requirements of industrialization and modernization of the country, the learning needs of the people and international integration requirements in the new periods. Latest, Resolution No. 29 of the Vietnam Party Central Executive Committee dated 04/11/2013 on substantial and comprehensive renewal of education and training determines the capacity building of teachers and managers to meet the requirements for a renewal is a task and a fundamental solution of the current education renewal [17].

Only in Hanoi, there are nearly 165 universities and colleges with 21.000 managers and lecturers (including 7.600 Masters, 2.700 PhDs and Doctors of Science, over 1.200 Professors and Assistant Professors) conducting activities of scientific research and training for nearly 500 thousands of students at all levels. The capacity of university presidents, in fact, met basically the needs in term of

quantity but not adequately in structure, especially the growth of qualifications, administration and managing competence is to meet the requirements of a substantial and comprehensive renewal of higher education in a new context.

Annually, higher level management agencies and universities assess and evaluate university presidents, but in a limited most common criteria reviewed incomprehensively and in a limited scope. On the other hand, the capacity buiding of university presidents has not really been recognized as a key strategy with a long-term vision and systemmatical development solutions by the State management agencies of higher education.

The innovation and development of higher education in the period of industrialization and modernization of the country, the strong development of the knowledge-based economy, the deeper and growing international integration, and the increasing impacts of market mechanisms requires an in-depth study of the capacity buiding of university presidents with a suggested theoretical and practical issue system to recommend solutions to improve the university president capacity buiding. Therefore, the authors have decided to study a thesis titled *"Capacity buiding of university presidents in Hanoi toward competence-based approach"*.

2. Purpose of research

This research aims to suggest solutions to capacity buiding of university presidents toward competence-based approach, which will contribute to an increasingly quality improvement of university presidents in Hanoi in a context of a substantial and comprehensive renewal of higher education of Vietnam today.

3. Subject and object of research

3.1. Subject of research: University president capacity buiding.

3.2. Object of research: Solutions to capacity buiding of university presidents in Hanoi toward competence-based approach.

4. Hypothesis of research

The research-based suggestion and application the solutions to capacity buiding of university presidents toward competence-based approach on the basis of competence framework with standards and criteria for professional position; and at the same time, the implementation of capacity building solutions, such as planning, training, selection and effective using will help improve the presidents' management and leadership, and contribute to the universities' development for a renewal of the current higher education.

5. Tasks of research

5.1. Completing a theoretical research on capacity buiding of university presidents toward competence-based approach.

5.2. Implementing a practical survey on the capacity of university presidents and the university president capacity buiding in Hanoi toward competence-based approach.

5.3. Recommending the solutions to capacity buiding of university presidents in Hanoi toward competence-based approach. Also, conducting an experimental research on predetermined solutions to evaluate their necessity and feasibility.

6. Scope of research

6.1. Content

Focus on capacity buiding solutions of **university presidents** *(or university heads, who lead and manage the universites)* **toward competence-based approach**.

6.2. Placement and participants of survey

- 3 groups of 14 universities in Hanoi: (1) Teacher Education and Training Science (5214): 03 univ.; (2) Humanality (5222) and Social and Behavioral Science (5231): 06 univ.; (3) Technical Technology (5251): 05 univ.

- Participants of survey: 331, including: Management Board (President and Vice-President): 42; Office Head/Vice-Head: 48; Faculty Dean/Vice-Dean: 32; Section Head/Vice-Head: 22; Lecturers: 159; Staff: 28.

7. Research methodology and methods

7.1. Methodology

- Dialectical materialism and historical materialism; - Approach to system; - Approach to competence/competency; - Approach to human resource management.

7.2. Research methods

7.2.1. Theoretical research methods

7.2.1. Practical research methods

- Survey (using questionnaires); - In-depth interviews; - Experience summation; - Experts; - Testing; - Test.

7.3. Supporting methods

Using mathematical statistics, SPSS software to enter and process data.

8. Defensive issues

- Personnel is the origin of all the work. A university president plays a key leadership role to build and develop a vision, missions, values and strategic actions of the university to realize the missions of the school in the education and training system, to meet the requirements of socio-economic, science and technology development of the country and localities. University president capacity buiding is considered a foremost key task in the leadership and management of human resource development for higher education.

- The capacity building of president universities with a participation of management and leadership stakeholders of the Party and the management bodies of the State of higher education at all levels (MOET, managing ministries, municipal/provincial People Committees, ...). In a coordinating management and leadership mechanism of this development, each stakeholder has its role and impact in line with the responsibility undertaken. Finding solutions in common and specific adequate solutions haves an important contribution to build presidents with qualities, qualifications and cabilities to lead the university development in the context of fundamental and comprehensive renew of higher education.

- Strengthening to lead an innovation of planning and effectively direct the planning, building a competence framework for university presidents including standards and criteria as a basis for recruitment, appointment based on a scientific process, and also strengthening the training and retraining of capabilities, qualities, and political fields are considered basic solutions to improve the quality of university president capacity buiding of quality in this current period.

9. New findinds and contributions

Developing a system of concepts such as human resource development competence, management and leadership, a dialectical relationship between management and leadership, university management for the position of a university presidents. A competence-based approach to human resource development was chosen and determined to study the contents of the thesis.

The studies have not fully reviewed in general and particular about the specific qualities and competencies of an university president, but a general competence framework has also been mentioned in a number of studies.

Drawing a picture of current situation of capacity building of university presidents in Hanoi, including its achievements, restrictions and causes.

On theoretical and practical research basis, the thesis suggested 06 solutions to capacity building of university presidents in Hanoi toward competence-based approach, ensuring the feasibility and effectiveness.

