

**21st Century COE Program**

**Construction and Quality Assurance of 21st Century Higher Education System**

**Reports of COE International Seminar on**

**Constructing University Visions and the Mission of Academic  
Profession in Asian Countries: A Comparative Perspective**

**Research Institute for Higher Education**

**Hiroshima University**

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## **COE Publication Series No. 23, February 2007**

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# COE Publication Series

No. 23, February 2007

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## Contributors

**Akira Arimoto** is Professor and Director in the Research Institute for Higher Education, Hiroshima University, Japan. His specialty is sociology of education, focusing on comparative higher education, academic profession, academic evaluation, academic productivity, etc. He has published many books and articles including the following: *Academic Profession and Faculty Development: USA and Japan* (in Japanese, Toshindo, 2005); *Higher Education in the World 2006: The Financing of Universities* (chapter, Palgrave Macmillan, 2005); “National Research Policy and Higher Education” (*Journal of Educational Planning and Administration*, 2005); *Knowledge Society vs. Knowledge Economy: Knowledge, Power, and Politics* (chapter, Palgrave Macmillan, 2006).

**Regsuren Bat-Erdene** is currently serving as Director of Higher and Vocational Education at the Ministry of Education, Culture and Science of Mongolia. He has a background of serving in various capacities mainly in the field of postsecondary education such a college lecturer, research affiliate at educational research institute and long-term career civil servant. Dr. Bat-Erdene has published on policy reform and structural transformation aspects and given presentations at various international events with reference to Mongolia’s and transition nations’ experiences. Educated in Russia and the U.S., he has a special interest in comparing and contrasting perspectives of various viewpoints regarding education and development.

**Rose Marie Salazar-Clemeña**, Vice-Chair of the Asia-Pacific Scientific Committee of the UNESCO Forum on Higher Education, Research and Knowledge, is the Executive Vice-President of De La Salle-College of Saint Benilde. She is also a University Fellow and full Professor of De La Salle University-Manila. She obtained her PhD in Psychology (with specialization in counseling) from the University of Minnesota. She has published in the areas of teacher education, teaching and learning in higher education, counselor education, health psychology, career psychology, psychometrics, program evaluation, educational management, peace and values education, and research in higher education.

**Sherlyne A. Almonte-Acosta** is Associate Professor in the College of Education, De La Salle University, Manila, Philippines. Her research interests have focused on comparative and international education, women’s studies, migration studies, and values education. She is currently a recipient of a Sumitomo Foundation grant and is working on a project entitled *Japanese Filipino Children (Japino): Ethnicity and Assimilation*.

**Akiyoshi Yonezawa** is Associate Professor at the National Institution for Academic Degrees and University Evaluation (NIAD-UE), Japan. His main research topic is the quality assurance of higher education under changing dynamics of public and private relationship in higher education. He is

actively participating in international projects such as PROPHE, OECD, World Bank Institute, and Japan International Cooperation Agency (JICA). His recent publications include, “Japanese Flagship Universities at a Crossroads”, *Higher Education* (Online First), Springer, 2006.8; “Japan”, James F. Forest and Philip G. Altbach (eds.) *International Handbook of Higher Education*, Springer, 2006, 829-837; Akiyoshi Yonezawa and Reiko Kosugi, “Education, Training, and Human Resources: Meeting Skill Requirements”, Tsutomu Shibata (ed.) *Japan: Moving toward a More Advanced Knowledge Economy*, World Bank Institute, 2006, 105-126.

**Hyun Chong Lee** is the President of Honam University, Korea. His research has focused on University Reform and Management Strategies in higher education, new paradigm in higher education, higher education policy studies, and higher education in Korea. His recent publications include *University Reform in Transitional Period* (2006); *University Accreditation and Quality Assurance Issues* (2006); “New University Paradigm and reform Strategies” (OECD Journal, 2005). He served as chairman of UMAP, Secretary General of Korean Council for University Education, CHEA board member (Washington, D.C), and OECD board member. He has published 28 books and over 230 articles both in Korea and in international Journals.

**Morshidi Sirat** is Professor and Director of National Higher Education Research Institute (IPPTN) since 2002. As Director of IPPTN, he is active in consultancy and contract research work for the World Bank, UNESCO-Bangkok and ASEAN University Network and the Ministry of Higher Education Malaysia. He sits on many working committees at the federal ministerial level, formulating and evaluating higher education policies, reviewing university governance structure, formulating action plan to deal with graduate unemployment problems, and constructing models for universities in Malaysia. His latest publication on higher education in Malaysia was published by UNESCO (2006) *Higher Education in South-East Asia*, UNESCO, Bangkok.

**Professor Muhammad Kamil Tadjudin** was born in Jakarta in 1937 and graduated from the Faculty of Medicine Universitas Indonesia in 1962. He became Professor in Medical Genetics and Reproductive Biology at the Faculty of Medicine Universitas Indonesia in 1984. He was Rector of this University from 1994–1998. Since January 1999, he has been the Chairman of the National Accreditation Board for Higher Education of Indonesia. He is an external auditor of AUQA (Australian Universities Quality Agency) since 2004 and has acted as reviewer for the Indonesian competitive grants projects (QUE, TPSDP, PHK) and the Sri Lankan IRQUE project. He is also at present a member of the UNESCO Scientific Committee for Asia and the Pacific, member of the Board of the Asia Pacific Quality Network, and Dean of the Faculty of Medicine of Syarif Hidayatullah State Islamic University.

**Kazuhiro Sugimoto** is Associate Professor at the Education Center, Kagoshima University, Japan. He gained his PhD in comparative education from Nagoya University in 2001. His research has focused on reforms, quality assurance, governance and management, and internationalization in higher education especially in Australia and New Zealand. He published his PhD thesis, entitled *Australian Higher Education Reforms in the Postwar Era* (Toshindo, Japanese), in 2003. One of his recent publications is “Australia’s transnational higher education in the Asia-Pacific region: Its strategies and quality assurance” (*RIHE International Publication Series*, No.10, 2006).

**Professor Maoyuan Pan** holds many academic posts such as coordinator of the Review Board of Education of Academic Degree Committee under the State Council, Director of National Research Committee of Self-taught Examinations, advisor of the leading Group of the National Educational Discipline and planning, former Vice-President and advisor of Xiamen University and former Dean of its Overseas Correspondence College, etc., as a celebrated educationist and one of main founders of Higher Education Pedagogy in China. Professor Pan is now the Honorary Director of the Institute of Higher Education Science Research of Xiamen University, Consultant of the National Society of Higher Education Science, Honorary Chairman of the National Association of Higher Education pedagogy, and honorary senior research advisor/professor of more than 30 Universities and research institutes such as Nanjing University, Huazhong University of Science & Technology, South China Normal University, etc.

**Professor Emeritus Charas Suwanwela** is Chairman of the Chulalongkorn University Council, Bangkok, Thailand. He was President of the Chulalongkorn University and of the Asian Institute of Technology, as well as the Chairman of the Policy Committee of the Thailand Research Fund. His interests are higher education, research and health care. His publications include books on “Higher Education in Thailand”, “Re-engineering of Higher Education: The Case of Chulalongkorn University” and “Pitfalls on the Road to Good Governance”.

**Professor Jandhyala B G Tilak** is Head of the Educational Finance Unit at the National Institute of Educational Planning and Administration, New Delhi, India. He holds a doctorate from the Delhi School of Economics. Professor Tilak has taught in the University of Delhi, and as Visiting Professor taught in Hiroshima University (Japan), and the University of Virginia (USA), and in addition at a few institutions in India. An economist of education, Dr Tilak was also on the research staff of the World Bank, Washington D.C. In addition to several monographs prepared for the UNESCO, the IIEP, the World Bank, the UNDP, the UNICEF, etc., Dr Tilak’s publications include seven books and more than 250 research papers published in professional journals of high repute in the areas of economics, development studies and education. Professor Tilak is also the Editor of the Journal of Educational

Planning and Administration, and is associated (as a member of the editorial board) with several national and international journals.

**Futao Huang** is Associate Professor in the Research Institute for Higher Education, Hiroshima University, Japan. His research has focused on a comparative study of university curricular development, internationalization of higher education, and higher education in China. His recent publications include “Internationalization of Curricula in Higher Education Institutions in Comparative Perspectives -Case Studies of China, Japan and the Netherlands-” (*Higher Education* 2006), “Internationalization of University Curriculum in Japan-Major Policies and Practice since the 1980s” (*Journal of Studies in International Education* 2006) and “Qualitative Enhancement and Quantitative Growth: Changes and trends of China’s Higher Education” (*Higher Education Policy* 2005).



The Research Institute for Higher Education (RIHE), Hiroshima University, was established in May 1972 with the approval of the Ministry of Education as the first national institution for research in higher education. With its commitment to academic research, RIHE has developed since then to make significant contributions to higher education research both inside Japan and overseas. It celebrated its thirtieth anniversary in 2002.

This anniversary coincided with a decision of the Japanese government to establish its policy of support for research excellence, the "21st Century Center of Excellence program". RIHE's project "Construction of a System for 21st Century Higher Education and Quality Assurance" was selected as one of 20 programs in the field of humanities and 113 programs in all disciplines. This formal recognition of RIHE as the sole COE in higher education identifies both its unique achievement and its capacity to contribute significantly to the future development of higher education. Its achievement reflects the dedication and commitment of many colleagues over the past three decades, transforming the status of research in higher education from a curiosity into the substantial position it now occupies. Those of us now working in RIHE are privileged to stand on the shoulders of the giants who established this reputation. They provide us with a continuing challenge to sustain their pioneering spirit.

The current COE program extends for five years in order to enable the project to develop fully. Specifically, the program will intensively address five aspects: institutionalization and assessment of the quality of faculty development and staff development; quality assurance in the academic research system; arrangements for and quality assessment of academic organization; construction of an international reference data base of academic systems; and training of younger researchers in higher education. In addition, in order to develop the international research network centered on RIHE we shall be publishing COE research publications in English as well as Japanese. The style of publication adopted in this volume reflects our intentions in this regard. Its aim is to place on record aspects of research already completed that are related to the COE program and to make it accessible internationally.

As the leader of the COE program project, this opportunity to provide useful information and new material to readers concerned with developments in higher education gives me particular pleasure. In turn, within RIHE, we shall be pleased to receive support, co-operation and comments from readers so that our work may be strengthened and that the function of the research network can be promoted.

March 2003

Akira Arimoto  
Professor, R.I.H.E., Hiroshima University  
COE Project Leader

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**Profession in Asian Countries: A Comparative Perspective**

## Message

This year is the last academic year of the 21st Century COE Program entitled *Construction and Quality Assurance of 21st Century Higher Education System*, which was selected by Ministry of Education, Sports, and Technology (MEXT) in 2002. Now all the related researchers and staff are dedicating themselves to developing and integrating the research findings. At this time, it is extremely significant for us to host the COE international conference on “Constructing University Visions and the Mission of Academic Profession in Asian Countries: a Comparative Perspective”. The main purpose of the conference is as follows.

In recent years, radical social changes characterized by development of the knowledge-based society, globalization and marketization worldwide have been demanding reconstruction of the higher education system. One of the important issues for individual countries, not only in developed countries but in many developing countries, is to build up new university ideals or visions and reconsider the mission of the academic profession that must accept new challenges in this era. The theme of this international conference is closely related to issues concerning quantitative expansion and quality improvement and will become a crucial issue concerning higher education reforms especially in many Asian countries. However, while much research has been done on countries in Europe and the U.S., little is known of what is happening in Asian countries.

Therefore, the major purpose of the international conference is to discuss issues concerning reconstruction of university visions and the mission of the academic profession in a comparative perspective with a special focus on Asian countries, in the context of ongoing higher education reforms being impacted by rapid social changes. At this conference, it is expected that participants will present their research findings and make recommendations for future reform policies in individual Asian countries, including Japan. In particular, the conference aims to explore the meanings of policies relating to reconstruction of university visions in individual countries and the various attempts that have been made in practice. At the same time, it will also deal with the mission of the academic profession, especially the relationship between reconstruction of university visions and the mission of academic profession in individual Asian countries since the 1990s, and some related issues and trends. Based on these topics, issues concerning reconstruction of the 21st century Japanese higher education system and the mission of its academic profession will be intensively touched on.

Accordingly, all participants are encouraged to appreciate widely the intention and meaning of the international conference. We expect many people from both inside and outside Japan will attend the conference and share ideas actively in Hiroshima. We are looking forward to your support and cooperation.

Finally, I would like to extend my heartfelt thanks to all of you in advance.

October 2006

Akira Arimoto  
Director & Professor, RIHE, Hiroshima University  
Project Leader of 21st Century COE Program

# **Session 1**

## Keynote Speech 1

# Constructing University Visions and the Mission of Academic Profession <sup>1</sup>

Akira Arimoto\*

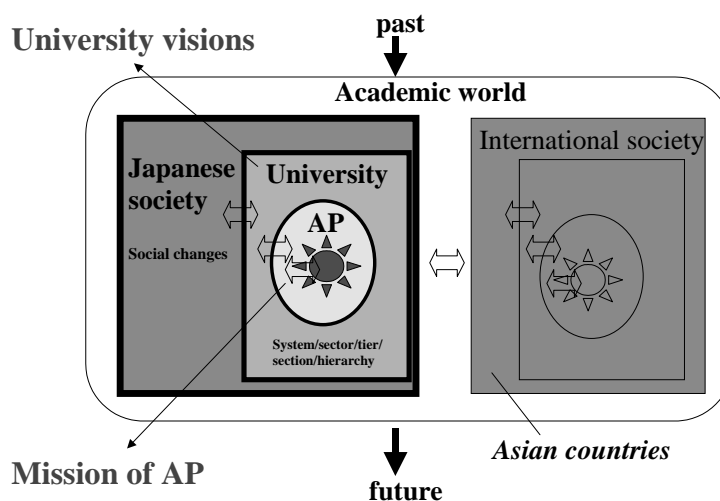
## Introduction

When we speculate about contemporary visions of the university, it is necessary to pay attention both to the prototype, which has been inherited from the past, and also to the challenge that is to be transmitted to the future. We can grasp the prototype from a typology of university birth and guess the challenge by a variety of demands. University visions in the higher education systems in the world have something in common since they have all inherited to a greater or lesser extent characteristics inherent in the historical prototype. Even so, they reveal much diversity due to the influence of the characteristics of their own national higher education systems (cf. Figure 1).

Modern university visions are prescribed partly by national higher education policy and planning and partly by the relevant decision-making. In Japan, for example, the University Council and the Central Education Council have issued a series of proposals since 1991 that defined the main framework of the vision of the university from the viewpoint of the national government. Many other demands, including social changes such as

globalization, marketization, and orientation to a knowledge society, also influence construction of university visions. At the same time, the various social demands, including such national demands, also contribute greater or lesser influences on

**Figure 1 Framework**



<sup>1</sup> Paper prepared for the COE International Seminar: Construction and Quality Assurance of 21<sup>st</sup> Century Higher Education System on Constructing University Visions and the Mission of Academic Profession in Asian Countries: A Comparative Perspective to be held in Hiroshima Garden Palace, October 4-5, 2006.

\* Director and Professor, R.I.H.E., Hiroshima University, Japan, e-mail: arimoto@hiroshima-u.ac.jp

formation of the missions of the academic profession. In this context, academic profession missions are apt to face internal conflicts through the process of coordinating the different demands.

The academic profession inherently pursues the various functions of knowledge including discovery, dissemination, application, and control, which operate inside academia. In particular, the academic profession contributes to the development of learning and of human resources by way of enhancement of research and teaching. A characteristic of the university, illustrating its role as a place of academic freedom as well as academic autonomy, is reflected in this process. Academics as members of the academic profession also pursue such freedoms and academic productivity through which they seek to contribute to the development of society as well as of learning. The academic profession is, as Harold Perkin put it, “a key profession” which is considered to be competent and responsible for training other professions (Perkin, 1969).

We can be fairly certain that visions of the university in the 21<sup>st</sup> century will be creatively defined by diverse demands and relevant conflicts, while the missions of the academic profession in the new era are also placed in a similar situation so that it also needs creativity.

This paper intends to consider these various viewpoints by focusing on the university visions and academic profession missions from a Japanese perspective.

## **1. Construction of University Visions**

### *1-1 Prototype of University Visions*

1-1-1 Academic Work on the Basis of Knowledge Academic work is proper to the academic profession as well as to the academy; and it is also distinguished from other professions as well as other work in the sense that it is based on knowledge as such. Functions of knowledge consist of discovery, dissemination, application, and control. Corresponding to these functions is work in the form of respectively research, teaching, service, and management. Among these functions, basic academic work consists of research, teaching and service, and of these research and teaching are thought to be the two essential vehicles (Arimoto, 2004).

As the university is an organization based on knowledge, research and teaching, situated at the core of academic work, are thought to have been involved in the activity in the university at the point of its establishment. However, it was only after establishment of the modern university that scientific knowledge, as advanced and specialized knowledge rather than simple and basic knowledge became institutionalized in the university and training in preparation for research became necessary for an academic career. At this time, the academic profession was formally born (Light, 1974). In other words, in the history of higher education it was only after the scientific revolution, and especially after the establishment of Berlin University in 1810, and again after 1876 when the first graduate school was invented that the academic profession was related. Scientific knowledge meant academic disciplines.

Burton Clark has referred to the relation between academic profession and academic disciplines: “The profession is also rooted in a large number of disciplines that are based primarily in the academic system itself, stretching from archaeology to zoology in the alphabet of academic interests and passing through all the many specialities of natural and social sciences, humanities, and even some of arts.” (Clark, 1987a, p. 1) We can recognize important connections among the concepts of scientific knowledge, disciplines, academic work, and the academic profession.

Research had not achieved important status in the university before the 19<sup>th</sup> century when teaching constituted the core academic work; scientific institutionalization, which stresses discovery and invention, had yet to be established. Such research as was conducted served a scholastic philosophy within a divinity-based concept of the universe. Teaching emphasized recitation of accepted knowledge rather than new discovery on the basis of research. This in effect corresponded to a university vision of the teaching function as one maintaining current society and regime rather than that derived from a research function promoting construction of a new society and regime. The university ideal resided in enhancement of the dissemination function among the various kinds of knowledge functions. The mission of university teachers was solely focused on teaching students.

1-1-2 Academic Guild The medieval university was born as an academic guild, typical of the many guilds which were key organizations of crafts and professions at that time. Two types of academic guild developed in universities: a teachers’ guild as in the University of Paris and a students’ guild as in the University of Bologna. These two original types of university have developed into the forms existing today. The main stream, deriving from Paris, extended to contemporary universities worldwide by way of many older universities such as Oxford, Cambridge, Prague, Hamburg. The origin of the Japanese university probably derives from Paris by way of Berlin, Hamburg, and Prague, as Japan imported university models from the West, and particularly the German model. Accordingly, it is true to say that the University of Paris provides a prototype of university vision and at the same time of the mission of the academic profession for its successors.

The Paris-type of academic guild, which has had such strong effects on its successors, is remarkable in the fact that its teachers had a status greater than that of the students. This type of guild is an organization where the teachers take the core roles of teaching, research, service, and management. Its typical characteristics are realized in a degree system in which the authority and prestige of teachers are built in. It is testimony to the fact that the highest authority and prestige are given to the full professors as chair holders, who are required to possess special scholarship and achievement, and can award degrees to students.

Retracing the trajectory of this system leads to a definition of a traditional university as one that has a doctoral degree system. Such tradition implies that a university having no degree system is not formally included in the category of university. Accordingly, the academic guild formed a university vision that the university, a place of inquiry, seeks to provide access for students to the highest level of

scholarship: testimony to this is shown by the ability to award doctoral degrees. In contrast, the category of higher education, including short cycle systems such as the community colleges and other non-university institutions invented in the U.S. do not aspire to provision for doctoral candidates.

1-1-3 A Knowledge Community A community identifies a society with given ideals and vision that has an organization with high autonomy, integration, and cohesion. The medieval university in its early stages had high mobility of students and teachers even though it benefited from colleges in fixed locations – such as the Sorbonne in Paris and Merton College in Oxford – that allowed formation of a community and an academic life for teachers and students at the core of the teaching and learning process. An ideal university vision was to endow teaching in the forms of “*loco parentis*”, “*pastoral care*”, or an “*osmotic process*” (Ross, 1976; Arimoto, 1981).

Teachers taught the “*trivium and quadrivium*” or “*seven liberal arts*” in the Faculty of Arts to students who entered university at around 14 years old. It required Latin as a key component of liberal arts education. In addition, they offered professional education in the advanced faculties of Law, Medicine, and Divinity, and awarded doctoral degrees to those few students eligible for them. By these processes, a small collegiate system grew into a community with a highly cohesive organization as well as a highly integrated of ideal and function of teaching.

1-1-4 Organization of Bottom-up Management Academic organization which, developed in the guild system, necessarily resembles other guilds in its form. It consists of three groups of members: masters, bachelors, and apprentices. Full membership of the guild was accorded to the masters: at its most senior level this was equivalent to the academic doctor (or professor). Bachelors constituted junior members of the guild, who might receive full membership with further study and dedication. Apprentices were those working and studying to become members of the guild. Students, as apprentices learned Latin and studied the *trivium and quadrivium*; and as bachelors could enter the faculties of Law, Medicine, and Divinity to become masters and be awarded doctoral degrees (Clark, 1983, pp. 46-47; Yokoo, 1999, p. 39).

The power of the master (as doctor or professor), is absolute in such an organization. In the Faculties the doctors held great power because of their attainment of special knowledge. A most distinguished scholar among the doctors probably became a resident holder of a chair and exercised control of study in a designated area. Such scholars had control over their own specialist area of scholarship and they shared with other chair holders control over selection and appointment to other chairs. This led to the most influential chair holders being elected as representatives – as deans and as president of the college or university. Some principles of academic organization were implicit in the forms of collegiate control, peer review, academic freedom, faculty autonomy, and a bottom-up type of management.



## *1-2 Transformation of University Visions*

1-2-1 Change of the Basis of Knowledge Knowledge itself has a characteristic of malleability, possessing flexibility and elasticity to a great extent. Therefore, it is not surprising that the form of knowledge has changed in accordance with the changes of the university's expectations of knowledge. A traditional university performed academic work with teaching as its core on the basis of unchanging established knowledge. In contrast, the scientific revolution occurring in western society in the 17<sup>th</sup> century and institutionalization of science into the university was in the 19<sup>th</sup> century (Merton, 1973; Arimoto, 1987) transformed the university vision dramatically from pursuit of the sole ideal of teaching to the pursuit of research. This change was initially constructed by Wilhelm Humboldt who tried to integrate of teaching and research in Berlin University in 1810 (Clark, 1993a, 1995). The Humboldtian ideal was rapidly overtaken even in Germany by the vigour of the emerging research paradigm.

