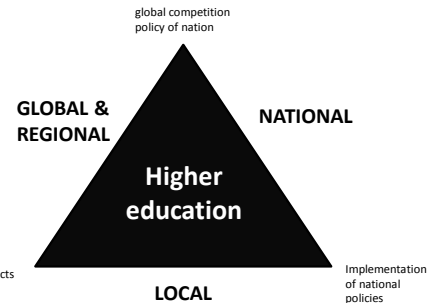


OECD/Japan Seminar, Tokyo, 6-7 February 2013

## State agendas in the age of globalized higher education

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To fully understand globalization in higher education and science, we need to position ourselves outside the nation-state and beyond 'methodological nationalism'

- 'Methodological nationalism can be simply defined' as the idea that the nation-state is 'the natural and necessary form of society in modernity'  
~ Daniel Cherlino (2007), *A social theory of the nation-state*, pp. 9-10
- '... 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. 265

## 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
- Since the Internet began in 1990, global systems and flows have exercised a growing influence, especially in research
- The impact of global systems, flows and models is filtered through national and local elements. Global impact varies by nation and HEI. Some are more globally engaged and open than others
- Nation-states are still discovering their potentials, agendas and limits in higher education, in this more global era
- In parts of the world regional higher education agendas are potent

## Drivers of globalization (partial global convergence and integration)

- *External*: Developments in cross-national global systems (e.g. research knowledge and publication, people mobility, global rankings) that impose external referencing and require all national systems and institutions to respond. Some of these changes partly decouple universities from the nation
- *Internal*: Changes instigated by national policy and regulation, and by institutions themselves, that are patterned on a similar basis around the world, and facilitate global mobility, cooperation, competitiveness and exchange (e.g. corporatization of universities, building national science systems, internationalization of personnel)

## Regionalization – a growing factor

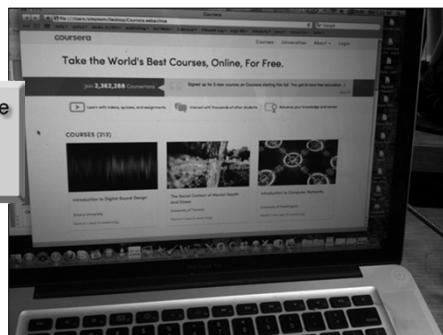
- Regional formation in higher education is a natural response of nations, given the more potent global environment, and the neo-imperial role exercised by the Anglo-American sphere
- Regional formation rests on equivalent capacity, geographical proximity, cultural commonality and above all, political 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 on student mobility and elite university networking (BESETOHA, CAMPUS-ASIA)

### Three major global developments in higher education in the last ten years

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

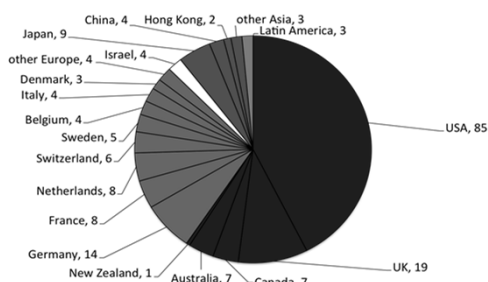
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Massive  
Open  
Online  
Course



Coursera had 2.4 million enrolled students worldwide on 18 January 2013

### Shanghai Jiao Tong ARWU top 200, 2012



### Shanghai JITU top 500 universities Chinese systems 2005 & 2012

	2005	2012
China mainland	8	28
Hong Kong SAR	5	5
Taiwan China	5	9
Total	18	42

### Countries with 1000+ science papers p.a.

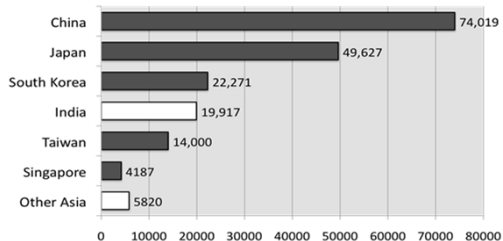
US National Science Foundation data for 2009

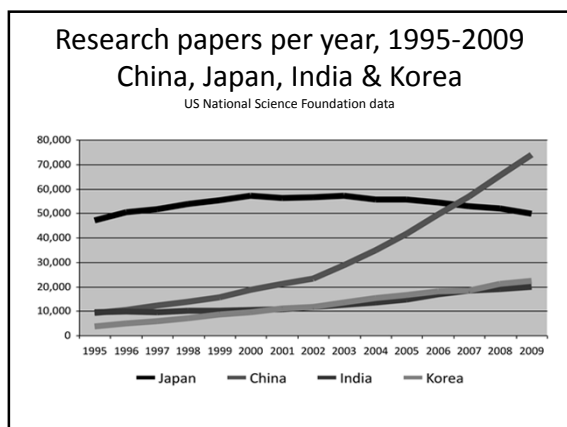
ANGLO-SPHERE	EUROPE EU NATIONS	EUROPE NON-EU	ASIA	LATIN AMERICA	
Australia	Austria	Italy	Croatia	China	Argentina
Canada	Belgium	Netherlands	Norway	India	Brazil
N. Zealand	Czech Rep.	Poland	Russia	Japan	Chile
UK	Denmark	Portugal	Serbia	Malaysia	Mexico
USA	Finland	Rumania	Switzerland	Pakistan	
	France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

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### Science papers in global journals, East, SE and South Asia, 2009