10. Structure of the dissertation

This dissertation consists of these parts: introduction, three chapters, conclusions and recommendations. The names of the three chapters include:

Chapter 1. Theoretical basis on capacity buiding of university presidents toward competence-based approach

Chapter 2. Current situation of capacity buiding of university presidents in Hanoi toward competence-based approach

Chapter 3. Solutions to university president capacity buiding in Hanoi toward competence-based approach

Chapter 1.

THEORETICAL BASIS ON CAPACITY BUILDING OF UNIVERSITY PRESIDENTS IN HANOI TOWARD COMPETENCE-BASED APPROACH

1.1. Literature Review

1.1.1. Research on capacity building of managers

In the middle of the eighteenth century, Western scientists as Robert Owen (1771-1858), Charles Babbage (1792-1871), Andrew Ure (1778-1875) emerged the idea of focusing on the elements of management to increase labor productivity; Frederick Winslow Taylor (1856-1915) launched in 1911 four scientific management principles: 1) specify the methods to complete each task; 2) recruitment and training of workers; 3) essential cooperation between employers and employees; 4) duties of the employer to make plan and duties of the employee to do plan; Henri Fayol (1841-1925) believed that an effective management could be guaranteed if the manager has sufficient qualities and capabilities combining the functions, rules and principles of management [3] [13] [29]. Illina T.A, Savin N.V, and so on mentioned to the functions, positions and roles of school administrators [40].

In 1970-1980s of the twentieth century, William Ouchi (California University, Los Angeles, USA) confirmed the importance of culture in management and outlined seven characteristics (7S) affecting to the effectiveness of management. Leonard Nadle (1980) suggested three main tasks of human resource management [excerpt from 13]. W.E.Deming, Crosby và Ohno (1991) presented theories of Total Quality Management - TQM [excerpt from 13]. Schmuck et. al, (1997) discussed on *Change Management Theory* [28]. Harold Koontz, Cyril Odonnel, and Heinz Eeihrich mentioned more on the quality requirements of the manager in the book titled *Essentials of management* [29]. Bikas C.Sanyal, Micheala Martin, and Susan D'Antoni highlighted three basic themes: 1) financial management; 2) management of teaching staff; 3) management of used areas [3].

In Vietnam, Nguyen Minh Hac, Mai Huu Khue (1982) [43], Kieu Nam (1983) [53], Pham Duc Thanh (1995) [64], Nguyen Minh Dao (1997) [18], Do Hoang Toan (1998) [66], Nguyen Van Binh (1999) [4], Nguyen Phu Trong, Tran Xuan Sam (2001) [excerpt from 68], Pham Thanh Nghi, Vu Hoang Ngan [13] [40] [54] and so on mentioned the following issues:

1) A manager's position and role at work, in an organization/unit have a decisive significance for the work efficiency.

2) Staff and manager planning issues such as goals, attitudes, principles and motto of the staff planning, the content and methodology of the staff planning staff aim to build a capacity of managers meeting the requirements and tasks of the country in new era.

3) Model of personality for the managers and training issues of human capacity building in general, and managers in particular follows the standards of personnel in the new era to meet the requirements of industrialization and modernization of the country.

1.1.2. Research on capacity building of educational managers

Fred C. Lunenburg, Allan C. Orstein (2001), Matin Hilb (2003), K.B Everard, Geoffrey Morris và Ian Wilson (2009) [3][13] mentioned essential issues of capacity buiding of managers as follows:

1) Managers in general, educational managers in particular is approached to human resource development, total human resource development and total human resource management in an organization/unit.

2) This team can play a decisive role in the development of an organization/unit, in a mutual relation to other contents of management inside and outside of an organization/unit.

3) The competence of a manager as the most important factor of a quality manager has been interested to research. On that basis, the contents of training (diploma), retraining (certification) are developed and implemented in countries around the world.

4) Educational managers as both managers and leader, the rapid adaptation of individual managers and manager team in the drastic changes of the external environment is the indispensable requirements.

In Vietnam, Nguyen Thi Doan, Do Minh Cuong, Phuong Ky Son [excerpt from 13], Dang Quoc Bao, Dang Ba Lam, Tran Kiem, Bui Minh Hien, Vu Ngoc Hai, Nguyen Loc, Phan Van Kha, Nguyen Tien Hung, Nguyen Ngoc Quang, Nguyen Vu Bich Hien, Phan Van Nhan, Le Phuoc Minh,... [31] [40] [46] [50] discussed this issues:

1) Basic views about theories on educational management and educational managers: Educational managers and school management is the fulcrum, the power source to ensure the consistency between educational management, school management and teaching activities of the lecturers with an ultimate goal to ensure the quality of training and fostering for education managers.

2) Referring to the role of educational managers, while proposing a variety of solutions for the building and development of educational managers.

3) Concepts of educational managers and the implementation of basic management functions of the educational managers. Besides, educational managers should have specific abilities and skills. A training program should be oriented to form and develop these abilities and skills for educational managers.

1.1.3. Research on capacity building of university presidents and university presidents

Maheswari Kandasamy and Lia Blaton, Nguyen Minh Duong, Vu Ngoc Hai, Phan Van Kha, Nguyen Cong Giap, Phan Tung Mau, Pham Quang Sang, Nguyen Tien Dat, Do Minh Cuong, Nguyen Thi Doan, Nguyen Van De, Trinh Ngoc Thach, Nguyen Thi Tuyet,... [3] [12] [31] [40]:

1) The issue of the national education system, planning, planning of the development of education, educational development policies and policies for teachers and educational managers.

2) Human resource development with specific issues such as management model of training high-quality human resource in Vietnam universities; female cadres in the management of universities; training and retraining of managers for the schools, including the universities.

3) Orientations to develop university presidents and managers or leaders with a university governance system which is steady and adequate with the recruitment standards to appoint university presidents.