Two facts testify to the ascendancy of research. First is the invention and subsequent institutionalization of the graduate school when in 1876 in the U.S. Johns Hopkins University introduced its graduate system. As a result, the emphasis on research has made the American graduate school the world's centre of excellence in terms of leadership of the scientific and academic community whether we refer to the number of research papers, the citation of published papers, the production of Nobel Prize awards, or count the number of patent (Arimoto, 1994).

Second is the evident shift in the priority of academic work from teaching to research among academics. According to the Carnegie International Survey on the Academic Profession, which has been one of the few relevant surveys thus far, a clear distinction can be made between three groups of countries. Academics in fourteen countries (U.S., UK, Germany, the Netherlands, Russia, Sweden, Mexico, Brazil, Chile, Australia, Japan, South Korea, Hong Kong, Israel) participated in the survey (Altbach, 1996; Arimoto & Ehara, 1996). One group includes Germany, the Netherlands, Sweden, South Korea and Japan: in it academic work is research oriented. A second group includes the UK, the U.S., Australia, and Hong Kong, and shows an orientation to both research and teaching. The third group includes Chile, Mexico, Brazil, and Russia, and is teaching oriented.

Some reasons can be suggested for these grouping. Russia, like France, has had a history of the separation of teaching and research between the university and the national academy. Latin America, where the university belongs to the genealogy of the student-university derived from Bologna, still cleaves to that tradition. The Anglo Saxon countries, which had a tradition of liberal arts education, have also retained their tradition but have added graduate education to it. Germany, which originally attempted to integrate teaching and research, failed to accomplish it. Japan, which conformed to the German model in the pre-war period but introduced an American model in the post-war period, still conforms to the German model.

There can be no doubt that the priority previously given to teaching is decreasing in comparison with that shown for research although there are many differences in emphasis in modern universities

worldwide. The variations are especially marked in the universities descended from the teachers' guild model of the University of Paris.

The above discussions account for only some of the changed academic work of the modern university. Transformation of the 21<sup>st</sup> century university is required to accommodate changes due to pressures from both outside and inside academia. The modern university includes research as its second vision to complement the vision of teaching. The American university was first to introduce service as a third vision; perhaps not surprisingly, this and other non-academic work has increasingly penetrated into academia in recent years.

Though it failed in its vision to integrate teaching and research, modern academia is now being confronted with a new situation, It has not only a problem of reintegration of teaching and research but also a problem of encroachment upon academic work. As a result, construction of the university vision faces great difficulty due to the differentiation of the content of academic work. Resolution of this problem is inevitably demanded of the academic profession as well as by academia.

1-2-2 Shift from an Academic Guild to a National University Emergence of national control of the university is a remarkable trait of the modern university and contrasts with the self-control exercised by the university in the pre-modern era. This development is a direct consequence of replacement of the guild university by the modern national university. As Clark Kerr has pointed out that university shifted characteristic orientation from universalism to nationalism in the 19<sup>th</sup> century: the emerging nation-state system began to exercise strong control over the modern university (Kerr, 1994, pp.19-29). The medieval university had an inherent characteristic of an international university with its emphasis on the studium generale rather than studium particulare (Yokoko, 1999, p.19). Nationalism has produced a differentiated system of national universities reflecting the national characteristics found in individual countries.

Naturally, all nations pay as much attention as possible to their higher education policies as they expect university development to enhance their nation. Every country, whether it be the U.K., U.S., France, Germany, China, or South Korea, seeks to strengthen its own higher education policies and develops both short term and long term plans. Japan is no exception. It has presented a series of higher education reform policies and plans since 1991 when the first major proposal was released by the University Council: on the basis of this proposal the MEXT (Ministry of Education, Culture, Sports, and Technology) introduced its executive proposals for the first major reform of universities and colleges. Subsequently, further important master plans for reform were issued in 1998 and in 2004 (Arimoto, 2005a).

According to the visions of the university evident in these proposals, it is clear that Japanese university visions have changed in accord with the recent transformation of the higher education system. National control of the university with introduction of top-down management became a focal point, although bottom-up management had prevailed across the system.

Burton Clark pointed out several typologies with regards to the relationship between nation and academia. Among these, the former Soviet Union had typically exemplified a type of national control (Clark, 1983). The U.S., to a considerable degree, conformed to a market mechanism orientation; and to some extent Japan comes close to the U.S. type – certainly, Japan has shifted closer to a market orientation in recent years as a result of national policies and plans. However, Japanese higher education system still retains aspects of its own type of national control even today, some 130 years after the Meiji Restoration. History provides at least two reasons for this.

Initially, in the 19<sup>th</sup> century, the national government established a national university, the Teikoku Daigaku (Imperial University). As a consequence a system of the two sectors and two classes was established in the pre-war period (Amano, 1986). The two sectors correspond to the national (public) and private sectors; the two classes were those of the university and the professional schools. An intentionally differentiated system emerged as a prototype at this early stage, and was largely maintained throughout the pre- and post-war period, even though a national policy of equalization of universities and colleges was nominally promoted through the immediate post-war period.

Second, the national government formulated standards for the establishment of universities and colleges. This control lasted for a long time in order to assure the quality of the institutions and of new departments, faculties and graduate schools. This kind of regulation is derived from the system of charters used in establishing universities and colleges and was originally developed in Europe (Yokoo, 1999, pp.117-153). Many countries other than the U.S., which has used its own accreditation system, have adopted this tradition importing it from the UK and other Western countries. In the Meiji era, Japan imported it from the UK; in contrast, in the post-war period, Japan imported an accreditation system from the U.S. The older type of control has been decreased to some extent since 1991 when the MEXT introduced a policy of deregulation in an attempt to move from national control to control by market mechanisms.

However, that it has not completely shifted is shown by the fact that national control continues. For example, an accreditation system started in 2004 in order to assess all higher education institutions by third party agencies. The three agencies (JUAA, NIAD, JAHEE) responsible for such evaluation are authorized by the government so the agencies remain under government control, even though the arrangements appear similar to the American accreditation system.

1-2-3 A Knowledge Enterprise When the university could concentrate exclusively on the ideal of teaching and all faculty members demonstrated a strong consensus a community of knowledge could persist. In other words, a community of knowledge could last as long as the university vision was kept simple. The vision has become more diverse and complicated since the birth of the modern university with its accompanying ideal of research. Value conflicts have inevitably and increasingly developed in the modern university in spite of the intention to integrate research and teaching. Consensus inside the campus turns out to be difficult owing to the rise of the research paradigm. In

modern society, hegemony of research is inevitable where formation of a centre of learning becomes a focal point to the extent that the connection of research productivity and the reward system is manifest.

In the age when a knowledge society was restricted to academia a sort of “academic science” prevailed and allowed a community of knowledge to survive. As soon as the knowledge society developed not only in academia but also across a wider society, academia began to face difficulty of maintaining the traditional academic community. As Ravetz observed, “academic science” had to compete with “industrialized science” (Ravetz, 1977). The norms proper to academia were forced to compete with the norms intrinsic to total society. For example, the kudos of discovery as an ethos in “academic science” was confronted with market values. Secular values invaded to academia to the extent that the border between academia and society became ambiguous.

Knowledge itself, the stuff which university deals with, has shifted from “mode 1” to “mode 2” with an increasing borderless state between the two modes (Gibbons *et al.*, 1994). In the university the attention given to applied and development science relative to basic science has increased. Investment of enterprise capital with the intention of generating profits has intruded into academia. Breakdown of the border between academic work and non-academic work is widespread. As Christine Musselin has discussed, the transfer of practices and tools from non-academic work to academic work is significantly developed: “The contract with the non-academic research sector and the need to respect the rules and practices of this sector in order to get contracts is as much a mode of transfer of the firm sector to the universities as the higher education reforms” (Musselin, 2006, p. 12).

A perspective of business-oriented visions has increasingly been introduced into academia, even though the academic organization was retained its academic guild related visions. Pursuing profits is not necessarily the substance of academia but every institution needs now to pay much attention to gaining profits so as to survive without financial failure and ultimate closure. Managerialism has become a prevailing trend. Professional groups have appeared in academic management and so staff development (SD) has declined. It is easy to understand in these trends that academia has been changing from the community of knowledge to a community of enterprise.

In the case of Japan, market mechanisms have become increasingly significant since the 1990’s when the national government switched higher education policy from governmental control to market control. As previously described, the change was initiated in 1991 when a deregulation policy was introduced by the government. As a result, under pressure of privatisation the national university was rapidly forced to adopt practices appropriate to the private sector. In fact a system of “corporate national universities” was established in 2004 when the national university changed to become a set of quasi private universities which are located midway between the former national sector and the private sector.

The set of corporate national universities depends on national funding to the extent of 70% of their total annual income, while the private sector receives less than 30% of its income from national funding. Planned cuts in government funding in the future are expected to support for the corporate

national universities to the level of the private sector. This means that the corporate national universities have to change to enterprises dependent on a variety of sources of income including private benefactors, and parents and students instead of the national government and the taxpayer. This trend follows to the example of the U.S. where a similar pattern emerged about 20 years ago according to Burton Clark (Clark, 2005). It is understandable that a concept of redistributing expenditure is increasingly emerging in the field of higher education (Johnstone, 2004). It is also understandable that in recent years the entrepreneur has become one of the most popular concepts in the higher education world (Clark, 2005).

1-2-4 Organization of Top-down Management Historically, academic organization has a structure with heavily biased towards the operating or lower unit, identified variously as the section, chair, department, or institute. This is organizationally different from most commercial organizations that usually emphasize the upper levels of management. However, it seems inevitable that the university is gradually becoming closer to other external organizations at a time when it is also shifting to entrepreneurial activities as previously described. Of course, it is still perceptible that different dynamics operate in academic organizations and business organizations.

In the business organization, the management decisions are likely to flow from the top to the bottom. In an organization focusing on academic work such as research, teaching, and service a converse bottom-up management seems to be useful, while in an organization focusing on seeking profits, rationalization, efficiency, it is top-down management that is adopted.

An academic organization needs to provide free time because the process of discovery of knowledge is usually accompanied by inefficiency and even apparent waste. The fact that many scientists and researchers are exploring the same frontier throughout the world, necessarily leads to about multiple discovery and simultaneous discovery, and duplicated research. There are many unproductive studies in major investigations. The logic of science protects these activities, while the logic of business aims to exclude and rationalize such freedom and inefficiencies wherever possible.

## **2. University Visions in the 21<sup>st</sup> century**

*2-1 Social Change and the Logic of Scholarship* There is an intimate relationship between social change and the construction of university vision because the latter has been defined by the former. The stages of social development through history – such as agricultural society, industrialized society, modern society, and future society – has been, and will continue to be, much influenced by the structures through which social change operates. At each stage social forces have built and will continue to build university visions in accord with the individual era and its society. In contrast, the development of science defines university vision. University visions from the 19<sup>th</sup> century, when the institutionalization of science was attained, provided a linkage and fusion of the scientific community and the academic community. As a result, a priority for research over teaching was realized.

There is no reason to doubt that construction of university visions, both by the influence of society and by the force of scientific and disciplinary development, will continue into the future.

*2-2 Birth of the University* The typology of the university's birth is a reflection of university's history. Accordingly, it is necessary for us, when considering what kinds of responses the university needs to make to achieve reform, to pay attention to such history. The ideals and frameworks proclaimed at their births have surely affected the universities today as they did their prototypes. Construction and reform of the contemporary university needs decision of whether to continue cleave to the structure of its prototype or not.

A retrospective observation of the typology of university births leads to identification of a series of pair concepts (Arimoto, 2005c).

(1) Downward vs. upward vision.

A downward vision exemplifies the elite university, placed at the top of an educational hierarchy and discarding all that conform to its standards and expectations. The upward vision is one that sees the university as part of an ascending vision of educational provision, opening opportunity through wider access. Currently university vision is apparently facing a conflicts of these two types. However, an historic trend shows that the development of massification has extended the higher education system that is now verging on a stage of universal access.

(2) Universalism vs. nationalism.

The medieval university achieved an international function as a centre of learning in the sense that many students gathered together in *Universitas* such as Bologna and Paris from all over the world. *Venia Legendi*, which was equivalent to a master's degree, conferred the right to teach anywhere. The University was inherently international. This kind of "universalistic character" was transformed to a "particularistic character" during the 19<sup>th</sup> century when the national university emerged. Accordingly, modern university vision seeks to coordinate the conflicts between universalism and particularism.

(3) Institutionalization of religion vs. institutionalization of science.

The medieval university existed in and was controlled by a Christian society. In this sense it retained a conservative character over many centuries. In contrast, the modern university, established in the 19<sup>th</sup> century introduced a radical characteristic because it accompanied the institutionalization of science. Institutionalization of science into the university brought about the innovation of knowledge, a wider development of scholarship, and also the development of society.

The institutionalization of science converted a one-tier structure for undergraduate level teaching into a two-tier structure by the addition of a graduate level. Conversion from the former to the latter resulted in a transformation from uniformity of function to differentiation. The hegemony of the

research orientation deepened conflicts with the teaching orientation. The division of academic values also brought about the division of academic staff's consciousness, internalizing divided academic values and leading to a divided academia. The integration of teaching and research has still to be resolved, though it has long been an ideal of the modern university.

#### (4) Collegiate type vs. multiversity type.

A community of knowledge existed in the medieval university from establishment of the Sorbonne and Merton College (1264) where, through the teaching and learning process, both teachers and students could build a comparatively homogeneous society as well as a homogeneous ideal. On the other hand, the modern university has internalized the conflicts caused by the emerging differentiation of values. Bringing into existence the enterprise of knowledge in accord with the expansion of the multi-versity rather than uni-versity, and an increasing emphasis on the business side rather than the academic side of university exemplify this conflict. Just as in industry and commerce, the university has acquired a vision that sees itself as the object of rationalization, efficiency, and profit.

As David Collis has pointed out, a new business model for higher education has increasingly entered universities and colleges in the U.S. Thus, 62 percent of the thirty-six hundred accredited institutions of higher education offered distance learning courses in 2000 (Collis, 2002, p.181). The trend of increasing college extension programmes by introduction of distance education, e-learning, and business-based education is probably echoed, more or less, in other countries worldwide. Accordingly, its significance has risen to become prominent in the academic organization and contributes further to replacement of the traditional vision of bottom-up management by top-down management.

#### (5) Teachers' university vs. students' university.

The university was born in two forms: the teachers' university and the students' university. The genealogy of these two types is imprinted on the modern university. The teachers' university has been the mainstream. But to the extent that the main purpose of the university places the teaching and learning process at the core of university vision in both old and contemporary universities, all universities have to consider the needs of both teachers and students. In visions of 21<sup>st</sup> century universities, an emphasis on students' learning will become once more an important problem because of the effective realization of universal access. Inevitably, the mission of the academic profession must have a deep relationship with an emphasis on students' learning.

*2-3 The Context of University Visions* It is clear that modern university visions can be defined by various factors to the extent that the origins of the university previously observed have been imprinted on the university of today. Contemporary university visions are replacing the old ideals and logic as discussed above. They include the following pair visions.

- (1) an elite university vision vs. a mass university vision.
- (2) universalism vs. particularism.
- (3) a teaching paradigm vs. a research paradigm.
- (4) bottom-up management vs. top-down management.
- (5) a teachers' university vs. a students' university.

However, seeking new reforms demands more than holding to the traditional visions, because the contemporary university faces challenges from the future. Various pressures are at work. (1) Diversification of values such as loyalty, liberty, excellence, equality, and the coordination of value-conflicts among these. (2) Social changes including the knowledge society, globalization, market mechanisms. (3) A triangular relationship between the nation, the market, and the university. (4) Increasing student consumerism and student massification in an age of universal access. (5) Construction of new viewpoints for the academic profession.

Among these factors, the demands from the nation and the profession are thought to be of greatest importance to the construction of university visions in the future, because both the university and the academic profession are key factors for national development.

#### *2-4 University Visions in the 21<sup>st</sup> Century: University Visions of the Nation and the Profession*

As Burton Clark has pointed out, the present university system and organization are defined by the relationship between nation, university, and society; or in other words: bureaucracy, academic guild, and market mechanisms, respectively. As described above, national control over the university was strengthened from the 19<sup>th</sup> century so that every national higher education system more or less acquired national characteristics. On the other hand, the university has been maintained by the tradition of the academic profession as an academic guild as shown in the exercise of academic freedom and bottom-up administration and management; it is though true that these and the other guild-related factors have been gradually decreasing.

The contemporary university is increasingly affected by society. The pressure of market mechanisms demand formation of university ideals and aims from the perspective of economic demand and supply. The logic of student consumerism is strengthened. A trend placing special emphasis more on accountability than autonomy is increasingly promoted.

Accordingly, it is observable that the power of the academic profession has gradually declined, while the power of nation and society is gradually increasing. Philip Altbach described the situation of the professoriate: "In most countries, the professoriate has been under great pressure in recent years. Demands for accountability, the increased bureaucratization of institutions, fiscal constraints in many countries, and in an increasingly diverse student body have challenged the professoriate. In most industrialized nations, a combination of fiscal problems and demographic factors led to a stagnating profession" (Altbach, 2005, p.30).



Why is the power of the academic profession declining in spite of its responsibility for constructing university visions from a professional perspective of teaching and research? In this context, the mission of the academic profession should be reconsidered.

### 3. Mission of the Academic Profession

#### 3-1 *The Prototype of the Mission of the Academic Profession*

3-1-1 Relationship with the Knowledge Base The mission of the academic profession has an intimate relationship with university visions. The prototype of the missions is directly linked to the traditional university vision so that missions have been built in parallel with traditional academic work. In the medieval university, where the teaching ideal constituted the university vision, teachers were expected to provide a good teaching and learning process for students. Functions such as research, service, and administration and management were neither substantial nor institutionalized at this early stage and therefore they formed no part of the manifest mission of academics.

3-1-2 Relationship with the Academic Guild and the Mission in Response to the Academic Guild The apprenticeship system of the academic guild could control the academic guild's missions at the stage when the university (*Universitas*) operated on the basis of a guild. The core principle there was the relationship between masters and apprentices.

The apprenticeship system was not confined to the medieval university, since we can see a similar structure and function the modern university, which is affected by the guild principle. For example, the "small chair system" is active today in Japanese universities. The chair system (*koza-sei*) consists of the clinical chair (*rinsho-koza*), the experimental chair (*jikken-koza*), and the non-experiment chair (*hijikken-koza*). It involves several co-ordinated positions: the professor (*kyoju*), associate professor (*jokyoyuju*), lecturer (*koshi*), and research associate (*joshu*). Graduate students and sometime even undergraduate students will probably participate in activities related to the chair. The chair has a function of training researchers, a process in which students learn through an apprenticeship in undergraduate and graduate courses; those who graduate successfully from the courses may be recruited to a position of research associate, or lecturer, as the lowest level of the chair structure. A person who can demonstrate good achievements in the lower positions may be promoted to the higher position of lecturer, or associate professor at around the age of 30 years old to a position of full professor at around the age of 45-50 years old. (This description is a general and basic one; specific situations are differentiated by factors including institution, chair, department, and academic discipline.)

In general, the chair system possessed no explicit instruction manual or guideline related to the process of awarding the doctoral degree to the extent that the chair holder's practice and procedure was that of the "master" dealing with an apprentice student. A quasi-family atmosphere operated in which the chair holder, as authoritative head of the family exercised control over the associate

professor(s), lecturer(s), research associate(s), and students. It was likely to function as a society closed to the outside world (Arimoto, 1981).

The chair system contributed to training a succession of researchers in its academic discipline. However, it is now anachronistic in an age of expansion of academic disciplines. Thus, among many scholars awarded doctoral degrees in the discipline, only one person can be recruited to the permanent position of the chair and that at a frequency of once in some 15 years. Other qualified candidates used to be recruited by other institutions. Internally the chair system is self-perpetuating and offers little competition to other chairs as it is based on lifelong employment and a seniority system. Moreover, those appointed to chairs are not necessarily those most successful in academic achievement. Burton Clark analyzed this aspect of the chair system in Italian universities (Clark, 1977). It is true to say that similar conclusions can be reached for the Japanese chair system.

The training of apprentices in the small chair system is a closed structure linked to inbreeding, academic nepotism, and low of academics among institutions (Arimoto, 1981; Arimoto and Ehara, 1996; Yamanoi, 2005). International comparison indicated the contrast: some institutions such as Harvard, Yale, and Princeton in the U.S. have held their inbreeding ratio to less than 1/3 of all faculty members across their departments since the 19<sup>th</sup> century (Pierson, 1952; Arimoto, 1981, 2005b). Accordingly, the chair system, especially the small chair system, is now in the process of replacement by the modern large chair system in multi-professorial departments.

Enhancement of academic productivity has strong relationship with openness of organization. If we observe academic productivity from the perspective of “particularism” and “universalism”, it is thought to be better developed by adoption of the latter rather than the former. In other words, openness is more desirable than closedness for academic productivity. “Openness then became characteristic of the system, an openness that allowed and encouraged the processes that effected so much substantive growth. The profession and the system that supported it took their modern shape before the great “reactive growth” of the more recent decades” (Clark, 1987b, p. 377). In contemporary academia, apprenticeship based on the guild system is necessarily being transformed by the demand for academic productivity.

3-1-3 Mission in Relation to a Community of Knowledge In the traditional university, teaching provided the central value of university vision and the apprenticeships conducted in academic life, particularly in the colleges, lay at the heart of it. The mission of teachers was clear in relation to this university vision. It was to teach students to attain a given standard of learning. Students who could demonstrate through examination this standard were given the right to teach anywhere. In this regard, the university functioned as an organization with an organisation of universalism. Inevitably though this tended toward an internally self-controlled society, “an ivory tower” separated from external society.

The modern university became complicated in its ideal, vision, and value, when it added

dimensions, such as research and service, to academic work. Commitment to teaching involves enabling students understand knowledge; commitment to research involves discovery of knowledge. The latter aims to advance knowledge and claim priority in competition with other researchers; while the former aims to educate and train students equipping them as human resources and to meet an acceptable standard of learning. Research and teaching pursue different ideals so that good researchers are not necessarily good teachers and vice versa.

Furthermore, in modern society, service to the external community becomes a new component of academic work; and with growth and complexity, administration and management appear with importance in academic organization in accord with the increasing university bureaucratization. New professional groups have appeared and become responsible for administration and management. Functions of service and management have come occupy importance equivalent, or even superior, to those of research and teaching at the core of academic work. Increasingly it is accepted that university organization is consists of the functions both of the academic side and of the business side, and that the university is not functional without them all.

Yet, as discussed above, the academic side does put the value of an ideal on enhancement of scholarship, while the service and management sides do not necessarily attain similar value. Even so, service is seen to strengthen the linkage of university and society. Various people from outside academia including governments, firms, foundations and sponsors, participate in university management to great extent; and recently, management has come to be viewed more and more as a mater of survival of university organization.

