



Utrecht University



Events

12 December 2016 from 16:15 to 17:00

Inaugural lecture Marijk van der Wende: 'Opening up: higher education systems in global perspective'





Universiteit Utrecht

Opening up: higher education systems in global perspective

Inaugural lecture

Prof. Dr. Marijk van der Wende

12 December 2016



11 December 1996

Dear Rector Magnificus, ladies and gentlemen,

20 years ago, on 11 December 1996, I defended here in this building my PhD dissertation on *“Internationalizing the curriculum in Dutch higher education, an international comparative perspective”*. In Dutch.

Today, I will speak about the opening up of higher education systems in a global context. I will do so in English with the special permission of the Rector Magnificus and the Dean of Faculty Law, Economics and Governance.



Introduction

In times that walls are being pulled up and borders are being closed down, higher education systems should be considered, shaped, and steered as *open systems*, *open* to the world and enabling the realization of an *open*, democratic and equitable society.

Recent geopolitical events and intensified populist tendencies are promoting a turn away from internationalism and away from an *open* society. Support for *open* borders, multilateral trade and cooperation is being weakened, globalization is criticized, and nationalism is looming.

Brexit, the prospect of a disintegrating Europe Union, and of the US turning its back on the world create waves of uncertainty in higher education regarding international cooperation, the free movement of students, academics, scientific knowledge and ideas.

At the same time China is launching new global initiatives such as the One Belt One Road project, which could potentially span and integrate major parts of the world across the Euro-Asian continents, but likely on new and different conditions. Also for higher education.


These changes require a critical review of our assumptions regarding globalization and the international development of higher education. Should we revise our expectations? What can we learn from reviewing our previous scenarios in order to improve our understanding of what will determine the course these processes seem to be taking? And what does this imply for the Dutch higher education system?

I will critically review the theoretical concepts, methodological approaches, and the steering of higher education systems in a global context and position the conceptual ways forward within the UU strategic theme *Institutions for Open Societies*.

Could we have imagined.....

Brexit, the closing of universities and obstruction of academic mobility after the failed coup in Turkey, pressure on the Central European University, (notably founded on Popper's concept of an Open Society),ⁱ the American University in Kabul being attacked by IS, etc. etc.

These events caused a big shudder in this international higher education community, as expressed by the following observation of an Australian colleague on the recent conference of the European Association for International Education.



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Take away from the EAIE Conference 2016

"What seems to have died is the European international education community's faith in the inevitability of the cosmopolitan project, in which national boundaries and ethnic loyalties would dissolve over time to allow greater openness, diversity and a sense of global citizenship."

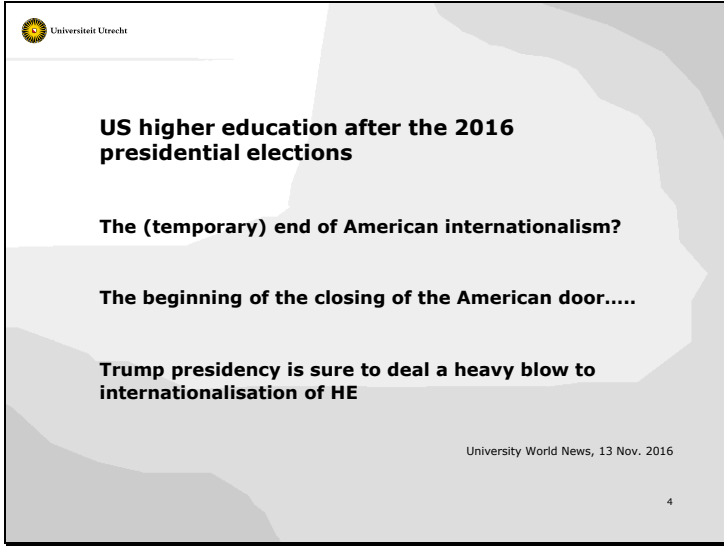
Chris Ziguras (Melbourne University)

University World News, 14 Oct 2016

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Could we have imagined this a decade ago?

And here are some of the first headlines from the American higher education sector after the election of the new president of the US.



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US higher education after the 2016 presidential elections

The (temporary) end of American internationalism?

The beginning of the closing of the American door.....

Trump presidency is sure to deal a heavy blow to internationalisation of HE

University World News, 13 Nov. 2016

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The elections were followed immediately by student unrest across campuses. And university leaders responded with strong messages aiming to calm them down. Trying to reassure their students' fear for their personal safety and fear for the future. These messages emphasized their values related to *diversity and inclusion* and their institutional mission towards an *open* society, a society *open to the world*.

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Messages from campus leaders


As a community, we must use this moment to reaffirm our own values of respect and **inclusion**, while working together to preserve academic freedom, fearless inquiry, and **diversity**.

Together we have both the will and the ability to rise above the rancor, to embody the best of what a free, **open**, and **inclusive** society should be.

Nicholas B. Dirks
Chancellor
UC Berkeley (9 nov 2016)

As a community and as a practical force for good we are delighted and energized by our **diversity**, with a meritocratic **openness** to talent, culture and ideas from anywhere

L. Rafael Reif
President
MIT (10 nov 2016)



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Could we have imagined this a decade ago?

Could we have imagined a decade ago, not only the prospect of a disintegrating Europe Union, of the US turning its back on the world, of international institutions being under pressure and multilateral agreements stagnating? In other words the possibility of a less interconnected and integrated world?

Let's take step back and try to understand what may have happened.

The first quote mentioned "the *inevitability* of the cosmopolitan project.....". And that was exactly our belief. Our definitions of globalization were inherently progressive: "the widening, deepening, and speeding up of world-wide interconnectedness", with "growing interdependence and convergence between countries and regions".ⁱⁱ

Some (a journalist) even claimed at some point that the "world was flat".ⁱⁱⁱ

But the world wasn't flat and serious warnings have been given all along the way, signaling notably the risks of inequality, of globalization not only generating winners, but also losers.

Globalization discourses



Already around the turn of the millennium, Castells pointed out that globalization leads at the same time to development and to underdevelopment, to inclusion and to exclusion, risking global economic imbalances with detrimental effects on social cohesion.^{iv} Stiglitz criticized globalization's discontents for developing countries as a result of imperfect global governance structures and practices.^v James stated that from an historical perspective, globalization is not irreversible and that it was at that moment weakened or at least stagnating.^{vi} While Gray argued that globalization was already over and that in particular the global free market economy had been a utopian project, since its contradictions as testified by flows of asylum seekers and economic refugees had been too easily overlooked.^{vii viii}

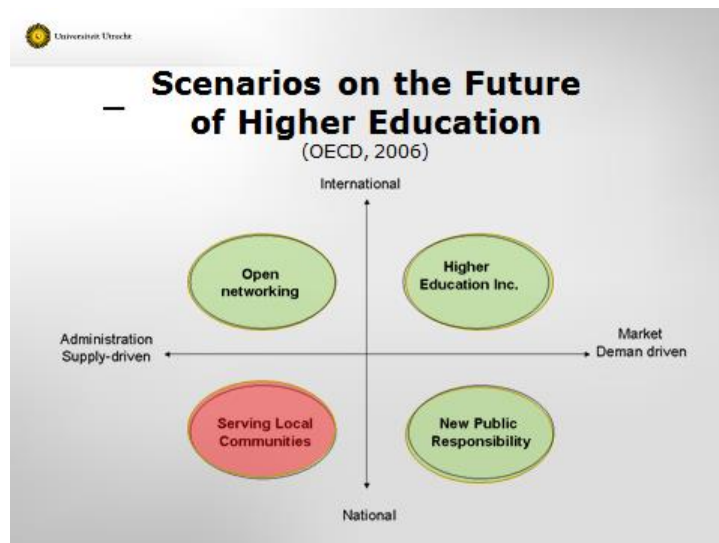
No the world wasn't flat. Neither was Europe. This is how the streets looked in the south of Europe when students started to protest in the early 2000ths against the Bologna Process. And these streets have been filled up with protests many times since.