4) Launched models of qualities and capabilities for university presidents as both managers and leaders, workers of educational management profession, while distinguishing the superior/prominent points between management and leadership of the president in the task duty.

1.1.4. Comments

1.1.4.1. Issues have not been addressed in the literature

1) President, as both managers and leaders - two factors in a person as the head of the university.

2) A framework on specific standards and criteria for university presidents should reviewed thoroughly and comprehensively.

3) Capacity building of university presidents is placed in a relationship between direct management owners and undertaken task duty.

1.1.4.2. Issues should been studied and solved

(i) To solve the research purpose:

Research to propose solutions to capacity buiding of university presidents toward standardization of qualifications, qualities and competencies based on a competence framework with specific standards and criteria to improve increasingly the capacity of university presidents.

(ii) To solve the research contents:

Competences and solutions to develop a competence framework with specific standards and criteria based on job descriptions of university presidents.

(iii) To solve the basic research issues:

- Capacity buiding of university president is considered a foremost key task in the leadership and management of human resource development for higher education.

- General and specific solutions are adequate and fundamental to improve increasingly the quality capacity buiding of university presidents in current periods.

1.2. Key concepts

1.2.1. Manager, educational manager

1.2.1.1. Manager

A manager is a person who holds a position title in an organization after being issued on an appointment decision to have a role of leadership and implementation of management functions to achieve the objectives of the agency, unit and organization.

1.2.1.2. Educational manager

An educational manager is a manager working at an educational environment such as a school or educational management facility by performing the basic roles and functions of management as well as specific management issues in an educational organization to achieve its objectives.

1.2.2. University president

A university president is regarded as the head of a university with the powers and responsibilities specified in the charter of the university.

1.2.3. University management

1.2.3.1. Management

The concept of management used in the study with a broad meaning, including the following activities: *leadership (developing a vision, leading to the goal, affecting, promoting, etc.) and management (operating basic functions of management).*

1.2.3.2. Leadership

Leadership is leading the ways, show the directions; Leadership is a process of orientation and determination of ways, objectives, leading the organization to achieve the goals; Leadership is motivating, promoting, encouraging the individuals to complete the tasks; Leadership is the ability to affecting and attracting others to follow their guidance.

1.2.3.3. Relationship between leadership and management

The concept of management used in the study with a broad meaning, including the following activities: *leadership (developing a vision, leading to the goal, affecting, promoting, etc.) and management (operating basic functions of management)* [48].

University presidents as both managers and leaders – 'two sides of a coin' in a unity [34].

1.2.3.4. University management

University management, belongings to conceptual categories of school management, is a purposeful, oriented and scheduled process in which the subjects of management (led by the president) will affect to the objects of management (lecturers , staff, students, stakeholders, etc.) and mobilize and use the resources with proper purposes and effectiveness to fulfill the mission of the school to the education and training system, to the community and society in order to achieve the predetermined objectives of education in a consistantly changing environment [34].

1.2.3.5. University leadership

University leadership is a setting the goals, an orienting the strategic development of university, an affection of the subjects of management (led by the president) to lecturers, students, staff and all stakeholders to exert their influence, win their voluntary trust and support, lead them to follow the school leaders to realize the mission of the school to the education and training system, to the community and society in order to meet the objectives of education and training according to the needs of human society [34].

1.3. Contents and characteristics of the university presidents' activities

1.3.1. Contents of the university presidents' activities

1.3.1.1. Develop and organize the school structure [55]

1.3.1.2. Organize the implementation of the resolutions and decisions of the school board

1.3.1.3. Develop a strategic plan for the school development, planning and implementing the tasks in a school year

1.3.1.4. Manage the school human resource development

1.3.1.5. Manage the activities of training and scientific research

1.3.1.6. Manage the school finance and assets

1.3.1.7. Create working mechanisms and environment, implement staff policies

Activities of a university president is a complex system of mutual supportive relationships to effectively implement the mission of a university. The activity contents are a basis to identify job position requirements and the qualifications and competence of a university president.

1.3.2. Characteristics of the university presidents' activities

1.3.2.1. Activities of university presidents serve both leadership and management functions

1.3.2.2. Concurrently perform tasks and functions of the upper-level management agencies and the manager of a university

1.3.2.3. Activities of university presidents serve a multi-dimention model of qualities and competencies

1.3.2.4. Activities of university presidents are performed in view of the role of interaction, communication, decision-making

1.4. Capacity building of university presidents toward competence-based approach

1.4.1. Theory on human resource development

1.4.1.1. Human resource

Is a complexibility of human resources (such as presidents, lecturers, managers, administrative or serving staff, etc.) with the characteristics of professional activities in the higher education facilities in order to meet the requirements of the labor market.

1.4.1.2. Human resource quality

Quality is not only the attributes of a product or service but also the extents of the attributes that meets the needs of consumers and service users in specific conditions.

1.4.1.3. Human resource development

Capacity building of university presidents is a synchronized implementation of impact by the subjects of management to build a capacity of presidents with a sufficient quantity and assurance of qualifications, competences and moral qualities to serve as the head position of a university.

1.4.2. Competence-based approach to human resource in university president capacity buiding

Being a president is a profession, a president's competency is required to ensure the ability to solve practical problems in a creative way, to help the university leadership and management achieve the best performance.

1.4.3. Competence framework for university presidents

Based on the analized results, a competence framework for university presidents was developed in these following areas: (i) Political quality, morality, lifestyle; (ii) Professional capabilities, pedagogical and scientific research competence; (iii) Management and leadership competence; (iv) Social and public relations competence; (v) International cooperation development and integration competence; (vi) Career and personal development competence.