For example, there are 744 universities and colleges in Japan, of which the 550 private institutions constitute 73%. It may be surprising to note that of these about 60 institutions, or about 10%, face closure because of a shortage of student numbers. In fact it is said that the number facing closure may well be 120 or about 20% of the total and many other institutions are likely to have similar, related crises. Accordingly, the university vision even of these private universities cannot avoid paying even greater attention to the problems of management of their business situation. Neither can their academics escape from these problems. It is appropriate for the academic profession to modify its mission as a response to the changing complexities and diversification of the academic situation.

3-1-4 The Mission in Relation to the Bottom-up Organization At the stage when the academic organization kept the characteristics of the academic guild and community, the university professor was the main actor on both the academic side and the business side of academia. In modern society, every nation participates in university management through provision of national funding. At the elite stage of higher education the university could concentrate on the academic side, as the task of management and administration was not a difficult problem. Nevertheless, when growth and expansion transformed the university to the stage of mass higher education development – and in some countries, such as the U.S., South Korea, Japan, and others, to the universal stage – many nations

moved to resolve the problems of funding. Governments and taxpayers have become more and more critical of academia to the extent that academic organizational reforms have become urgently necessary. Inevitably the authority of academics has declined. Clark has referred to the relevant American situation in the 1990's:

“To sum the story on authority: at the top of the institutional hierarchy, faculty influence is well and strong. Many individuals have strong personal bargaining power; departments and professional schools are strong, semi-autonomous units; and all-campus faculty bodies have dominant influence in personnel and curricular decision. University presidents speak lovingly of the faculty as the core of the institution and walk gently around entrenched faculty prerogatives. As we descend the hierarchy, however, faculty authority wakens and managerialism increases. Top-down command is noticeably stronger in the public comprehensive college.... The two-year colleges....are quite managerial. Faculty then feel powerless, even severely put upon” (Clark, 1993b, p. 170).

There are differences between national and private sectors with regard to organization of administration. Basically, in Japan, the private sector has had a top-down organization where a trustee system as in America, operates with strong powers. The national sector has had a bottom-up organization where faculty members enjoy fairly strong powers. This is evident by the fact that the faculty meeting has had greater power than the president, that faculty autonomy has taken precedence over university campus autonomy, and that faculty members have elected the president as well as the deans. Now, in contrast, the corporate national universities, which were established in 2004, have power concentrated in the president, with a management committee – which contains half of its members from outside academia – responsible for management, and separated from the senate, which deals with matters related to education and research and is a representative organization of faculty members. A new committee for selection of the president, with half of its members from outside academia, has also been instituted. It is clear that the old bottom-up system has shifted substantially to a new top-down system.

The old system concentrated on academic activities and had no concern with the business side. The new system emphasizes the business side almost as much as the academic side. There is a tendency to assess success or failure in the development of the university organization solely on the efforts of enterprise. The fate of the university is perceived as depending on the market mechanisms of demand and supply. The results are to be determined by the national university evaluation committee attached to the MEXT that will assess every institution on the basis of its six-year-term middle length objectives and plans. The criteria for assessment are not explicit, but if an institution obtains a positive result it can expect satisfactory national funding; conversely, a poor assessment implies financial difficulties. It is expected that “Matthew effects” will be evident in the outcomes.

Henceforth, transformation of the organizational structure from one of bottom-up to one of top-down corresponds to establishment of “a differentiated society” in academia. The fate of each university is to be decided by the level of resource, budget, and grant it can obtain from sources outside academia including government, foundations, parents, students, and sponsors. The leadership of the presidents who are offered much power becomes increasingly important. In this framework, the mission of the academic profession is still expected to contribute to enhancement of scholarship.

*3-2 The Academic Profession Hereafter* The academic profession is a strange profession as Clark said: “A strange profession indeed, with uniquely intricate features that seem more significant than the usual characteristics attributed to all the other leading professions” (Clark, 1987b, p. 372). In fact, the mission of academic profession has shifted from its prototype to a modern type, and is still shifting to a new type.

We can understand that the prototype has responded to a transformation of university vision, and also to the typology of university establishment. In addition, university vision and the mission of the academic profession have coincided as university professors themselves sought to construct universities with relevant visions and missions. In fact, a teaching orientation served as the ideal in the medieval university, while integration of teaching and research became an ideal in the modern university: the ideal is not necessarily realized. In fact, discrepancy between the ideal and reality occurred regularly in the history of higher education. The university was re-born many times in searching for its ideal. In this sense, it is also true that the academic profession was also re-born many times.

Re-tracing a previous mission is reasonable if its value becomes relevant. The value of teaching is expected to become more significant in the 21<sup>st</sup> century, even though its emphasis in the early university declined in the modern university. In modern society, pursuit of a single value is difficult due to the fact that many values compete for hegemony. In such a situation, the university is trying to coordinate the coexistence of various differing values. The academic profession also needs to develop creativity in the process of coordinating the conflicting values that arise from the demands of various stakeholders.

Further, we can understand that the modern mission is defined by the various demands that come to the academic profession from different directions such as the demands of social change, the demands of stakeholders, and the demands of sciences and scholarship.

There is one other thing that is important in discussing the modern vision and mission. Clark Kerr summarized the extensive factors that will drive change in higher education over the next thirty years (2000-2030) as follows: the new electronic technology; the DNA revolution; new demographic realities; competition for public sector resources; competition for students from the for-profit sector; responsibility for improving primary and secondary education; globalization of the economy; contention over models of the university (Kerr, 2002, pp.2-5). These factors, with appropriate

modifications, are likely to apply to change in higher education in other countries including Japan.

Among these factors, it is especially noteworthy that Kerr refers to the contention over models of the university: “The dominant current model of the university has key values such as rationality, scientific process of thought, the search for truth, objectivity, and knowledge both for its own sake and for its practical applications. However postmodernists are attempting to challenge certain traditional assumptions about the nature of truth, objectivity, rationality, reality, and intellectual quality.” How can conflict in these changing values be resolved?

Even a brief expansion of the headings used by Kerr to identify the factors reveals their scope for change in the university (*Ibid.*, pp. 5-8)

Electronic technology will become a more widely and better-used element in teaching and learning.

The biological sciences are becoming the new center for the sciences.

New markets for higher education will become increasingly important.

Underrepresented minorities will continue to make persuasive claims for improved opportunities through higher education.

Higher Education will be increasingly called to aid primary and secondary education.

Wild cards (such as wars and depressions that no one can today foresee)

We can readily understand that the 21<sup>st</sup> century mission faces the problem of inheriting missions from the past and also of innovating missions for the future.

Based on the previous arguments, the 21<sup>st</sup> century mission for the academic profession has problems similar to those of the mission of the university for the 21<sup>st</sup> century.

- (1) Professionally. what is the logic of the profession? In the university as the location of the centre of learning it is academic productivity. Academic work is related to the function of knowledge including discovery, dissemination, application, and control. Specifically, it is related respectively to research, teaching, service, administration and management, respectively. The academic mission is to seek these functions diligently. In particular, research and teaching are the two key vehicles enabling enhancement of the relevant academic productivity to result in contributions to society. The mission of the academic profession is to be focused on enhancement of relevant academic productivity.
- (2) Reconsideration of scholarship. Scholarship is central concern not only for 21<sup>st</sup> century university vision but also for the mission of the academic profession. It is undeniable that the newly emerging research orientation was strengthened at the expense of the traditional teaching orientation in the modern university. In the 21<sup>st</sup> century when a universal stage of higher education has been realized, as Earnest Boyer pointed out, reconstruction of scholarship is

necessary to embrace research, application, integration, and teaching (Boyer, 1991). In this newly designed concept of scholarship, teaching is to be situated above research within the comprehensive concept.

(3) Faculty development. In parallel institutionalization of Faculty development (FD) is necessary so as to induce appropriate such consciousness and behaviour in the academic profession. For this purpose institutionalization of FD is inadequately developed throughout the world, although it is gradually being strengthened. In Japan, for example, it is said that a second phase of institutionalization has just started, although as yet a teaching orientation has not been realized sufficiently well because of the strong research orientation. A sort of “teaching revolution” needs to be embodied despite the demands since the 1990’s when the series of academic reforms was started. So far, reform of academics’ attitudes, consciousness and behaviour has not succeeded. In the 21<sup>st</sup> century an improved vision of scholarship must be the objective for adequate institutionalization of FD.

A shift of university vision from research to teaching, and finally to learning is the desired outcome. Research and teaching are focused on academics and teaching is focused on students. In an historical perspective of vision and mission, the focal point has shifted from teaching in the medieval university, to an integration of teaching and research in the modern university, and in the 21<sup>st</sup> century university should focus on integration of research, teaching, and learning.

### **Concluding Remarks**

This paper has considered university visions and the mission of the academic profession. Modern society exists in the midst of an age of change with pressures from the past and challenge from the future. It faces the reconstruction of knowledge caused by the changing sciences and academic disciplines. The university is now constructing visions for the 21<sup>st</sup> century university in response to the influences of these external and internal sources.

The academic profession was born in the 19<sup>th</sup> century when science and the relevant research functions were institutionalized in the modern university; at the same time they became institutionalized in academic careers.

In this context, a shift of university vision is related to the mission of the academic profession. Vision defines mission by internalization of the vision in academics; but also the initiative creating mission by academics defines vision. There is an interaction between visions and missions. In this sense, academics are simultaneously conservative and progressivel.

Where did the university come from and where is it going? University development is defined by factors such as society, age, social change, values, stakeholders’ expectations, academic organization, and the organization of its entrepreneurial and business side. Through the effects of these sources, university visions and academic missions are also defined. The academic profession has been the

most responsible actor in the process of reconstructing such visions and missions throughout the long history of higher education from establishment of the first university to the contemporary university. The current academic profession can also be considered to be the most important actor and to retain the greatest responsibility for development of a 21<sup>st</sup> century university vision.

Finally, the paper has discussed and stressed the following points.

- (1) The prototype of university visions was formed through the development of university since the medieval university, having effects on the modern university visions.
- (2) Research was institutionalized in the modern university and university vision became complex and diverse. In general, the research paradigm has prevailed despite a belief that integration of teaching and research was thought to be ideal. Invention of the graduate school in the U.S. has led to it becoming the centre of the research orientation. Teaching orientation has been confronted with a difficult situation. In the U.S. it was secured in the undergraduate course through the successful separation of the two tiers of undergraduate and graduate courses. The European university vision has retained a single tier but started to build graduate courses so as to promote a separation of research and teaching. In other words, it searched simultaneously for differentiation and integration of organization. We can recognize a movement in the same direction in Japan.
- (3) Traditional university visions were transformed after the creation of the modern university. Academic work added some functions to the traditional function of teaching. Currently, non-academic work is increasing in the contemporary university, while the academic guild itself has been transformed to great degree: the community of knowledge has become an enterprise of knowledge. Academic organization has gradually shifted from a culture oriented to academic freedom and academic autonomy to become oriented towards assessment and accountability.
 

National control of the university started in the 19<sup>th</sup> century when the modern university was established under national governments. Over time, with growth and expansion of the national system, management has shifted from bottom-up management to top-down management. Such transformation forces the university vision to confront fundamental conflicts.
- (4) The change of university visions usually responds to change in the mission of the academic profession. Currently the academic profession is compelled to reconstruct its identity under pressures from society, sciences, and scholarship. Basically, the academic profession remains a “key profession” so that its 21<sup>st</sup> century mission is seen to be one of developing and proclaiming the logic of a profession responsible for social development by way of the enhancement of academic productivity and the enhancement of scholarship with an integration of research, teaching, and learning.



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## Presentation 1

# **The Academic Profession in a Transition Society: A Case from Mongolia**

Regsuren Bat-Erdene\*

The period since 1990 has witnessed dynamic transformations in post communist countries which comprise the majority of transitional economies. With the collapse of totalitarian administrative regimes and winds of democratic transition, new opportunities have emerged for higher educational institutions in these countries as well as new challenges. Up to the 1990s, higher education in Mongolia, as in other former Soviet block nations, had some degree of stability and certainties but with virtually no room for academic freedom and professional conduct for academics. With the broad spread of democratic values, institutional and professional autonomy came but with uncertainties in individual career prospects. Legal reforms introduced from the early 1990s and consecutive amendments and changes that were intended to transform the whole structure of the academic landscape have occurred amid the strains and tensions resulting from changes in the broader society.

The enormous growth in enrollments during the 1990s and the emergence and explosion in the number of new private institutions were common features not only in transitional countries but also in other parts of the globe. This expansion of higher education signaled the massification of the system with a strong and dynamic private sector transforming the situation of the academic community. Along with the steadily decreasing public funds for higher education, emergence of new providers of higher education dictates new proposals on higher education reform ranging from decentralization to privatization.

Today, the academic profession in Mongolia faces multiple challenges. Since the early 1990s, universities and other higher educational institutions have been forced to switch from central government control to self-governance, institutional autonomy, and academic freedom. However, drastic cuts of direct subsidies to public higher education brought uncertainties and vulnerability to faculty members.

## **Overview of Higher Education in Mongolia**

Since 1990, Mongolia has embarked in a transition from a single party ruled command economy to an energetic multi-party democracy and market-oriented economy. Following the fall of a totalitarian

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\* Director, Higher and Vocational Education at the Ministry of Education, Culture and Science, Mongolia, e-mail: baterdene@mecs.pmis.gov.mn; barst22@yahoo.com.

regime in 1990, the former higher education system which was centralized, ideological, and fully controlled and subsidized by the state, changed drastically, as in other countries of the Soviet block. The emphasis was given to establishing basic foundations of academic freedom and institutional autonomy. In this light of an increased sense of human rights, a new education law was passed in 1991. The 1991 law provided education institutions with broad scale independence to respond to the new social, political, and economic reality and to make use of emerging opportunities. Higher education institutions were provided with certain authorities in determining their own policies and procedures in teaching and institutional management. In addition, a new law on scientific research activities adopted in 1996 opened up new ways of financing research activities through a system of open competitions. Thus, the entire academic landscape was forced to respond and adjust.

These steps toward reforming higher education were taken in conjunction with comprehensive transformations of society and the economy. A legal environment for development of the higher education sector had been created within a short time under the influence of turbulent political changes brought about democratic and market values which were new to entire population. Higher educational institutions became able to exercise some elements of institutional autonomy, *e.g.* elected presidency and chairmanship of academic units as well as allowing students make choices regarding forms of study which was broadened by part time and independent, self-learning modalities. Sensing the demand of the young population for higher learning and opportunities opened for individual initiatives, the first privately run schools were opened before there was legislation to regulate this new phenomenon. A new Constitution adopted in 1992, a year after the 1991 education law, declared the establishment of 'democratic, civic and humanitarian society' on Mongolian soil. Newly introduced legal regulations were intended to stimulate decentralization of management at all levels of governance, in particular, independent operations of social institutions such as higher educational institutions. A shift to the U.S. model of instruction based on credit-hour structured degree system was implemented. Following the revised version of education laws adopted in 1995, an institutional self-governing body (Governing Council) was been formed for all public higher educational institutions with responsibility to ensure major stakeholders' involvement in institutional administration. The state's role was limited to setting national strategic policies and common standards and procedures in higher education. An independent accreditation system for the Mongolian higher education sector was established in 1998 and it is now undertaking institutional and program evaluation activities in an internationally comparable manner. Decentralization and delegation of authority to institutions have led to a significant decline in state budget funding, thereby eliminating perceptions of free provision.

After a series of changes and amendments that reflected drastic changes in Mongolian society at large and trends occurring nationally, regionally and internationally, the last set of education laws adopted in 2002 are under review by the Parliament once again. According to the 2002 Education Law, the three types of higher educational institutions are defined as 'university,' 'institute,' and 'college.'

- *Universities* are institutions capable of carrying out broad-scale research endeavors and academic programs leading to up to doctorates in a broad spectrum of scientific fields.
- *Institutes* are defined as higher educational institutions that are capable of offering master's level programs in addition to undergraduate instruction, and undertaking scientific research activities in selected fields of study.
- *Colleges* are institutions mainly oriented to delivering undergraduate programs.

It should be noted that this typology was re-established after four years and still is a subject for heated debate due to its impacts on quality and funding concerns.

The social and economic surroundings in which higher education operates in Mongolia today has changed enormously in the last 16 years: the number of students pursuing an undergraduate degree rose more than seven-fold, from about 17,000 in 1990 to over 130,000 in 2005. The number of new enrollees increased 14 fold between 1990 and 2005. In the 2005-2006 academic year, one-third of the student body attended private higher education institutions, which did not even exist prior to 1990. There are now over 130 private higher education institutions founded and run by Mongolian nationals. In addition, international presence in Mongolian higher education is increasing at a speedy pace. Since the first foreign invested college, Ulaanbaatar Institute founded by Korean nationals, there are 7 foreign operated institutions including branches of various Russian universities, another two independent colleges run by Koreans and one college by Japanese, and one college of a Singaporean professional school network. As well, some institutions have begun to deliver joint programs established together with Korean and Australian institutions.

**Table 1. Higher Educational Institutions and Enrolment** (at the end of 2003/2004 academic year)

<i>Types of institutions</i>	<i>Number</i>	<i>From which:</i>		<i>Enrolment</i>		
		<i>Public</i>	<i>Private</i>	<i>Total</i>	<i>In public</i>	<i>In private</i>
Universities	13	10	3	56,242	51,842	4,400
Institutes	38	9	29	21,534	10,508	11,026
Colleges	132	29	103	30,962	11,784	19,178
<b>TOTAL</b>	<b>183</b>	<b>48</b>	<b>135</b>	<b>108,738</b>	<b>74,134</b>	<b>34,604</b>

Source: The Ministry of Education, Culture, and Science, Mongolia (2004). Unpublished data.

As the figures in Table 2 depict, Mongolia has entered to the age of massification of higher education in terms of quantitative indicators. Almost all high school graduates may continue their study at higher educational institutions.

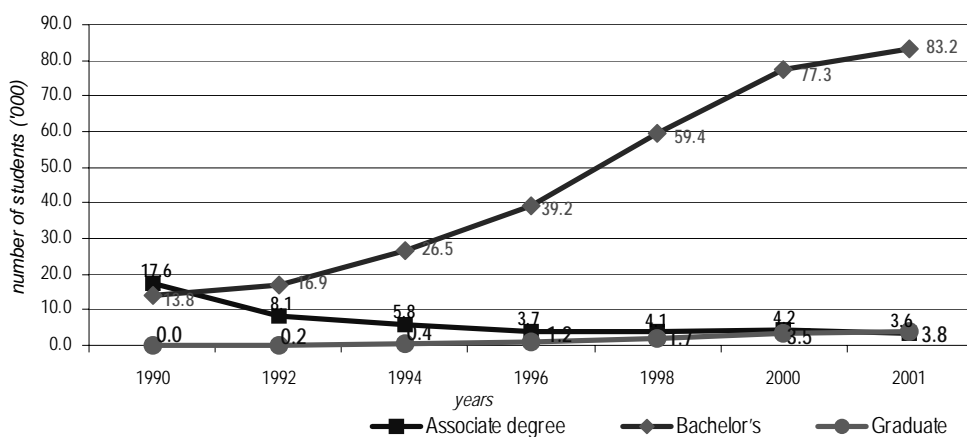
**Table 2. Intakes in Higher Educational Institutions**

	<i>1990</i>	<i>1995</i>	<i>2000</i>	<i>2005</i>
Number of graduates from high school	19,120	18,087	24,086	41,511
Intakes in HEIs	3,061	11,923	26,749	42,854
18-years olds	46,700	47,600	54,500	56,400
Intakes as percentage of high school graduates	16.0%	65.9%	111.1%	103.2%
Intakes as percentage of relevant age cohort	6.6%	25.0%	49.1%	76.0%

Source: The Ministry of Education, Culture, and Science, Mongolia (2006). Unpublished data.

A student fee structure was introduced in 1993, accompanied initially by transforming budget allocations to student loans that could be turned into grants, depending on academic achievements. Unlike most other countries, student fees in Mongolia are expected to cover the full cost of teachers' salaries, laboratory expenses, and other expenses, therefore, the amount collected depends on the number of students. Until 2003, the Government provided funds for partial coverage of expenses of building maintenance and upkeep. Despite these shifts, annual tuition costs have remained at the same relative level as when the fee structure was first introduced. Furthermore, the transfer to the tuition fee system did not have any effect on higher education enrolment; on the contrary, there has been a rapid increase in enrolments (*see* Figure 1).

**Figure 1. University and College Enrolment, Mongolia**



Source: The Ministry of Education, Culture, and Science, Mongolia (2002). Unpublished data.

Many factors can be attributed as being conducive to this phenomenon of rapid expansion of higher education. One of the feasible interpretations is connected with a series of policy decisions towards decentralization of higher education administration and relaxation of admission procedures accompanied by legislation authorizing emergence of the private sector higher education. All of these decisions were implemented in the early 1990s.

Graduates from higher education institutions are now entirely responsible for their own employment in the emerging, market-driven economy. Curriculum reforms are underway to move from a lock-step pattern, with six to eight hours of instruction daily, to a format that is based on credit hours and in which there is much more flexibility of scheduling.

### Academic Profession

According to the higher education law of 2002, academic positions at Mongolian higher educational institutions consist of (in American terms) assistant instructors, lecturers, senior lecturers, associate professors, and full professors (*dadlagajigch bagsh, bagsh, ahlah bagsh, ded professor, and professor*), with different formal requirements and duties for each position. Assistant instructors and

lecturers are considered as junior faculty members; senior faculty refers to senior lecturers, associate professors, and full professors. Some universities also created an academic position above these formal positions, namely, 'lead professor' at the National University of Mongolia. In Mongolia, only the positions of associate professor and full professor correspond to the traditional category of professor in the sense of international terminology.

**Table 3. Faculty Members of Higher Educational Institutions by Academic Status (%)**

<i>Academic position/ category</i>	<i>National average</i>	<i>Institutions of higher education</i>	
		<i>Public</i>	<i>Private</i>
Assistant instructor	12.7%	11.3%	13.2%
Lecturer	45.9%	37.9%	59.5%
Senior lecturer	21.3%	26.2%	13.4%
Associate professor	11.2%	14.0%	6.9%
Professor	8.9%	10.6%	7.0%

Source: The Ministry of Education, Culture, and Science, Mongolia (2006). Unpublished data.

It should be noted that Mongolia is a late-comer to modern higher education. The first modern university-National University of Mongolia-was opened in 1942 with full-time employed faculty members. Since then the number of higher educational institutions and faculty members have increased, and academic programs offered by the institutions have been significantly broadened. However, academic qualifications as a percentage of persons having terminal degrees and being promoted to positions of professorships is still lagging behind. If we take these two elements, a terminal degree and full-time employment, as the main preconditions to define an "academic profession" in the sense common to the international community, then only about one fifth of the current faculty members would qualify as academic professionals. This percentage is a bit larger in the case of public universities.

