

Centre for Global Higher Education seminar 7

25 February 2016, 12.30-2pm

# The public good role of higher education in East and West: a comparative study

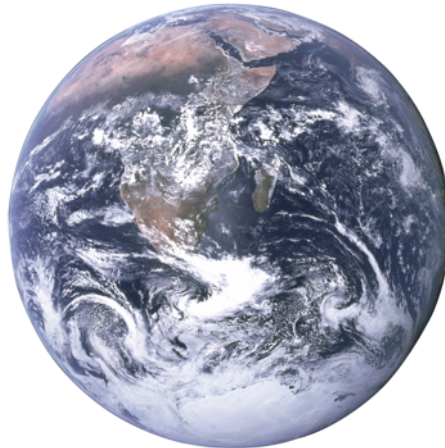
Simon Marginson



# Imagining the global



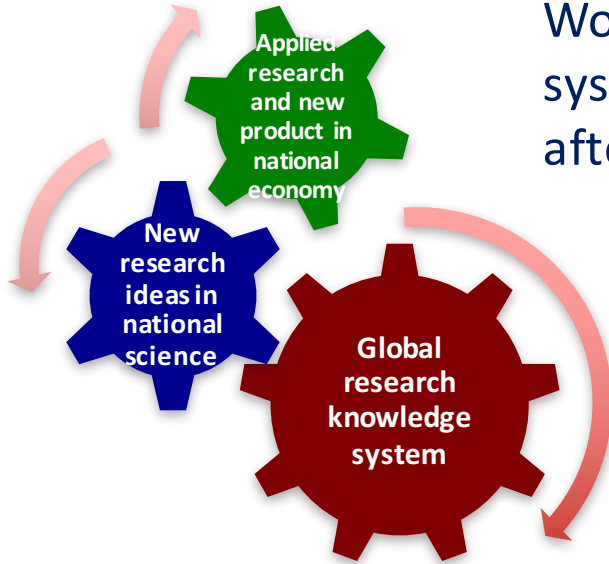
16<sup>th</sup> century global  
explorations



The Earth from space:  
1960s astronauts and  
cosmonauts



Internet  
from 1990  
onwards



Worldwide research system in science after 1990



CGHE Research Programme 1 2016

# Global perspectives on HE

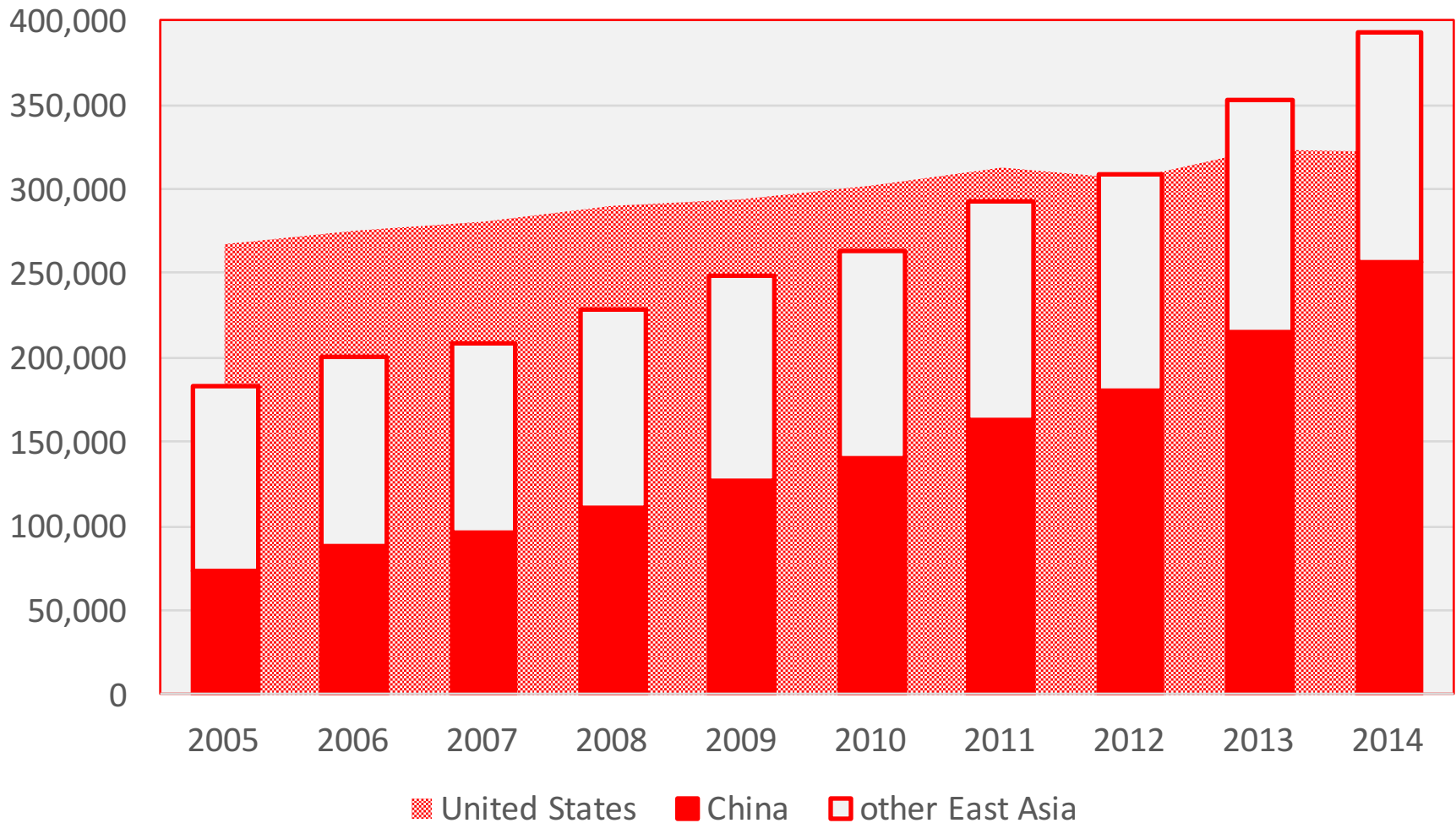
- The nation-state retains its potency in higher education.
- Yet we cannot understand human affairs, including the nation-state itself, without moving beyond methodological nationalism—the assumption that the nation-state and society are equivalent
- Human society can be understood as an endless horizon of communicative meanings, on the world scale (Luhmann, Castells), i.e. as world society
- A plurality of possible worlds is no longer conceivable. The single world society includes all possibilities. This means that within the one world, and the one higher education world, there is an irreducible plurality of ideas and practices.

