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'Creating effective universities'
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Global perspectives

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Globalization: ‘the widening, deepening and speeding up of all forms of world-wide interconnectedness’

- David Held and colleagues, *Global Transformations* 1999, p. 2

In summary, global convergence is ….

- The Internet sustains a global system of communications and data transfer, a single worldwide ‘library’ of information and brings us into closer encounters with people from other cultures
- The global networking of research and knowledge dissemination
- The part-integration of world financial markets and the growth of trade and the mobility of economic production across national borders
- The cheapening of travel and the greater mobility of people across borders in migration, business, work, education, tourism and family life
- The growing similarities between countries in government policies, institutions such as schools, and community organizations
- English: the one global language of knowledge, education and business

  (note that knowledge in languages other than English is being partly marginalized because it falls outside the main global ‘conversation’)

Three major developments in higher education in last ten years: all global

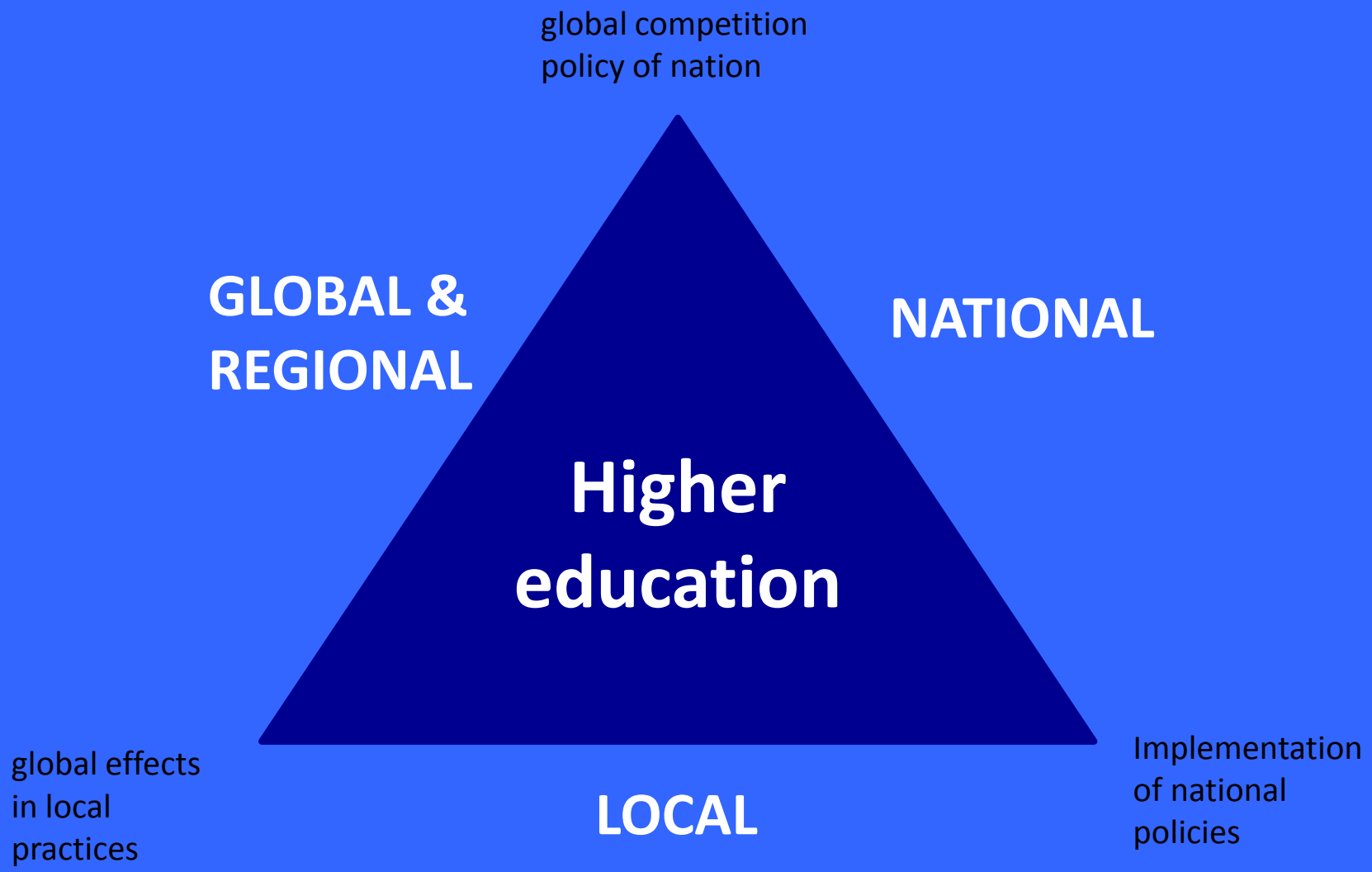
Mass Open Online Courseware (MOOCs)	Example of direct *and inclusive* global communications forming a single (and in this case also American neo-imperial) world culture in higher education
Global rankings, especially in research	The formation of a single competitive *world status order in higher education,* entrenching a market-ordered hierarchy (vertical form of globalization)
Spread of higher education and science, especially in East Asia and Singapore	Example of the *spreading of advanced capacity* to more and more countries and institutions around the world (horizontal form of globalization)