As of the 2003-2004 academic year, there were 5,990 faculty members in various positions working in higher educational institutions in Mongolia. However, higher educational institutions reported that they had positions for 6,918 teaching personnel which means only 86.6% percent of actual positions were filled. 66.8% of faculty were working at public institutions and 32.8% in private institutions. The remaining 0.4% (or about 30 faculty members) were working in branches of foreign institutions opened in Mongolia since the mid of 1990s as a result of a liberated and eventually stimulating policy inviting presence of foreign institutions. Considering the fact that many faculty members in public institutions were often invited to be a co-founder of or established a contract with private institutions, the statistics presented here may include double counting.

In the 2005-2006 academic year, public institutions had a total of 4,320 academic faculty, compared with 2,167 at private institutions (these numbers indicate full-time staff and faculty only) – in other words, there is a 2 to 1 ratio of faculty in the two sectors (*see* Table 4). If we take into account the fact that the enrollment distribution in public and private institutions has the same ratio, it can be

expected that the student/instructor ratio is more or less same, and organization of academic affairs and class sizes are pretty much identical.

**Table 4. Faculty Members of Higher Educational Institutions by Education (%)**

<i>Indicators</i>	<i>Full-time faculty</i>				<i>Part-time faculty</i>			
	<i>total</i>	<i>female</i>	<i>female %</i>	<i>as % of total</i>	<i>total</i>	<i>female</i>	<i>female %</i>	<i>as % of total</i>
<b>Public HEI s</b>	4320	2358	54.6%		781	415	53.1%	<b>18.1%</b>
education Doctorate (Ph.D.)	1030	387	37.6%	23.8%	217	102	47.0%	27.8%
Master'	2778	1650	59.4%	64.3%	426	232	54.5%	54.5%
Bachelor	506	318	62.8%	11.7%	138	81	58.7%	17.7%
Diploma (Assoc. degree)	6	3	50.0%	0.1%	0	0		
<b>Private HEI s</b>	2167	1318	60.8%		962	456	47.4%	<b>44.4%</b>
education Doctorate (Ph.D.)	307	84	27.4%	14.2%	282	65	23.0%	29.3%
Master'	1389	936	67.4%	64.1%	598	350	58.5%	62.2%
Bachelor	468	297	63.5%	21.6%	78	41	52.6%	8.1%
Diploma (Assoc. degree)	3	1	33.3%	0.1%	4	0	0.0%	0.4%
<b>Total</b>	6517	3693	56.7%		1773	889	50.1%	<b>27.2%</b>
education Doctorate (Ph.D.)	1341	472	35.2%	20.6%	518	176	34.0%	29.2%
Master'	4188	2598	62.0%	64.3%	1035	591	57.1%	58.4%
Bachelor	979	619	63.2%	15.0%	216	122	56.5%	12.2%
Diploma (Assoc. degree)	9	4	44.4%	0.1%	4	0	0.0%	0.2%

Source: The Ministry of Education, Culture, and Science, Mongolia (2006). Unpublished data.

An important feature of academic employment in Mongolia is the high percentage of persons with full-time, permanent appointments in public institutions, as figures in Table 7 depict. Public universities are part of the civil service, and their professors have the same privileges, including job stability like any other public employee. In the public system, full time and stability are generalized, irrespective of degree, while private institutions retained a moderate association between full time employment and academic rank. Tables 4 and 5 provides additional information about employment patterns. Those working in public institutions tend to hold more stable contracts as full-time employees, while the figures for the private sector are significantly lower. Part-time work, however, is not restricted to the public sector.

**Table 5. Faculty Members of Higher Educational Institutions by Years of Employment as an Academic (%)**

<i>Years of services</i>	<i>National average</i>	<i>Higher educational institutions</i>	
		<i>public</i>	<i>Private</i>
1-5 years	33.1	24.7	47.1
6-10 years	20.3	18.0	21.8
11-15 years	11.3	14.0	9.4
16-20 years	10.1	12.3	5.7
21-25 years	9.1	12.1	4.7
25 and more	16.1	18.9	11.3

Source: The Ministry of Education, Culture, and Science, Mongolia (2004). Unpublished data.



As per age distribution of faculty members, in general, overall faculty can be regarded as relatively young. Especially, private institutions tend to hire younger professionals (Table 6). There was no data available concerning ages and years of experience as an instructor at higher educational institutions of part-time faculty. Retirement age is 55 for females and 60 for males.

**Table 6. Faculty Members of Higher Educational Institutions by Age, Full-Time Employment (%)**

<i>Age</i>	<i>National average</i>	<i>Institutions of higher education</i>	
		<i>Public</i>	<i>private</i>
Up to 30 years old	35.8	27.3	49.6
30-50 years	44.4	50.3	31.7
51-54 years	7.8	8.8	7.5
55 years	1.6	2.1	1.5
56-59 years	4.0	5.2	4.0
60 years	0.9	1.0	0.4
60 and up	5.5	5.3	5.3

Source: The Ministry of Education, Culture, and Science, Mongolia (2006). Unpublished data.

In general, faculty members at Mongolian higher educational institutions are overly represented by female lecturers with an MA degree at their early career of being an academic professional. This portrait indicates the dominance of teaching of mainly undergraduate programs and courses rather than research at these institutions.

The common practice of utilization of part-time appointments in Mongolian higher education can be explained by a number of reasons. In the private sector, as indicated in Table 4, part-time employment makes up about half (44.4.%) of all positions. In fact, many full-time faculty members of public universities have part-time employment in the private sector. Due to limited revenue sources regardless of low salaries in public higher education, higher educational institutions are not bothered by their faculty being simultaneously employed by multiple institutions.

Use of resources available at public institutions by newly emerged private institutions is a common practice observed in many transitional countries. In addition, part-time positions allow institutions to avoid paying for social security and medical benefits, and are, therefore, less costly. In Mongolia, the legal requirement concerning staffing of higher educational institutions is that a minimum of 60 percent of teaching staff have to be full-time faculty members. Most private institutions employ just the minimum, in many cases less than required number, of faculty on a full-time basis and the rest are working on short-term contracts. As a result, the entire higher education system is deteriorating from the overworking of faculty, the worsening quality of teaching at both types of institutions, and a decline in research due to time constraints. Exactly the same situation is observed in Eastern European transitional countries such as Poland where private higher education is a new phenomenon. In this regard, public and private institutions in transitional countries compete for students, but often share their academic faculty.

Comparing the Mongolian system of academic appointments to the western/American system, it should be noted that only a small percentage of faculty members may experience some elements of job security which is an essential part of practicing academic freedom. However, there are no clear qualification procedures for entering the profession, probationary periods, and security after awarding tenure. Moreover, loyalty to the institution but not academic integrity issues is considered as a basis for getting a full-time permanent contract. For example, 17 years of employment is the basis for a life-time permanent contract up to the retirement age established at the University of Science and Technology, one of the leading and largest universities in the country. Other institutions do not offer the possibility of establishing life-long contracts though they often borrow innovative steps taken by this particular university.

The most important factor for advancement is research rather than teaching, and passage from the junior to the senior ranks is guaranteed by attaining the doctorate. Until recently, the doctorate had been a research activity that was not considered as academic training. Moreover, the first scientific degree (*ded erdenten*) pursued through *aspirantur* and the highest scientific degree (doctor of science) pursued through *doktorantur* which were almost non-existent in Mongolia. Now this two-tier doctorate is still kept, despite confusion. Some academics assure that the DSc is equal to *habilitation*, the German qualification beyond the Ph.D. that is required for university faculty positions. Therefore, after switching to a degree structure with three tiers (bachelor-master-doctor), higher education, in order to distinguish the Ph.D degree pursued through credit-hour structured training at universities from the D.Sc. which is awarded by the Academy of Sciences, the Ph.D was regarded as an *educational doctorate* and the D.Sc. as a *research doctorate*.

### **Concluding Remarks**

The transition in Mongolia took place at a time when many countries were reexamining their higher education systems. Widespread emphasis on internationalization, decentralization, privatization, managerialism and accountability of higher education are major features of current higher education systems. The worldwide trends include globalization in teaching and research, as well as the appearance and expansion of new providers of higher education with capability to offer various modes of learning in knowledge-based societies alongside traditional higher education institutions. Higher education has been international from its very beginning and, in the era of increased interlinkedness and globalization, the necessity of incorporation with the rest of the world, in particular with the systems in the region, is obvious. Together with heightened social demand, increased focus on students as consumers/customers leads to the view of higher education as a private commodity rather than a public good. These developments in a rapidly globalizing world are felt everywhere, especially in regions undergoing vast social and economic transformations.

Mongolian higher education has experienced numerous changes in the last 16 years as the nation has undergone rapid political, economic and social transformations. Yet the main drawback of reform

measures undertaken in Mongolia over these years is that they generally have lacked a strategic vision of the role and place of higher education within the new global context. Higher educational institutions of Mongolia are forced to keep pace with current trends in order to be competitive in an environment of strong international presence. A major problem for meeting this challenge is a shortage of resources, including qualified academic professionals. The most serious consideration should be given to holding multiple positions by faculty members in either public or private institution because the practice of multiple positions has a damaging effect on morale and work habits as well as employment structures of the Mongolian academic profession.

The enormous expansion of the higher education student population led to a rapid boost of teaching faculty. By international standards, most of the teaching personnel are not well qualified. The vast majority of them hold a degree that is insufficient for the academic profession; they are not trained to undertake research; and many of them lack a professional competence and expertise to perform well in the increasingly competitive environment. University research is an important part of the modern university that makes a higher educational institution an academic organization. In this regard, improvement of faculty members' ability to undertake scientific research activities along with the entrance to an academic professional qualification system need to be addressed seriously so that Mongolia's higher education system can compete on the global academic landscape. The first priority should be given to strengthening graduate programs.

On the other hand, the Government needs the capacity to render assistance and support both public and private educational institutions to have adequate facilities for delivering a quality service. Moreover, policies and procedures for setting up higher education institutions should be revised to ensure they can operate within an agreed upon regulatory framework. As a result of an open-door welcoming policy for establishment of alternative providers of higher education including foreign ones and an increased notion of higher education as a private good/commodity, the context in which the faculty will have to operate in the future will become much more competitive and unpredictable, while public institutions will remain underfunded.

After 16 years of reform, basic legal foundations for institutional transformation have been established, however, new values and ethical norms are still missing. This means that Mongolian higher education needs longer term, gradual, and thoroughly planned changes that should involve the people who are supposed to manage and work in academe.

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## Presentation 2

# Internationalization of Philippine Higher Education: Challenges for the Academic Profession

Rose Marie Salazar-Clemeña \*

Sherlyne A. Almonte-Acosta \*\*

## Introduction

Globalization has continuously shaped the face of universities around the globe through internationalization. It is almost a necessity in the Third Millennium for all academic institutions, especially higher education institutions (HEIs), to internationalize.<sup>1</sup>

Internationalization, defined as “a process of integrating international dimensions into teaching/training, research and service functions or delivery of postsecondary education,”<sup>2</sup> involves exchange of people, minds, or ideas across boundaries. It fosters “worldminded-ness” in all educational activities such as teaching, research, and learning or knowledge acquisition. Callan (1999) suggests that discussions on this topic be made “with reference to specific approaches to and constructions of internationalization in the domains of policy, process, educational value and social/occupational change.”<sup>3</sup> The understanding of the phenomenon therefore has to be done in relation to the context of a particular university in a certain country having its own culture, perspective, and experience.

The challenges of globalization include the rapid demand for higher education, commodification or commercialization, virtual universities, branch campuses in other countries, corporate universities, information and communication technology (ICT), staff and student mobility, and the provision of trade services in the transnational market. Globalization has fuelled the growth of internationalization of higher education, making it an “imperative for almost all academic institutions especially higher education institutions (HEIs).”<sup>4</sup>

Given these challenges, how do Philippine HEIs respond to globalization as they participate in the arena of internationalization? In relation to teaching and research, to what extent are faculty members equipped with higher order skills on internationalization? What are the changing roles, functions and

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\*Executive Vice President, De La Salle-College of Saint Benilde; Professor, De La Salle University-Manila, The Philippines, e-mail: clemenarms@dls-csb.edu.ph

\*\*Associate Professor, De La Salle University-Manila, The Philippines, e-mail: acostas@dlsu.edu.ph

<sup>1</sup> Albatch (2005).

<sup>2</sup> Knight (1997).

<sup>3</sup> Callan (1999), in Bernardo (2002).

<sup>4</sup> Altbach (2005).

demands for teaching and research? How is faculty development being addressed in relation to internationalization of teaching and research productivity?

This paper primarily explores the internationalizing efforts of Philippine higher education institutions. It reviews policies, practices, and issues through the lens of the internationalization cycle of Jane Knight (1995). Secondly, it provides a description of faculty development programs and strategies in line with internationalization of higher education. It is hoped that a clearer understanding of the internationalization efforts of the Philippine HEIs will lead to an assessment of the possible impact of globalized education in the Philippine setting.

### **State of Philippine Higher Education**

*Features, Facts, and Figures* Philippine higher education is distinctive in the predominance of private higher education institutions over publicly-funded universities and colleges.<sup>5</sup> As of the Academic Year 2005-2006, about 89 per cent of 1,647 tertiary institutions are privately owned, relying mainly on tuition fees as their source of income. The remaining 11 per cent are state/local universities and colleges or institutions supervised by the Commission on Higher Education (henceforth CHED or the Commission), which depend largely on government subsidy. In terms of enrolment, 70 per cent of 2.5 million higher education students are registered in private institutions.

The Asian Development Bank (ADB) study on Higher education in the Philippines (1999) observed that the Philippines is perhaps second only to the United States of America (USA) in terms of the number of HEIs. The population has a high degree of access to these institutions, with a ratio of 1 institution for every 66,000 people (compared to 1:500,000 in Australia and 1:166,000 in Indonesia). Moreover, there is a high transition rate between secondary and tertiary education, with about 90 per cent of high school graduates moving on to post-secondary education. The survival rate (percent of cohort reaching fourth year level), however, was only about 68 per cent in the Academic Year 2001-2002, 3 per cent lower than the rate five years earlier. Further, the average number of graduates is 46,000/year.<sup>6</sup>

CHED data for the Academic Year 2003-2004 indicate that “Education Science and Teacher Training” is attracting the most number of students (about 26 per cent), surpassing “Business Administration and Related Fields (17 per cent),” which had been the most popular course until the stated period. The other popular programs are Engineering and Technology (21 per cent) “Agricultural, Forestry, Fisheries, and Veterinary Medicine” (9 per cent), and “Mathematics and Computer Science” (9 per cent). As observed by the current CHED Chairman, these data reflect a mismatch between the products of HEIs and the needs of the industry. For instance, in the next five years, an oversupply of teacher education graduates (350,000) vis-à-vis the number of teachers the country can absorb (about 40,000) is projected. A similar mismatch is seen in the areas of Business

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<sup>5</sup> Pascua-Valenzuela (2005).

<sup>6</sup> Dela Rosa (2005).

Management, Communication Arts, and Customs Administration. The failure of college graduates to find jobs in their field of specialization has resulted in teachers seeking employment abroad as domestic helpers or business management graduates getting hired as clerks or messengers or worse, college degree holders remaining unemployed.<sup>7</sup>

In so far as the faculty is concerned, CHED data for the Academic Year 2000-2001 show a prevalence (59 per cent) of bachelor's degree holders, with only 8 per cent of the total 93,884 having doctoral degrees and 26 per cent with master's level training. Most faculty members, therefore, lack the research training and experience from graduate studies that would make them producers of research. Further, if these data are juxtaposed with the recent findings of the CHED-commissioned Evaluation of Graduate Education Programs (2005), which rated as *Poor* 13 per cent of the graduate programs in Teacher Education, 7 per cent of the Business Education programs, and 22 per cent of the Public Administration programs, even the quality of faculty who may have completed post-baccalaureate degrees from these institutions becomes suspect.<sup>8</sup>

Four possible reasons could explain this somewhat negative picture of the state of higher education in the country: “(a) lack of broad political and legislative support for real reform; (b) unrestrained proliferation of state colleges and universities, local colleges and universities, and educational franchises; (c) scarce budgetary allocation; and (d) imbalance in student distribution.”<sup>9</sup>

### **Conceptual Framework**

The perspective of internationalization of Philippine higher education will be analyzed through the following seven phases of the internationalization cycle designed by Jane Knight (see Figure 1)<sup>10</sup>:

*Awareness*: the understanding of the need, purpose, rationale, strategies, controversial issues, resource implications and benefits of internationalization for staff and faculty. What are the different measures or strategies that facilitate awareness of internationalization in higher education?

*Commitment*: the assurance from senior administration that will lead to the process of integrating an international dimension into teaching/training, research and service functions. How do administrators show commitment to the internationalization of higher education?

*Planning*: the development of a comprehensive plan or strategy for internationalization. The process of planning ranges from a single source to complex simultaneous origins. What strategies or programs do institutions formulate to push forward the agenda of internationalization?

*Structure*: the governance and administrative structure. Which functions are best centralized or decentralized and to what degree? What is the role of the international office in providing support, advisory and coordination services? How does the international office relate to other administrative units and the academic departments on campus?

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<sup>7</sup> Puno (2006).

<sup>8</sup> Salazar-Clemeña & Tullao (2005).

<sup>9</sup> De la Rosa (2005).

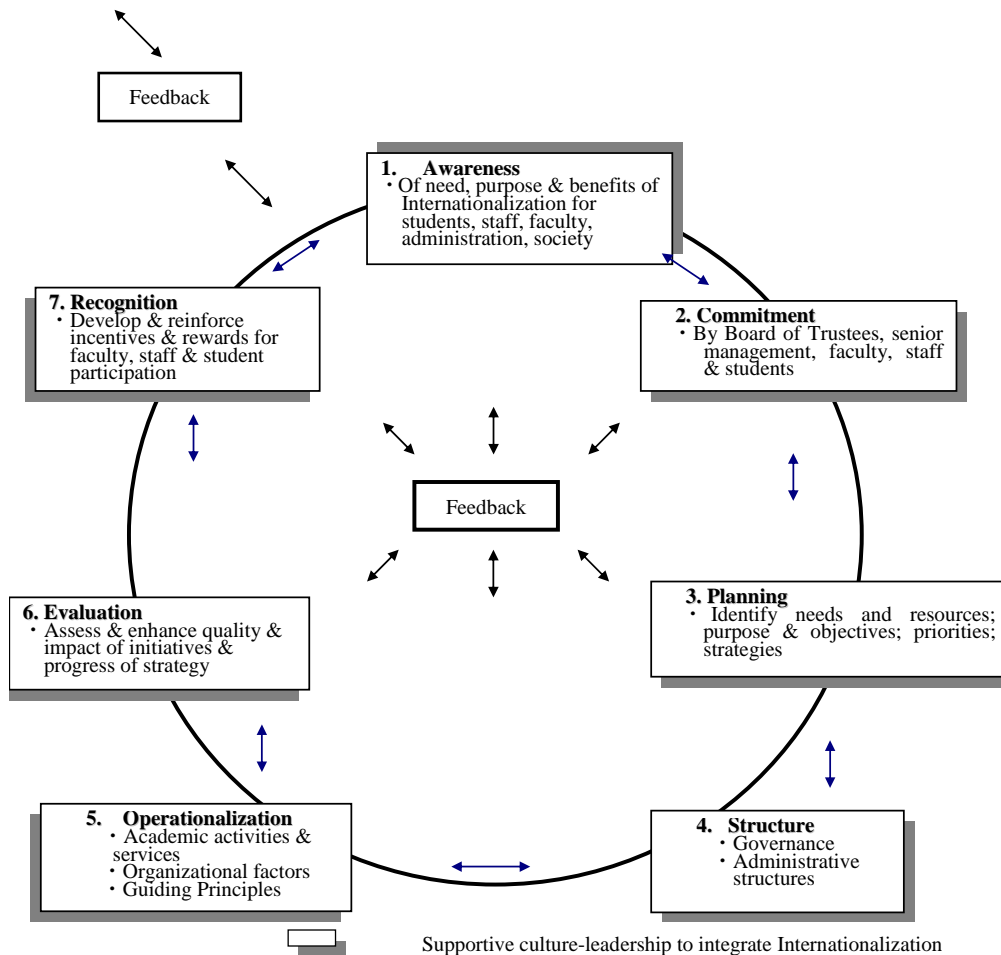
<sup>10</sup> Knight (1995).

*Operationalization:* the implementation of different strategies of the aspects of internationalization. Creating a supportive culture through academic activities and services as well as organizational factors is an important element in this phase. How do the expressions of importance and intent translate into strategic and operational planning? How does each operational plan customize the specific purpose, needs, resources, and distinctive features of the university?

*Evaluation:* the assessment of the integration and level of internationalization activity to continually enhance the quality and impact of the different initiatives. What are the ways by which internationalization activities are assessed? What are the efforts exerted to enhance quality and assess internationalization activities?

*Recognition:* the fundamental process of rewarding the participation of the staff and faculty in the process of internationalization, based on the culture of each university. It is necessary to incorporate the ideas of faculty and staff on what helps or hinders their contribution and sense of achievement in internationalization work.

**Figure 1. Internationalization Cycle**



Source: Knight, J. (1995).



Knighr also recognizes feedback and supportive culture as aspects of internationalization. *Feedback* refers to external factors such as economic, political, social and cultural issues that influence the universities' efforts to internationalize. It is likewise related to internal parts of the organization so that synergy can be achieved in relation to internationalization. *Supportive culture*, on the other hand, refers to the diverse cultures interconnected with the economic, social, political, as well as the interest on global issues that lead to the foundation for building an international ethos on campus.

### **Phases of Internationalization**

*Awareness* A number of studies conducted to assess Philippine higher education have revealed problems in the areas of efficiency (internal and external), quality and effectiveness, and equity in access.<sup>11</sup> These problems remain even as HEIs endeavor to move toward internationalization, with activities that include people mobility (student and staff/faculty exchange; scholarship programs) and institutional/program mobility (franchise, twinning, branch campus, affiliation). These activities can be classified under the four modes of supply as defined by the General Agreement on Trade Services (GATS).<sup>12</sup>

In line with internationalization, CHED has devised medium and long term education development and investment plans. The Medium-Term Higher Education Development and Investment Plan (2001-2004), created after the formulation of the National Higher Education Research Agenda, "*provides the policy framework and defines the programs that will enable the higher education sub-sector to fulfill its role in the development of the country's human resource in the context of globalization and the emerging knowledge-based economy.*"<sup>13</sup> It states the goals of "ensuring labor market responsiveness of higher education and strengthening the research and extension functions of HEIs."<sup>14</sup>

In the advent of globalization, cross-border higher education has become even more pronounced, calling for appropriate strategies in the education sector to turn out graduates who are globally competitive. As observed by a recent study "the flexibility and adaptability of the workforce to meet the different challenges of the global economy is determined largely by the education and training opportunities provided to its populace."<sup>15</sup>

CHED's Long-Term Higher Education Development Program (2001-2010) seeks to promote Internationalization of Higher Education through the development of pedagogies and schemes to integrate international dimensions in the teaching and research functions of higher education, as well as the establishment of inter-institutional partnerships and scholarship grants. Several existing partnerships have long been instituted, including sandwich programs in the graduate and post-graduate levels.