1.5. Contents of capacity building of university presidents toward competence-based approach

1.5.1. Planning of capacity building of university presidents

1.5.2. Appointment and dismissal of university presidents

1.5.3. Training and retraining of university presidents

1.5.4. Remuneration policies for university presidents

1.5.5. Assessment of university presidents

1.6. Factors affecting to capacity building of university presidents

1.6.1. The objective factors (external)

1.6.1.1. Development of science and technology

1.6.1.2. Management mechanisms and policies of the State and the sector

1.6.2. The subjective factors (internal)

1.6.2.1. Educational environment or school culture

1.6.2.2. Qualities, capacities and qualifications of presidents

Conclusions of chapter 1.

Theoretical research results of chapter 1 are summarized as follows:

1. An overview on personnel development or capacity building of educational management staff, managers and university presidents was a base to highlight the existed problems and suggest for a study on solutions to capacity building of university president toward competence-based approach to contribute a higher quality improvement of president universities in Hanoi.

2. Key concepts, operational contents and characteristics of president universities were discussed.

3. Other definitions such as human resource, human capacity building, and human resource development stressed that a president is required to ensure the ability to solve practical problems in a creative way, to help the university leadership and management achieve the best performance, which helped us choose the *capacity building of university presidents toward competence-based approach.*

4. The studies have not fully reviewed in general and particular about the specific qualities and competencies of an university president, but a general competence framework has also been mentioned in a number of studies.

5. The capacity building of university presidents follows the steps of human resource development such as planning, training - retraining, appointment - dismissal, performance appraisal and assessment.

6. The capacity building of university presidents is affected by specific objective and subjective factors that should be taken into account fully and comprehensively

Chapter 2.

CURRENT SITUATION OF CAPACITY BUILDING OF UNIVERSITY PRESIDENTS IN HANOI TOWARD COMPETENCE-BASED APPROACH

2.1. Overview on higher education in Vietnam and universities in Hanoi

2.1.1. Overview on higher education in Vietnam

2.1.1.1. Achievements, restrictions and shortcomings of higher education in Vietnam

Achievements: (i) Higher education facilities are developed and widened all over the country to meet better the learning needs of the society; (ii) Along with the expansion of higher education, its quality and cultural quality also is gradually improved; (iii) International cooperation in higher education is increasingly expanded and strengthened.

Restrictions and shortcomings: (i) The system of higher education facilities is still small, random, lack of concentration, irrational distribution among localities and regions; (ii) Methods and mechanisms for the management of universities and colleges throughout the country and in the city of Hanoi in particular are inadequate, unsystematic, lack of the necessary stability; (iii) Models of training and scientific research to ensure a link between the university and an enterprise are limited.

2.1.1.2. Some orientations to develop higher education in Vietnam up to 2020

Including: 1) Changing the patterns of growth and development of higher education; 2) Training based on the society's needs, linking training with employing, strengthening a cooperation between higher education facilities và enterprises; 3) Re-adjusting some development indicators of higher education; 4) Continuing to innovate the State management on higher education; 5) Deploying stratification and ranking for higher education facilities; 6) Developing a national qualification framework, standards on professional skills; 7) Innovating teaching and learning, testing and assessment methods among which the innovation of examination, testing and assessment is recognized a breakthrough in the management of higher education; 8) Focus on improving the conditions for quality assurance; 9) Establishing accreditation organizations; 10) Improving the quality and efficiency of science and technology research; 11) Actively integrating and improving the effectiveness of international cooperation in higher education; 12) Actively implement a quality number of programs, schemes and projects on higher education.

2.1.2. Overview on universities in Hanoi

Inspite of different groups of the universities, but most of universities in the study area have a rich history and tradition of development, some of which have more than 100 years, 50-60 years, or 20 years of development, etc. They have a

major contribution for human resource training for socio-economic sectors of the country throughout historical periods.

In general, the universities have developed their mission statement, vision, strategic planning of their development and invested all resources in implementing their strategic plans, missions and vision. Their structure, qualifications, training level, achievements in education, scientific research and training of scientists has been constantly improved.

Statistics on presidents of 34 public universities in Hanoi is shown as follows: Male: 33 (accounting for 97.06%); Female: 01 (accounting for 2.94%); PhD: 5 (accounting for 14.71%); Ass.Prof.PhD: 22 (accounting for 64.71%); Prof.PhD: 07 (accounting for 20.59%). In sum, 100% presidents are PhD and most of them are Ass.Prof.PhD or upper, which meets the educational standard of qualification for a president. However, only one president is female among 34 universities.

2.2. Overview on the survey

2.2.1. Purpose of the survey

The survey to evaluate the current status of university presidents by evaluate the level of meeting the standards for university presidents toward competence-based approach and the current status of university presidents in Hanoi aimed to have a practical basis to develop a competence framework with standards and criteria in line with the job position and solutions to capacity building of university presidents. Office Head/Vice-Head: 48; Faculty Dean/Vice-Dean: 32; Section Head/Vice-Head

2.2.2. Placement and Participants

2.2.2.1. Survey placement: 4 universities of 03 groups.

2.2.2.2. Survey participants

Table 2.2. Numbers of survey participants

No.	Group	Management Board	Office Head/Vice-Head	Faculty Dean/Vice-Dean	Section Head/Vice-Head	Lecturers	Staff	Tổng số
1.	Group 1	9	17	10	4	20	15	69
2.	Group 2	18	14	11	12	65	21	126
3.	Group 3	15	17	11	6	68	16	121
	∑	**42**	**48**	**32**	**22**	**159**	**28**	**331**

2.2.3. Contents, Tools and Evaluation Criteria

2.2.3.1. Survey contents and tools for the current status study of university presidents in Hanoi

Including 06 standards and 41 criteria (Appendix 1).

The *Interview Sheet* on levels of meeting the standards for university presidents consists of 09 questions (Appendix 2).

All the standard and criteria are rated among 3 levels: Good – Medium – Not good.