Global perspectives

- The world as a whole
- Global mapping: the world as everything in it
- Beyond the nation state and 'methodological nationalism'
- Global systems (such as science publication)
- Global standards / global relativization
- Comparison between countries
- Cross-border international relations, networks, mobility
- Opening up to the world
- Reaching outwards to influence the world
- Policy borrowing
- Combining global / national / local practices ('glonacal')
- Local/national effects of global systems, cross-border practices

GLONACAL

(global, national, local)


global competition
policy of nation
GLOBAL &
REGIONAL
NATIONAL
Higher
education
global effects
in local
practices
LOCAL
Implementation
of national
policies

It’s not all going global! Higher education and the nation

- Modern higher education and research evolved as instruments of nation-building. Nation-states continue to shape the sector
- Since 1800 the evolution of the modern nation-state has coincided with global flows, competition and referencing. Global aspects have become qualitatively more important since 1990 (birth of the Internet), especially in language and knowledge
- Nation-states are still discovering their potentials, agendas and limits in higher education, in this more global era

New potentials and limits of the nation-state

- Research-intensive universities are partly disembedded from national policy. They work with global status ranking, the knowledge system, foreign-source income
- BUT in large part politics remains national in form, and in nearly all countries, even the strongest research universities remain state-dependent and are susceptible to a variety of state instruments
- Purely national agendas have not gone away, and …

Global engagement is national

- … the impact of global systems, flows and models is filtered through national and local domains. Global impact varies by nation and HEI. Some are more globally engaged and open (e.g. Singapore, China) than others (e.g. Russia)
- The state is positioned as ‘the global competition state’ (Cerny 2007), highlighting the strategic contribution of higher education and science to global competiveness of nation, through STEM human capital and research as innovation

Modifying ‘glonacal’: Regionalization

- Regional formation in higher education is a natural response of nations, given the more potent global environment, and the neo-imperial role exercised by the Anglo-American sphere
- Regional formation rests on equivalent capacity, geographical proximity, cultural commonality and above all, political will
- Regional collaboration has lifted European science and enhanced the global effectiveness of post-Bologna HEIs
- Regional cooperation in South American and Southeast Asia is more marginal but is growing in importance as capacity lifts
- Regional potentials in Northeast Asia are inhibited by historical conflict but there is growing cooperation
- Like the United States, Russia can be understood as a region in its own right, and perhaps as the hearland of a larger HE region

BEYOND METHODOLOGICAL NATIONALISM

BUT to fully understand both globalization *and* the potentials of states, we need to (a) position ourselves outside the nation-state and beyond 'methodological nationalism', to (b) see our states in comparative context, and (c) identify generic elements across states

- 'Methodological nationalism can be simply defined' as the idea that the nation-state is 'the natural and necessary form of society in modernity'

- '.. the challenge [is to find] the right balance between being sensitive to empirical differences, historical variations and normative disagreements without pre-deciding against the possibility of making claims with universalistic intent…. responding to post-modern relativism without having to fall back on any form of fundamentalism or unwarranted metaphysics.'

  ~ Daniel Cherlino (2007), *A social theory of the nation-state*, pp. 9-10, p. 3

- '… any adequate understanding of the development of the advanced societies presupposes the recognition that factors making for "endogenous" evolution always combine with influences from "the outside" in determining the transformations to which a society is subject'

  ~ Anthony Giddens (1973), *The class structure of the advanced societies*, p. 26

e.g. GLOBAL SYSTEMS

(in this case science and publishing)

