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Philip Altbach – Center for International Higher Education, Boston College

"China and India: A Steep Climb to World-class Universities"

Although the booms of China and India have been fueled by cheap labor and inexpensive low-end manufacturing, the economic future of these countries relies on a better-educated workforce. Both countries lack sufficiently educated personnel to meet demand for employment in the expanding and increasingly sophisticated sectors of manufacturing and service. Universities are central in the race to arm these countries' respective workforces with skills to make them competitive in the global knowledge system. However neither China nor India is well-equipped to face their common challenges in improving the quality of postsecondary education and increasing access to these institutions. The two countries are taking widely different approaches to their education dilemmas, with China working hands-on to build world-class institutions, while India appears to turn a blind eye to the urgency of increasing education funding.

Ahmed Bawa - Deputy Vice-Chancellor, University of KwaZulu-Natal, South Africa

"Rethinking the Mandates of Sub-Saharan African University Systems in the Context of Globalization"

Post-independence higher education systems across sub-Saharan Africa are in a state of deep-seated crisis. There are well-documented reasons for this such as the state of chronic underfunding, the pressures of the brain-drain (both internal and external), poor governance and the failure of leadership. By extension arguments are made that this crisis is due to the fact that these systems are embedded in failed states. There are however, important changes underway, many of which relate to globalization and the increasingly important role of knowledge-intensive institutions in the growth of economies.

What are some of these factors? There is new momentum in the growth of democracy on the continent and this opens up a policy development space which admits new debates about institutional autonomy, academic freedom and the funding of higher education. As these small economies begin to grow there is a substantial increase in the local demand for higher education. Further, many African governments, urged by the World Bank and other international agencies, see the universities as key institutions in the building of new economies. These factors have resulted in a renewed interest in African higher education amongst large multinational agencies, governmental aid agencies and international donors. Together with the increased deployment of information technology and the exponential growth in private higher education provision, this situation provides a new basis for optimism for the development of African higher education.

This paper argues however, that these conditions are necessary but not sufficient for the significant process of transformation. It is argued that the mandates of higher education systems continue to be embedded in a colonial logic that undermines the re-imagination of these post-independence high education systems as independent knowledge producing systems, preventing them from positioning the societies that they serve as knowledge economies/societies. This undermines the capacity of these societies to be fully-fledged participants in a globalized world.

John Aubrey Douglass– Center for Studies in Higher Education, UC Berkeley

"National and Supranational Policies, Models and Rates of Success in Expanding Higher Education Access "

The paper will offer a comparative look at national and supranational approaches and trends to expanding access. The majority of OECD countries are moving toward what might be called a "structured opportunity market." This includes some service provider with "open admissions," accompanied by fees, and evolving attempts to create differentiation in their array of tertiary institutions.

In turn, fees not only generate new funds; they help in some form to decipher the motivated student from the casual user, influencing the market and, it might be argued, creating greater efficiencies. Differentiation in institutional missions helps to match student skills and interests to academic programs, and focuses institutions on their role in a larger system of higher education—in theory. In some form, this is the model emerging in most nations. Most governments in developed and increasingly in developing economies support some sector of postsecondary institutions that are open to all graduates of secondary schools. In a growing number of nations, a secondary diploma is not a requirement for an expanding array of postsecondary programs. There are, of course, constraints on the ability of students to enter specific universities or other institutions determined by admissions standards, financial aid, institutional resources, physical capacity, and other limits. But most nations are committed to broad access and aggressively pushing demand. Why?

The reasons transcend immediate or even long-term job-market needs or the recognition that most workers will change jobs numerous times in the course of their working lives, often with the need for retraining under the rubric of lifelong learning. The primary reason is, or should be, the desire to promote a culture of aspiration, which in turn influences socio - economic mobility and creates a more talented and entrepreneurial population, global competitiveness, and the hope for a more prosperous and equitable society. This ethos is front and center for many EU member states in their conscious efforts to boost participation rates and refashion their national higher education systems, often battling the legacy of overt class distinctions and biases, and often with only reluctant or ambivalent support by the higher education community.