2.2.3.2. Survey contents and tools for the current status study of capacity building of university presidents in Hanoi

Including 05 standards and 36 criteria (Appendix 3).

The *Interview Sheet* on capacity building of university presidents consists of 07 questions for higher-level management agencies (Appendix 4).

All the standard and criteria are rated among 3 levels: Good – Medium – Not good.

2.2.4. Methods

Instruction, In-depth Interview, Report Study.

2.2.5. Evaluation

Number, percentage (%), mean, ranking are scored for each standard, criteria, survey content and tool (Form No. 1 and No. 3).

2.2.6. Data analysis methods

Mathematical statistics, using SPSS software or Microsoft Office Excel, then an extract to analyze and draw conclusions.

2.3. Results of the current status on university presidents in Hanoi

In terms of: (i) Standard 1. Political quality, morality, lifestyle; (ii) Standard 2. Professional capabilities, pedagogical and scientific research competence; (iii) Standard 3. Management and leadership competence; (iv) Standard 4. Social and public relations competence; (v) Standard 5. International cooperation development and integration competence; (vi) Standard 6. Career and personal development competence.

Results: a) Political quality, morality, lifestyle of presidents was good; b) Professional capabilities, pedagogical and scientific research competence was prominient; c) Management and leadership was a remarkable competence of university presidents; d) Implementing autonomy and social responsibility, creating positive changes in schools was always concerned and performed; e) Establishing a relationships with both upper management agencies and local authorities were two criteria of social and public relations which is the president focused on developing; g) Affirmed the vision and issues of integration between

the school and the regional and international trend of higher education development, and professional, scientific prestige in the communities of the region and globe.

Restrictions: (i) The ability to communicate the vision to the lecturers, students and other stakeholders is limited; (ii) More focused on the implementation of the management functions rather than leadership functions; (iii) Not really remarkable achievements and reputation in scientific research with the academic community; (iv) Respect, caring, understanding, behaving justice with lecturers, staff and students; implementing the next generalization planning, training and retraining; using and appointing talents and virtues and promoting human capabilities; performing the role of senior managers; (v) Establishing and developing relationships between the universities, cohering and developing relationships with partners scopes the major challenges; (vi) Not really interested in such issues as media, the implementation of social accountability, roles of the community, school board, etc, has been not adequate like solving a situation; (vii) Using foreign language in communication and scientific exchange is limited.

There are internal and external causes lead to the restrictions above.

2.4. Results of the current situation of capacity building of university presidents in Hanoi toward competence-based approach

In terms of: (i) Planning of capacity building of university presidents; (ii) Appointment and dismissal of university presidents; (iii) Training and retraining of university presidents; (iv) Remuneration policies for university presidents; (v) Assessment of university presidents.

Picture of current situation of capacity building of university presidents in Hanoi
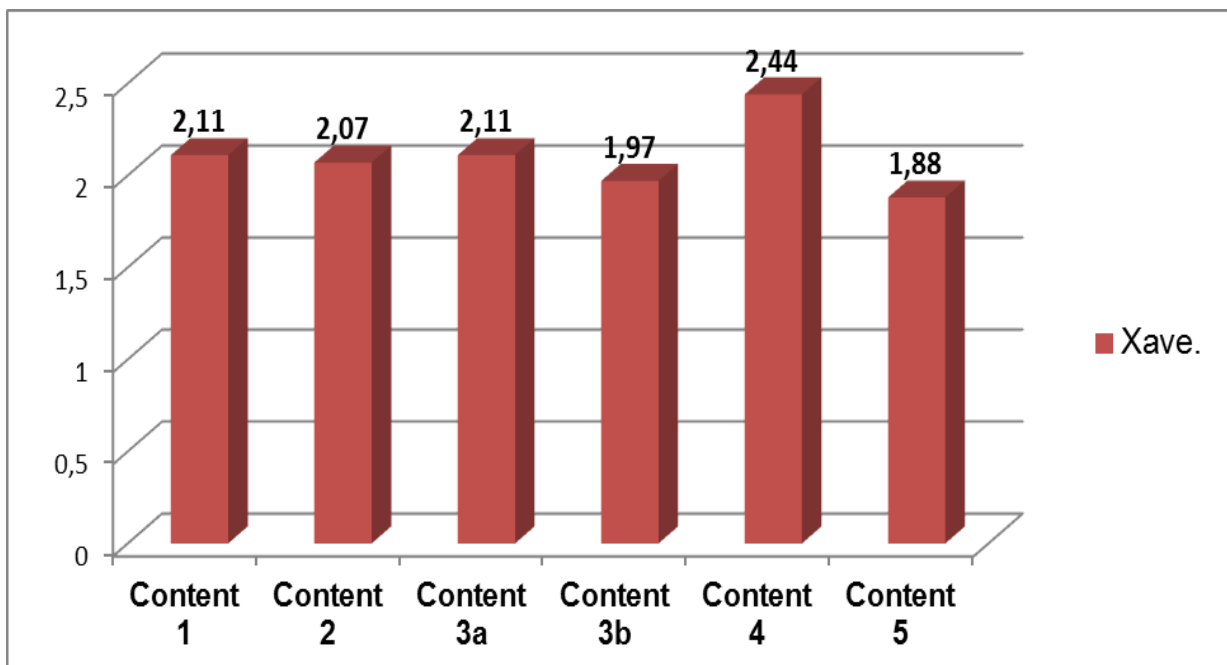

Figure 2.5. Contents of capacity building of university presidents in Hanoi

- *Results:* (i) The contents of planning has focused on such issues as influencing, guidance and assessment of upper-level leaders or management agencies for the planning at the school level; (ii) University presidents have been appointed and dismissed following the correct processes and procedures and no president in his/her official term was dismissed during this study; (iii) The drafting and promulgation of the macro-level documents of upper-level leaders or management agencies is well-done, which ensure to create a legal framework for university presidents to do leadership, management and operation of their activities.