US National Science Foundation data





### Large Asia Pacific research universities

University / nation	Number of science papers 2005-2009 (Leiden CWTS data)	Proportion (%) of papers in top 10% in field by citation
U Tokyo JAPAN	18,382	10.2
Kyoto U JAPAN	14,941	9.5
U Cambridge UK	14,046	16.7
Seoul National U SOUTH KOREA	13,052	8.9
Zhejiang U CHINA	13,037	9.2
Osaka U JAPAN	12,266	8.1
National U Singapore SINGAPORE	11,838	13.8
Tohoku U JAPAN	11,736	7.9
Tsinghua U CHINA	11,478	10.8
National Taiwan U TAIWAN	11,302	8.9
Shanghai Jiao Tong U CHINA	10,683	8.2
Sydney AUSTRALIA	10,155	10.1
Melbourne AUSTRALIA	9724	11.9

### High citation rate Asia Pacific universities

University / nation	Papers 2005-2009 (Leiden data)	% of papers in top 10% of field by cites
U Cambridge UK	14,046	16.7
Hong Kong UST HONG KONG SAR	3568	14.9
Pohang U SOUTH KOREA	3264	14.1
National U Singapore SINGAPORE	11,838	13.8
Nankai U CHINA	4211	13.4
U Science & Technology CHINA	6789	13.0
ANU AUSTRALIA	5551	12.9
City U Hong Kong HONG KONG SAR	3903	12.7
Lanzhou U CHINA	3531	11.9
U Melbourne AUSTRALIA	9724	11.9
U Queensland AUSTRALIA	9088	11.8
U Hong Kong HONG KONG SAR	6820	11.5
Korea Advanced IS&T SOUTH KOREA	5319	11.4

- ### New potentials and limits of the nation-state in higher education
- The state is positioned as 'the global competition state' (Cerny 1993), highlighting the strategic contribution of higher education and science to global competitiveness of nation
  - State policy focuses on STEM human capital (SCIENCE, TECHNOLOGY, ENGINEERING, MATHEMATICS) and research-as-innovation
  - Universities are potential attractors of high-value global talent
  - Research-intensive universities are partly disembedded from national policy agendas. Universities work with global status ranking, global knowledge system, foreign-source income
  - Marketization reform weakens direct state authority, though it stops short of recreating HEIs as free-wheeling global firms

- ### In higher education status ranking and knowledge more 'global' than economics
- Political economy is still ordered on the national scale
  - States have not lost their ambition in, or hold on, higher education and national research. Indirect form of state steering do not always entail loss of control (though there are tensions)
  - Potential for full commercial marketization is decisively limited by the public good nature of knowledge, dynamics of positional competition in higher education, social demand and the popular politics of massification, state political objectives
  - Knowledge flows freely everywhere from the dominant centres in North America, Europe and East Asia. The reputational hierarchy and talent competition are global in form.

### Three kinds of state/ higher education

	United States	Westminster (UK, Australia, New Zealand)	Post-Confucian (East Asia and Singapore)
<b>Nation-state</b>	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
<b>Educational culture</b>	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
<b>State role in higher education</b>	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

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	United States	Westminster (UK, Australia, New Zealand)	Post-Confucian (East Asia and Singapore)
<b>Financing of higher education</b>	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
<b>Dynamics of research</b>	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

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## Implications for Japan

- Some states (e.g. Westminster like UK) focus primarily on performance management and value for money. Other states (e.g. China or Korea in this period) focus on capacity building
- The strong comprehensive state of Sinic tradition is well equipped for rapid capacity building in higher education – for improving quantity and quality at the same time
- Japan followed the capacity building path in the 1960s-1980s, China and the rest of East Asia are following it now
- Japan's options now are inhibited by national debt, tight fiscal management, and the difficulty of mobilizing national effort
- Present policy is closer to Westminster than Post-Confucian

## How does the nation optimize its higher education position in the global setting?

- *Facing both ways: Combine genuine openness to cross-border ideas and knowledge with a strong coherent national agenda*
- Dual knowledge system: Build maximum capacity in global science alongside nationally-based knowledge
- Bi-culturalism: Nurture continued national culture and language in combination with facility in global English
- Talent: Compete effectively for the best foreign talent and accept foreign born people in core roles in the national system
- Global collaboration: Research on common human problems
- Global projection: Advance a distinctive national approach to shaping the global order, not just follow American HEIs
- *Minimize scope* for global regulation and extra-national space

## How does the institution optimize its position in the global setting?

- *Facing both ways: Combine genuine openness to cross-border ideas and knowledge with a strong coherent HEI agenda*
- Build global capacity and brand: Research, research, research
- Manage national government: Reconcile global activities and benchmarks with national and local agendas. Maximize the synergies. Seek government support for global activities
- Talent: Compete effectively for the best foreign talent
- Venture out: Send people abroad in numbers to learn
- Global collaboration: Research on common human problems, capacity building programs in the developing world, consortia, deep partnerships with a few selected HEIs

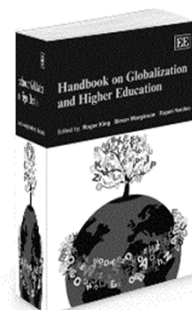
## How is global higher education optimized in the global setting?

- Capacity building of higher education and science in developing countries with help from developed country HEIs
- Global collaboration in the production of public goods such as research on common human problems
- Minimum barriers to people mobility *but* compensation to developing countries for brain drain
- Ranking and classification systems based on transparent and objective material criteria, *not* reputation recycling reputation
- Free global access to common English language science
- Multi-lingual knowledge systems (e.g. cite counts), extensive translation of non-English knowledge into the global language
- *Maximize scope* for global regulation and extra-national space

[http://www.cshe.unimelb.edu.au/people/staff\\_pages/Marginson/Marginson.html](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