This is also what we saw in Athens in 2006, during the first OECD ministerial conference on higher education. I was there as the then president of the higher education programme of the OECD. The conference had to be evacuated from Athens for safety reasons to a nearby peninsula. The student campaigns felt like a protest against global trade (like during the WTO conference in Seattle in 1998). I was shocked.

Scenarios revisited

So a decade ago, we were in Athens. I moderated a discussion with these OECD ministers on four scenarios on the future of higher education. ^{ix}



Two of them (upper cells) were definitely geared towards more internationalisation:

- The one labeled “open networking” more cooperation oriented and publicly funded.
- The one called “higher education Inc” more competition oriented, with market mechanisms and more private funding.

These scenarios were thought to be the most likely ones and many countries were in fact already gearing up for it within the national context through the introduction of new public management, including more competitive funding, accountability, deregulation, privatization, etc.

But there was also a fourth scenario that was not discussed much, or even at all: “serving local communities”, which assumed that internationalisation would level off or even stop, because of a backlash against globalization, caused by terror attacks and wars, concerns about the growth in immigration, frustration about outsourcing and the feeling that national identity is threatened by globalization and foreign influence.

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Scenarios on the Future of Higher Education

(OECD, 2006)

Serving local communities

- **A backlash against globalization.**
- **Growing skepticism in regard to internationalization because of terror attacks and wars, concerns about the growth in immigration, frustration about outsourcing and the feeling that national identity is threatened by globalization and foreign influence.**
- **Geo-strategic reasons, governments launch ambitious new military research programmes and give security classification to an increasing number of research topics in natural sciences, life sciences and engineering.**

This is exactly the scenario that is unfolding today. And even the third point seem to be around the corner: *for geo-strategic reasons, governments launch ambitious new military research programmesetc.* I refer to the recent announcement of large (5 billion euro) EU investment in defense-related R&D.^x

Rebalancing Globalization

It was already clear by then, and in my report on the conference I wrote that we did not need to into the future to see that globalization creates global economic imbalances with detrimental effects on social cohesion. That re-balancing globalization was needed and that this would have consequences for higher education institutions.

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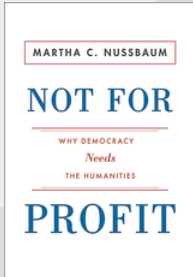
Rebalancing Globalization

We do not need to look into the future in order to see that globalization is not and cannot just be a project on free trade and economic growth.

The global economic imbalances that emerged have detrimental effects on social cohesion within and between countries and regions. These economic and social imbalances need to be addressed.

Higher education institutions need to broaden their missions for internationalization. To define their social contract in a globalized context: to be inclusive and embrace diversity.

(Van der Wende, 2007)



In my view, it required them to broaden their missions for internationalization. Not only respond to the profitable side of globalization, but also address related problems such as migration and social exclusion. To be more open and inclusive, to balance economic and social responsiveness, to define their “social contract” in a globalized context.^{xi xii} (I will come back to this at the end of my lecture when I will talk about UU).

In the local context this means enhancing access for migrant and minority students, support the integration of student groups with different cultural, ethnical and religious backgrounds, and to embrace diversity as the key to success in a global knowledge society. To become true international and intercultural learning communities where young people can effectively develop the competences needed for this society and to become real global citizens.

This is in line with Martha Nussbaum's argument that education is NOT FOR PROFIT. That economic growth isn't the only rationale, but that we have to contribute to "a public response to the problems of pluralism, fear, and suspicion our societies face".^{xiii}

But what happened and what has been overlooked or ignored? Well, higher education continued to be driven by the knowledge economy paradigm.

The global knowledge economy

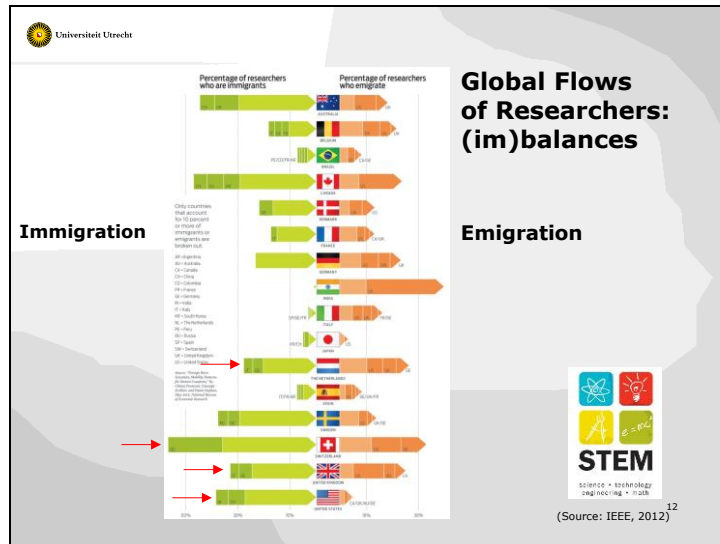
The global knowledge economy is driving the competition for reputation, talent, and resources.

This competition is further fueled by global rankings, dynamic research funding mechanisms, and international mobility.

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The knowledge economy paradigm builds on neo-classical economic and human capital theory, in which intellectual and human capital are key conditions for economic growth. (Higher) education is a producer of that human capital, in terms of: "talent", "skills", "bright minds". In the *global* knowledge economy, nations, corporations, and public organizations are competing across borders for talent, reputation and financial resources. And universities alike, fueled even more so by global rankings and the increasingly global flows of students, researchers and funding.^{xiv}

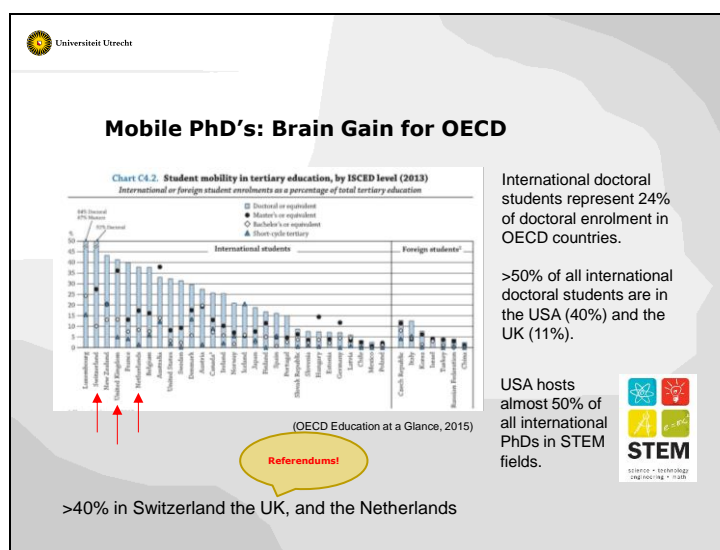
So let's take a look at these global flows and try to analyze the growing and shifting inequalities therein.