Kerstin Eliasson - Former State Secretary For Higher Education and Research in Sweden

"Widening Participation in Higher Education in Sweden"

This paper on widening participation in higher education in Sweden stem from my own experiences in policy-making, particularly during the years 2004-2006 when serving the Swedish Government as State Secretary for Higher Education and Research. The paper focuses on the role of women in academic life in Sweden and on non-traditional student groups, including those with a working class background and a foreign background. Sweden is faring very well in terms of economic growth. And has belonged to the European Union since 1995, which now consists of 27 countries in Europe (Sweden has, however, like

the UK and Denmark, not adopted the common European currency). Compared to the European average and to the US, growth in Sweden has been higher than the European average and higher than in the United States. This has resulted in an increased interest in the Nordic or Scandinavian "model" of combining economic growth with a strong welfare state, i.e. high taxes. Productivity growth in Sweden during the last ten years has been stronger than in the US and in Western Europe.

Henry Etzkowitz - University of Newcastle, and Chunyan Zhou – Shenyang University

"Evolution of the University's Role in Innovation and the New Asia Model"

This paper focuses on the role of the university in a new Asian development model, based upon triple helix interactions and the third mission of the University for economic and social advance. The transition to a Triple Helix Model, characterized by inter-dependence among relatively autonomous institutional spheres, and an enhanced role for the university in innovation takes place from divergent starting points of statist and laissez-faire regimes. Many Asian countries have a top-down political system in which the state traditionally plays the most important role in economic and social development. The typical experience of Asian countries in regional development follows an order from government-pulled to corporate-led and then a university-pushed model of university-industry-government interactions. The trend is towards a mixed model, forming an ideal triple helix.

We explore the emerging role of the university in innovation within the context of higher education reform, including strengthening of its research, technology transfer and entrepreneurship capabilities. The transformation of teaching to research to entrepreneurial university is affected by the state of political and economic development. From a case study of Liaoning Province in China, we conclude that it is insufficient to only rely on the university to develop high tech industry while abandoning declining traditional industries. The successful strategy is to renew "sunset" industries by high-tech with the help of university, at the same time, form new industries. Development of a knowledge-based economy requires considerable capital; resource-based manufacture can accumulate capital which can be used to facilitate the transition from low to high-tech industries. Thus, the university plays a key role in both technology upgrading and creation.

In countries such as China, Japan, Singapore and India, reform of higher education increasingly concentrates in developing research universities and educating an elite with innovation and entrepreneurial talent. The objective is to improve the quality of elite human capital, while emphasizing vocation-technical education for a broader population at the same time. Innovation capacities are enhanced as each actor takes the role of the other and as hybrid organizations, incorporating University-Industry-Government (UIG) elements, are invented. The potential sources of innovation increase, laterally and vertically, bottom-up as well as top down, as additional actors become active players. The collaboration between university and industry simultaneously enhances university research and its spill-over, resulting in its greater independence through becoming a critical source of innovation.

Daniel Fallon – Carnegie Corporation of New York

"The Restructuring of Higher Education in Germany: An Example of a National Response to a Changing Political Economy."

"Germany and the United States, Then and Now: Seeking Eminence in the Research University

In the early nineteenth century if a talented and curious intellectual in the new nation called the United States of America had an interest in advanced study in the natural sciences, or in the modern literatures of Europe, or in the emerging disciplines associated with what today we call social science there were simply no opportunities at home. The Northern states of German speaking Europe emerged then as the leading destination for studious American intellectuals. What began as a trickle turned into a flood as the century advanced. Returning American scholars brought with them high enthusiasm for the Enlightenment ideals of Wilhelm von Humboldt, whose founding of the University of Berlin in 1810 was a cornerstone of modernity. Three ideas were paramount: [1] the centrality of the faculty of the arts and sciences; [2] the value of academic freedom; and [3] the essential unity of teaching and research. Thus an idealized abstract concept of "the German university" energized the creation of the American research university of the late 19th century.