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<sup>11</sup> Salazar-Clemeña & Tullao (2005).

<sup>12</sup> Ibid.

<sup>13</sup> CHED (2000b).

<sup>14</sup> Ibid.

<sup>15</sup> <http://pascn.pids.gov.ph/resagenda.phtml>

The government, as one of the stakeholders of the internationalization of education, shows awareness of and optimism about the idea of internationalization. However, given the “highly politicized setting and inadequate resources, the education sector struggles in its aim to provide education for the growing population at an affordable and decent level of quality both in the local and regional contexts.”<sup>16</sup> Within the Asian region, the Philippines is recognized as one of the countries where English language is spoken and can be learned well. For many years, neighboring countries had been eyeing the Philippines for English instruction; but with the present state of Philippine higher education, the Philippine is slowly losing its edge in English education in the region. Given this reality, the private sector has been trying to cope with the growing demand of education in the country as well as the neighboring countries.

**Two angles of responding to the demand of globalization through internationalization of education become apparent. One way is to ensure the readiness of graduates to compete with others abroad as well as with foreign nationals entering the local economy. On the other hand, considering that Philippine HEIs have become the destinations of foreign nationals who want to learn English, local institutions are challenged to provide good English training programs. In both ways, HEIs in the country have seen the need for and the importance of responding to the global trend. Over and above this sense of awareness is its translation to a sense of commitment.**

*Commitment* The Commission pursues its role of safeguarding the standard and quality of internationalization of higher education. Its active involvement in the internationalization of higher education is marked by its issuance of policies in the year 2000, which include: (a) Policies on International Linkages and Twinning Programs; (b) Policies on International Practicum Training Program; and (c) Policies on Transnational Education.<sup>17</sup> In an effort to uphold the quality of education, these directives limit the HEIs that may offer transnational programs to those identified as Centers of Excellence (COE) and Centers of Development (COD), with Autonomous and Deregulated status, or accreditation Level II and above.

One of the distinctive features of the Philippine education system is its functioning accreditation system. Accreditation is voluntary and is done for programs rather than institutions. The relationship between the accrediting associations and the government is governed by the CHED memorandum order entitled “Policies of Voluntary Accreditation in Aid of Quality and Excellence,” which specifies four levels of accreditation, and describes the criteria and benefits for each level. These benefits vary from partial administrative deregulation (for Level 1 programs) to full autonomy from government supervision and control as well as eligibility for grants and subsidies from the Higher Education Development Fund (HEDF; for Level IV institutions). As of 2002, only one private institution, De La Salle University-Manila, had reached Level IV status. Since then, one more institution has been

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<sup>16</sup> Santiago (2005).

<sup>17</sup> Pascua-Valenzuela (2005).

granted similar status.<sup>18</sup>

Based on the above-mentioned levels of accreditation, only those universities who have reached Level III accreditation (*i.e.*, with full curricular deregulation and the privilege to offer distance education programs) integrate international dimension into teaching/training, research and service functions. It is sad to note that, “only around 13% of Philippine higher education institutions have some form of local accreditation; most of the schools are operationally incapable of complying with the requirements of the quality assurance processes.”<sup>19</sup> Further, a 1995 study revealed that “some of the country’s leading HEIs (University of the Philippines, University of Santo Tomas, De La Salle University, and Ateneo de Manila University) are accredited as Category A by embassies of Great Britain, France, Finland, Denmark, New Zealand, United Arab Emirates, and Jordan.”<sup>20</sup> This implies that only a few universities can respond to the challenge of integrating an international dimension to its system, thus showing the discrepancy in the standards of higher education institutions in the country.

As of 2000, a survey showed that 133 Philippine Higher Education Institutions (HEIs), 75% of them belonging to the private sector, reported having ongoing international linkages.<sup>21</sup> Philippine HEIs that are accredited can conduct and initiate linkage and twinning programs with higher education institutions abroad, following a CHED Memorandum Order (No. 01, s. 2000) on policies and guidelines in the implementation of international linkages and twinning programs. These programs normally respond to needs such as human resource development, institutional and research capacity building.

Despite the expressed commitment of CHED to internationalization, as manifested in its policies, the participation of foreign educational providers in the Philippines is limited by Article XIV, Section 2 of the Philippine constitution, which states:

Educational institutions, other than those established by religious groups and mission boards, shall be owned solely by citizens of the Philippines or corporations or associations, at least sixty per centum of the capital of which is owned by such citizens. The Congress may, however, require increased Filipino equity participation in all educational institutions. The control and administration of educational institutions shall be vested in citizens of the Philippines.

Consequently, most post-secondary education services offered by other countries in the Philippines come under international linkages, academic consortia, academic exchange, joint-degree or twinning programs.

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<sup>18</sup> Salazar-Clemeña (in press).

<sup>19</sup> Bernardo (2002).

<sup>20</sup> CHED’s Task Force on Higher Education (1995).

<sup>21</sup> Valisno (2001), in Salazar-Clemeña & Tullao (2005).

**CHED policies delimit and regulate the involvement of higher education institutions in internationalization, for the purpose of guarding the integrity, standards, and quality of education. Part of CHED's commitment is "the protection that it has to put into effect for the purpose of ensuring that students receive quality education and not for the sake of maintaining HEI's operation."<sup>22</sup> Moreover, the government through the constitution provides means to regulate commodification of higher education and to guard the local institutions from becoming mere conduits of foreign institutions. It also provides measures for mutually beneficial partnerships. Considering the varied capacities and resources different institutions can bring into the international partnerships, HEIs will have different levels of participation or involvement in such partnerships.<sup>23</sup> The local higher education institutions have to be concerned, therefore, with their status in these collaborative relationships.**

*Planning* In its Long-Term Higher Education Development Program, CHED cites the advice of Keller (2000) and Watkins (1999) that successful planning in higher education should pay attention to "the world outside the system, the strategic advantage of higher education which would justify investments in the system, adoption of a plan from the top down through strong, centralized leaderships that keep a balanced perspective on inputs of stakeholders, conversion of plans into strategic decisions, and impact of the future."<sup>24</sup> The Commission serves as a key player in education in line with its vision of integral formation of professionally competent, service-oriented, principled and productive citizens. Within the context of the triple function of higher education, namely, teaching, research, and extension services, CHED has developed plans and formed strategic decisions for implementation.

As part of its mission for the first five years, it focused on systemic reform and strengthening in order to enhance its capability to respond to national demands and international exchanges. The Commission's strategic directions are in the areas of: efficiency and effectiveness, quality and excellence, relevance and responsiveness, and access and equity. In relation to internationalization, the strategies identified are: (a) establishment and maintenance of international network of data/information exchange; (b) regular collection/dissemination of information on higher education and labor market at the international level; (c) infusion of an international dimension into teaching, research and extension; (d) implementation of student/faculty exchange programs between local and foreign HEIs; and (e) strengthening partnerships of local and international HEIs in the use of IT in education.

The practices of some higher institutions in the country are worth looking at in relation to internationalization strategies identified. Development of better research faculty, research facilities,

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<sup>22</sup> Tullao (2005).

<sup>23</sup> Bernardo (2002).

<sup>24</sup> CHED (2001).

support services, and research management policies are important aspects of research capacity building. Identifying research areas for collaboration between local researchers and research institutions and their international counterparts is likewise important. In this regard, Philippine universities need to formulate research development strategies to create their respective research niches.<sup>25</sup>

A review of best practices of selected universities in relation to promoting research shows that the University of the Philippines created the Office of the Vice-Chancellor for Research and Development (OVCRD) in 1998, in recognition of “the vital role of academicians and researchers in national development efforts in an increasingly global village” and the need to “properly address, coordinate and meet the tremendous demand for research results.” In view of the importance of research as an aspect of faculty academic work, the UP Board of Regents sought to enhance research in the University by providing it a distinct track as well as its own office.<sup>26</sup>

Research in the field of Information Technology (IT) Security is currently pursued by Ateneo de Manila University with the Philippine HoneyNet project. The Philippine HoneyNet is the only official country representative to the WorldWide HoneyNet Alliance that aims primarily to establish IT security research on web, system and network attacks, vulnerabilities in system infrastructure, active and passive malware intrusions and infections, etc. The University of Santo Tomas (UST), on the other hand, has embarked on research collaboration with a Japanese university on broadcasting through the use of virtual classroom in the context of an electronic learning (e-learning) environment. Local students collaborated with their foreign counterparts in their research on broadcasting and conferencing through the use of e-learning tools and online classroom.

**Specific university experiences reveal institutional thrusts and practices including research collaborations and international linkages. Universities capable of venturing into the international arena endeavor to identify their research strategies and pool of networks.**

*Structure* The role of an international office in relating to administrative units and academic departments should be underscored. Such an office is expected to provide support, advice, and coordinate services to promote internationalization in the university.

In the case of Ateneo de Manila University, the Office of the Academic Vice-President (AVP), through the Office of International Programs (OIP), fosters linkages for purposes such as research, faculty development, and student exchange. Furthermore, the AVP oversees activities of research and development units, thus facilitating coordination and cooperation among the University Research Network, individual research auxiliary units, and the school units.

At De La Salle University-Manila, the Office of External Linkages provides assistance for faculty and student exchange programs, scholarship grants, and academic agreements with different

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<sup>25</sup> Bernardo (2002).

<sup>26</sup> Salazar-Clemeña (2005).

universities. Under the leadership of a Director, the Office continues to expand DLSU-M's linkages with other institutions across the globe, thus helping the university achieve a well-balanced international caliber education.

The University of Santo Tomas also has an Office of External Affairs, primarily tasked to take charge of both local and international linkages of the University. It works towards the cultivation of mutually beneficial ties with educational and funding institutions both in the country and abroad. This office is also expected to scout for and tap institutions and alumni that will provide endowments to boost the instructional, research and community extension endeavors of the University. The Grants Office, the University conduit to the Research and Endowment Foundation, Inc. (REFI) and the Alumni Affairs Office, fall under its jurisdiction.

The Office of International Affairs of Angeles University Foundation is in charge of all the activities pertaining to internationalization of higher education. These include international projects such as conferences, collaborative research activities and exchange programs, in consortia with foreign organizations and institutions. The Office maintains partnerships with HEIs in the United States, Europe, Canada, Asia-Pacific, Middle East and Australia.

**The International Office is responsible for the integration and implementation of the ethos of internationalization of education. It collaborates with the different academic departments of foreign universities where links to their own academic departments can be made. More often than not the International Office is part of the Administrative office, which only shows high level administrative support.**

*Operationalization* The nexus of teaching and research is an integral part of the internationalization process. The idea that research enhances teaching activities lacks support in actual practice, however. Not too many faculty members are actively doing research in most of the Philippine HEIs. The challenges identified for Philippine HEIs in the process of internationalization, therefore, are: to test the capacity of their programs in training graduates comparable to those of HEIs in other countries, as well as to address the assessment that “research is a weak area” and that the Philippine HEIs have a “weak tradition of research and writing.”<sup>27</sup> Hence, HEIs are highly encouraged to promote and enhance research activities with a concomitant international orientation as a hallmark of distinction. A research culture must be established to foster and strengthen institutional readiness for internationalization.

Recognizing that research is an essential function of HEIs, the CHED produced the ten-year National Higher Education Research Agenda (NHERA) 1998-2007. This document provides the policies, strategies, priorities and procedures as well as guidelines on the research environment required to promote, encourage, and support research in the colleges and universities. It identifies the

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<sup>27</sup>Gulosino (2003).

goals and research priority areas and specifies types of research grants. Policy directions encompass research management and administration, technical assistance programs for research, and funding for higher education research.

HEIs are expected to provide administrative support for research in the form of: (a) specific policies on deloading for research activities; (b) the use of institutional facilities for research, and other such incentives; and (c) technical, logistical, and support for research.

The CHED has identified several intervention measures to increase the quality and quantity of research outputs of HEIs. These include: (a) the provision of technical and financial aid to HEIs that have research capability in critical disciplines; (b) strengthening linkages with research institutions in Australia, the United States of America (USA) and in European and Asian countries; (c) financial support for externally-refereed national research journals in various disciplines; (d) the recognition of outstanding researchers via professorial chair awards and other such incentives; and (e) the development of high level research-oriented human resources in critical disciplines through the use of the Commission's HEDF for the research training of promising junior faculty and graduate students.

Looking at the institutional level, one finds different research centers and programs in the identified "top four universities in the Philippines (*i.e.* University of the Philippines, De La Salle University-Manila, Ateneo de Manila University and the University of Santo Tomas)."<sup>28</sup> The first two are members of the ASEAN University Network (AUN), the membership requirements of which include "promotion of research and scholarships." Compared to other universities in Asia, however, these four elite universities rank low in terms of research output.<sup>29</sup>

In the global context, the Philippines plays an insignificant role "in terms of the number of research and publications cited in the sciences and social sciences, with an output of 2,893 from 1993-1997."<sup>30</sup> In this light, this paper investigates the research situation at the institutional level along with the "fit" between policy commitments to internationalization on one hand, and internal rewards and incentives on the other.

The Office of the Vice-Chancellor for Research and Development (OVCRD) in the University of the Philippines recognizes the vital role of the academicians and researchers for national development in a global village. Through the Office of the Vice-President for Academic Affairs, increase in research output is highly encouraged via Textbook Writing Grants, Research/Creative Work Grants, and Post-Doctoral Research Grants.

Dr. Francisco Nemenzo, immediate past president of UP, was keenly aware that the stature of a university depends largely on the research output of its academic staff. He therefore tried to nurture a research culture by encouraging academic staff to publish in reputable international journals. The offering of the International Publication Awards of PHP 50,000 (later raised to PHP 55,000) for every

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<sup>28</sup> Asiaweek (2000).

<sup>29</sup> *Ibid.*

<sup>30</sup> Organization for Economic Co-Operation and Development (OECD) in Asiaweek (2000).

article appearing in an ISI-indexed journal resulted in a large increase in the number of research-based publications. “Reports show that from about 90 articles in ISI-indexed journals before this program was launched the faculty produced 182 in 2003.”<sup>31</sup> Moreover, Nemenzo sought ways to make better use of UP property while promoting academic research. One such idea was the establishment of science and technology parks that can bring leading business and industrial firms together with UP faculty and students on projects of mutual benefit.

Another strategy that UP has pursued is setting up linkages with foreign universities, with agreements for joint activities in research, exchange of scholars and students, and participation by both universities in conferences or training seminars.

The UP further promotes research by providing financial assistance (equivalent to a Professorial Chair Award) to faculty members on sabbatical who intend to pursue research or creative work during their period of leave. A newly established Advanced Technology Award aims to recognize concrete technological achievements of faculty members and staff. Moreover, Professorial Chair Awards and Faculty Grants are offered to recognize achievement in the various disciplines and in general education. Outstanding work is likewise given recognition through the *Gawad Chanselor* (Chancellor’s Award).

At De La Salle University-Manila, research is considered an integral function of academic teaching faculty. The criteria for hiring, promotion/reclassification, probation, and permanency include research, the specific requirements for which vary across the ranks and steps within a rank.

The University Research Coordination Office (URCO) a service unit under the office of the Vice-President for Academics and Research, is mandated to help faculty members make research an integrated academic and professional activity in all their undertakings. URCO helps DLSU-M realize its mission of becoming a leading research university in Southeast Asia by creating a research-conducive environment. It assists faculty members in focusing their research activities towards improving the quality of life in Philippine society, promotes research in support of a relevant and meaningful teaching function, and disseminates research-related information to internal and external users. URCO likewise provides mechanisms to facilitate the involvement of faculty members in externally-funded projects.<sup>32</sup>

Qualified DLSU-M faculty are given professorial chairs or are designated Research Faculty to support their research initiatives. Faculty members who distinguish themselves in teaching, research and publications, and meritorious service to the University, are conferred the title of University Fellow. Moreover, monetary incentives are given for the publication of articles in professional journals, especially in international, refereed, indexed periodicals. Assistance is provided for the publication and dissemination of research outputs. The “*URCO Digest*,” published every trimester, features extended abstracts of completed research projects. In addition, faculty members can avail

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<sup>31</sup> Nemenzo (2004).

<sup>32</sup> <http://www.dlsu.edu.ph>



themselves of a sabbatical leave to engage in research.

To further promote its research culture, the University annually chooses recipients of the St. Miguel Febres Cordero Research Award. This prestigious award is given to faculty members who have made trailblazing researches or creative outputs that are considered major contributions to national development. Departments also compete for prizes based on faculty scholarly output.

College Research Councils and the University Research Council (URC) are in place to promote, evaluate, and monitor faculty research. The URC sets the policies and guidelines for the Faculty Research Program (FRP).

Through its numerous international linkages, DLSU-M provides opportunities for faculty members to participate in collaborative research with professional colleagues from other countries. Furthermore, it gives support to faculty members who present research papers in international conferences.

**Research is recognized as a necessary academic activity that enhances the teaching endeavor. It is needed to contribute to the production of knowledge for the growth and progress of the discipline. As a former CHED Chair stated, “Research must contribute knowledge that can be helpful to national programs on sustainable development.”<sup>33</sup> Moreover faculty members need a vast amount of knowledge to teach effectively; at the same time, research can contribute to a meaningful practice. The CHED and institutions such as the University of the Philippines and De La Salle University-Manila have formulated policies and strategies for the improvement of research outputs of their faculty members. Strategies include the giving of research grants, research awards, financial assistance in the pursuit of research or creative work during the period of sabbatical leave and international linkages that give opportunities for faculty member to participate in collaborative research and support in the international conferences.**

*Evaluation* Part of the effort of internationalization is improving the quality of education, which inevitably calls for the improvement of faculty in order for them to be at par with their counterparts in other countries. Moreover, a prerequisite to internationalizing and operationalizing the curriculum is an excellent pool of faculty who have a good grasp of internationalization and globalization. If one gauge for quality faculty is educational attainment, then the CHED data cited earlier in this paper, showing a predominance of bachelor’s degree holders is a telling factor.<sup>34</sup> Cognizant of this, CHED has developed strategies for faculty development to address the low level of preparation of many of the teaching staff. These include upgrading the academic qualifications of university and college teaching faculty in priority fields, and establishing and strengthening teacher resource centers and clinics in individual HEIs.

Advanced technology is also a necessary condition to pursue internationalization. In relation to this, it is imperative to look at the technological readiness of the Philippine HEIs for

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<sup>33</sup> Alcala (1997).

<sup>34</sup> Salazar-Clemeña (in press).

internationalization. It has been observed that “without even looking into the state of hardware and software technology, data from the 2005 Internet World Stats regarding basic internet access and usage reveal that internet penetration is a measly 9.3% and this is largely concentrated in the major cities of the country, particularly in Metro Manila. Comparing this with Sweden, which has the highest internet penetration (73.6%), the United States (68.5%) and South Korea (65.2%), which has the highest in Asia”<sup>35</sup> we see how much the Philippines is lagging behind in one of the conditions for international education.

In terms of quality assurance, the CHED has accreditation policies to assure and monitor the quality and standard of Philippine HEIs and the transnational provider-partners. Accreditation ensures that the students receive quality academic programs and discourages mere perpetuation of Philippine HEIs’ and transnational providers’ operations. Nevertheless, out of 1,647 tertiary institutions in the Philippines only a small portion avail themselves of the assessment process. “Roughly only 13% submit themselves to accreditation and only 37 HEIs meet international standards ... only two offer world-class programs.”<sup>36</sup>

CHED has allocated PHP 235.7 million from the Higher Education Development Fund (HEDF) for research grants and aids. Out of about 200 proposals submitted for review and evaluation by three technical experts per discipline, nine proposals have been granted funding by the Commission, seven are still to be funded and others are currently undergoing revision and technical assessment.<sup>37</sup>

Relying mostly on tuition fees, many Philippine HEIs (particularly private ones) can hardly allocate funds for research. Further, they do not generate excess profit for institutional research and development. De La Salle University-Manila (DLSU-M), however, is an exception. Research expenses (exclusive of maintenance expenses, depreciation, etc.) of DLSU-M over a three-year period (2001-2003) show an increase from 5.87% to 7.64% of the total operating expense.<sup>38</sup>

The limited research funding in the Philippines may be attributable to the small percentage of Gross Domestic Product (GDP) being allocated for research and development. As stated in Arcelo’s (1998) study, the data of the International Foundation for Science and the International Monetary Fund (IMF) show that only 0.14% of the Philippine’s GDP is spent for research and development, which is low compared to Japan (3.33%), South Korea (2.81%), Singapore (1.35%), and others.”<sup>39</sup> On the other hand, there are research grants given by different institutions (*e.g.* UNESCO, WB, and ADB) that necessitate identification of research thrusts and sharpening of research abilities and capabilities of the faculty of higher education institutions.

**Philippine HEIs should be continuously monitored and evaluated in terms of their internationalization efforts. CHED and each HEI should ensure access and equity, quality**

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<sup>35</sup> Luz (2006).

<sup>36</sup> Pascua-Valenzuela (2005).

<sup>37</sup> <http://www.ched.gov.ph>

<sup>38</sup> De La Salle University (2003, 2002 & 2001).

<sup>39</sup> Arcelo (1998), in Ruero (2006).

**assurance, improvement of research capability and productivity of faculty, development of a research culture, and technological readiness.**

*Recognition* Reward and recognition for faculty and staff are fundamental in the internationalization process. These renew or sustain commitment, which is crucial to internationalization. CHED provides strategies to improve the quality of higher education faculty and their research outputs. These are important to internationalizing the process of higher education. On the other hand, each university offers incentives based on its particular culture. Different forms of rewards are given to those who respond to the call for research productivity.

CHED gives technical help by making expertise (local and international) available to individual researchers in the various higher education disciplines. It also provides logistical and financial support through research block grants, research grants-in-aid, and grants for commissioned research.

Block grants are given to meritorious proposals with potential impact on higher education. Only institutions that meet requirements concerning their faculty force, research structure, research facilities, and publication assurance may submit research proposals for these grants. Grants-in-aid, on the other hand, are given to developing HEIs that show potentials for improving their research capacities, are strategically located *vis-à-vis* government socio-economic programs, and demonstrate willingness to provide counterpart funding for their research activities. Commissioned researches are awarded to academic institutions or individual recipients who have the suitable credentials for undertaking research projects deemed important for policy and decision-making.

In line with these strategies, the Commission has issued memoranda such as those providing guidelines for CHED dissertation grants (CHED Memorandum Order [M.O.] No. 04, Series of 2003), visiting research fellowships (CHED M.O. No. 13, Series of 2003), and the “Republica Awards” for outstanding research and publications.<sup>40</sup> These strategies not only increase research capability and productivity but also contribute to the improvement of the quality of faculty in Philippine HEIs.