But there is also a debate about whether this reduces job opportunities for US researchers. President Obama argued against it, but his successor may have a different view! Last year the US Council on Foreign Policy published a report on “Balancing China”, asking whether the US should continue to help build the competitive advantage of its main competitor, China, by training so many Chinese graduate students. Also here the new president may change the direction of policies.

Experts underline more in general the vulnerability of countries overly dependent on immigration for their R&D capacity.^{xxi} A warning most relevant for the following three countries: the UK, Switzerland, and the Netherlands

Global imbalances are also reflected in international student mobility, which has more than doubled over the last decades to over 4 million today and these flows have always been clearly in favor of the OECD countries. This brain gain is especially situated at the most advanced levels; 24% of PhD students are international on average across OECD countries, against an average of 9% in all levels.^{xxii}



The bulk of doctoral education is provided by relatively few institutions globally, notably in the USA and the UK which host together over 50% of all international doctoral students.^{xxiii} The competition is particularly focused on STEM since these skills are considered most critical for innovation, technological progress, industrial performance, and thus economic growth.^{xxiv} The USA alone hosts nearly half of all international PhDs in these fields.^{xxv}

International students represent more than 40% of PhD enrolment in the UK, Switzerland, the Netherlands (with again strong concentrations in STEM). These three countries are also the world's top performing countries in research impact and quality and have the highest return on investment from ERC funding by attracting many ERC grantees from other countries. And now two of these countries are facing serious uncertainties with respect to academic mobility and EU funding as a result of the 2014 referendum on immigration in Switzerland^{xxvi} and the 2016 referendum on EU membership in the UK (Brexit). In the Netherlands several parties are seeking a quorum for initiating this type of referendum. Hence the warning mentioned before regarding the vulnerability of such very successful and very *open* systems!

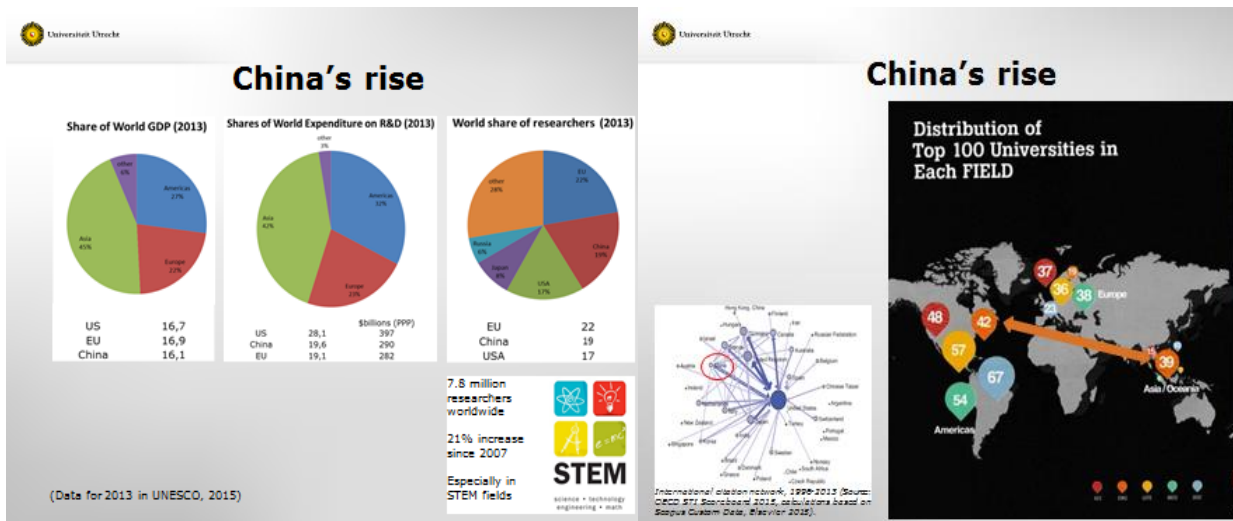
Meanwhile, the reach of the dynamic and internationally competitive funding mechanism such as the ERC is growing global. Agreements between the ERC and other major research funding councils in the US (NSF), South Korea, Japan (JSPS), and China (among other countries) we recently signed. The production of scientific knowledge is shifting to the international level; the proportion of publications involving international collaboration has nearly doubled since 1996, reaching close to 20% in 2013.^{xxvii}



And the key players in this field; the leagues of research universities, such as the American Association of Universities, the League of European Research Universities, the China 9, and the Australian Group of 8, position themselves at the global scene. This picture displays the signing ceremony of the first global agreement on the characteristics of these research universities. In October 2013 in China.

China's rise

China's higher education system has developed at an unprecedented scale and pace and is now the largest in the world in terms of student enrolment. Although its investment in higher education and R&D as a percentage of GDP is still below OECD average, it is – because of its size - second in terms of its share in world expenditure on R&D and for its world share of researchers. China's growth is greatly contributing to the increase in the number of researchers worldwide, which is again mostly observed in STEM fields.^{xxviii} And it is ready to offer researchers very attractive packages if needed.^{xxix}



China is clearly re-balancing global inequality in higher education. However, it is doing so in a very particular, narrow, way. China spends relatively little (4%) on basic research but hugely in R&D.^{xxx} This is strategically motivated in relation to technological innovation, economic growth and geopolitical positioning (f.i. cyber security). This is reflected in the rather skewed development of its higher education system in which it is taking very much a narrow STEM route; mostly engineering & computer sciences. Mainly in competition with the US (39 top schools in Asia versus 42 in the US, and only 19 in Europe). China's top engineering schools now dominate those in its region and rank in the world's top 10 for engineering and top 25 for computer sciences.^{xxxi} This implies a potentially skewing effect on developments in the sector globally, i.e. driving the already strong competition in STEM fields even further.

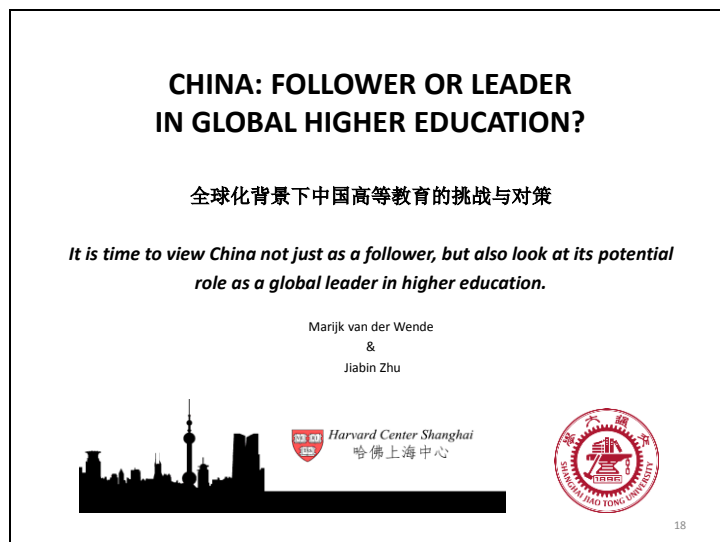
China's progress in humanities and social sciences is much less convincing. And research quality and impact are still lagging behind; China has a much smaller size in terms of citations received from abroad than would be implied by its overall publication volume.^{xxxii}

And that is probably why China is seeking more cooperation. Its new higher education policy (part of China's 13th 5-year plan) focuses on hubs to connect its best universities with the world top in the West. At the same time, China is still an important basis for talent recruitment by the US and Europe, it struggles with skills gaps, and has limited success in regaining its diaspora.^{xxxiii}

But the balance with the West may change with China's One Belt One Road (or New Silk Road) project. Recently a range of cooperation agreements on higher education and research have been signed with partners in Europe.^{xxxiv}



Will China at some point balance the West? Will China take a leading role in higher education? This was precisely the focus of the research that I carried out at Harvard university and Shanghai Jiao Tong university last year. And indeed, it is time to view China not anymore only as a follower in global higher education.^{xxxv}



Globalization, inequality, and higher education

Thanks to scholars such as Thomas Piketty (economics)^{xxxvi} and Branco Milanovic (sociology)^{xxxvii} our understanding of the paradoxical outcomes of globalization has developed, especially regarding the impact of globalization on inequality.^{xxxviii} They analyzed

that while economic and social inequality has *decreased* at global level, mostly due to the growth of Asian economies, notably by China, it has *increased* within certain countries and regions.