Today the tables are turned. The American research university is viewed as the paragon and the German university suffers from financial neglect and a structural mismatch with an advanced society characterized by mass postsecondary education. Recognizing that its survival today as a productive society depends upon its ability to compete in the production of intellectual capital, the German government has embarked on a stunningly bold initiative to restructure completely its university sector, with the U.S. as its model. Beginning with an infusion of more than $2.5 billion over five years, the government is engaged in a process aimed at strengthening research and graduate training at dozens of universities and formally designating no more than ten as "elite" with generous budgetary supplements. Multiple panels of world-class scholars in a highly competitive process are evaluating proposals in three categories: "graduate schools," which propose new ways of preparing doctoral students; "excellence clusters," which encourage multidisciplinary research groups in areas of academic strength unique to a particular university; and "future concepts," which propose a wholesale reorientation of the university to enable it to compete effectively on the world stage with the world's best.

The paper describes the process from a personal perspective as a member of the "strategy commission," which is the key committee charged with recommending selection of the elite institutions. Placing the current situation in historical perspective I estimate its likely outcome and indicate why this extraordinary national exercise is a reflection of new global realities and thus also important to the U.S.

Irwin Feller - Senior Visiting Scientist, American Association for the Advancement of Science

"Size, Share and Structure: The Changing Role of Public Research Universities"

Public research universities have been a major contributor to and component of the rise of the 20th century American research university system. Several trends, primarily those deriving from structural declines in state government support of higher education coupled with state objective's of more closely employing academic research as an economic development policy tool, simultaneously constrain the capacity of public universities to compete with private research universities for the essential inputs—faculty, graduate students, and facilities-necessary for scientific and educational leadership, while concentrating expertise in selected scientific and technological areas.

These trends are worrisome. They weaken the overall research vitality of the public research university sector, while overoptimistically projecting the spatial appropriability of the economic benefits from academic research and contributing to unrealistic policies and expectations concerning processes of technology transfer.

Grant Harman - University of New England

"Australian Experimentation with Tuition Fees, Student Loans and University Income Generation"

Over the last three decades Australian higher education has shown considerable capacity for policy experimentation as it has coped with substantial expansion in student numbers, opportunities for major recruitment of international fee-paying students, the increased application of ICT to higher education, and the demands of the knowledge economy.

Experimentation has included major mergers of institutions to reduce the number public higher education institutions from about 65 universities and colleges of advanced education (CAEs) to 36 universities, abolition of the binary divide between universities and CAEs, a more selective approach to public research funding, and encouragement of private higher education. However, some of the most dramatic experimentation has occurred in the areas of student tuition fees, student loans, and incentives for universities to generate increasing proportions of their own revenue.

A decade and a half after abolition of tuition fees in 1974 by the Whitlam Labor Government another Labor Government re-introduced tuition fees but under innovative arrangements of the Higher Education Contribution Scheme (HECS). This is an income contingent government student loan scheme, with repayments being made through the income taxation system but only after graduate income reaches a threshold that was originally set at average annual income. This scheme has been highly successful and, on the whole, has not adversely affected student participation to any major degree. Its strength is that fees need not be paid until after graduation and then only when annual income exceeds a specified threshold, thus largely overcoming the impact that tuition fees traditionally have had on participation by lower income and disadvantaged groups.

Universities have been strongly encouraged by government to generate increasing proportions of their own revenue, stimulating extension of links with industry and substantial increases in the enrolments of fee-paying international and domestic students. Fee-paying international students now constitute over 25% of total enrolments in public universities while recently a number of universities have taken the opportunity under modified government policy to recruit full-cost fee-paying undergraduate students in highly competitive areas once all Government-supported HECS places have been filled. This scheme is highly controversial, raising important equity issues, especially as students may be admitted to highly selective courses with marginally lower 'cut-off' scores but with high tuition fee levels fee levels (e.g., $30,000 to $40,000 pa for medicine of veterinary science). To assist students enrolled in such courses and in private colleges, the Commonwealth Government has introduced another loan system known as FEE-HELP that provides access to government income-contingent loans for up to $80,000 for non-HECS courses (and up to $100,000 for medicine, dentistry and veterinary science).

A major difficulty facing higher education today is that Government support per student place has substantially declined over the past decade, but perhaps a contributing factor to this situation has been the success of major universities in raising their own revenue. Increasingly universities are demanding increased public support or further de-regulation to allow them to set tuition fee levels for all students.