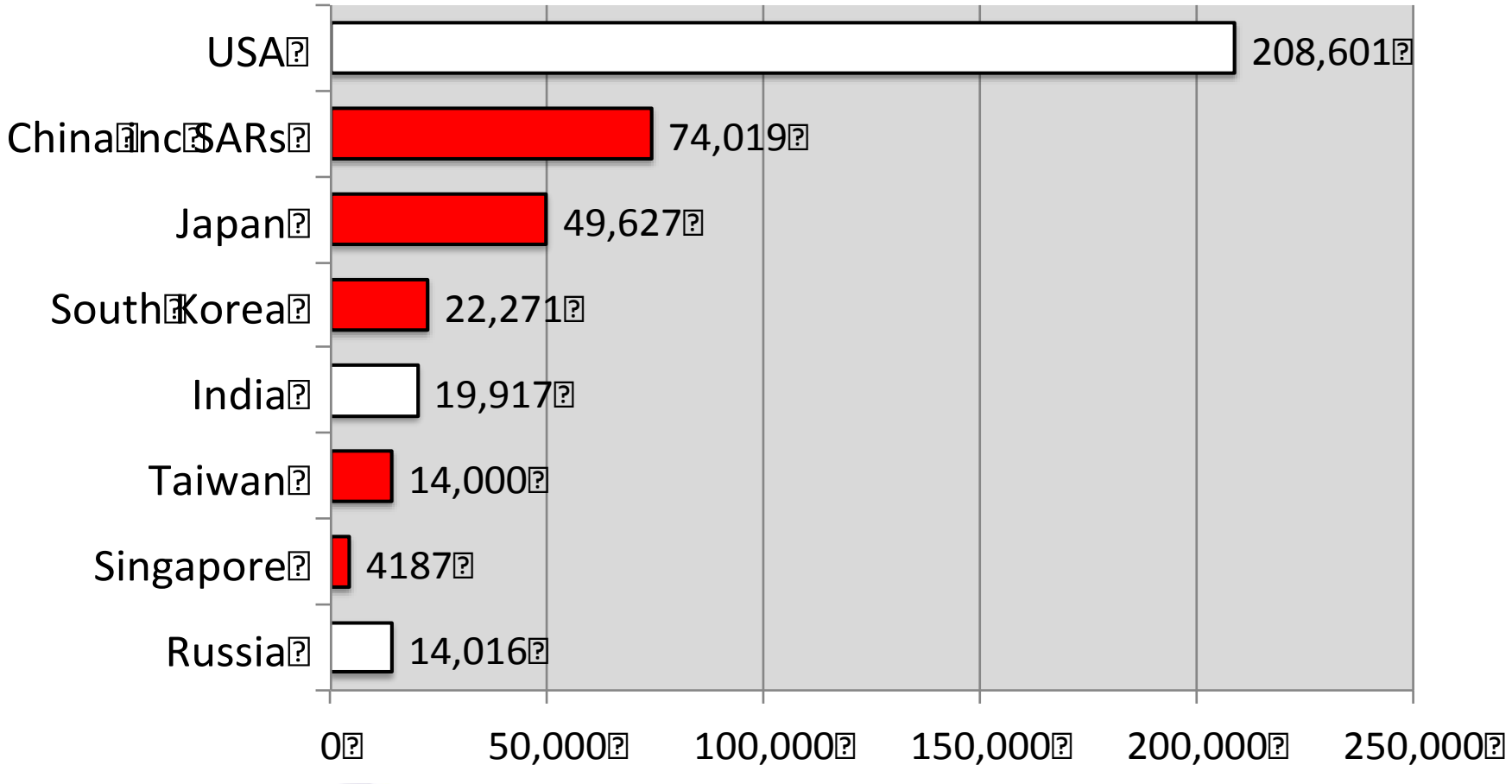
Countries with 1000+ science papers p.a.

US National Science Foundation data for 2009

ANGLO-SPHERE	EUROPE EU NATIONS		EUROPE NON-EU	ASIA	LATIN AMERICA
Australia	Austria	Italy	Croatia	China	Argentina
Canada	Belgium	Netherlands	Norway	India	Brazil
N. Zealand	Czech Rep.	Poland	Russia	Japan	Chile
UK	Denmark	Portugal	Serbia	Malaysia	Mexico
USA	Finland	Rumania	Switzerland	Pakistan	
	France	Slovakia	Turkey	Singapore	**M.EAST /AF**
	Germany	Sweden	Ukraine	South Korea	Egypt
	Greece	Spain		Taiwan	Iran
	Hungary	Sweden		Thailand	Israel
	Ireland				Sth. Africa
					Tunisia