Let us see to what extent these patterns are reflected in higher education and research. They are, mostly.

		Global decrease	"Local" increase
Research		China's rise	Concentration of the minds in few hubs
		North-South divide decreasing	Also in Europe
		Academic mobility ≠ zero sum game	Stratification of HE institutions
Education		Student enrolment exploding globally	Public financial support under pressure:
		HE will be expanding more	higher private contributions
		2% study abroad ≠ serious brain drain	equity and value for money decreasing
			Waning meritocratic role of HE

I have just confirmed the re-balancing effect of China's rise on the global higher education and research scene.^{xxxix} UNESCO more generally states that global imbalances are decreasing as the North–South divide in research and innovation is narrowing, with a large number of countries moving towards knowledge economies and cooperation increasing between the regions. Empirical research finds positive externalities of mobile researchers and suggest it is not necessarily a zero-sum game and thus don't necessarily come at the expense of the sending country.^{xl} However, these minds concentrate more and more in fewer hubs, also in Europe, thus creating bigger inequalities and contributing to the further stratification of its higher education landscape.^{xli}

Global inequality also decreases as student numbers are exploding around the world, more than half of it in China and India alone, and will be expanding more globally. Those studying abroad expand even quicker, but as represent only 2%, this brain drain should generally not represent a threat to the development of national systems.^{xlii} However, public financial support for higher education is under pressure in many countries. Total spending across the OECD, went up over the last decade, but the public share of it, traditionally strong in Europe, is more and more difficult to sustain and this gap is widening in Europe (mostly along the south – north axis) in the wake of the financial and economic crises.^{xliii}

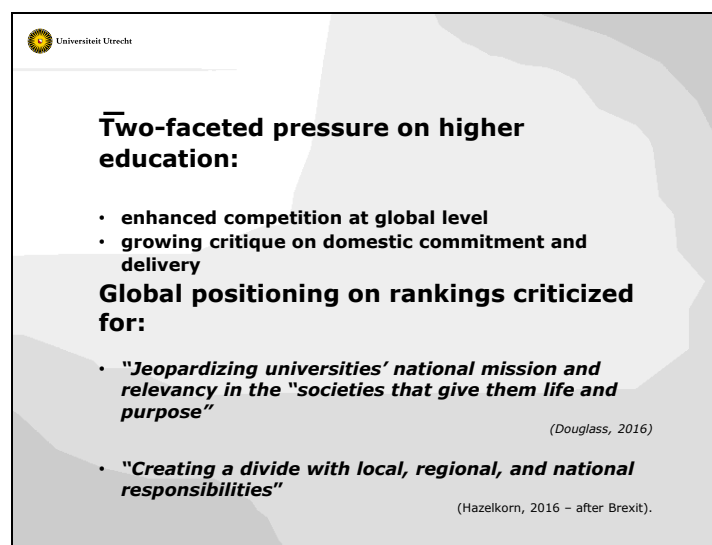
The American model in which private contributions become more important is increasingly followed (UK, NL), while it is being strongly criticized at its home base for issues of equity and decreasing value for money.^{xliv}

Thus the meritocratic role of higher education is waning in Anglo-American societies with neo-liberal policies that became significantly more unequal in terms of income from labor

and notably from capital. The importance of (higher) education in explaining income differences in such societies is reducing and family background and social connections may matter more, especially in societies that are already near to the upper limit of educational participation.^{xiv} I will come back to this point with respect to the Netherlands at the end of my lecture.

A two-faceted pressure on higher education: global positioning and local commitment

Thus, while global inequalities in higher education tend to decrease, its potential to compensate for increasing inequalities in rich countries, i.e. its meritocratic role, is being called into question. The resulting pressure on the sector is two-faced: enhanced competition at global level and a growing critique on local commitment and delivery.



Especially the pursuit of global positioning on rankings is being criticized for:

- *jeopardizing universities' national mission and relevancy in the societies that give them life and purpose.*^{xlvi}
- And even for creating a divide with local, regional, and national responsibilities.^{xlvi}

Such critique fits well into the critical discourse on "academic capitalism" that has been going on since the 1990s.^{xlvi} And in the debates about:

- World-class universities versus National Flagships^{xlix}
- World-class universities versus World Class Systems^l

I will come back to this notion of World Class system with respect to the Dutch higher education system at the end of my lecture.

Also our own university is being challenged by local stakeholders regarding this balance between global prestige and local commitment.^{li}

And from within for becoming "footloose" : *Er is een gevaar dat universiteiten zich loszingen van de rest van de samenleving – een academische jetset van internationale types die in hun eigen wereld leven*".^{lii}

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De stad, de universiteit en de ranglijstjes

OPINIE 9/2/2016 - 11:39 - Trade Mees



Wie de internationale top 100 een beetje volgt weet het wel: onze Utrechtse universiteit staat altijd hoog qua kwaliteit van onderzoek. Zie onder andere de Shanghai-ranking. Mooi, maar dat ontstaat niet vanzelf. Dus we mogen dankbaar zijn voor al het harde werk erachter.

Sinnemerk bestaat het instituut 380 jaar en de stad dwaalt in dat feestje. Ik weet niet of er ook al rankings zijn die aangewezen welke universiteit het beste is in het 'mea laten getellen van haar omring'. Waar stad en universiteit het meest profiteert van de wetenschappers, die 'wetenschappelijke ranking' is. Een leuke lijst zou het kunnen worden.

"Er is een gevaar dat universiteiten zich loszingen van de rest van de samenleving – een academische jetset van internationale types die in hun eigen wereld leven"

Bovens, 2016

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Methodological issues

Of course higher education cannot be blamed for all evil – as much as globalization cannot be blamed for everything bad in higher education. The relationship is dialectic: all universities are exposed to globalization, partly as objects, victims even, but also, especially research universities, as subjects or key agents of globalization.^{liii} This complicates our thinking about the topic. This is also why research in this area is really complicated. Globalization is a “garbage can” type of independent variable and it is difficult to define the appropriate unit of analysis for it.