Jeroen Huisman – International Centre for Higher Education Management

"Governing Bodies in European higher Education Systems"

The issue of governance and management is rather encompassing, certainly when we are to approach this from a comparative perspective. It therefore seems reasonable and relevant in our attempts to

increase our knowledge and understanding to focus on specific issues of governance and management. The role and functioning of governing boards in higher education institutions seems a fruitful topic to investigate. The introduction of these bodies in some countries (*Raad van Toezicht* – the Netherlands, *Universitätsrat* – Austria, *Bestyrelsen* – Denmark) or the reconfiguration of their roles in other countries (guidelines for good governance, UK) can partly be traced back to the changing role of the state in higher education. With the state stepping back, there seemed to be a need to fill that "gap" with introducing another type of guardian, supervisor, etc. that would be able to steer, govern or control the executives of the higher education institutions. In line with the ideology of new public management, concepts and ideas from the private sector have been influential in these reforms (see e.g. Cornforth, 2003).

Whereas it is obvious that governance ideas have been borrowed and adapted from the private sector, we hardly find analyses of the proponents of the introduction of such governing bodies in higher education, supporting the adequacy, effectiveness of such "transplantations". Not necessarily these transplantations must be seen as management fads and fashions (Birnbaum, 2001), but at least the question should be raised and answered what evidence there is to transplant business practices to public higher education. A first question addressed in the paper will therefore be what we can learn from the functioning of governing bodies in the private sector. A second question relates to the lack of insight in the actual role and functioning of governing bodies in higher education. Although there is some research (Bennett, 2002; De Boer, Goedegebuure, & Huisman, 2005; Huisman, de Boer, & Goedegebuure, 2006; Laske, Lederbauer, Loacker, & Meister-Scheytt, 2006), we have hardly scratched the surface. This leads us to the second question: what are the roles of governing bodies in selected higher education systems and what do we know about their functioning. A third question brings us back to the theme and title of the conference: to what extent

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C. Judson King – Center for Studies in Higher Education, UC Berkeley

"University Roles in Technological Innovation in California"

California has achieved considerable economic success through technological innovation and the formation of businesses based upon those technologies. This paper explores some measures of the contributions of innovation and a robust university structure to the California economy. This is followed by an exploration of partnership structures involving the University of California with industry and/or the state government, several of which have been effective, and a brief analysis of incentives behind the more successful partnerships.

Wilhelm Krull – Volkswagon Foundation

"Changes in German and European Higher Education, Research, and Technological Development"

Since the late 1990s we have been witnessing enormous changes in the higher education and research landscape of Europe. Declarations and agreements named after cities like Bologna (1999), Lisbon (2001), and Barcelona (2003) are just publicly acknowledged signposts of new policies and approaches which more or less simultaneously affect institutions at various levels of decision-making within the European Union (EU). Creating European Higher Education and Research Areas (EHEA, ERA) is by no means a straightforward endeavour. Indeed, it forces us to thoroughly rethink and subsequently realign our hitherto quite stable institutional concepts and approaches, in particular when it comes to meeting the requirements of up-to-date and sustainable undergraduate and graduate education, but also in creating a stimulating and inspiring environment for achieving breakthroughs in research and technological

development. Ultimately, each institution has to live up to the challenges of increasing global competition and of establishing its own culture of creativity.

It is against this background that the paper will address some of the most significant shifts in policy-making, financing, and governing of higher education and research in Germany and the EU, as well as the challenges involved in re-configuring enrolment policies, management processes, and institutional research structures. Last, but not least it will also comment on the rapidly changing public-private interface in higher education, research, and technological innovation.

Otto C. Lin – Hong Kong University of Science and Technology and China Nansha Technology Enterprises, Ltd

"Driver of technology progress in the national innovation system"

Public universities are facing challenges in asserting their role and relevance to the society. While the long term functions of education and research are easily recognized, its role in rendering services to the society as driver of technology for economic growth was frequently mis-understood. Thus clarifying the role and strengthening the effectiveness of the university in the national innovation system (NIS) is an issue of sustainability.

The national innovation system refers to the process and dynamics of commercialization of research results. It delineates the relationship of scientific research, technology development and product commercialization and positions the players: university, technology institute, business and government. The interactions of the players have direct impacts on the economic development in the knowledge based society. It should be noted that the players are different in specific missions, performance characteristics and the criteria of success. Each has unique motivations and needs, requiring different talents and expecting different rewards.