- *Restrictions:* (i) Strategic planning of the development and promulgation of documents guiding the implementation has not really been focused, especially lack of planning at the strategic level (more than 5 years); (ii) Lack of interest in the development and promulgation of specific standards and contents for university presidents; (iii) The renewal of appointment still based mostly on legal documents, following usual procedures and routine; (iv) No training and retraining programs with specific contents use for only university presidents; (v) Recognition, motivation is an issue that needs to be taken into consideration by upper-level leaders or management agencies to perform better.

Conclusions of chapter 2.

The study of the current situation of capacity building of university presidents in Hanoi highlighted these results:

1) Sampling: 3 groups of 14 universities in Hanoi: *(i) Group 1: Teacher Education and Training Science (5214); (ii) Group 2: Humanality (5222) and Social and Behavioral Science (5231); (iii) Group 3: Technical Technology (5251)* with participants of representatives from the Management Board, Head/Vice-Head of Offices, Faculties, and Sections, lecturers and staff.

2) On the basis of analysis of the current status of university presidents and capacity building of university presidents in Hanoi, we have a summary on achieved results, restrictions and causes for each of two issue.

3) Along with theoretical study results in chapter 1 and practical research results in chapter 2, we proposed a number of solutions to capacity building of university presidents to meet the development demands of higher education in the global integration periods.

Chapter 3.
SOLUTIONS TO UNIVERSITY PRESIDENT CAPACITY BUILDING IN HANOI TOWARD COMPETENCE-BASED APPROACH

3.1. Orientation to suggest the solutions

3.2. Principles to suggest the solutions

    3.2.1. Ensuring the goal

    3.2.2. Ensuring the system

    3.2.3. Ensuring the continuity and development

    3.2.4. Ensuring the practicality and feasibility

3.3. Solutions to suggest

3.3.1. Research to develop the competence framework orientations for university presidents

3.3.2. Renew the planning and guiding the effective implementation of planning for university president capacity building

3.3.3. Renew the university president recruitment and appointment, and do piloting and scaling the contesting forms for university presidents

3.3.4. Organize training, fostering and improving political and moral qualities, and management and leadership competencies for university presidents

3.3.5. Implement standard-based assessment for university presidents

(i) Standard-based assessment for university presidents by leaders of upper-level management agencies

(ii) Self-assessment for university presidents

(iii) Assessment for university presidents by lower-level university managers, lecturers, staff

3.3.6. Make policies to honour the profession and motivations for self-development of university presidents

3.3.7. Relationship among solutions

The achievements of this work is the result of the synchronous and comprehensive use of solutions above. Solution No. 1 is considered as a basis, a prerequisite for an implementation of solutions No. 2, No. 3, No. 4 and No. 5, and No. 6 is meant to promote both managers of a university president and the university president. Solutions No. 2, No. 3 and No. 4 are considered as core solutions to implement the university president capacity buiding. Solution No. 5 helps make adjustments, additions and decisions necessary for the university president capacity buiding in general and for an individual president in particular,

and for leaders of direct management and leadership agencies for the university presidents in particular.

3.4. Test the necessity and feasibility of the suggested solutions

3.4.1. Introduction of the experiment

a) Purpose

In order to obtain comments from the upper level management and leadership agencies, personnel, lecturers, and staff of universities in the city of Hanoi on the necessity and feasibility of solutions to capacity building of university presidents.

b) Participants

Questionnaires were delivered to 03 groups of participants with a total number of 346 persons, including: leaders of the upper level management and leadership agencies (the Ministry of Education and Training, the managing ministry, the Party committee of the universities and colleges in Hanoi): 15 persons; Presidents, managers, lecturers, staff: 331persons.

c) Content

06 suggested solutions to capacity building of university presidents in Hanoi.

d) Method

Fill in the questionnaires for stakeholders to give opinions and combine with direct discussion and interview if needed.

e) Evaluation

Scoring in the scale and ranking..

3.4.2. Results

Table 3.7. Ranking the necessity and feasibility

No.	Solutions	Necessity		Feasibility	
		Mean of x	*Rank of x*	*Mean of y*	*Rank of y*
1	Solution 1	2.94	**1**	2.85	**1**
2	Solution 2	2.60	**3**	2.42	**3**
3	Solution 3	2.54	**4**	2.36	**5**
4	Solution 4	2.43	**5**	2.33	**6**
5	Solution 5	2.82	**2**	2.38	**4**
6	Solution 6	2.41	**6**	2.54	**2**

Applying the Spearman's formula on a correlation between the necessity and feasibility of the measured solutions: $r = 0.866$.

This coefficient shows, this correlation is highly correlated. If applied these solutions in practice of capacity building of university presidents, it brings a high feasibility.

3.5. Experimental results for the suggested solutions to capacity building of university presidents

3.5.1. Purpose of the experiment

Measuring the necessity and feasibility of implementing the suggested solutions to capacity building of university presidents to have evidence for the hypothesis.

3.5.2. Scope of the experiment

a) Content

Solution No.5 *Implement standard-based assessment for university presidents* was chosen to do experiment.

b) Timetable

Based on actual training activities of the university and to ensure time for research, testing of the solution was deployed within 6 months from 1/2015 to 6/2015.

c) Placement

Due to the conditions of time and the time of the suggested solutions, we only tested in 03 universities, each of which was on behalf of 03 groups.

c) Participants

Total 108 persons:

- University presidents: 03 persons.

- Managers/Administrators: Vice-President; Office Head/Vice-Head; Faculty Dean/Vice-Dean; Section Head/Vice-Head: 45 persons (15 persons/university).