As pointed out by Milanovic: with globalization the trans-border movement of people, income, and capital lead to statistical issues, but are in many instances more useful to study. And especially for the study of global inequality, we should be aware of the shortfalls of taking the nation-state as a natural unit of analysis. As this leads to “methodological nationalism”; instead of using country averages, thus covering up differences and heterogeneity, the approach should aim to uncover dissimilarities.^{liv}

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Methodological issues

- **With globalization the trans-border movement of people, income, and capital lead to statistical issues**
- **but are in many instances more useful to study**
- **for the study of global inequality; instead of using country averages, thus covering up differences and heterogeneity, the approach should aim to uncover dissimilarities**
- **shortfalls of taking the nation-state as a natural unit of analysis**
- **“methodological nationalism”**

(Milanovic, 2016)

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In the same fashion I postulated in my first inaugural lecture at Twente University in 2002 that: international comparative higher education research is not the same as the study of the dynamics of internationalization and globalization in and around higher education.^{lv} And continued to find such shortcomings in many studies of higher education, including the well-known OECD reviews.^{lvi}

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Methodological issues

International comparative higher education research is not the same as the study of the dynamics of internationalization and globalization in and around higher education.
(Van der Wende 2002)

The limited scope for globalization was due to the methodology applied in the OECD reviews: a parallel compilation of national reviews with multiple cross-case analysis on particular themes
(Van der Wende 2011)

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Theoretical challenges

Such methodological problems seem to have a conceptual base in research on higher education systems. These systems have been studied since the 1960s mostly in terms of their quantitative-structural developments (size, expansion, types of institutions and programmes) within the boundaries of a state.^{lvii} The conceptualisation of system-level steering (coordination) was developed in the 1980s, distinguishing the main driving forces, but again defined within state boundaries, thus (implicitly) as a *closed system* in a national context.^{lviii}

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Research into higher education systems: concepts and boundaries

Triangle of coordination in higher education (Clark, 1983)

State authority

Academic oligarchy

Market

State authority

USSR

Sweden

France

Canada

United States

Japan

Britain

Italy

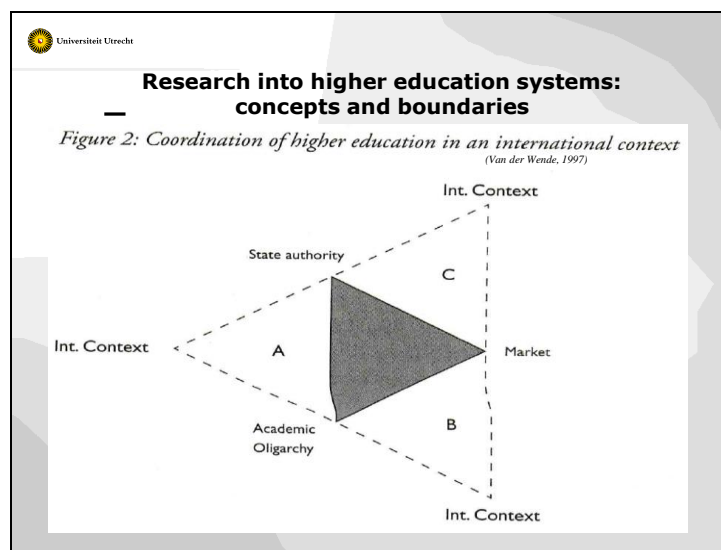
Academic oligarchy

Market

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From 1990s onwards HE systems were more often studied in an international comparative perspective in order to better understand the effect of policy and steering. Supra/international factors gained more influence on national HE systems and internationalization became a characteristic of the system, was recognized as a new element, but it was assumed that the steering or coordination was still to happen within that bounded (national) state reality.^{lix}

I started to challenge this implicitly *closed* conceptual model in 1997, by putting it explicitly in an international context. And by formulating the consequent questions regarding the interplay between forces at national and international level and their effect on national policies and systems.^{lx}



These questions were studied especially in the European context, which was particularly interesting because of supra and inter-governmental initiatives, such as the Bologna Process and the Lisbon Strategy.

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**Opening up the conceptual model
— for the study of higher education systems**

A. What is the interplay between the international, national, and institutional forces in the shaping and establishment of national policies for higher education and how does this affect these policies and the higher education system more generally?

B. What is the interplay between the international context, the market and the institutions in the shaping of institutional policies and how does it affect these policies?

C. What is the interplay between the international, national, and market forces in the shaping of national policies for higher education and how does this affect these policies and the higher education system more generally?

(Van der Wende, 1997)

Figure 2: Coordination of higher education in an international context
(Van der Wende, 1997)

Insights gained (2002-2008):

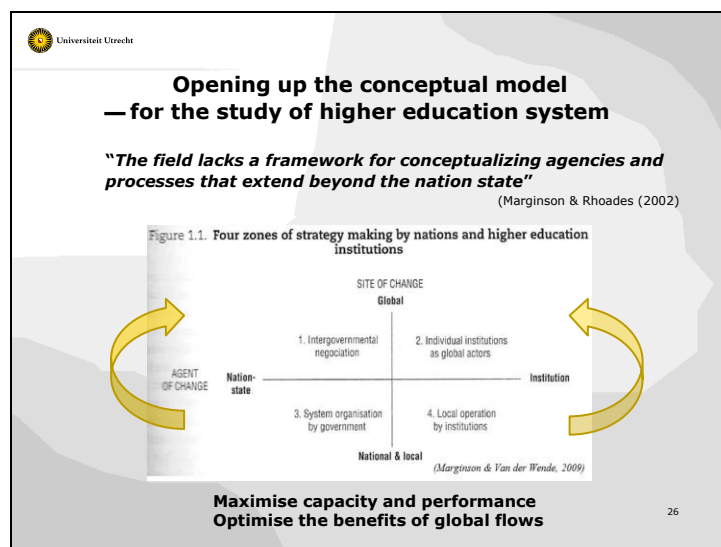
- Convergence and divergence
- National actors - policies matter - also in internationalization
- Institutions: globally engaged but nationally embedded
- Cooperation and competition at national and international level enlarge strategic options
- Complexity: need for strategic management, leadership, autonomy

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Borrowing from institutional, resource dependency, and multi-level governance theories, this led to a series of publications and PhD dissertations at CHEPS.^{lxi} These provided insights into:

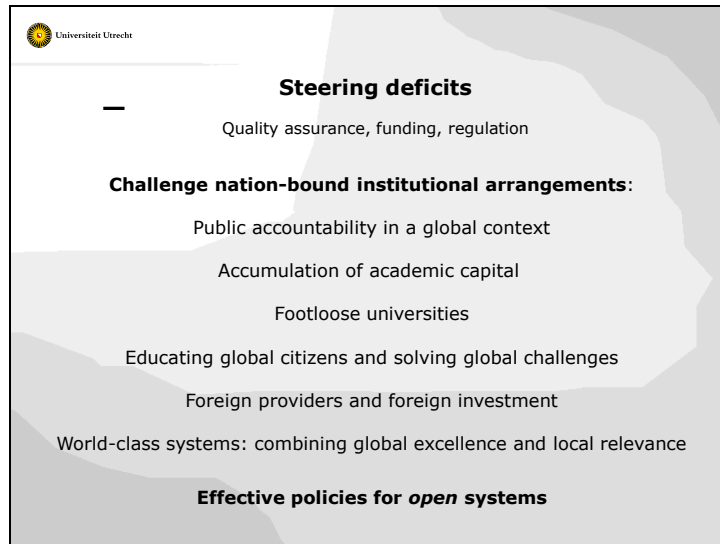
- Patterns of both convergence and divergence
- The continued importance of national actors and policies - also in internationalization
- That Institutions are thus globally engaged but nationally embedded
- That cooperation and competition at national and international level evolve in a matrix of strategic options
- And thus enhance complexity, the need for strategic management, leadership, and more autonomy

Other scholars questioned the national-based *closed* conceptual model of higher education systems in 2002.^{lxii} Notably Simon Marginson (now at UCL) with whom I co-authored intensively in the following years. In 2009 we concluded a significantly enhanced activity of both governments and institutions in the global sphere and into new zones of strategy making, aiming to maximise capacity and performance and to optimise the benefits of global flows.^{lxiii}



As there is no governance framework in this global space, steering deficits have occurred in areas such as quality assurance, funding, and regulation and led, among other things, to degree fraud, diploma mills, improper financing structures, and re-migration issues.