For developed economies, new technologies are generally derived from the university and its interactions with the industry, as evidenced by the rise of the IT, internet, and biotech industries in the U.S.A. The university is normally the source of new and disruptive technologies which opens new territory or provides new horizon to the industry. The industry normally develops improvements to the established technology in process or product. For developing economies, gaps existed between the university and the various industries. Therefore technology institutes: governmental, semi-governmental, or private, were established to bridge these gaps and play the role of technology driver. The transformation from an agricultural to a technology based economy in Taiwan during the last two decades was a case in point.

A clear definition of position and responsibility of the players will give focus to their activities, afford effective allocation of resources, and promote synergy among them. The players should be encouraged to interact but not duplicate. An ill-defined NIS can cause diffused goals, unnecessary competition, wasted resources, and accelerated mediocrity.

The advent of IT, the internet and globalization have offered opportunities for simplifying the long and tortuous process of research commercialization. Many universities have taken the additional function of technology business incubation. This essentially called for overlaps of roles in the NIS and required certain environmental conditions to make it work.

To assert its role of technology leadership, the university, especially those publicly funded with constrained resources, will find it desirable to review the NIS in its place and build working partnerships with the technology institute and the industry.

Katherine Lyall – Carnegie Commission for the Advancement of Teaching

"The Market and Trends in Fees and Financing of HE"

Paper will focus primarily on US trends, including both 'privatization' and 'centralization' examples, but plan to draw some contrasts with the UK, Australia, Ireland. Several US states, and several European countries, have developed new financial aid approaches that are worth some discussion and observation of results, where possible. My general argument will be that the move towards the market environment for HE is more or less permanent but that careful policymaking can preserve the main public interest goals of access and quality.

Wanhua Ma - Peking University

"The Trajectory of Doctoral Education and Scientific Research In China"

All the major Changes in graduate education and scientific research in China are closely related to China's open door policy and higher education reform. No one can imagine a country without a higher education. But in China, between 1966-1971 all of the universities and colleges were closed. When they were reopened, all of them become three years professional training schools. It was only after the economic reforms in 1978, some universities started to restore four years program, then followed with six year professional training program. In 1982, a few universities, like Peking and Tsinghua started to have Ph.D programs.

Hence, the contemporary systems of graduate education with degree programs in China has only a history of 25 years. This paper will briefly discuss graduate education and scientific research in Chinese universities over this period, and how China is approaching the further expansion of graduate training as part of a larger approach to economic development.

Christine Musselin – Centre de Sociologie des Organisations (Sciences Po et CNRS)

"Managing its Own Staff: A Challenge for Public European Universities"

The recent increase in institutional autonomy for European universities often provided them with more prerogatives in the management of their academic staff. While in many European countries, public authorities were previously in charge of controlling the overall number of positions, their allocation among disciplines, the construction of salary-scales and the definition of academic duties, such issues are more and more devoted to higher education institutions. Building mainly on a comparison between Germany and France, this paper will address the potential consequences of this transformation for the governance of universities as well as for the management of the academic profession.

David Palfreyman – Oxford Centre for Higher Education Policy Studies

"Comparative Approaches to Fees and Financing of Public Higher Education: the UK/EU experience"

This Paper provides some background material on the experience of mainly the UK, and to a lesser extent other EU countries, in financing the public provision of higher education (HE), especially at a time of expansion (belated 'massification' in the case of the UK compared with the USA and most other EU nations). UK HE has almost doubled in size since the mid-1980s and its taxpayer 'unit of resource' for undergraduate teaching has virtually halved; elsewhere in the EU the State wants more for less as everywhere the post-War consensus on the comprehensive Welfare State is questioned and challenged in the context of an aging population and the growing reluctance to face ever-increasing tax rates.