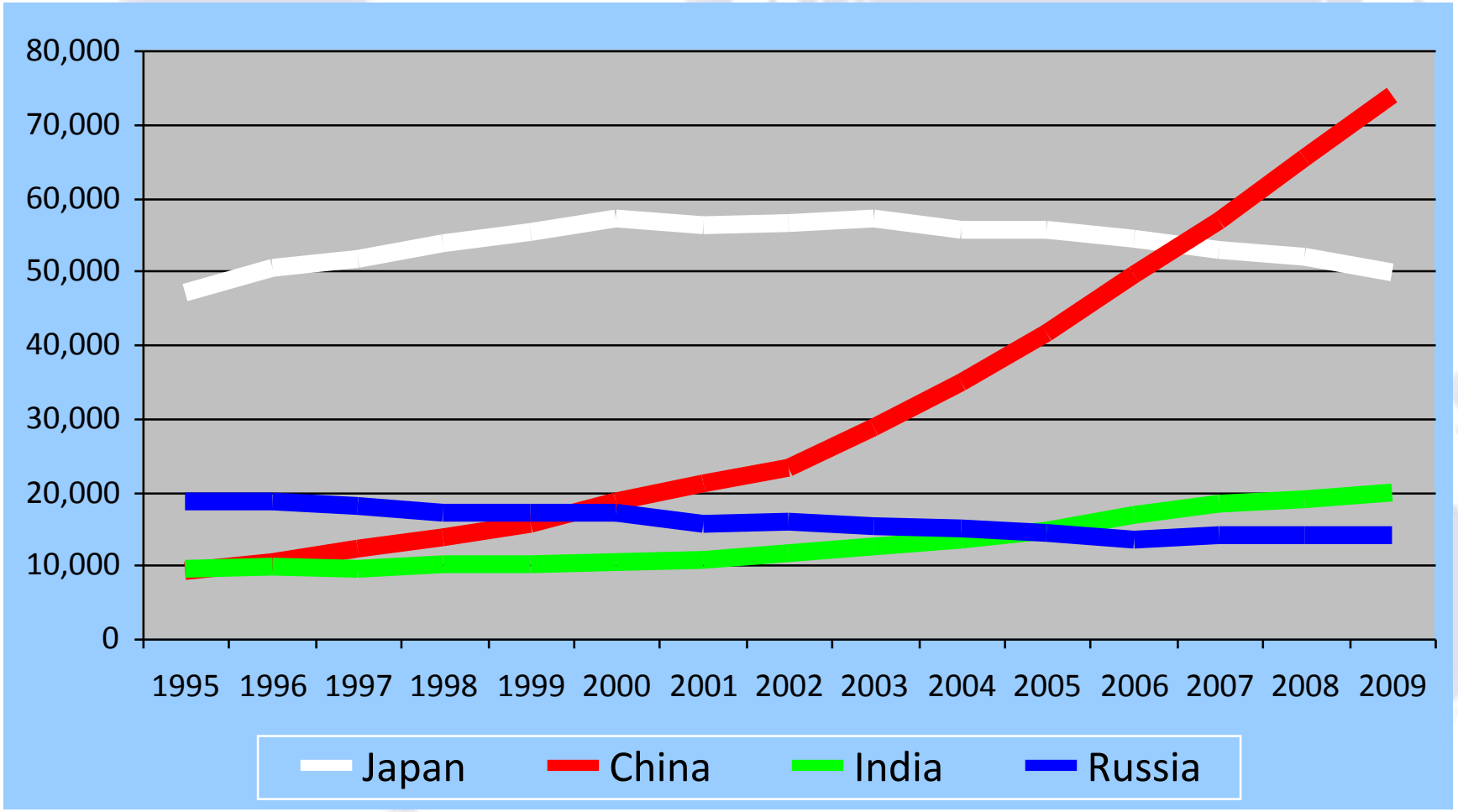
Science papers in global journals, USA, Russia, Asia 2009

US National Science Foundation



Research papers per year, 1995-2009
China, Japan, India & Russia

US National Science Foundation data



Leiden ranking for 2008-11

	University		total papers	cites per paper normalized world av =1.00	papers in top 10% of research field, field-normed cites	
1	Harvard U	USA	29,812	1.80	6492	*21.8%*
2	U Toronto	CANADA	18,114	1.23	2410	*13.3%*
3	U Michigan	USA	15,928	1.39	2501	*15.7%*
4	U Tokyo	JAPAN	14,175	0.93	1274	*9.0%*
5	U California (LA)	USA	13,861	1.52	2370	*17.1%*
6	Johns Hopkins U	USA	13,620	1.52	2173	*16.0%*
7	U Washington, Seattle	USA	12,883	1.48	2198	*17.1%*
8	Stanford U	USA	12,841	1.92	2826	*22.0%*
9	U Oxford	UK	12,208	1.44	2013	*16.5%*
10	U Pennsylvania	USA	12,007	1.50	2100	*17.5%*
11	U Cambridge	UK	11,742	1.50	2009	*17.1%*
12	U Sao Paulo	BRAZIL	11,564	0.68	619	*5.4%*
326	L Moscow State U	RUSSIA	2518	0.65	135	*5.4%*