As discussed above, the University of the Philippines and De La Salle University-Manila have developed research cultures and allotted incentives and rewards for research capability and productivity of the faculty. Ateneo de Manila University (ADMU) has likewise developed its own research culture. “As a full-pledged university and a premier centre for learning and research, the Ateneo de Manila University Loyola Schools actively engage in research and creative work at various levels of scholarship.” Their aim is two-fold: “(a) to advance and apply knowledge through scholarly work and (b) to diffuse knowledge through teaching and publishing.”<sup>41</sup>

The Loyola Schools of Management, Social Sciences, Humanities, and Science and Engineering, in cooperation with the academic departments and the adjunct Centers and R&D units achieve these goals by: (a) supporting faculty and student scholarly work through various university grants and

<sup>40</sup> Salazar-Clemeña (in press).

<sup>41</sup> <http://www.admu.edu.ph>

awards; (b) nurturing scholarship through faculty development programs, training, and symposia; (c) facilitating interdisciplinary, collaborative research programs through in-house grants and grants from external agencies; and (d) celebrating scholarship through publications and recognition awards.

Although research is expected more from the faculty of research universities, it is also evident in a few teaching institutions. An example of this is De La Salle College of Saint Benilde (DLS-CSB), a learner-centered institution that seeks to provide transformational experiences for its community members through innovative and relevant programs that foster holistic human development. Given this orientation, faculty members are encouraged to do research that would give them a better understanding of students and the learning process. Other research projects are mostly action researches and materials development projects for learner-centered approaches/activities. This research thrust underscores the scholarship of teaching, which involves inquiry and investigation on teaching practices as these impact on student learning. This kind of scholarship encourages teachers to ask questions on learning (*e.g.* how and what students learn, how to deepen their learning), for the purpose of improving classroom practices.<sup>42</sup> Thus, the criteria for promotion/reclassification, probation/permanency of DLS-CSB faculty include particular types of research outputs relevant to each rank or step within a rank.<sup>43</sup>

Cognizant of the contributions of the social constructivist theory and new research on learner-centered principles and practices, DLS-CSB established the Center for Learner-Centered Instruction and Research (CLCIR). It supports and encourages research through the implementation and monitoring of the Faculty Research Program (FRP). It seeks to promote and nurture a culture of research on campus. Under the FRP, proponents can receive support for direct research expenses and be compensated in terms of research deloading or research loads equivalent to the amount of research units awarded to the project.<sup>44</sup>

**Inasmuch as research is recognized as weak in the Philippines HEIs, the CHED as well as the different institutions of higher learning have created strategies for enhancing the faculty's research capability and productivity. Aside from the above-cited institutions, there are also other universities who have responded to the call and thereby started to establish or revive their research thrusts and agenda. Awards among faculty are focused on research productivity, but much more is needed and expected of faculty exchange programs as part of internationalizing higher education.**

## **Implications and Recommendations**

Internationalization of higher education in the Philippine HEIs has expanded over the years. Universities are aware of the need to respond to the global market scene requirements. To produce

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<sup>42</sup> Shulman & Hutchings (1999), in Salazar-Clemeña (2005).

<sup>43</sup> Salazar-Clemeña (2005).

<sup>44</sup> *Ibid.*

globally competitive graduates, institutions must become globally competitive, which means providing globally competitive education, with globally competitive faculty and curricula, research productivity, and facilities.

To propel this thrust further, it is necessary initially to arouse awareness in the stakeholders. First, the government needs to become determined in internationalizing education. Although the government has allocated funds for higher education, the amount remains insufficient. Scarcity of resources is one of the concerns that should be addressed to harness the country's potential for internationalization of education.

Second, the CHED's commitment to internationalization should continue to be evident as it monitors and devises strategies for quality assurance. It must be remembered, however, that "while accreditation is a good starting point for quality assurance and in response to the globalization's requirement for world-class standards, international comparability cannot be guaranteed by national accreditation systems."<sup>45</sup> Moreover, the government should ensure that the internationalization of higher education is based on the promotion of quality and standards and not merely the promotion of greater trade in higher educational services.<sup>46</sup> In addition, considering the entry of various service providers under the various modes of supply, the primordial function of CHED should be the promotion of public interest and the protection of the consuming public.

Third, at the institutional level, global competitiveness must be continuously pursued. Enhancement of skills and competencies is an imperative. To start with, faculty members must have an ample grasp of internationalization of education in order to come up with initiatives to make themselves globally competitive. As awareness dawns in the faculty, strategies to enhance research capabilities and productivity must be planned and implemented. To upgrade the faculty profile of HEIs, a greater portion of faculty must be supported in their graduate studies. Research capacity and productivity must be enhanced through research training. Faculty participation in international conferences and faculty exchange programs must continue to be supported.

Faculty who have sufficient grasp of internationalization through international exposure, studies and training are expected to contribute in one way or another to the internationalization of education in the Philippine context. They could contribute to the development of globally competitive curricula and learning environments and transform general education by integrating an international perspective and agenda. However, programs must be relevant to and appropriate for the status and needs of the Philippine HEIs. Schools must take care of maintaining their core educational mission and preserve the traditions of the academe amid the sea of change brought about by internationalization. In creating a generation of internationalists, the faculty should not neglect the development of nationalism in the youth.<sup>47</sup>

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<sup>45</sup> Arcelo (2003).

<sup>46</sup> Salazar-Clemeña & Tullao (2005).

<sup>47</sup> Pijano (2003), in Salazar-Clemeña & Tullao (2005).

Some universities in the country have initiated various exchange programs and implemented successful strategies for improving research productivity among faculty. Such strategies (*e.g.*, giving of incentives, rewards, grants) have led to increases in the number of publications in peer-reviewed and ISI-indexed journals, however scarce in comparison with the publications of faculty from foreign universities. Support for the dissemination of research findings through publication and through conference presentations would be crucial. Universities must develop strategies for networking in order to get grants that would entice faculty to become involved in research activities and presentations in international conferences, as well as participate in international exchange programs and activities. Moreover, research thrusts and themes must be identified and research facilities improved to make networking feasible.

The offices of international affairs must enhance their efforts to work with the centers for research, in order to develop collaborative research among faculty and students. HEIs could invite foreign researchers and visiting professors, and continuously facilitate faculty exchange agreements. Increases in faculty exchange programs as well as financial support are vital. However, institutions must devise strategies to support such programs and introduce mechanisms that would ensure return service and minimize brain drain among faculty members.

Internationalization is a movement that is evident in the Philippine higher education as a response to global market and knowledge-based economy. Various activities attuned to internationalization have paved the way for “strategic international partnerships that may improve the quality of the curriculum and pedagogy, the qualifications of faculty members, the systems of quality assurance, and the standards of educational resources like libraries, laboratories, and other learning materials.”<sup>48</sup> Moreover, the crossing of borders (cultural, social, or intellectual) in higher education may lead to a distinct quality of learning.

These lofty ideals of cooperation and international partnership are attainable only to a certain extent in the case of Philippine HEIs. The main constraint to internationalization is largely financial. In terms of access and equity, dualism or the so-called educational divide is enhanced. Only those from high-income families and well-endowed institutions can afford the prohibitive costs of international education. If this condition is not addressed accordingly the gap will continue to widen.

This study shows that the different phases of globalization are evident in Philippine higher education institutions in their endeavor to internationalize. Challenges to the academic profession are highlighted and considered as pivotal to improve the status of internationalization efforts. Current weaknesses and inefficiencies reveal that there is much room for improvement for HEIs to continuously reap the benefits of globalization through internationalization.

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<sup>48</sup> Bernardo (2002).

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## Session 1 Comments

Akiyoshi Yonezawa\*

First of all, let me congratulate all the speakers. The three presentations in this morning session were well developed, thoughtful, and highly stimulating as a starting point of our dialogue on the academic professions in Asia. I believe my task as a commentator here is to make a linkage between the three cases presented, Japan, Mongolia and Philippines, with their different national contexts. Let me provide comments on each presentation first, and then some overall comments.

### **Akira Arimoto (Japan)**

Arimoto's keynote speech provided a wide and deep range of discussion on the changes in social context of the academic profession from medieval Europe to contemporary Asia. For those who are not familiar with the context of Japanese higher education, let me explain some of the background to why we need such a wide discussion.

Japan started its modern higher education relatively earlier than most other Asian countries, and did so autonomously as an independent nation state. In the process of introduction of western higher education models, the Japanese government tried to assemble the best practices from various different higher education models, and established a competitive system in an early stage of its modernization. The Japanese higher education system received an especially strong influence from the German system, which consisted of Humboldtian principles and a Continental European type of university governance.

Under the US military government after World War II, Japan experienced fundamental reform of higher education. Even after the post-war reform, the Japanese government continued a national level centralized higher education administration, but with heavy reliance on the private sector funded mainly through tuition fees. For the academic profession, however, the reform strengthened academic independence, autonomy and freedom from the government, based on a response to of the negative impact of nationalism before and during the World War. Japan experienced a diversification of higher education, while the academic culture kept a strong isomorphous orientation towards research rather than teaching, especially in the major private universities and almost all the national universities.

Compared with other OECD and Asian countries, adaptation of Japanese higher education towards globalization is a quite recent phenomenon. Throughout the modernization process, Japan has developed its academic community through local language. From the turn of the century, Japan also

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\* Associate Professor, National Institution for Academic Degrees and University Evaluation (NIAD-UE), Japan, e-mail: akiyoshiyonezawa@yahoo.co.jp

adopted a policy of fostering ‘World Class Universities’ through concentration of governmental funding, though the scale of the approach is much more modest than those in Korea and China.

Adding to this, Japanese higher education is now experiencing a severe market saturation caused by demographic change. In this situation of over-supply of higher education, student consumerism is now becoming influential. The Japanese academic profession is facing pressures for student-centered learning and quality assurance of teaching, learning and student achievement.

As part of major reform of governance and management, the national and local public higher education institutions have been incorporated under a ‘New Public Management’ policy. Responses to the ‘Knowledge economy/society’ could also be understood as a policy ideology that may lead to further dominance of engineering and applied science in the Japanese academic community.

The changes mentioned above are related to reinforcement of ‘developmental state’ policies in Japanese higher education similar to those of its Asian neighbors. However, the impact of those recent changes towards academic profession is not fully apparent yet. Arimoto’s keynote speech focused on the transformation of the academic profession in Japan and other Asian countries. He refers to the strong impact of globalization on the academic profession. However, it is still unclear whether its effects on the Asian academic profession will strengthen a global cosmopolitan identity or an Asian regional identity. If Asian higher education aims for improvement of its prestige, the development of an Asian regional academic community should be indispensable.

### **Regsuren Bat-Erdene (Mongolia)**

Bat-Erdene’s presentation gave us a very clear picture of the current features and tasks of the Mongolian academic profession. Here, we can find a very interesting contrast with the cases of Japan and Philippines. The national characteristics of the academic profession in Mongolia are identifiable as those of a very small community; and as a transitional and developing economy, ‘internationalization’ of Mongolian higher education has different meanings and needs compared with other Asian countries with relatively large academic population, such as Japan and Philippines.

There are many issues to be solved: lack of degree-holders, moonlighting, lack of academic-oriented examinations in promotion, gender unbalance. There are especially important needs in provision of mass higher education, and it is unclear how best to enhance or even maintain the quality of the academic profession in this small higher education community.

In Mongolia, expansion and transformation of the characteristics of higher education occurred in a quite drastic way. There seem to be strong needs to build the capacities of existing and young academics. Here, international collaboration as well as domestic endeavor is highly required. The question raised is whether common global trends such as marketization and internationalization in Asia offer a different influence on this unique higher education system or not.

### **Salazar-Clemena (Philippines)**

The Philippine higher education system experienced early expansion and dominance by its private sector, both in elite and mass institutions. In mass private higher education, we can observe the dominance of teaching-oriented higher education institutions with low qualified academic staff.

The Philippines have a well-developed international professional labor force, but it is also suffering from high unemployment and mismatch in the knowledge labor market. It is noteworthy that the Philippines have a well-developed American-type accreditation system, which is actually rare in Asia (as well as elsewhere in the world).

A tendency in the Philippine mass higher education system is to displace education through the English language by development of academic dialogue in its national language. This raises the question of whether higher education in the country will gain a stronger national identity or be faced with 'localization', which is not always advantageous in the globalization age.

The idea of 'internationalization' for achieving good performance by a global standard or regime is widely shared by most Asian countries. Therefore, the application of Knight's model for adaptation to the global regime is highly interesting.

It would be valuable if more information on the formation of a research oriented academic profession and the internal politics within academic communities, the relation with government and student bodies, governance and management, etc. could be provided.

### **Overall Comments**

Reinforcement of the 'developmental state' approach is now dominant among Asian higher education systems. Most of the countries aim to foster world-class research universities, enhance capacities for the development of globally competitive international human resources, and - if possible - attract international students as higher education hubs.

Here, the effect of globalization is ambivalent: development, exploitation or brain drain.

Demand for strong governmental (or national) commitment may interfere with the autonomous development of the academic community and profession. The potential for international networking and collaboration, especially the role of regional networks in ASEAN, and possibly in the Asian or East Asian region should be explored.

There are many questions to be examined. Are there common characteristics or an identity among Asian academic professions? What is the real meaning of 'internationalization' for the Asian academic professions? What would be the role of an Asian regional network or exchange either for or against the globalization 'regime'? In addition to this, role of faculty and staff development and international cooperation in this field, as Prof. Arimoto mentioned, should be an interesting topic to examine further.

## **Session 2**

### Presentation 3

## **Envisioning and Imaging of the Malaysian Universities towards Achievement of ‘Regional Hub’ Status: Are Academics being Marginalized and Deprofessionalized in the Process?**

Morshidi Sirat\*

### **Introduction**

There is a general tendency to attribute “all of the contemporary pressures on higher education, from the pressures of massification to the growth of the private sector” to globalization.<sup>1</sup> According to Altbach, while “there is a grain of truth in all of the hypotheses regarding the effects of globalization on higher education”, a good deal of these could be considered as misinterpretations.<sup>2</sup> Admittedly, these misinterpretations are largely due to the fact that “for some, globalization means everything.”<sup>3</sup> Precisely because of this, it is important that globalization be defined and contextualized accordingly. A survey of the literature on globalization would normally lead one to conclude that globalization is interpreted either as a “process” or as “a fact of the contemporary world.” As a process, globalization is understood to be a heightened tendency towards interactions and interdependencies of socio-economic and technological factors, which inevitably change our life- and economic-spaces drastically. As a fact of the contemporary world, globalization refers to “the compression of the world and the intensification of consciousness of the world as a whole.”<sup>4</sup> From the point of view of higher education policy research, the two perspectives of globalization as noted above would generally reframe the term globalization, and the concept could then be loosely interpreted as a socio-economic and technological process, which has a tendency to blur or “diminish” geopolitical borders and national systems. It is important to note that, in the context of higher education, there is also a tendency to connect globalization with marketization, which saw the spread of the market discourse, the massification of higher education, the increasing number of private providers, the rise of the (global) markets for education.<sup>5</sup> It is in this context that many consider the effects of marketization for the academia as numerous, a direct consequence of the various elements connected to marketization.<sup>6</sup>

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\* Professor and Director, National Higher Education Research Institute (IPPTN), Malaysia,  
e-mail: morshidi2000@yahoo.com; morshidi@usm.my

<sup>1</sup> Altbach, P. G. (2004). Globalization and the university: Myths and realities in an unequal world, *Tertiary Education and Management*, 10(1), p.1.

<sup>2</sup> *Ibid.* p.1.

<sup>3</sup> *Ibid.* p.3.

<sup>4</sup> Robertson, R. (1992). *Globalization*. London: Sage, p.8.

<sup>5</sup> Boer, H. De, Huisman, J., Klemperer, A., Meulen, B. van der, Neave, G., Theisens, H. & Wende, M. van der (2002). Academia in the 21<sup>st</sup> century, p.12. Retrieved August 15, 2006, from <http://www.utwente.nl/cheps/>

<sup>6</sup> *Ibid.* p.12.

Based on the above interpretation of globalization, higher education policy-makers and academics researching higher education issues tend to associate this process with heightened competition among providers of higher education. Interestingly, an important element of this competition arose from the penetration of transnational education service providers in the national higher education landscape and system. It is observed that globalization is leading to several challenges and opportunities such as increased emphasis on internationalization of the curriculum; opportunities for new partnerships for research and teaching with agencies and institutions across the globe.<sup>7</sup> The literature is consistently in agreement that the development and improvement in communication and information technology has facilitated globalization of higher education through increased permeability of international boundaries.<sup>8</sup>

During the 1990s, the higher education sector in Malaysia was confronted with many opportunities and challenges as a result of globalization process. Admittedly, private higher education providers have, in some ways, threatened the traditional “monopoly” of local (public) higher educational institutions in the provision of higher education in Malaysia. Prior to educational reform in 1996, the 1969 Essential (Higher Education Institution) Regulation has effectively barred private sector providers from conferring degrees and, most importantly, foreign higher educational institutions were not allowed to establish branch campuses in Malaysia. However, with the onset of globalization in Malaysia in the late 1980s, coupled with other global developments and domestic pressures in the early 1990s, private tertiary institutions offering pre-university courses, twinning and franchise programs were introduced in the national higher education system.<sup>9</sup> These important developments were the precursors to significant reforms in higher education in the late 1990s. Evidently, globalization presents new opportunities, challenges, and risks in so far as higher education in Malaysia is concerned. Looking ahead, between 2006 and 2010, with the Malaysian government strategic objective of turning Malaysia as a regional education hub fully endorsed and plan of actions put in place, globalization will impact further the higher education sector in Malaysia. Arguably, in such a future scenario, it is argued that transnational higher education providers would become dominant in the higher education landscape, with trade in education services as an important national economic policy objective. In the context of the present and emerging competition among providers of higher education services in Malaysia, the public provider of higher education will be expected to initiate (re)visioning process aimed at proffering a positive image of public universities as ‘centres of academic excellence.’ Towards this end, universities are obliged to introduce new governance structures; embedded in this new structure are the demands for economy, efficiency and effectiveness,

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<sup>7</sup> Kovel-Jarboe, P. (1999). The changing context of higher education and four possible futures of distance education. Retrieved August 15, 2006, from <http://www.horizon.unc.edu/projects/issues/papers/kovel.asp>.

<sup>8</sup> See for instance Hanna, D. E. (1998). Higher education in an era of digital competition: Emerging organizational models, *Journal of Asynchronous Learning Network*, 2(1).

<sup>9</sup> See Middlehurst, R., & Woodfield, S. (2004). *The role of transnational, private, and non-profit provision in meeting global demand for tertiary education: Mapping, regulation and impact. Case study of Malaysia*. Vancouver: Commonwealth of Learning and UNESCO.



which were then translated in the public policy domain and public sector management as encompassing the ideologies of managerialism and economic rationalism.<sup>10</sup> Within the public higher education sector, underscoring the emphasis on better performance are fashionable terms such as “excellence”, “increasing competitiveness”, “efficiency”, “accountability” and “devolution.”<sup>11</sup> Others have isolated strategies in connection with the ultimate objectives of shaping efficient and effective university governance, and these would normally include terms such as internal audit, quality assurance, strategic management, and linking performance with outputs.<sup>12</sup> This introductory section is aimed at contextualizing and situating the preceding discussion on envisioning and imaging universities in Malaysia. In addition, it also provide the framework to address the issue of the changing role of the academic mission in this rage towards managerialism and academic capitalism, which is associated with the corporate model of university governance. It is argued further that corporate model of university governance rejects shared governance; it recognizes neither the benefit of deliberation and compromise involved in shared governance, nor the importance of the faculty’s role in making decisions about academic programs, quality and institutional direction.<sup>13</sup>

This paper has two objectives: first, to analyze the envisioning and imaging process of Malaysian universities within the context of the government’s objective of transforming Malaysia as the regional hub for education; second, to address the issue of the academic mission, the role and position of the academic profession in the envisioning and imaging process. In connection with the second objective, it is pertinent to determine whether the academic mission and faculty role are protected or not in the envisioning and imaging process. It is argued that the academic mission and the traditional role of the faculty would be protected if academic professionals were consulted and given the opportunity to participate in the envisioning and imaging process, in line with the shared governance framework. It is equally important also to determine at the stage of the process where the academic professionals were consulted and given the opportunity to participate. Based on such an analysis we may then proceed to hypothesize that in the rage towards academic capitalism and transformation of Malaysian universities as corporate entities, the academic professionals may have been marginalized and become irrelevant to the envisioning and imaging process. If this is indeed the case, we could then conclude that the academic professionals in Malaysia were being de-professionalized in the wave of growing academic capitalism among Malaysian universities.

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<sup>10</sup> See Morshidi, S. (2006). Malaysia, in Asia-Pacific Programme of Educational Innovation for Development, UNESCO, *Higher Education in South-East Asia*. Bangkok: UNESCO.

<sup>11</sup> Mok, K. H. (2004). Riding over autonomy and accountability: Reform of university governance in Hong Kong and Singapore, COE International Seminar on Organizational Reforms and University Governance: Autonomy and Accountability, *COE Publication Series, 11*, Hiroshima: Research Institute for Higher Education, Hiroshima University.

<sup>12</sup> Sankey, C. (1995). Public sector reform: Past development and recent trends, in Lee, C. Y., & Cheng, B. C. (Eds.), *Public sector reform in Hong Kong*. Hong Kong: The Chinese University Press; Pollitt, C. (1986). Performance measurement in the public services: Some political implications, *Parliamentary Affairs, 39*(3); Aucoin, P. (1990). Administrative reform in public management: Paradigms, principles, paradoxes and pendulums, *Governance, 3*(2).

<sup>13</sup> Rhoades, G. (2003). Democracy and capitalism, academic styles: Governance in contemporary higher education. Retrieved August 15, 2006, from <http://www.usc.edu/dept/chepa/gov/roundtable2003/rhoades.pdf>.

## Envisioning and Imaging of Universities in the Marketization Era

In the context of a university, envisioning could be defined as the process whereby the university community comes together to develop a shared image of what they want their university to become and how they plan to achieve it. Indeed, it is argued that envisioning is the most important factor in imaging universities.<sup>14</sup> Envisioning as a process comprises a set of techniques that have been widely used in the private sector and is now being increasingly adopted in corporate universities, where it is referred to as strategic planning. Based on the concept and premise of strategic planning process, it is argued that there are several benefits of envisioning as follows:<sup>15</sup>

- Breaks a university out of boundary thinking;
- Provides continuity and avoids the stutter effect of planning fits and starts;
- Identifies direction and purpose;
- Promotes interest and commitment;
- Promotes eagle-like focus;
- Encourages openness to unique and creative solutions;
- Encourages and builds confidence;
- Builds loyalty through involvement (ownership); and
- Results in efficiency and productivity.