- Lecturers: 90 persons (30 persons/university).

3.5.3. Tools, methods and procedures

a) Tools

First, the competence framework used in practical research on current situation of university presidents with 6 standards and 41 criteria.

Second, assessment forms were developed and applied for 6 standards and 41 criteria of the competence framework used in practical research to test the solution No.5, including:

(i) Self-assessment form for university presidents.

(ii) Assessment form of university presidents for personnels in their workplaces.

(iii) Summary of assessment of university presidents for personnels in their workplaces.

b) Methods and procedures

Along with all the contents in section ***3.3.5. Implement standard-based assessment for university presidents***

c) Direction: Assessment and ranking for university presidents, assessment team and process for university presidents.

Steps of the experiment:

(i) Have agreement with the President, Managers, lecturers, and staff about the purpose of the experiment.

(ii) Instruct to use the assessment forms by giving points for each criteria and standard following the ***Rating Instruction*** in the beginning of the forms.

(iii) Instruct to giving comments/remarks of the rater in the end of the forms after finishing each section.

(iv) Collect evaluation forms, collecting data and comments/remarks of the raters.

(v) Rating/Grading and evaluating as the head of direct higher level management agency.

3.5.4. Scoring results

Total score of the competence framework for university presidents with 6 standards and 41 criteria is 410 points, scale of each criteria is 10.

Rating/Grading: a) Achievable (Excellent; Good; Medium); b) Not Achievable (Bad).

Average score is below 5.0, equivalent to total score below 205 points or in one of two cases: - have any criteria with 0 point or - hoặc - have any criteria in Standard No. 2 and No.3 below 5 points.

3.5.5. Results

3.5.5.1. The university presidents' self-assessment results

Figure 3.2 on Summary of meeting the standards and criteria among 03 presidents shows that the presidents pay more attention on self-development of their qualities and cabilities to meet the job demands more effectively and quality. The most positive change from before-experiment to after- experiment is belongs to the President No.2 from 321.5 to 333.5 points (increasing12 points), and then followed by the President No.3 from 327 to 337.5 points (increasing 10.5 points), and followed last by the President No.1 from 327 to 336.5 points (increasing 8.5 points).
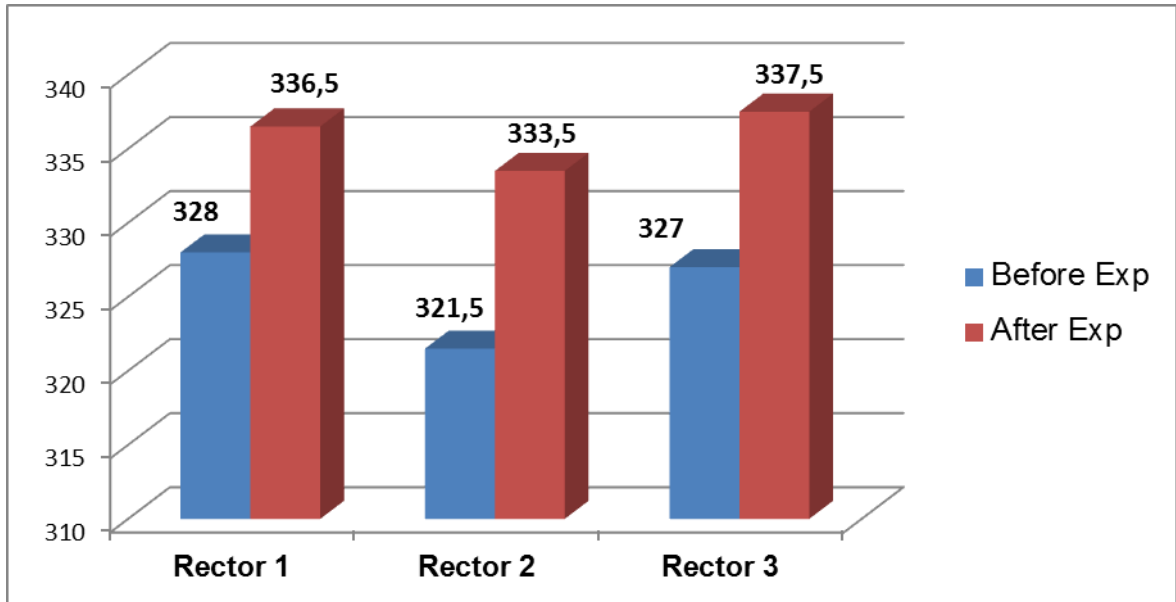
Figure 3.2. Summary of meeting the standards and criteria among 03 presidents before and after experiment

We can see thanks to self-assessment, the university presidents have a better awareness on their competences to meet the job demands more effectively and quality.