China and Russia: Top three research producers

number of papers in 2005-2009 period

Scimago data

World rank	Research institution	Number of papers	Normalized impact (average = 1.0)
2	Chinese Academy of Sciences CHINA	146,577	1.0
10	Tsinghua University CHINA	45,325	0.9
15	Zhejiang University CHINA	41,635	0.8
3	Russian Academy of Sciences RUSSIA	92,898	0.5
105	Moscow State University RUSSIA	19,111	0.6
620	St Petersburg State University RUSSIA	5481	0.6

Internationally co-authored articles

selected countries, 1995 & 2010

US National Science Foundation data

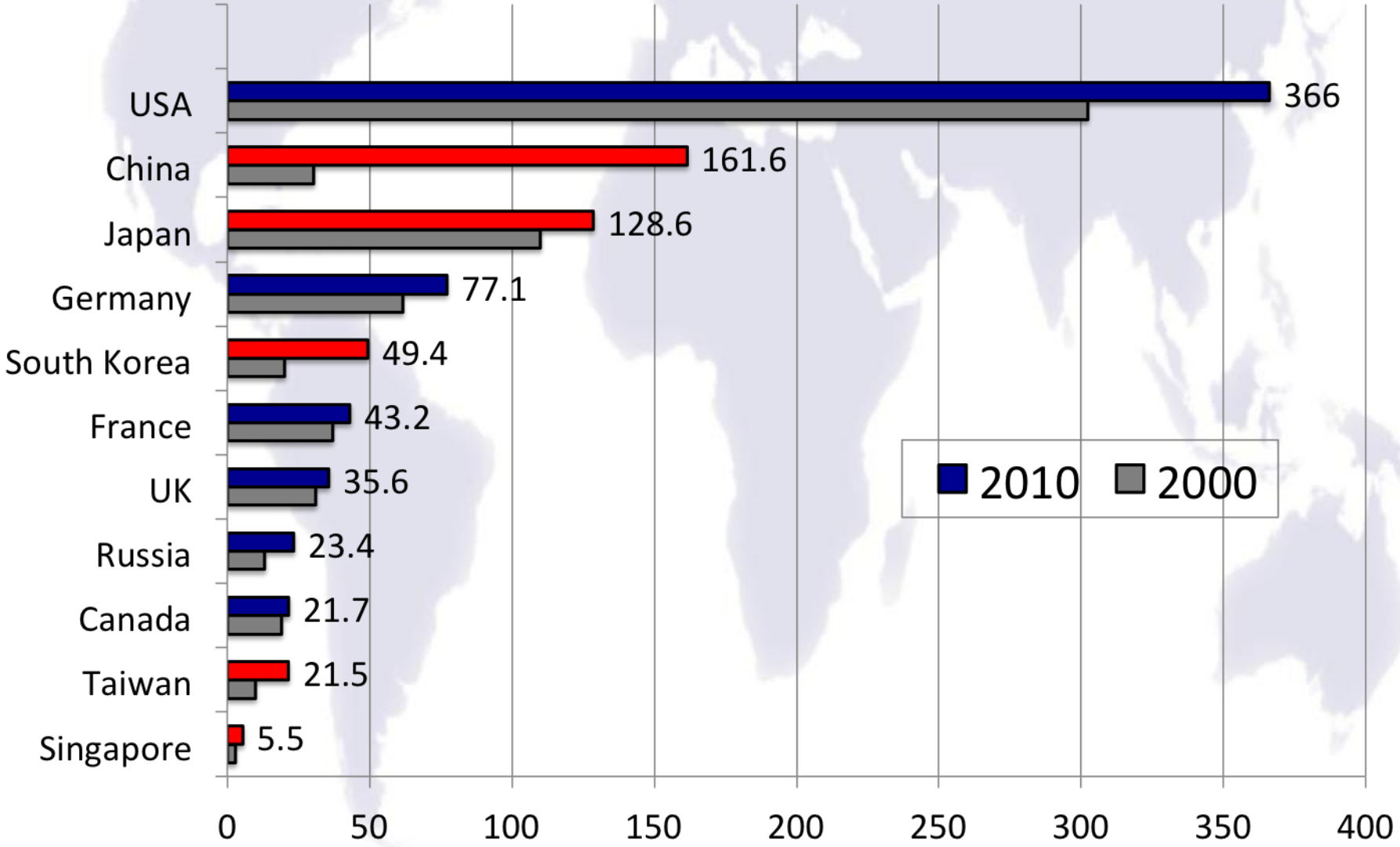
nation	1995	2010	2010 (1995=1.0)
WORLD	79,128	185,303	2.3
Singapore	359	3424	**9.5**
China	2914	24,164	**8.2**
Korea	1283	8064	**6.2**
Germany	14,694	34,869	2.4
Finland	1762	4111	2.3
United States	36,361	79,581	2.2
Russia	5509	6791	1.2