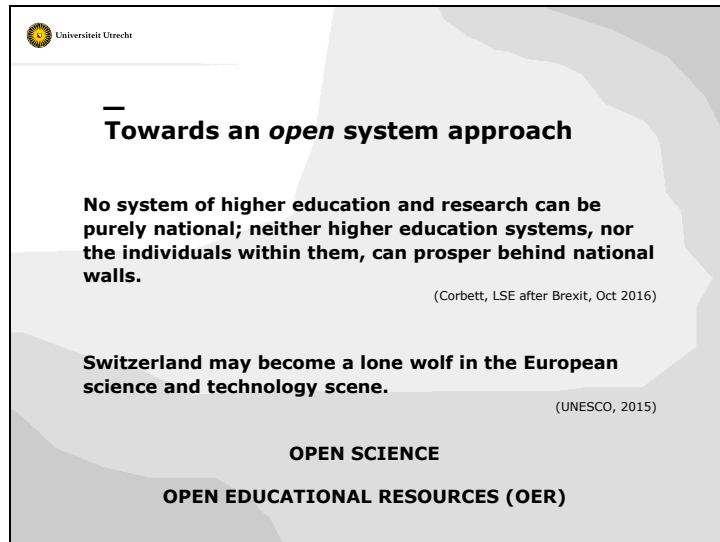
These issues challenge existing nation-bound institutional arrangements as a basis for steering the system.



Questions to be clarified include:

- To whom are public universities accountable for their global performance, which can be private enterprise abroad, foreign investment, or a contribution to global public goods?
- Is institutional performance and positioning of research universities indeed defined by the ability to attract, retain, and accumulate human and financial capital at global level? (a “Piketty-style hypothesis” that could be derived from “academic capitalism”)
- Are such WCU universities drifting away from national systems and indeed becoming “footloose”?^{lxiv}
- But how can universities educate students as global citizens and contribute to solving global challenges through their research, if they were to be kept within the boundaries of national higher education systems?
- How can an open system effectively deal with foreign providers, including those funded by foreign governments or religious groups?^{lxv}
- World-class systems are expected to support a combination of world-class excellence and effective diversity to cater for a range of stakeholder interests. But do we effectively understand how globalization affects differentiation within higher education systems?
- And what steering mechanisms would effectively allow to combine these two seemingly conflicting aims of global excellence and national relevance within one system?

These are big questions for governments that are seeking policies to respond effectively to the reality of *open* systems.



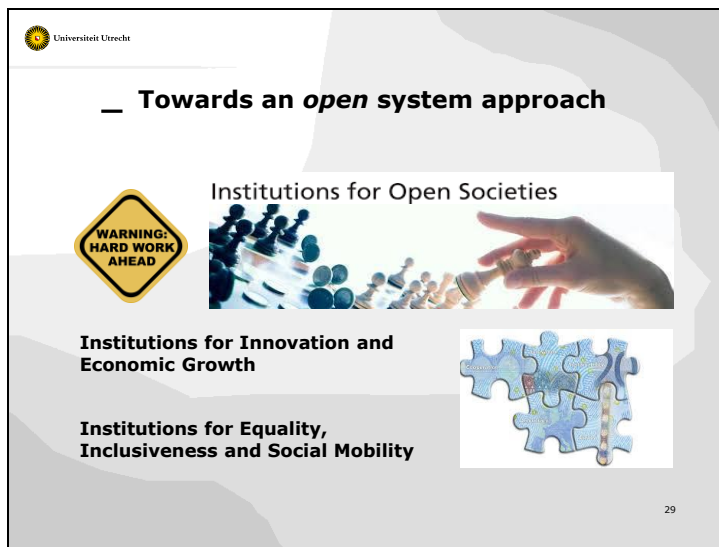
Obviously, there is no other way, since higher education’s mission in both research and teaching requires a global perspective. However, the resulting processes exceed the reach of nation states, but there is no global governance – for higher education it is at best in a nascent stage.^{lxvi} And even though globalization has objectively been slowing down in economic terms for already a decade, de-globalization or return to the local is not an option.^{lxvii} Certainly not for higher education since: “no system of higher education and research can be purely national; neither higher education systems, nor the individuals within them, can prosper behind national walls”.^{lxviii} In this respect, “Switzerland may become a lone wolf in the European S&T scene”.^{lxix}

The fact that the reach of national governance will be insufficient is even more clear when we take emerging realities such as open science and open educational resources (OER) into account.

There is thus some hard conceptual work ahead. But we don’t have to start completely from scratch. Van Vught for instance departed from an open systems approach in his work towards a theory of differentiation and diversity in higher education. He postulated a set of hypotheses on how these processes take place through various forms of institutional isomorphism.^{lxx} These could be developed further in order to build a better understanding of the effect of globalization and internationalization on processes of (de-)differentiation, the resulting diversity within higher education systems, and to unravel the effectiveness of steering options in such a context.

Various possible theoretical avenues will need to be explored, building on globalization theory assuming that it produces contrasting outcomes, that global flows are no zero sum game, and that the relationships between globalization and higher education are dialectical. Extending hypotheses into a global context therefore cannot be done simply by linear or even logical extrapolation. Contrasting perspectives need to be sought, since institutions may function differently across countries and in a global context.^{lxxi}

Positioning the research



This work fits clearly very well within the UU strategic theme of *Institutions for Open Societies*.^{lxxii} More in particular in the following two subthemes:

Institutions for Innovation and Economic Growth

The questions within this subtheme on how institutions, at the national, regional and organizational level, enable or constrain sustainable innovation, pertain to higher education, provided that the international and global level will be taken explicitly into account.

Institutions for Equality, Inclusiveness and Social Mobility

Also the questions within this subtheme focusing on how funding and organizational arrangements affect the accessibility of education, knowledge, social mobility, equality, and social cohesion are relevant for higher education. But also here the global and international context should be added.

Together these subthemes focus on one of the most crucial and universal dilemmas of higher education systems; how to create institutions that address societies' concerns regarding economic growth, innovation and new knowledge; as well as its educational concerns related to social cohesion and cultural integration, equity in access, professional preparation for employment, and social mobility.

I hope my research on these questions will contribute to the strategic theme Institutions for Open Societies as well as to our understanding of higher education systems and their steering as *open* systems in a global context.

The Dutch Higher Education System

I will round off this lecture now, with a few words on the Dutch higher education system and our own university. How open is the Dutch higher education system and is it world-class?

We have seen that it is very open in terms of international PhD's, researchers, research funding, etc. and that it is among the most performant research systems in the world. But we've also seen how much that would be at risk if our openness would be threatened, like seems to be happening now in Switzerland and the UK.