Thus, the focus is on levying for the first time, or otherwise sharply increasing, tuition fees as a means of injecting private (student/family) money into the funding of HE. In some EU (or, more widely, BP/EHEA) nations, however, the alternative is to leave the public provision of HE as underfunded Galbraithian public squalor while passing a new 'Higher Education Law' to allow the expansion of private (Galbraithian affluence) provision – mainly, of course, in law, business studies, economics… Clearly, all of this raises issues of: *social equity* – the affordability of HE for the middle-classes and its accessibility for lower socio-economic groups; *political accountability* – the (decreasing?) role of the State in a more mixed-economy provision of HE and vfm for the taxpayer's (reduced and reducing) input; and *economic credibility* – the ability of HE to tackle cost-containment and degree pricing/competition. And all of this will be familiar to a US HE audience reeling from the hard-hitting 2006 Spellings Report.

Sheldon Rothblatt – Center for Studies in Higher Education, UC Berkeley

""Elites, Elitism, Education and Democracy"

The conflict between access and quality in education has been front-page news for decades. Policies regarding the role of elite universities, the organisation of secondary education, admissions criteria, courses of study, high stakes testing, and fiscal and program accountability have changed with uncommon frequency, resulting in confusion and uncertainty. Yet it is the argument of this book that the tension between access to education and the preservation of quality is another chapter in the much longer history of merit selection in England, Scotland and America, and should be seen in its proper contexts. The underlying cause of the difficulties, however, is the dilemma created by two competing conceptions of virtue, one determined by merit judged competitively and the other more vaguely but emotionally supported by a broader view of worth. Merit is consistent with liberal democracy, but worth is the special province of social democracy. None of the distinctions is easily categorised by political party or ideology. They are the result of opposite moral impulses inherent in plural democratic societies undergoing the strains of internal and global competition.

Mike Shattock – Institute of Education, University of London

"From private to public governance of British higher education: the state, the market and competing perceptions of the national interest 1980-2006"

In a quarter of a century, but in practice within a period of just over a decade between 1980 and 1992, the governance and management of British higher education has been transformed. >From one perspective the management of higher education has simply been absorbed into the machinery of the state but from another it has been exposed to massification, marketisation and privatisation and to the imposition of

greatly increased internal and international competition.The extent to which these pressures represent the unintended consequences of the application of new public management principles remains uncertain but the higher education system which has emerged is wholly different from what existed before. The paper will try to analyse the changes and relate them to wider changes in society and the changing relationships between universities, state policies and differing perceptions of the national interest.

Marikj van der Wende – CHEPS University of Twente/OECD

"European Responses to Global Competitiveness in Higher Education"

In Europe responses to the increasing global competitiveness in higher education emerge at European, national and institutional levels. They focus on creating widened access and participation, increasing diversification and the search for excellence. The overall European approach is framed by the Bologna process and the Lisbon Strategy. National policies focus on creating stronger international players (e.g. through mergers and alliances between institutions as in Denmark and the Netherlands, or by creating "top universities" as in Germany) and on enhancing the responsiveness of institutions to social and economic demands. Institution-driven initiatives to enhance position in the global market tend to reflect these trends (e.g. the Manchester merger case and the creation of various networks such as the League of European Research Universities (LERU)).

European approaches to ranking are gaining importance, notably the CHE system, widely recognised as a better alternative to existing ranking practices and gradually growing into a European model. As diversity should be based on a multitude of institutional missions and profiles, the initiative is taken to develop a typology of higher education institutions in Europe. Underlying questions are related to the shaping of the European Higher Education and Research Area and lead to policy issues around strategies for cooperation and competition that will need to be addressed in designing the post Bologna and Lisbon period (i.e. after 2010).

Stephan Vincent-Lancrin - Directorate of Education, OECD

"Is There a Crisis of the Publics? An International Overview"

Is there a crisis of public higher education within the OECD area? I will look at several indicators to argue that there has been overall no crisis of the public sector in higher education over the past decades, although the private sector and funding has slightly expanded. Overall, public funding and enrolments have continued to increase over the past decades and the structure of higher education has not changed much compared to what it was. There is a reformation of the public higher education sector though, driven by a changing public governance in some countries and by international competition and convergence. These changes are still underway and may concern an increasing number of countries in the near future, but there is little evidence of a crisis of the publics. The paper will then examine in what sense, if any, US higher education is facing a crisis of its public higher education (and public research universities), and what it could learn from other public higher education systems.