- In higher education there is a single knowledge system in the sciences, which has become dominant vis a vis national science systems, and a common world network of research universities, across which global rankings have increasing potency as a regulative mechanism
- World society, and worldwide higher education, are at the same time ordered by an asymmetrical political economy,
- And differentiated by location and spatiality, and linguistic-cultural and geographical regionality (e.g. Anglo-American higher education systems have premises in common, as do Latin American higher education systems, and East Asian higher education systems, etc)
- Regional dynamics and balances are constantly changing

# Annual science papers 2005-2014:

## USA, China, other East Asia

Thomson-Reuters/UNESCO data. Papers include reviews and notes. Other East Asia = Japan, Korea, Singapore, Vietnam (Taiwan absent from UNESCO data)



# Programme 1: Global perspectives on HE

*Globalisation, UK higher education and the public contributions of HEIs*

PROJECT	Existing data	New data generated	Possible impacts
1.1 Public goods in HE (6 countries) (Marginson)	nil	200 interviews, case studies 6 countries, OECD, WB etc	Concept. framework for public role HE
1.2 Internationalisation (4 countries) (Marginson)	nil	100 interviews, case studies 4 countries	Map tensions internationalisation with other policies
1.3 UK HE research engagement with industry (Tijssen)	Web of Science (licensed to Leiden CWTS)	Survey of 300 UK researchers, 20 interviews	Strengths and weaknesses UK industry links
1.4 HE governance in UK nations and Europe (Shattock)	HESA, OECD, European Commission	5 UK and European case studies [under discussion], interviews	Optimal governance models
1.5 UK international graduates, outcomes in East Asia (Mok)	HEI alumni lists?	graduates survey (800) and interviews, employer interviews	Int'l graduate employability and value added
1.6 ESRC/NRF Partnership: access, student time, outcomes (Ashwin)	nil	Workshop and network records	Understanding South African HE

# Larger issues for Programme 1 to think about

- What are the common trends across world higher education?  
What are the areas of intrinsic national difference?
- What are the common conditions for advancing higher education worldwide?
- What is the scope for more than one globally significant model of 'the university'?
- How do we advance the creation of global public goods in higher education?
- How can we help to enhance higher education where states are weak and resources lacking?