International student participation in master programmes is increasing significantly in Dutch universities and also at UU. But during recent debate in parliament opposition parties argued for giving priority to Dutch students over other European students: “eigen studenten eerst”.^{lxxiii} This was well withstood by the Minister of Education, referring to the European Treaty. Similar pressure is being heard against the use of English in higher education, or against internationalization all together.^{lxxiv} Is “academic nationalism” looming?

Instead we should cherish and defend our openness!

The WRR report “towards a learning economy” offers a forward perspective on how knowledge as a global public good, should circulate. And how the Netherlands as a small and open economy can gain even more from international R&D, by applying it for innovation, provided it enhances its knowledge absorption capacity, develops a more dynamic knowledge infrastructure, stronger education, and a more differentiated HE landscape.^{lxxv}

Many would agree on the last point. In this respect, the implementation of the report of the Veerman Committee is at best “work in progress”.^{lxxvi} We should hope that the next government will take this agenda up again and move it forward.

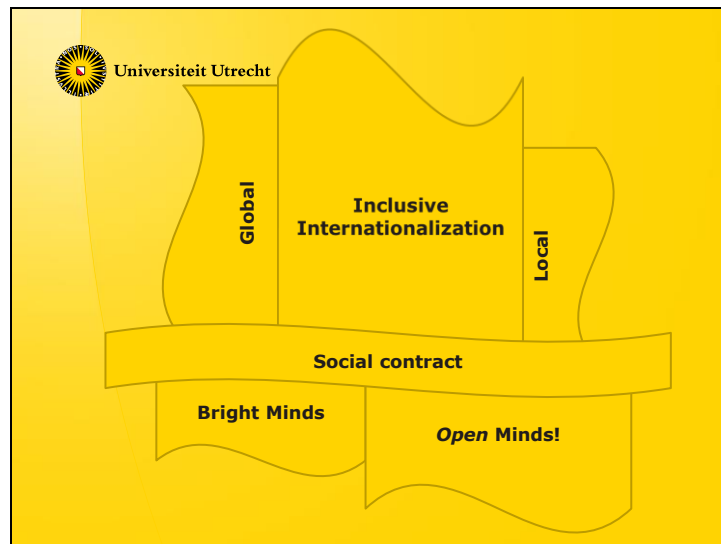
The Dutch higher education system is internationally very highly regarded^{lxxvii}, but further differentiation is needed to make it a real world-class system, in particular to overcome the

enduring systemic weaknesses (transitions from MBO-HBO-WO) that are at the detriment of social mobility and thus to enhance the meritocratic role of higher education. These issues have been highlighted time and again by the OECD and recently also by the Dutch Education Inspectorate and the CBS, which inspired the Minister to launch the “gelijke kansen coalitie”.^{lxxviii}

This takes us back to Mark Bovens’ warning on research universities becoming “footloose” if they continue to focus only on the cosmopolitan elite.^{lxxix}

UU’s Strategic orientation

Our university’s new Strategic Plan includes the key themes in this respect: internationalization and diversity. It aspires to be a global research university with local relevance.^{lxxx} But how to balance this well? How to define our social contract on this global-local axis?



By all means, not by treating internationalization and diversity as two separate themes, as has been done in higher education over the last decades. But by making internationalization inclusive. Inclusive internationalization embraces diversity in all its dimensions. Thanks to Dean Annetje Ottow the REBO faculty is making some first and brave new steps in this respect! Brave, yes indeed, courage is required.

As stated by Wieger Bakker in his inaugural lecture about “Teaching for an Open Society” this implies educating our students to be the *corps diplomatique*, that supports relationships between communities across the borders of nations. Reflecting on the lofty phrases of the UU strategic plan he wondered whether we are really up to that challenge: “*ga er maar aan staan*”, he said.^{lxxxii} But well, ladies and gentlemen; *noblesse oblige*: so let’s ensure that “bright minds” also means “open minds”!

Also to this ideal, I would hope to be an effective contributor.

Closing

I come to a close now and would like to thank the Executive Board of Utrecht University for the confidence placed in me to hold this chair in higher education systems.

The vice-deans of the Graduate Schools for their support and comradery. My new colleagues at REBO and USBO for their kind welcome and cooperation.

My former colleagues from Nuffic, from CHEPS at the University of Twente, that awarded me so-early-on my first professorship. From Amsterdam University College, where I had a life time chance to bring my ideas on combining “excellence and diversity” in practice in the context of that so global city. To all of them for their warm cooperation and friendship along the 20 years since I defended my PhD here.

I would also like to thank my former and current students for boosting my thinking and for giving it purpose.

My friends and relatives who endure my sometimes long social absences.

And of course my partner Dr. Peter Blok for his love, his relentless enthusiasm for my career, and for always being on my side.

Thank you!

Ik heb gezegd.

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^{xxviii} China's share in world expenditure on R&D (GERD) is 19.6% compared to 19.1% for the EU and 28.1% for the US, putting it second in position for in the world's largest R&D budget (in PPP). And also for its world share of researchers: 19.1%, compared to 22.2% for the EU and 16.7% for the USA. China's growth is greatly contributing to the increase in the number of researchers worldwide (21% since 2007 to 7,8 million in 2013), which is again mostly observed in STEM fields (all data for 2013 in UNESCO, 2015).

^{xxix} South China Morning Post (27 April 2016). *The rise of China's millionaire research scientists* Retrieved from: <http://www.scmp.com/news/china/policies-politics/article/1939032/rise-chinas-millionaire-research-scientists>

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^{xxxviii} As also discussed by Stiglitz - *Joseph E. Stiglitz discusses The Great Divide: Unequal Societies and What We Can Do About Them*. Harvard University, 21 April 2015.

^{xxxix} UNESCO (2015) signals the widespread growth in the number of researchers, which demonstrates that since 2011 China has overtaken the USA. The EU remains the world leader, while Japan's and Russia's shares have shrunk between 2007-2013 (from 10.7% to 8.5% and from 7.3% to 5.7% respectively).

^{xl} Mobile researchers are higher performers (OECD, 2015), the so-called "movers advantage". Migrant scientists are found to perform on average at higher level than domestic scientists. Findings of migration research suggest positive externalities; the benefits that accrue to the destination country do not necessarily come at expense of sending country. Brain migration is not a zero-sum gain. See: C., G. Scellato and P. Stephan (2014) The mover's advantage: the superior performance of migrant scientists. *Economics Letters*, 122(1), 89–93.

^{xli} Ibid xv

^{xlii} Ibid xxiii

^{xliii} Total spending across the OECD, went up from 1.3% of GDP in 2000 to 1.6% in 2013. But the public share of it, traditionally strong in Europe (1.2% in 2013), is more and more difficult to sustain at the level (up to 1.7%) at which the Nordic countries are still able to do (OECD, 2016).