Envisioning process would inevitably involved the formulation of vision, and vision can be defined rather simply as “what the university wants to become.” In a sense, vision tells us where we are going; it is our overall sense of direction, the desired destination.<sup>16</sup> Arguably, vision is a statement of the university’s culture, values, and personality. In other words, it defines more clearly how a university views itself and how it wants to be viewed by others in the accomplishment of its mission. As such, the vision creates an image which will motivate, direct, and guide a university in preparing for the future. Imaging is how universities proffer or project their future images to the world. When formulating vision, there are several assumptions that need to be adhered to in order to fully benefit from the envisioning process as follows:<sup>17</sup>

- The strategic vision needs to come from (and therefore reside in) the hearts and minds of the stakeholders (Ziegler Model).

<sup>14</sup> Retrieved August 15, 2006, from <http://www.freeworldacademy.com/newbizzadviser/fw2.htm>

<sup>15</sup> *Ibid.*

<sup>16</sup> Visioning. Retrieved August 15, 2006, from <http://www.freeworldacademy.com/newbizzadviser/fw2.htm> See also O'Brien, F., & Meadows, M. (2001). How to develop visions: A literature review and a revised CHOICES approach for an uncertain world, *Systematic Practice and Action Research*, 14(4); Steward, J. M. (1993). Future state visioning – a powerful leadership process, *Long Range Planning*, 26, pp.89-98; Ziegler, W. (1991). Envisioning the future, *Futures*, pp.516-527.

<sup>17</sup> Retrieved August 15, 2006, from <http://www.csustan.edu/StrategicPlanning/PDF-Publications/Visioning-Process/VisioningProcess.pdf>; See Ziegler, W. (1991). Envisioning the future, *Futures*, June, pp.516-527; McMaster, M. D. (1996). *The intelligence advantage: Organizing for complexity*. Boston: Butterworth-Heinemann.

- The vision statement must be short, too long of a list of values dilutes the self-organizing power of a vision (Ziegler Model).
- The statement should contain a rich ambiguity (metaphor, imagery, value-words, implication, etc.) which demands engagement and interpretation by the reader (McMaster).
- The concept of vision is the organizational attempt to define possibility, exploring what is possible and what opens up to possibility (McMaster).

Based on the above, a shared vision should then be generated and this vision is very important for the following reasons:<sup>18</sup>

- It acts as a *guiding image of success*;
- It defines an idealistic, realistic, credible, attractive *future*;
- It provides a clear *mental image* of the successful future we plan to create for our university and its constituents;
- It provides a narrative that conjures up a similar picture for each member of the university of the agreed *destination*;
- It represents *what we can be* at our best;
- It is *vivid* – something you can describe that people can picture in their minds.

Using the vision of the university thus generated, the university community should then proceed to create a success image for the institution. In a sense, a success image is a product of our imagination, which describes an event that we would be happy to experience in the future. Of course, this image is a fictitious image linked to our vision and our future.<sup>19</sup>

Again in the context of the university, it is noteworthy that successful visioning comes from a university-wide participation, whereby all sectors of the university community must decide on several important initial steps. The university's community must, first, determine when their community is ready to engage in an action planning or visioning process; second, create and organize a university-wide planning process that is inclusive in nature. Having undertaken these initial steps, all sectors of the university community, including other external stakeholders, should then focus on commonly agreed purpose, vision, action planning, and implementation schedule. Finally, the university must develop follow-up strategies and provide assistance to sustain the energy and momentum as the university implements agreed strategies for creating its future.

### **Role and Mission of the Academic Profession**

What is well-known is that academic professionals support the mission of the university through

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<sup>18</sup> Retrieved August 15, 2006, from <http://www.freeworldacademy.com/newbizzadviser/fw2.htm>

<sup>19</sup> Retrieved August 15, 2006, from <http://www.freeworldacademy.com/newbizzadviser/fw2.htm>

the application of their specialized training, skills, and knowledge. While a majority of academic professionals in any university are engaged in their core business as teachers and researchers, expand their knowledge base in their disciplines and enhancing the reputation of the university in the process, generally the position descriptions of academic professionals emphasize other responsibilities too. For example, academic professionals increase the university's functionality by fulfilling myriad service roles within the university, the community (through engagement with the community), and professional organizations.

Withstanding the range of position categories for academic professionals in a university and the community, their role, mission and relevance to the envisioning and imaging of universities is highly dependent on the extent to which shared governance is being practised in the university concerned. This concept of shared governance in the academe can take two forms: segmented or inclusive. Briefly, in the context of a university, segmented governance allows each group to carve out responsibility areas and develop policies and procedures to administer those areas. Inclusive governance is a broader concept that encourages partnerships and collaboration to help leaders guide the university. Arguably, the university will be better served by building upon the more comprehensive and integrated partnerships, which is inclusive in character.

Shared governance provides the faculty (the academics) with a mechanism to participate in the development of policy to guide the university in envisioning and imaging the university. However, the involvement and contributions of the academic professionals in the envisioning and imaging of their universities should not be mere simple participation and a collection of random efforts with minimal impacts. Ideally, their contributions should reflect active, concerted and directed efforts that impact significantly the envisioning and imaging process itself. In this way, the faculty's sense of participation in the collective endeavor will create a collective responsibility of ownership among the faculty for the university's vision and mission. It is frequently argued that with this responsibility comes a culture that seeks to nourish values which are the hallmarks of a successful institution of higher education. Obviously, removing the faculty from meaningful participation in university governance would deprive the university of one of the principal forces which drive its constant progress towards the vision and mission of the university. In fact, in a university governance system where shared governance is being practiced, the faculty becomes a partner with the administration in working out a common ground which enables it to face the challenges of the times, be it globalization/marketization or internationalization. In other words, shared governance will ensure that the academics will not be marginalized and their professional contributions will be highly sought after in the envisioning and imaging process. In fact, it is expected that no significant institutional change would occur in the absence of a concerted discussion and substantial consensus on university mission as an overarching guide for action across all levels of the institution. Interestingly, a consensus on university's mission can be achieved only when there is a culture of both understanding and trust on the university campus. It is also noteworthy; a true academic community is based on people who work

together as a team to implement the mission of the university. For this to happen, it is vital that academic staff feel connected to the university they are working for and are active partners in both planning and implementing the university's mission. Admittedly, however, the consultation and consensus building inherent in shared governance as noted above is a difficult and time consuming activity, but this can be improved and made to function more efficiently.

### **Envisioning and Imaging Malaysian Universities**

There are at present a total of 19 public universities in Malaysia. Historically, each of these universities has been established by the government for a purpose: the realization of local-national aspirations and international relevance through the creation, dissemination and application of relevant knowledge and innovations principally for the well-beings of Malaysians and for human kind in general. Subsequently, all universities have articulated their visions and missions based on their interpretations of the spirit and purpose of the establishment of their respective universities. Interestingly, most universities view a vision as a statement of *their* imagination of what ideally the future should be. In a sense, by visioning, all Malaysian public universities have created and documented an ideal future, the achievement of which the university administration will strive for. This is normally followed by a mission statement or a statement that reflects a vision-driven intention of the various administrative departments, academic faculties/schools and research institutes/centers.

It is interesting to note that the "idea of a university" resonates as the core functions of the universities in all universities for they consider that their effort in creating knowledge as their most fundamental role and all other roles like preserving, disseminating (through teaching and publications), and applying knowledge for community services (such as community engagements or outreach activities), depend on this function. In this sense, therefore, a public university in Malaysia has three fundamental roles, to do research, teach, and perform community service; it is argued that research is to strengthen teaching and inform community or contribute to outreach services.

Since the early nineties, of the 19 public universities in Malaysia, 18 have undertaken strategic planning exercises as part of the envisioning and imaging process of their respective universities. One university, Universiti Sains Malaysia, has also undertaken a scenario planning exercise in order to create a future image for itself within the context of Malaysia's continued pursuit of 'regional hub' status. These strategic planning exercises must be seen in the context of the corporatization of public universities in Malaysia,<sup>20</sup> which began with the corporatization of Universiti Malaya in early 1998. "It was envisaged that through corporatization, public universities would be freed from the shackles of government bureaucratic regulation provision and would be run like business corporation."<sup>21</sup> As corporatized entities, it is anticipated that these universities would be successful in their business

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<sup>20</sup> Lee, M. N. N. (2004). *Restructuring higher education in Malaysia, Monograph Series, 4*, School of Educational Studies. Penang: Universiti Sains Malaysia.

<sup>21</sup> *Ibid.* p.66.

ventures, raising endowments, setting up companies, acquiring and holding investments.<sup>22</sup> An important rationale for the corporatization exercise was that, in the medium to longer term, the burden on the government in terms of funding should be progressively reduced.<sup>23</sup> Viewed from another angle, the corporatization of Malaysian public universities were an exercise by the government to pressure public universities to embark on the course of “academic capitalism.” Rhoades and Slaughter<sup>24</sup> defined academic capitalism as the involvement of colleges and faculty in “market and market-like behaviors,” which resulted in “academic managers exercising greater strategic control over the direction of colleges and universities.” Interestingly, and this is so true in the case of Malaysian universities, faculties have increasingly become managed professionals.<sup>25</sup> These managed professionals subsequently contribute significantly to the strategic planning process.

In most Malaysian public universities, all activities related to visioning and imaging process occur under the co-ordination of a Corporate Planning Department/Strategic Planning task force under the aegis of the Vice Chancellor/Rector. The task force composed of administrators, faculty and staff. Whether through a comprehensive strategic planning<sup>26</sup> or just scenario planning<sup>27</sup> exercise, the image of Malaysian universities thus generated would normally have the following keywords to describe future images: world class, outstanding, excellent, innovative, progressive, and creative. There is a tendency among many universities to equate outstanding character with “world class” status (see Appendix 1 for details of the visions and missions of Malaysian public universities). Evidently from Appendix 1, these strategic visions were already formulated way before the government’s policy objective of turning Malaysia as a regional education hub, as noted in the Ninth Malaysia Plan, 2006-2010.

An important element of any strategic and scenario planning exercise is university-wide visioning retreats with the participation of staff, administrators and faculty. In most of the processes reported, academics were utilized to help design the participation process and/or facilitate university-wide

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<sup>22</sup> *Ibid.* p.66.

<sup>23</sup> Morshidi, S. *op. cit.* p.111.

<sup>24</sup> Rhoades, G., & Slaughter, S. (2004). Academic capitalism in the new economy: Challenges and choices, *American Academic*, 1(1), p.37.

<sup>25</sup> *Ibid.* p.39.

<sup>26</sup> UNESCO defined strategic planning as follows: “a disciplined effort to produce fundamental decisions and actions that shape and guide” what a system is, where it is going and how it is going to get there. Strategic planning can support strategic thinking and serve strategic management. A strategic education plan is the physical product of the strategic planning process and embodies the guiding directions on how to run an education system within a larger national development framework.” [http://portal.unesco.org/education/en/ev.php-URL\\_ID=11374&URL\\_DO=DO\\_TOPIC&URL\\_SECTION=201.html](http://portal.unesco.org/education/en/ev.php-URL_ID=11374&URL_DO=DO_TOPIC&URL_SECTION=201.html)

<sup>27</sup> For discussion on scenario planning see Ringland, G. (1997). *Scenario planning*. John Willey: London. According to Ringland, G., scenario planning is that part of strategic planning which relates to the tools and technologies for managing the uncertainties of the future and it is not about predicting the future. Rather, scenario planning is about exploring the future. Briefly, “scenario planning exercises involve identifying trends and exploring the implications of projecting them forward - probably as high, medium and low forecasts. These can include political, economic, social and technological. As different trends are chosen and different combinations of forecast levels are combined, a whole spectrum of possibilities can be identified.” [http://www.brefigroup.co.uk/facilitation/scenario\\_planning\\_definition.html](http://www.brefigroup.co.uk/facilitation/scenario_planning_definition.html)

discussion.<sup>28</sup> Based on information provided by universities, it was noted that successful visioning efforts were attributed to a substantial investment in time and money in involving the staff and faculty in the process. Arguably, it takes a considerable commitment from the university administration to ensure a meaningful level of involvement by a substantial and representative segment of the university community.

Many public universities reported that at the brainstorming session/retreats, participants would assess current and anticipated challenges to and opportunities for the university as well as its strengths and weaknesses. Subsequently, they articulated university's vision and mission, followed by retreat to review and recommend modifications to various components of the draft version of the Strategic Plan. This Plan was developed from what the task force had learned during the mission review and the visioning exercises and retreats. Evidently, the universities recognized that visioning and imaging process must be continuous and flexible, and admittedly the major payoff to the universities being the ongoing shared participation in the process. Most public universities have demonstrated that with good leadership, a shared governance and vision, they are capable of re-generating and re-structuring themselves to meet the challenges of globalization era.

### **The Academic Mission and Profession in Malaysia vis-à-vis the Strategic Vision of Universities**

According to Altbach<sup>29</sup> the academic profession worldwide is united by its commitment to teaching and the creation and transmission of knowledge. Despite this commitment, academics found themselves unable to practice their craft independently for they are directly tied to an institutional setting and to increasingly complex bureaucracies.<sup>30</sup> Lee has also alluded to similar notion about the academics in Malaysia by noting that the “bureaucratic culture has strongly influenced the daily lives of the academics.”<sup>31</sup> Even though Malaysian academics are professionals they also have to work in the bureaucratic environment of the university.<sup>32</sup> Furthermore, the corporatization of universities in Malaysia has, to some extent, introduced the “financial aspects” of the corporate world to the academe.<sup>33</sup> Rhoades and Slaughter<sup>34</sup> noted that academic capitalism presents significant challenges and choices to the academic professional either collectively or as individuals.

It is probably expedient to use Rhoades and Slaughter's arguments on the de-professionalization of the faculty to assess the implications of the visions and missions of Malaysian public universities on

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<sup>28</sup> Seminar on *Imaging universities and the mission of the academic profession – Malaysia*, organized by IPPTN and USM, Penang, Malaysia, June 29, 2006.

<sup>29</sup> Altbach, P. G. (Ed.) (2002). Centers and peripheries in the academic profession: the special challenges of developing countries, *The decline of the guru: The academic profession in developing and middle-income countries*. New York: Boston College Center for International Education and Palgrave Publishers, p.1.

<sup>30</sup> *Ibid.*

<sup>31</sup> Lee, M. N. N. *op. cit.* p.109.

<sup>32</sup> Lee, M. N. N. *op. cit.* p.113.

<sup>33</sup> Lee, M. N. N. *op. cit.*

<sup>34</sup> Rhoades, G., & Slaughter, S. *op. cit.* p.47.

Malaysian academic professionals. Reading through the list of visions and missions of Malaysian public university (Appendix 1), it became increasingly clear that there was an emphasis on learning and not teaching, making the academic professionals as teachers less central to the process.<sup>35</sup> It is interesting to note that a majority of university staff associations reported that in so far as envisioning and imaging of the universities is concerned the academic profession was given the opportunity “to deliberate and help decide the ends and social purposes their university serves. Equally important is the firm approval by the academic profession, the fact that this opportunity was in tandem with the mission of the academic staff association (representing the faculty), which is to ensure that envisioning and imaging process conforms to the constructive and liberating purposes of higher education. In this sense, the issue of the marginalization of faculty in the envisioning and imaging process of the university did not arise. However, it is a different matter with respect to professionalization for, as Lustig<sup>36</sup> noted, even though the academic staff was considered as deserving of rights and status they were at the same time as tethered to the fates of their institutions. It is indeed interesting to note that the academic professionals are oblivious to the fact that the envisioning and imaging of Malaysian universities of which they are very proud to make known their contribution and involvement actually have resulted in the “unbundling of the traditional faculty role.”<sup>37</sup> Rhoades and Slaughter<sup>38</sup> further noted that, and this is especially pertinent in the Malaysian case, academic deprofessionalized. It is notable that, according to Rhoades and Slaughter,<sup>39</sup> perhaps the greatest threat by academic capitalism is that it is becoming part of the way we talk about and define ourselves. Regretfully, while the academic profession is actively involved in the envisioning and imaging of Malaysian universities in the direction of academic capitalism, they inadvertently introduce seeds of deprofessionalization.

## Conclusion

This paper has presented and analyzed the envisioning and imaging process as adopted by Malaysian public universities. Evidently, academic capitalism is at the core of this image and trend has its roots in the corporatization of public universities in Malaysia. The adoption of shared governance and the inevitability of incorporating the faculty in the strategic planning process have in a way legitimized the strategic plan of many universities. Ownership of this plan is not a serious issue for the university management for the faculty is actively involved in its formulation. Interestingly however, in their preoccupation with academic capitalism and the image that is concomitant with, the academic staff has in the process de-professionalized themselves. Increasingly, academic work is being dictated by the market.

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<sup>35</sup> Rhoades, G., & Slaughter, S. *op. cit.* p.47.

<sup>36</sup> Lustig, J. (2005). The university revisioned: An alternative to corporate mis-education, *The Review of Education, Pedagogy and Cultural Studies*, 27, p.22.

<sup>37</sup> Rhoades, G., & Slaughter, S. *op. cit.* p.51. See also Newman, F. & Couturier, L. K. (2004). Rhetoric, reality and risks, *American Academic*, 1(1), pp.61-75.

<sup>38</sup> See Rhoades, G., & Slaughter, S. *op. cit.*, p.54.

<sup>39</sup> See Rhoades, G., & Slaughter, S. *op. cit.*, p.55.



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## Appendix 1

### *Visions and Missions of Public Universities in Malaysia*

#### **1. Kolej Universiti Kejuruteraan dan Teknologi Malaysia (KUKTEM)**

##### *Vision*

To be a world-class competency- based technical university

##### *Mission*

We aim to provide the highest quality competency-based technical education to meet and exceed the needs of our customers by offering excellent academic programs and skills training. We strive to continuously improve our business through innovation and technology development. To realize the above, we recognize our associates as our most valuable asset. We are committed to develop their full potential through participative and team involvement by providing a conducive environment that encourages creativity and innovativeness.

#### **2. Kolej Universiti Sains dan Teknologi Malaysia (KUSTEM)**

##### *Mission*

University College of Science and Technology Malaysia will be the centre of excellence for learning and education in science, technology and management of natural resources through excellent programmes towards generating holistic graduates capable of contributing to the advancement of religion and nation.

#### **3. Kolej Universiti Teknologi Kebangsaan Malaysia (KUTKM)**

##### *Vision*

To be one of the world's leading innovative and creative technical universities.

##### *Mission*

To produce highly competent professionals through world class higher technical education based on application-oriented teaching, learning and research with smart university-industry partnership in line with national aspirations.

#### 4. Kolej Universiti Teknologi Tun Hussein Onn (KUiTTHO)

##### *Vision*

Aspires to lead in the application of science and technology for the benefit of mankind

##### *Mission*

To produce and train technologist as well as professionals who are creative, innovative, competent and responsible and able to apply, explore and lead new technologies through the world class teaching and research, based on ‘Tawheed’ for the benefit of mankind.

#### 5. Universiti Islam Antarabangsa Malaysia (UIAM)

##### *Vision*

Inspired by the world-view of tawhid and the Islamic philosophy of the unity of knowledge as well as its concept of holistic education

IIUM aims at becoming a leading international centre of educational excellence which:

- Revitalizes the intellectual dynamism of Islam and the Muslim Ummah;
- Integrates Islamic revealed knowledge and values in all academic disciplines and educational activities;
- Seeks to restore a leading and progressive role of the Muslim Ummah in all branches of knowledge; thereby,
- Contributing to the improvement and upgrading of the qualities of human life and civilization.

The summary of the vision statement is:

“Inspired by the worldview of *Tawhid* and the Islamic philosophy of the unity of knowledge as well as its concept of holistic education, the University aims at becoming a leading international centre of educational excellence which seeks to restore the dynamic and progressive role of the Muslim Ummah in all branches of knowledge for the benefit of all mankind.”

##### *Mission*

Towards realizing the University's vision, IIUM endeavors:

- To undertake the special and greatly needed task of reforming the contemporary Muslim mentality and integrating Islamic Revealed Knowledge and Human Sciences in a positive manner.
- To produce better quality intellectuals, professionals and scholars by integrating the qualities of faith (*iman*), knowledge (*ilm*), and good character (*akhlaq*) to serve as agents of comprehensive and balanced progress as well as sustainable development in Malaysia and in the Muslim world.

- To foster the Islamization of the ethics of Muslim academic and administrative staff of IIUM, and certain aspects of human knowledge – particularly in the social sciences and humanities – with the view to making them more useful and more relevant to the Muslim *Ummah*.
- To nurture the quality of holistic excellence which is imbued with Islamic moral-spiritual values, in the process of learning, teaching, research, consultancy, publication, administration and student life.
- To exemplify an international community of dedicated intellectuals, scholars, professionals, officers and workers who are motivated by the Islamic world-view and code of ethics as an integral part of their work culture.
- To enhance intercultural understanding and foster civilization dialogues in Malaysia as well as across communities and nations.
- To develop an environment which instills commitment for life-long learning and a deep sense of social responsibility among staff and students?

The summary of the mission should read as follows:

- i. Integration
- ii. Islamization
- iii. Internationalization; and
- iv. Comprehensive Educational Excellence.

## **6. Universiti Kebangsaan Malaysia (UKM)**

### ***Vision***

UKM is committed to be the leading university that pioneers innovations in creating a dynamic, knowledgeable and ethical society

### ***Mission***

To be the premier university that affirms and promotes the value of the Malay Language while globalizing knowledge within the framework of the national culture.

## **7. Universiti Malaya (UM)**

### ***Mission***

To be a premier university seeking excellence in the advancement and dissemination of knowledge to meet the aspirations of the nation.

### ***Objectives***

- To be in the forefront of knowledge;
- To produce graduates of high quality;

- To develop a permanent pool of excellent scholars;
- To contribute to nation-building and the well-being of the people;
- To promote universal human values; and
- To develop an efficient, innovative and committed management.

## **8. Universiti Malaysia Sabah (UMS)**

### ***Vision***

Universiti Malaysia Sabah strives to be an innovative university of global standing

### ***Mission***

Universiti Malaysia Sabah strives to achieve academic excellence in various fields by gaining international recognition through learning and teaching, research and publication, social services and a balanced specialization of knowledge and personality development of students resulting in high productivity and quality in the context of the society and the nation.

## **9. Universiti Malaysia Sarawak (UNIMAS)**

### ***Vision***

To become an exemplary university of internationally acknowledged stature and a scholarly institution of choice for both students and academics through the pursuit of excellence in teaching, research and scholarship

### ***Mission***

To generate, disseminate and apply knowledge strategically and innovatively to enhance the quality of the nation's culture and prosperity of its people.

## **10. Universiti Pendidikan Sultan Idris (UPSI)**

### ***Vision***

To be a prestigious University providing exceptional leadership in education based on the advantage of broad experience and high level of competency in meeting global changes.

### ***Mission***

To generate and foster knowledge through teaching, research, publication, consultancy and community services to achieve the Vision of the nation.