GLOBAL MAPPING

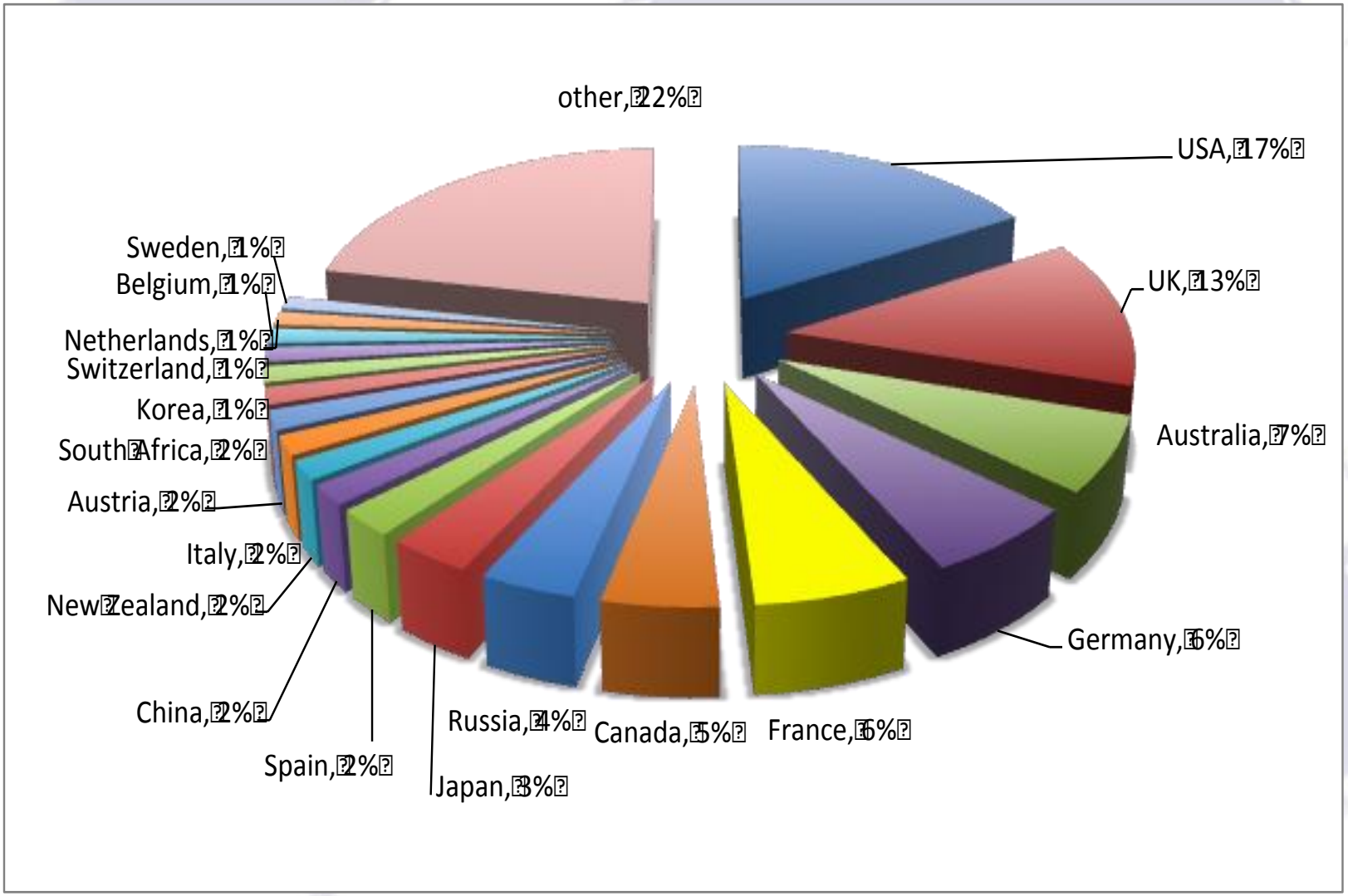
(global systems + individual institutions
plus nation-by-nation data)

Total R&D spending 2000 & 2010 ($s bill.)