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^{xlix} Ibid xlvi

^l The risk of building world-class universities at the expense of other types of institutions [in the system] has been acknowledged and founded the concept of “World Class Systems”, which should be able to counterbalance the trends towards isomorphism resulting from the intrinsic strive for world-class status and indeed effectively cater for the diversity of demands and needs for higher education. Though these concepts are not mutually exclusive; world-class systems would be a prerequisite for and also support world-class universities. Yet it is acknowledged that only few countries will have the necessary resources to do so. See for instance: Altbach, P.G. (2007). Empires of knowledge and development. *World Class Worldwide: Transforming Research Universities in Asia and Latin America*, 1-28. Baltimore, MD: John Hopkins University Press. Salmi, J. (2009). *The Challenge of Establishing World-Class Universities*. Washington, DC: World Bank. Vught, F.A. van (2012). University profiles: International rankings, institutional maps and the need to discuss the structure of Dutch higher education. Lecture for the Opening of the academic year 2012/13, Maastricht University, 3 September 2012. Wende, M. C. van der (2014). On Mergers and Missions: Implications for Institutional Governance and Governmental Steering. In: Q. Wang, Y. Cheng, & N. Cai Liu (Eds.). *Global Outreach of World-Class Universities: How It is Affecting Higher Education Systems*. Centre for World-Class Universities. Jiao Tong University, Shanghai. Sense Publishers. Pp. 137-153. Marginson, S. (2016). Global stratification in higher education. In *Higher Education, Stratification, and Workforce Development* (pp. 13-34). Springer International Publishing.

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^{lvii} Higher education systems, i.e. the understanding according to which universities are embedded in a system was, according to Teichler, the “hidden agenda of the 1960-70s and this social construct became more than a new understanding. It became a social reality” (2007, p. 254). The study of these systems focused since on structural aspects, (types of institutions and length of programmes) and on quantitative-structural developments within the system (size & expansion, degree of diversification, etc.). See: Teichler, U. (2007). Higher education systems. *Rotterdam/Taipei: Sense*.

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^{lxii} Marginson, S., & Rhoades, G. (2002) “Beyond national states, markets, and systems of higher education: A glonacal agency heuristic.” *Higher Education*, 281–309.

^{lxiii} Marginson, S., & Van der Wende, M. (2009). The new global landscape of nations and institutions. *Higher education to, 2030*. Paris: OECD. Pp. 17-57.

^{lxiv} Görg, H., & Strobl, E. (2003). ‘Footloose’ multinationals?. *The Manchester School*, 71(1), 1-19.

^{lxv} Much attention and research is dedicated to the exporting of higher education into other countries, i.e. branch or overseas campuses, transnational education, etc. From the importing perspective, issues such as quality assurance and consumer protection of the domestic student are important. The Dutch government explored the possibility of a more open system, i.e. deregulation to allow foreign providers to enter the system

under similar conditions as domestic providers (author was a Member of the National Committee on “Open bestel” (2006-2009) and Member of the “Werkgroep Interdepartementaal Beleidsonderzoek Open Bestel” (2004). Current debates refer to foreign religious institutions with doubtful funding sources and degree granting status.

^{lxvi} “The nation state has become too big for the management of everyday life and too small to control global flows of capital, trade, production, and information”. See: Castells, M., & Castells, M. (1998). “Current procedures for globalization is “global governance without global government” (Stiglitz, 2002). “Globalization introduces new rules of the game through the *nascent* process of global governance” (Milanovic, 2016). “Universities may function across territories, but there is no overall sovereign of the kind that we find in national jurisdictions, but rather a patchwork of coordination and orderliness, clustered around sectors. rankings....trade....collaboration..... and increasing isomorphism and convergences in regulatory governance across jurisdictions, is significant in contributing to higher education as a *nascent* “world system”. King, R. (2009). *Governing universities globally: Organizations, regulation and rankings*. Edward Elgar Publishing. P. 190.

^{lxvii} See Milanovic, 2016, p. 192: “deglobalization with a return to the “local” is impossible because it would do away with the division of labor, a key factor of economic growth”.

^{lxviii} A. Corbett in University World News (30 Sept 2016). *Post-Brexit options for UK universities*
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^{lxix} UNESCO (2015). UNESCO SCIENCE REPORT Towards 2030. p. 307-308.

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^{lxxi} As demonstrated in theoretical contributions from scholars such as Kathryn Thelen (How *institutions evolve: The political economy of skills in Germany, Britain, the United States, and Japan*. Cambridge University Press) and Djelic & Quack (*Globalization and institutions*, 2003 Edward Elgar). Especially the relationships between environmental conditions, competition and diversity are theoretically contested and need further exploration (V. Vught, 2004 p. 52).

^{lxxii} See: <https://www.uu.nl/en/research/institutions-for-open-societies>

^{lxxiii} See: <http://www.dub.uu.nl/artikel/nieuws/numerus-fixus-eigen-student-eerst-vindt-oppositie.html>

^{lxxiv} Growing skepticism to internationalization is not only being heard in public and political debates on trade, open borders, migration or refugees, but is indeed also targeting higher education. Xenophobia and discrimination of foreign students has been reported in countries such as Australia, South Africa, Russia, and the UK. In the Netherlands, parties at the extremes of the political spectrum (PVV and SP) launch critical questions in parliament on the costs and benefits of international students and worry they would reduce opportunities and access for domestic students. The Minister of Education responded with a report indicating an annual positive balance of 740 MEuro for the public purse (CPB, 2012). Similar political pressure has been observed in for instance Denmark and Germany.

Skepticism to internationalization can also be heard inside academia. See for instance: <http://www.folia.nl/opinie/105801/kom-uit-de-internationaliseringsbubbel>

Critical voices retaliate in particular against the use of English as (a second / foreign) language for teaching and learning (BON, TK hoorzitting Dec 2015, Onderwijsraad 2015, Strategische Agenda OCW 2015), against global rankings and the resulting global reputation race with its annual tables of losers and winners, against recruitment of international students for institutional income, and other forms of “academic capitalism”. Academics themselves may list internationalization, among trends such as massification and underfunding, that cause higher education’s current problems (Science in Transition in Th&ma 5-15, p. 30). Arguments that students are primarily to be trained for domestic labour markets anyhow are being heard (Kwikkers in Th&ma, 5-15, p. 39), and the local and national mission and relevance of public higher education is (re-)emphasized contrasting the strive for global reputation and impact (See for instance Douglass, 2016). And as also illustrated by the response to future HE scenarios by Dutch university leaders who showed strong preference for and trust in the protective national-regional public context (VSNU, 2014).

^{lxxxv} Wetenschappelijke Raad voor het Regeringsbeleid (2013). *Naar een lerende economie: investeren in het verdienenvermogen van Nederland*. Amsterdam University Press.

^{lxxxvi} Commissie Toekomstbestendig Hoger Onderwijs (2011). *Differentiëren in drievoud omwille van kwaliteit en verscheidenheid in het hoger onderwijs*.

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^{lxxxvii} Rathenau Instituut (2016): Nederland in top-10 van 5 belangrijke ranglijsten. Retrieved from "<https://www.rathenau.nl/nl/page/ranglijsten-rankings>

^{lxxxviii} OESO (2016), Netherlands 2016.

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<http://www.onderwijsgrafieken.com/2016/09/onderwijsgrafiek-734-ongelijke-kansen.html>

^{lxxxix} Bovens, M., & Wille, A. (2014). *Diplomademocratie: Over de spanning tussen meritocratie en democratie*. Prometheus.

See also: de Beer, P., & van Pinxteren, M. (Eds.). (2016). *Meritocratie: op weg naar een nieuwe klassensamenleving*. Amsterdam University Press.

^{lxxx} See: <https://www.uu.nl/en/organisation/strategic-plan-2016-2020>

^{lxxx} Bakker, W. (14 Sept 2016). *Opleiden voor de open samenleving*. Oratie. Universiteit Utrecht, Faculteit REBO.