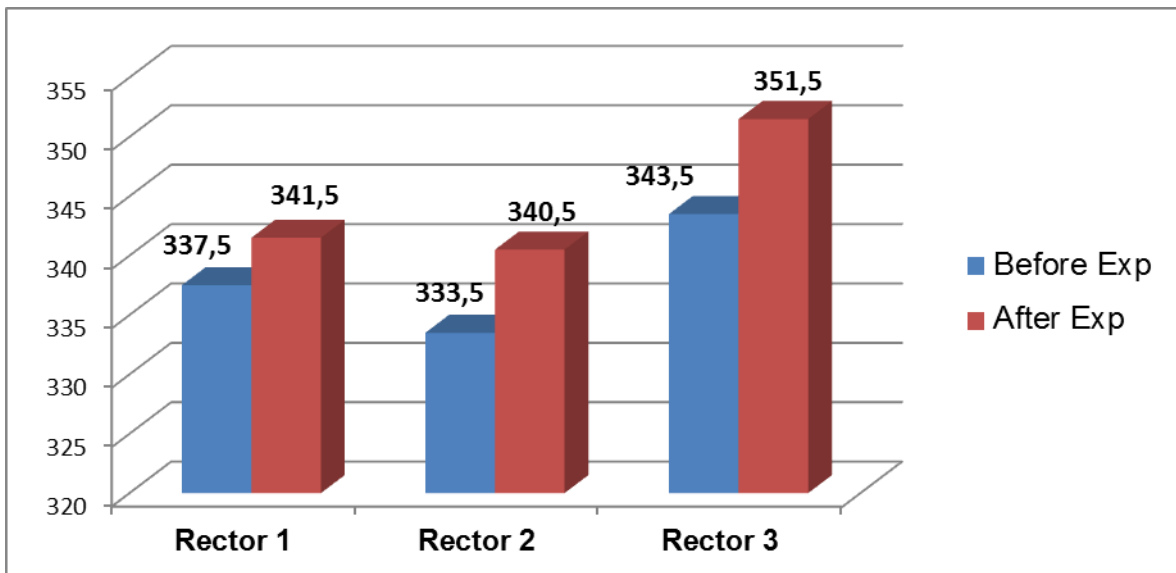*3.5.5.2. Assessment results of university presidents at their workplaces*

Figure 3.3. Summary of meeting the standards and criteria among 03 presidents before and after experiment

We can see a positive change of qualities, management and leadership competences in university presidents thanks to the useful information from assessment team.

Conclusions of chapter 3.

Based on theoretical and practical results, orientations of developing higher education in Vietnam up to 2020 and principles to suggest specific

solutions, the thesis developed 06 solutions to capacity building of university presidents in Hanoi.

The experimental results confirmed the necessity and feasibility of proposed solutions.

With a limited condition of study, only solution No.5 in 06 solutions was tested. The test results initially showed its feasibility and efficiency in the capacity building of university presidents in Hanoi.

CONCLUSIONS AND RECOMMENDATIONS

1. Conclusions

Capacity buiding of university presidents is a research and development field of human resources, it could be called 'university presidents are particular human resources' - who have an important contribution to the development of universities in their mission implementation of human resource training to meet the requirements of a country's socio-economic development in different periods.

On the basis of literature review on research topic, the dissertation has shed light on theoretical issues, such as: building a system of key concepts, for example, human resources, capacity buiding, human resource development, and emphasizing that university presidents need to ensure the capacity to solve practical problems of their university leadership and management in the most creative and best ways. Competence-based approach to human resources development was chosen to study the contents of the thesis. The studies have not fully reviewed in general and particular about the specific qualities and competencies of an university president, but a general competence framework has also been mentioned in a number of studies.

Reviewing the current status of the capacity based on competence framework and current situation of university president capacity building in Hanoi, the dissertation has made overall assessment of the achieved results, constraints and causes of the situation in two main research contents.

On the theoretical and practical bases, the dissertation authors proposed six solutions to university president capacity building in Hanoi as follows:

(i) Research to develop the competence framework orientations for university presidents.

(ii) Renew the planning and guiding the effective implementation of planning for university president capacity building.

(iii) Renew the university president recruitment and appointment, and do piloting and scaling the contesting forms for university presidents.

(iv) Organize training, fostering and improving political and moral qualities, and management and leadership competencies for university presidents.

(v) Implement standard-based assessment for university presidents.

(vi) Make policies to honour the profession and motivate for self-development of university presidents.

Experimental study results have pointed out the necessity and feasibility of proposed solutions. The testing result of Solution No.5 initially showed its necessity and feasibility for university president capacity building in Hanoi.

2. Recommendations

2.1. For university presidents

The capacity of university presidents should organize proactive assessment and self-assessment based on the general competence framework and make adjustment as needed, so as to identify their strengths and weaknesses, to plan to develop themselves to meet the increasing requirements more efficiently by the university as well as professional position.

The university presidents should pay attention to the planning, training and retraining of the next generalization; focus on using ethics and talented people; promote the abilities of the individual, the team; mobilize all resources for the development of their universities.

The university presidents are important in improving the university's ranking in a relationship with domestic, regional and international universities; developing other public relations to integrate in the trend of higher education development. Thus, university presidents should improve their competencies of promoting international cooperation, social and public relations.

The universities not only train human resources for the country but also help the formation of qualities and capabilities for an individual during a lifetime. The building and improvement of vision, core cultural values of the university, competencies of a senior manager is also really need to have a university president competencies.

2.2. For lower level university managers, lecturers and staff in Hanoi

Demonstrate and communicate their views and desires for the competencies with specific standards and criteria to their university president to orient the development of these standards and criteria.

Taken seriously, objectively their views and opinions when assessing the qualities and capacities of the current president, avoid subjective evaluation, prejudice, lack of construction, especially for not-given-point contents to make comments   in   scoring   rubric.

Assessment should be considered as each university member's responsibilities, which is not only meant for the president to better meet the growing requirements of the job, but also for the overall development of the

university, including each of managers, lecturers, and staff working in that environment

2.3. For direct upper-level management and leadership agencies

Continue to research, and urgently promulgate legal documents on standards on a university president, position description of a university president, guidance documents of the standard-based assessment.

Good practice of the planning, review the timely supplimentation and adjustment the planning to ensure a full preparation of the university president capacity buiding in the universities system, avoid human gaps for this position in in the university (even temporarily).

Planning, training and retraining, appointment, dismissal, management and use of this team should come from the practical requirements of the universities, respecting the autonomy and self-responsibility of the universities, managers, lecturers, staff, students of the universities.

There are mechanisms of a closer collaboration in cadres between the authorities (Ministry of Education and Training, the managing universities, municipal/Party mass of universities, colleges) and between management agencies and other organizations (Labor Union, Youth Union, ...).