# Project 1.1

## Local and global public good contributions of higher education: a comparative study in six national systems

*Simon Marginson, Vincent Carpentier (IOE), Futao Huang (Hiroshima), Nian Liu (Shanghai Jiao Tong U)*

- Public goods are a frontier problem in social science. While private rates of return are understood, there is little clarity about non-market public goods. Notions of ‘public’ and ‘social’ are nested in different *political cultures*. No single tradition has all the answers.
- The methodological move in project 1.1 is to pursue the inquiry comparatively
- Through comparative study of concepts and practices of public good(s) in HE, the project will devise a generic framework for conceiving, judging and where possible measuring public good(s), by isolating similarities and differences among the national cases.

- There will be case studies in UK, US, France, Finland, and in China and Japan (comprehensive Sinic states not limited liberal states). There were previous studies in Russia and Australia
- Each case study will encompass (1) 30 semi-structured interviews with HEI leaders and professors across two contrasting HEIs, a top research university and an engineering/technology HEI, and with policy makers and system managers in national government; and (2) a study of monographs and policy documents. Interviews will also be conducted at OECD and World Bank. There will be 200 interviews in three years
- Questions will cover understandings and measures of HE in social inclusion and social equity; basic research; contributions of HE to industry, regions, towns and communities, and cultural and intellectual life; etc.

- I now have two conceptual questions. First, what is the role of government in higher education? What should government do? Are there limits – what should government not *do* in higher education?
- Second conceptual question. What do you understand by the term ‘public good’? What benefits and activities fall under this? (*Possible follow-up question – Who defines it? Do ‘public good(s)’ have objective character? Can they be observed empirically?*)
- Does higher education produce collective goods, some say social goods, that are distinct from benefits that can be identified in relation to individuals? What are those collective goods?
- I want you to discuss what higher education contributes to the ‘public good’, or ‘social benefits’, in several areas [some individual, some collective]. Consider: (1) Are there public good/ public goods created here? (2) How do we know, and can we measure them?
- [*Select from this group of items according to the interviewee*]

Knowledge

Research, development and innovation

Programs like Arts and Science not vocationally specific

Professional and occupational training

Equitable social opportunity (*Possible follow-up question - Social leaders?*)

Creativity in different fields of creative endeavor

Social communications and information flow

Building cities and regions

Citizenship, tolerance and cosmopolitanism

Internationalization

Arts and culture

Public policy development

- If higher education creates a mix of public and private goods, do you think that both kinds of good can grow together? Or is it that the more public goods are created, the less private goods are created? Is the relationship zero-sum?
- If higher education was 100 per cent funded by student tuition would the public goods still flow? (*Possible follow-up question - In part or whole?*)
- Higher education is funded from a mix of public and private sources. How should the balance be determined? (*Possible follow-up question – Is it essentially political and arbitrary? Is the balance of funding related to the balance between public and private benefits? How is this funding balance to be determined?*)
- What is the global public good? (*Possible follow-up question - Given that there is no global state or global governance, how do we know what it is?*). The UN Development Program defines the global public good as benefits that flow across borders and are widely shared. Do Russian universities contribute to this global public good? How? How do we know?
- Governments fund research because it generates innovations in the national economy. But what if the innovation benefits are captured by foreign firms? Should government fund research in the absence of likely national economic impact?
- If public goods flow across borders, who should pay for them, producer country or receiver country? (*Possible follow-up question - How could responsibilities be determined, and funding shares allocated?*)
- How can higher education institutions, and the higher education system, improve the production of public goods via education, research and service? (*Possible follow-up question - How would we know they have made an improvement?*)

- The research will also focus on HEIs' contributions to global public goods.
- The project will not map public HE outputs in each nation. It will investigate and codify definitions, observations and metrics
- The project will use a 'working hypothesis' of the distinction between public and private goods in HE [to be discussed next]
- The generic framework for understanding public good(s) in HE will be refined in post-Project 1.1 research

# Working hypothesis for public/private part 1

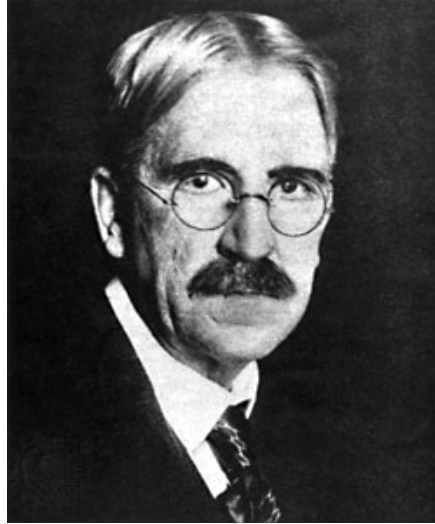
## Neo-classical economic definition of 'public' (Samuelson)



Public goods are non-rivalrous and/or non excludable. These are under-produced or unproduced in economic markets

# Working hypothesis for public/private part 2

## Political definition of 'public' (Dewey)



“The line between public and private is ... drawn on the basis of the extent and scope of the consequences of acts which are so important as to need control, whether by inhibition or by promotion...”