Constant 2005 USD. 2010 or nearest year. Data: OECD



4.1 million foreign tertiary students, 2010: world market shares



COMPARATIVE STUDIES

(SM work in progress)

Hypothesis 1: States and their higher education systems vary according to

- Differences in the scope and role of the state
- Differences in political cultures
- Differences in educational cultures, including the role of the family

Entails variation in such issues such as …

- space for and vitality of civil society and its relation with HEIs
- government-university relations (forms of autonomy)
- protocols of academic freedom
- social expectations of higher education
- responsibility for funding and priorities of state investment
- acceptable/unacceptable stratification between institutions
- private higher education sector and its relations with state
- institutions' degree of independence in global activities

Hypothesis 2: States and their higher education systems vary on a regional basis

- We can talk about European states and universities (and within that Nordic, German, French etc states)
- English-speaking states (American, Westminster)
- Post-Confucian states in East Asia (China, Japan, Korea, Singapore etc)
- Latin American states (Brazil, Argentina, Chile etc)
- The state in Russia
- Oil-rich states in Saudi Arabia and the Gulf
- States in South Asia, Southeast Asia, Central Asia, Sub-Saharan Africa

Three kinds of state/ higher education

	United States	Westminster (UK, Australia, New Zealand)	Post-Confucian (East Asia and Singapore)
Nation-state	Limited liberal state, separate from economy and civil order. Federal	Limited liberal state, separate from economy and civil order. Unitary	Comprehensive Sinic state, politics commands economy, top graduates to state
Educational culture	Meritocratic and competitive. Education seen as common road to wealth/status within advancing prosperity	Socially egalitarian. Education as state guaranteed road to social opportunity that is open to all	Confucian commitment to self-cultivation. Education for filial duty and social status via exam competition
State role in higher education	Frames hierarchical market and steps back. Autonomous university leaders and strategy	Supervises market competition, shapes outcomes indirectly. Managed autonomy	Supervises, expands, shapes and drives the sector. Even more managed autonomy

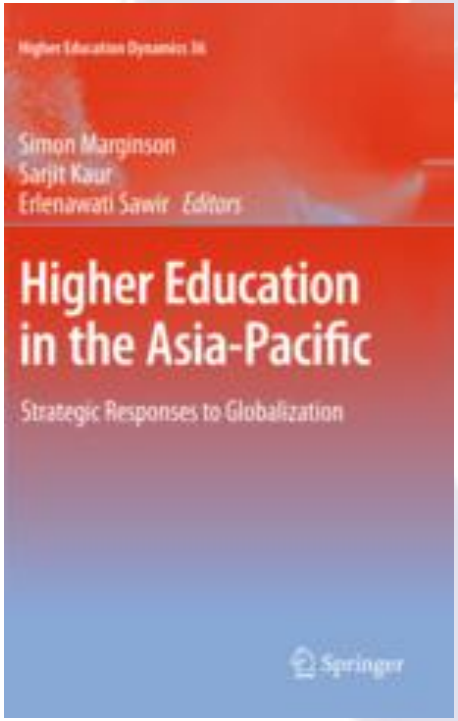
	United States	Westminster (UK, Australia, New Zealand)	Post-Confucian (East Asia and Singapore)
Financing of higher education	State funds research, students loans, teaching subsidies in decline. Tuition varies high/low. Poor often drop out. Waste	State funds research, student aid, teaching subsidies in decline. High tuition with income contingent loans. Poor need subsidy. Austerity	State funded research and infrastructure, merit aid. Some need aid. Even poor household funds part tuition/ private classes. Total resources grow
Dynamics of research	Large federal funding, philanthropy, industry especially biotech. Peer run basic science. Competition focuses capacity. Growth of entrepreneurship since 1980, can compromise academic freedom	Stringently funded by unitary state. Peer culture survives,micro-managed. Basic research weakened. Policy focus on potential concentration, efficiency, in lieu of private sector drivers. Weaker industry presence than in US	Unitary state direction. Part household funding of tuition enables fast growing state funding of R&D (much goes to state enterprises in China). Applied focus, plus strategic basic in Korea and Japan. Peer control can be compromised by state