These “acts”, that must be cared for, are the basis for the state

~ John Dewey, *The Public and its Problems*, 1927, pp. 15-16).

# Public and private goods: the four variations

## QUAD. I: CIVIL SOCIETY

*Teaching:* Private learning in Internet, libraries

*Research:* Self-made scholarship and inquiry

Non-market goods

## QUAD. II: SOCIAL DEMOCRACY

*Teaching:* Free places, low value differentials

*Research:* Publicly funded, integral to researcher

Non-state sector goods

State sector goods

## QUAD. IV: COMMERCIAL MARKET

*Teaching:* Commercial market in tuition/degrees

*Research:* Commercial research and consultancy

Market-produced goods

## QUAD. III: STATE QUASI-MARKET

*Teaching:* Quasi market in student places/degrees

*Research:* State quasi-market, product formats

NOTE: State, institutions and individuals are active agents in all four quadrants



# Differences: 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 market competition. Education as state guaranteed road to social opportunity in stratified system	Confucian commitment to self-cultivation at home. Education for filial duty and social status via exam competition in stratified system
<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

**The proposed doctoral studentship project:** The ESRC-funded studentship project attached to Project 1.1 will be a scholarly and conceptual study on similarities and differences between notions of ‘public’ and ‘social’, and the implications for university-state relations, and academic freedoms, in two principal human traditions.

The first tradition is the Sinic tradition and associated practices of ‘public good’ in policy and practice in HE, focusing on both China and Japan. As Fukuyama notes in *The Origins of Political Order* (2011) this is a foundational and powerful state tradition of the comprehensive state, supreme in relation to markets, merchants, professions and towns (Gernet 1996). The Sinic assumptions continue to shape political cultures, society and HE practices across East Asia and Singapore, though HE systems in East Asia have also been strongly affected by the encounter with Western modernisation. The second tradition and set of contemporary practices is the Anglo-American, the tradition of John Locke and Adam Smith, that of the limited liberal state. Modern HE systems are the product of nation-building states (Scott 2011). HE is closely shaped by assumptions about the respective responsibilities and roles of state, HEI and family; by mechanisms and assumptions of state-university relations, including policy and funding, law and governance, and accountability requirements; and by whether HEIs are located in the state or ‘the market’/ civil society (as in the US).

Notions of academic freedom also vary. In the Sinic world, the autonomous personality of the university is mostly expressed on behalf of the state. Academic freedom is understood in terms of authority and responsibility: “Once one can excel in terms of productivity and meet the State’s criteria for producing valuable and useful knowledge, one may enjoy a high level of intellectual authority. This type of intellectual authority is not identical with academic freedom in the Western context, but in some ways it provides even more flexibility and greater power than does academic freedom” (Zha 2011, 464). Hayhoe (2011, 17) notes ‘a strong tradition of “intellectual freedom” in China’ with foundations quite distinct from those of European rationalism. This Chinese tradition requires that knowledge be demonstrated first and foremost through action for the public good’, and that knowledge is ‘holistic and inter-connected’ not organized in ‘narrowly defined separate disciplines’.

The doctoral studentship will entail a review of scholarly and policy-related works in each tradition, supported by a small number of in-depth interviews with scholars in the English-speaking and Sinic worlds. The latter will entail at least one extended trip to China, probably including Hong Kong SAR (there are substantial relevant scholarly resources in Chinese in the University of Hong Kong library), and Taiwan.

# Putting it together: Transpositional objectivity

- We each have distinctive perspectives, and we can learn something new from each other.
- From each single viewpoint only certain things can be visible. ‘Positional specifications’ are ‘typically incomplete’ (Amartya Sen). However, a more ‘objective inquiry’ can be achieved by developing a ‘transpositional’ view that enables ‘position-independent generalizations’.
- Transpositional objectivity is not a ‘view from nowhere’, but a composite of primary information derived in several positional views, built by a process of ‘discriminating aggregation’.

~ Sen, A. (1992). *Objectivity and Position*. The Lindley Lecture, The University of Kansas