Top ten school systems OECD PISA 2009

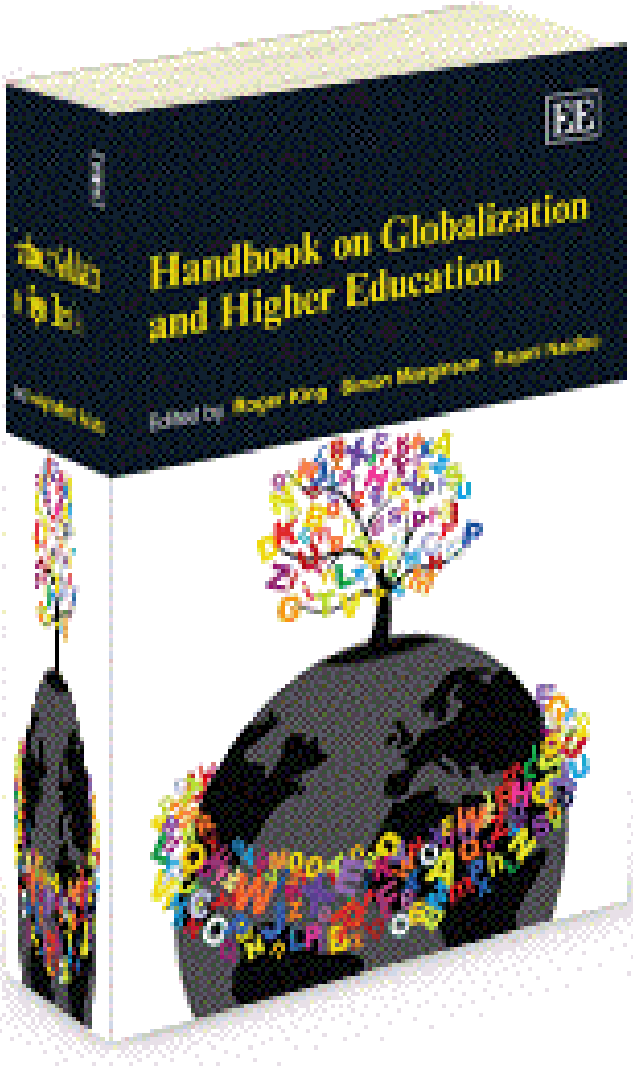
(mean student scores, Post–Confucian education systems in red)

Reading	Mathematics	Science
Shanghai China 556	Shanghai China 600	Shanghai China 575
South Korea 539	Singapore 562	Finland 554
Finland 536	Hong Kong 555	Hong Kong 549
Hong Kong 533	South Korea 546	Singapore 542
Singapore 526	Taiwan China 543	Japan 539
Canada 524	Finland 541	South Korea 538
New Zealand 521	Liechtenstein 536	New Zealand 532
Japan 520	Switzerland 534	Canada 529
Australia 515	Japan 529	Estonia 528
Netherlands 508	Canada 527	Australia 527
USA 500	*USA 487*	*USA 502*
Russia 459	*Russia 468*	*Russia 478*

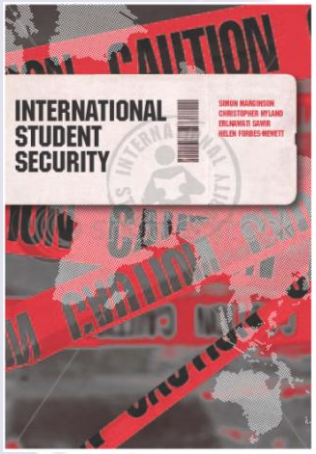
http://www.cshe.unimelb.edu.au/people/staff_pages/Marginson/Marginson.html



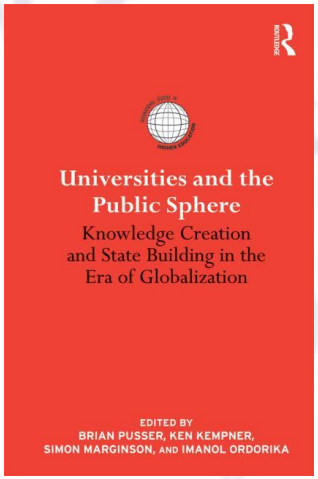
Springer, Dordrecht, September 2011



Edward Elgar, Cheltenham, September 2011



Cambridge UP, Cambridge, May 2010



Routledge, New York, August 2011