## **11. Universiti Putra Malaysia (UPM)**

### ***Vision***

The Vision of Universiti Putra Malaysia (UPM) is to become a world class university, an internationally reputable community of intellectuals who will make the nation proud for their contributions to scholarly writing and discoveries, and continue to give new meaning to the progress, growth and development of the nation and the world.

### ***Mission***

“The University's mission is to be a leading Centre of Learning and Research, contributing not only towards human advancement and discovery of knowledge but also to the creation of wealth and nation building.”

## **12. Universiti Teknologi Malaysia (UTM)**

### ***Vision***

To be a world-class centre of academic and technological excellence through creativity.

### ***Mission***

To lead in the development of creative human resource and technology in line with the aspirations of the nation.

## **13. Universiti Teknologi Mara (UiTM)**

### ***Vision***

To establish UiTM as a premier university of outstanding scholarship and academic excellence capable of providing leadership to Bumiputera's dynamic involvement in all professional fields of world-class standards in order to produce globally.

### ***Mission***

To enhance the knowledge and expertise of Bumiputeras in all fields of study through professional programmes, research work, and community service based on moral values and professional ethics.

## **14. Universiti Utara Malaysia (UUM)**

### ***Vision***

Universiti Utara Malaysia aspires to be a Management University that is a paragon of efficiency and of world class stature.

**Mission**

To serve as a centre of academic excellence in producing human resources with the competency and commitment towards developing the nation in accordance with the University's Charter and Philosophy.

**15. Universiti Sains Malaysia (USM)*****Mission***

We aspire to lead and innovate in achieving excellence at the international level through advancing and disseminating knowledge and truth, instilling qualities that stress academic excellence and professionalism, developing holistic individuals, and providing a strong commitment towards the society's aspiration, the country's vision and universal aspirations.

**16. Kolej Universiti Kejuruteraan Utara Malaysia (KUKUM)*****Vision***

A world class academic and research institution that produces prominent leaders of the country



## Presentation 4

# Higher Education in Indonesia: Development Strategies in the Face of Global Challenges<sup>1</sup>

Muhammad Kamil Tadjudin\*

## Introduction

After experiencing the worst economic crisis ever, in 1998, the nation is in a recovery period. At the same time the entire nation is facing a critical political transition toward a more democratic civil society. After more than 3 decades under an authoritarian government, however, the credibility of the government and other formal institutions is very thin. In order to truly develop a democratic civil society, it needs a credible moral force as its counterpart.

Figure 1. Map of Indonesia



Source: <http://www.seasite.niu.edu/indonesian/indonesian-map/indo-map-fs.htm>. Retrieved October 25, 2006.

Universities are probably one of very few institutions that can be expected to play the role of a moral force in supporting a nation's democratic evolution. A credible moral force, however, should also have its own house in order, and in this area a critical analysis reveals that fundamental changes are needed in university management. A national strategy in higher education system is therefore needed to improve the competitiveness of Indonesia's higher education system by developing institutional credibility through restructuring of the nationwide system as well as the internal university system. It should be remembered that Indonesia has a large population (220 million) (see

<sup>1</sup> Paper prepared for the international conference 'Constructing University Visions and the Mission of Academic Profession in Asian Countries: A Comparative Perspective'. Hiroshima, 4 – 5 October 2006.

\* Dean, Faculty of Medicine, Syarif Hidayatullah State Islamic University and Chair, National Accreditation Board for Higher Education, Indonesia, e-mail: [tadjudin@indosat.net.id](mailto:tadjudin@indosat.net.id)

table 1) and also covers a large strategic area between Asia and Australia, the Pacific and the Indian Ocean.

**Table 1. Higher Education Characteristics of Indonesia**

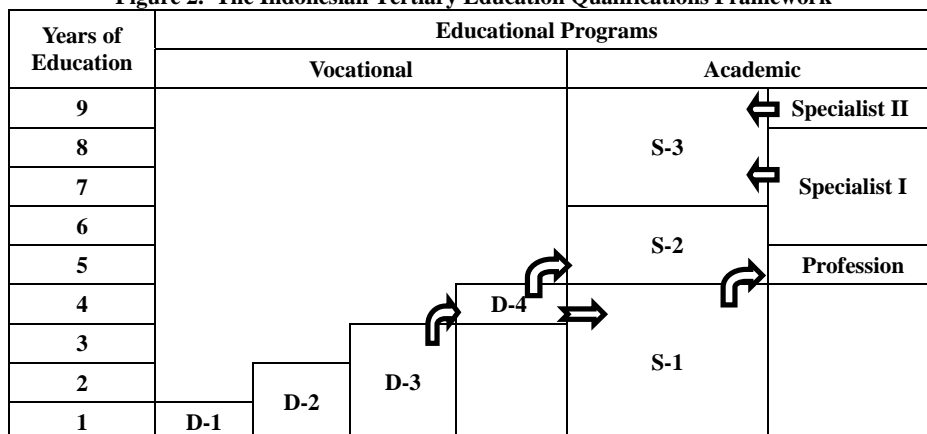
Population	220,000,000
Number of Higher Education Institutions	2600
Number of State Higher Education Institutions	100
Number of Study programs	13,894
Types of study programs	299
Number of students	3,500,00
Participation rate	14.6 %
Students in private Higher Education Institutions	2,200,000
Percentage of science and engineering students	25 %
Number of graduates/year	500,000

### **The Indonesian National Higher Education System**

The Indonesian Constitution says that the government should organize education as a “national education system.” Within this framework, the goals of national education in Indonesia are: (1) to educate the people to be agents for development and change with Pancasila traditions; and (2) to develop the human resources needed for national development. A new law on education (Law No. 20/2003) was enacted in 2003, establishing a binary higher education system in Indonesia – *i.e.* there is an academic stream and a vocational/professional stream. The vocational stream consists of the polytechnics and the *Akademi*. Programs offered in this stream are 1-year, 2 year, 3-year, and 4-year diploma programs (D-1, D-2, D-3, and D-4), ranging from accountancy to engineering, information technology, languages, and nursing programs. The practical components in the programs range from 80% in the D-1 programs to 20% in the D-4 programs. Most programs are D-3 programs. D-1 to D-3 programs are terminal programs although some D-3 programs offer transfer to a D-4 program after matriculation. D-4 programs, offered only in a very limited number of subjects, are a continuation of the D-3 programs lasting for a year and can only be entered by those holding a D-3 diploma.

The academic stream (*sarjana* programs) consists of 4-year undergraduate (S-1), 2-year master (S-2), and 3-year doctoral (S-3) programs. The academic stream also includes academic professions (labeled specialist programs, or “Sp”) like medical doctors or accountants. For certain programs it is also possible to transfer, after matriculation, from the vocational stream to the academic stream (D-3 to S-1, D4 to S-1, or D4 to S-2) as reflected in Figure 2.

**Figure 2. The Indonesian Tertiary Education Qualifications Framework**



### Academic Professions in Indonesia

Professional education in Indonesia started during the colonial period. The Dutch colonial government established academic professional education to fill the needs of the colonial administration. The first professional education established was medicine, followed by veterinary medicine, law, and engineering. Only in 1940, after the Netherlands was occupied by the Nazis in the Second World War was a Faculty of Letters and Philosophy established. Academic professional education in accountancy was only established after independence.

Standards in professional education are mainly determined by government regulations. 'Recognized' universities grant professional degrees. Only in 2004 were laws formulated to give professional associations a dominant role in setting standards in their respective fields and certification. Licensing would still be in the hands of the related ministries of the government.

### Current Issues in Indonesian Higher Education

The most pressing contemporary issues in higher education in Indonesia include the following:

1. **Enrollment capacity:** At present the 100 state tertiary institutions can only enroll about 100,000 new undergraduate students each year and 3000 graduate students. The private universities can enroll about 250,000 students. The total number of students enrolled in state tertiary institutions is about 1,000,000, while there are about 2,500,000 in the private universities, bringing the total number of students in tertiary institutions to about 3,500,000 or a gross enrollment rate of about 14.6% in 2004 (DGHE, 2004).
2. **Equity and participation rate:** The economic downturn at the end of the last millennium was a challenge to the efforts for amplifying the rate of participation while taking into account equity (gender, social, and regional) in enrollment. The number of students on scholarship of some kind is only around 11% of the total number of students (DGHE, 2004).
3. **Quality of education:** The quality of education is not uniform throughout the system.

Usually the state universities are better than the private ones. An external quality assurance system in the form of a National Accreditation Board for Higher Education is in place. A program review system is used to review about 11,000 study programs now registered. At present about 80% of all tertiary study programs have been reviewed. The issue of quality is of course also related to funding.

4. **Funding:** Sources of funding for state tertiary institutions are government budget allocations (60%) and tuition fees (40%). Funding from other sources is very limited. The average funding per year for state tertiary institutions is only about US\$ 1,000 per student, while the real need per year would be about US\$ 2,500 per student. Tuition fees for regular students in state tertiary institutions range from US\$ 50 to \$500 per year. Many state tertiary institutions have established special/extension programs with higher tuition fees in order to increase their income. Because of this shortfall, maintenance in many state tertiary institutions suffers. Most private tertiary institutions do not get government support, so that their income is almost exclusively from tuition fees, which ranges from US\$ 500 to \$ 7,000 per year. With the new policies and shifting role of the DGHE, schemes of financial incentives have been introduced which are open to state and private universities and should steer institutions towards quality, efficiency, and equity. These schemes are based on competitive funding among equal institutions or a tiered competition.
5. **Internal efficiency of the educational institutions:** The internal efficiency – especially in the private universities – is still low, causing a shortage of manpower in certain disciplines.
6. **Relevance of the curriculum to the needs of the society:** Many university graduates cannot find employment. The curriculum is blamed for this situation as being not relevant to the needs of society. At present only about 25% of students are in the area of engineering and science.
7. **External efficiency:** Many graduates work in areas outside their area of education. Although some feel that this shows they have been well educated to be able to work outside their area of education, others feel there is a waste of resources, especially as there are so many engineers working outside their field. Of course the state of development and economic situation of the country is also a factor in this matter.
8. **Governance:** University governance structures at present do not have sufficient autonomy to ensure institutional integrity and to fulfill the responsibilities of policy and resource development. Public universities are treated as part of the government bureaucracy, and private universities as part of the foundations to which they belong. New laws and regulations must be enacted to clearly define the role of leadership in universities.

### **Indonesian Higher Education Development Strategy**

In a globalized world, a nation's competitiveness is defined by its country's economic relationship

with world markets, while its products tend to come less from abundant natural resources and cheap labor than from technical innovations and the creative use of knowledge, or a combination of both (Porter, 2002). The ability to produce, select, adapt, commercialize, and use knowledge becomes critical for sustained economic growth and improved living standards. Solow (2001) and other scholars have demonstrated the striking difference in GDP between countries that can be accounted for by their investment in knowledge. Moreover, a nation's competitiveness can only be achieved when its citizens are well-educated and are able to lead meaningful lives. A national higher education system should obviously provide students with a good scientific knowledge. It should also contribute to the process of shaping a democratic, civilized, humane, inclusive society, maintaining a role as a moral force and as the bearer of the public conscience. In the end higher education should educate students to lead meaningful lives.

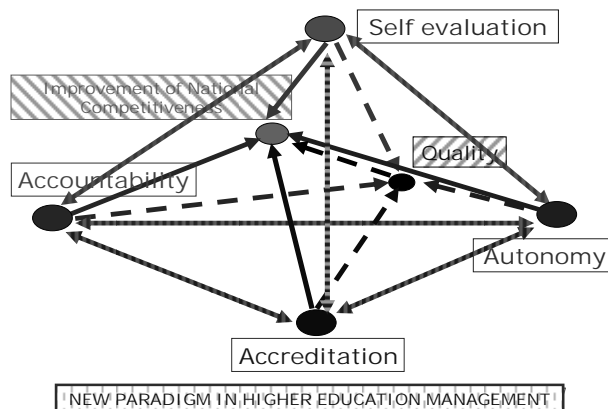
From this perspective, the Indonesian Higher Education Vision 2010 or Indonesian Higher Education Long Term Strategy (HELTS) contains the following features (DGHE, 2003a):

1. **Quality education:** Higher education that reflects students' needs, develops students' intellectual capacity to become responsible citizens, and contributing to the nation's competitiveness;
2. **Access and equity:** Providing opportunities for all citizens to develop to their highest potential levels throughout life; and
3. **Organizational health:** The basis of improving the organization in higher education institutions is by giving autonomy to these institutions coupled with accountability and supported by a legal, finance, and management structure, that encourages innovation, efficiency, and excellence. Autonomy also brings a shift in the regulatory environment, which now must encourage innovations at the level of individual institutions. The Higher Education Institutions themselves should also change to the new conditions. New institutional management practices must be introduced to meet the challenges and build a conducive academic atmosphere.

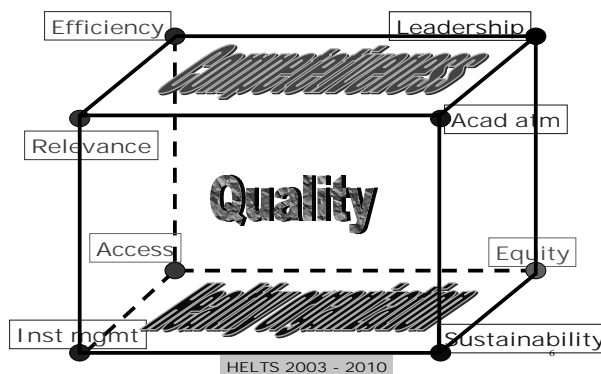
This strategy is reflected in the 'new paradigm' of higher education management (Figure 3). According to this new paradigm higher education should be competitive not only nationally but also regionally and globally. This competitiveness should be reached through quality education. To attain quality education the higher education institutions should develop a healthy organization based on autonomy and accountability. In this aspect internal and external quality assurance plays an important role.

On the other hand higher education institutions should also increase their enrollment capacity, therelevance of their programs to national and global needs, and their internal and external efficiency. Figure 4 tries to show the relationships of the problems.

**Figure 3. The New Paradigm in Higher Education Management**



**Figure 4. The 'Strongbox' of HELTS**



### Impact of Globalization on Higher Education

Although the economic conditions at present are not so good, Indonesia, with its population of 220 million, is still a good market for international education, whether for transnational or for recruiting students to study overseas. Many advertisements from institutions engaged in transnational education and in recruiting students for studies overseas appear almost daily in the local newspapers. Many are from reputable institutions, but some come from institutions, which are of doubtful reputation (French, 1999). There are no accurate figures, but it is estimated that about 20,000 Indonesians study abroad each year. This means at least US\$ 400,000,000 is spent by Indonesians for education overseas. The number of students taking part in some kind of transnational education within the country is estimated at about 5,000. Compared to the number of students in Indonesia, these numbers are relatively low. On the other hand the number of foreign students in Indonesia is also relatively low. Most foreign students come from Malaysia, because of similar language. Students from developed countries usually come to Indonesia to do an elective, usually in Indonesian language or culture, or a research project. The number of foreign students studying in Indonesia is about 5000, out of which about half are from Malaysia. Several Indonesian universities are now also offering courses in English.

Globalization has also an impact on the national higher education system and higher education institutions, because globalization means that graduates from Indonesian universities must compete with graduates from overseas universities. At the national higher education system level the push of globalization made the government loosen control on the higher education system. More autonomy is granted to higher education institutions. At the institution level, globalization forced the universities to be more competitive in running the institutions and in quality. The public demands that universities deliver more efficient education of better quality.

Regional cooperation between universities in the region is established in the form of the ASEAN (Association of South East Asian Nations) University Network (AUN) and in the framework of the SEAMEO (South East Asia Ministers of Education Organization) network. Both the AUN and SEAMEO networks have its headquarters based in Bangkok, Thailand. AUN is at present, with the support of the European Community (EC), promoting mobility in the region and between the region and Europe by establishing a regional Credit Transfer Scheme (CTS).

## Epilogue

With all the shortcomings, the development of Indonesian higher education has made giant strides. With only 3 universities at independence in 1945 and only a few hundred graduates, there are now about 2600 institutions of higher education and 300,000 graduates. Even so the demand for higher education is high and funding is limited, so that universities must be creative in developing programs.

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## Session 2 Comments

Kazuhiro Sugimoto\*

In Session 2, we heard three reports from South Korea, Malaysia and Indonesia.

Firstly, Professor Hyun Chong Lee gave a keynote speech on visions for universities in South Korea in the 21st century. He stressed the importance of the visions for global educational enterprise in the global era, while pointing out that it was important to coordinate the relationship among autonomy, accountability, cooperation, and competitiveness in a balanced way. To keep a balance among such conflicting ideas or concepts in a university is critical in establishing university visions.

Secondly, Professor Morshidi Sirat of Malaysia analyzed the envisioning and imaging process of Malaysian universities in the Malaysian government's efforts to transform Malaysia into the regional education hub. He then indicated what impact the envisioning and imaging process has on the academic profession in terms of its mission, role, and position. Very importantly, he mentioned the risk of the de-professionalization or marginalization of Malaysian academics in the progress of academic capitalism.

The third presentation was given by Professor Muhammad Kamil Tadjudin of Indonesia. He gave an overall view of the Indonesian higher education system and a wide range of current issues in Indonesian higher education. He shed light on Indonesia's comprehensive higher education development strategy, Higher Education Vision 2010, which copes with quality, access, and equity, and organizational health. In particular, in this Vision, the importance of university autonomy and accountability was emphasized as vitally important for universities to meet the new conditions and challenges.

Based on the presentations by the three speakers, I would like to discuss common topics that we need to think about in this session. These topics are important to understand what is currently taking place in Asian higher education and where we are going in the near future. First, we need to see how Asian countries have been responding to the impact of globalization. Second, we should think about the meaning of generating university visions in the global era. Last, we should consider how the academic profession is changing in terms of its role, function, and mission in the process of globalization.

Let's look at the first point: national responses to globalization in Asian higher education. Asian universities are commonly faced with the problems of how to cope with globalization.

One of national responses to globalization is to strengthen each country's competitive global position. For instance, South Korea's Brain Korea 21 (BK21) policy is well known as one of such

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\* Associate Professor, Education Center, Kagoshima University, Japan, e-mail: sugimoto@ms.kagoshima-u.ac.jp



measure. BK21 was designed to develop Korean universities into world-class institutions through benchmarking with elite universities in the West. As is well known, the Ministry of Education (MEXT) in Japan also launched a similar initiative called the COE program. On the other hand, Malaysia has been trying to become an educational hub in the region. Malaysia used to send their students overseas, but in recent years, it is seeking to develop their educational industries to become a regional hub and to attract students from overseas. In this process, Malaysian universities are also aiming to join world-class universities.

The second point is deregulation in higher education. Many national governments in Asia have changed their relationships with universities during the last decade. While those governments have provided universities with more autonomy, they have also required universities to be more accountable for their funding. In this context, in Malaysia some public universities were corporatized and private providers, including foreign universities, were allowed to operate and confer degrees in the late 1990s. In particular, the emergence and development of private sectors in Malaysia was quite significant in that it led to the expansion of transnational education.

The third response to globalization is the reform of management and governance in higher education. As Professor Tadjudin mentioned in his presentation, one of the Indonesian higher education strategies for globalization is to establish a new paradigm of higher education management which is composed of various elements such as quality, accountability, accreditation, and autonomy. Generally, in the process of globalization, there has been a shift in higher education governance and management, which is often explained as a shift from a collegial style to a corporate or managerial style. As in Malaysian public universities after their corporatization, many Asian universities manage themselves in a corporate style by using strategic planning in particular. The introduction of such a new style of management is one consequence resulting from globalization.

In connection with such national responses to globalization, it has become increasingly important to construct their own visions within each university. According to Professor Morshidi, university visions are a statement about the university's future and how they want to achieve it; academics play a major role in such a vision-generating process through shared governance.

However, at the same time, academic capitalism has been coming to the front in some universities. As a result, university visions are generated more or less in accordance with academic capitalism. In this context, the academic profession is at increased risk of being de-professionalized. In this regard, the Malaysian case is of high interest. As Professor Morshidi pointed out, many Malaysian academics are not aware that they are losing part of their traditional roles in the process of generating university visions. In this sense, we need to know that, with the progress of academic capitalism, the academic profession will be transformed from the traditional model to a new model for the 21st century. We are not sure, however, what a new model of academic profession will be like. If the academic profession becomes more and more de-professionalized, there will be increased risk that the academic profession will not be recognized as a legitimate profession. At some point, we have to decide whether to protect

the academic profession in the traditional style or to establish a new model of academic profession with new roles and missions.

Finally, I briefly conclude my comments by presenting three points we should undertake and consider for discussion in order to promote research on the changes in universities and the academic profession in Asia.

First, we need to further clarify the differences in how to cope with the impact of globalization in Asian countries. As Professor Lee of Korea discussed the conflict of conformity and diversity in his speech, we need to put more emphasis on the differences and diversity among Asian nations. Second, we should conduct empirical research on how the academic profession is changing amid various changes such as globalization. Third, we need to clarify whether the academic profession can maintain its traditional professionalism, and, if not, what new components constitute a new academic profession.

## **Session 3**

### Keynote Speech 3

## Chinese Mode of Creating Elite University through United Construction

Maoyuan Pan\*

Last century, since the mid-90s, a new mode of creating elite universities has appeared through united construction by the central and local governments, and, the universities themselves. Such projects, like “Project 211” and “Project 985”, which were initiated and carried out in conformance with the national strategy in Science and Education for National Prosperity, attracted much attention because of their related social aspects.

### Background

The 30 years since the New China was created in 1949 to the end of 70s saw four decisions in 1954, 1959, 1960 and 1978 respectively to create new universities. By then, the number of key universities had increased from six to ninety-six. At the beginning of 80s, it was suggested that dozens of universities be selected out of the then 700 universities across China. The national government would invest money in these universities in the hope of constructing several world class universities.

After the recommendation of and approval by central government leaders, five universities were selected as key projects in the seventh national 5-year plan (1986-1990). In 1990, as a strategic policy, the suggestion to build a number of key universities with some disciplines reaching world class standards was written into the national work report. It was explicit in the Ten-Year Plan for National Economy and Society Development (1991-2000) and the eighth Five-Year Plan (1991-1995) that the number of universities which were supported by the national government would be increased from five to eleven. Later, a suggestion to build key universities in the 21<sup>st</sup> century was brought up and approved by the central government.

The ninth Five-Year Plan (1996-2000) was the most critical period of China’s national economical and social development. The central government attached great importance to scientific progress and the laborers’ mental, physical and moral qualities. Personnel training and education became the most important issues with the development of human resources in scientific and social areas. The fierce international competition, the growing new technology in the world and the urgent demand of national

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\* Professor, Xiamen University, China

modernization called for an increased combination and integration of higher education and social development. In this setting, the *Project 211* (to build about 100 key universities and hundreds of key disciplines in the 21<sup>st</sup> century) was put forward and is still in the process of being completed. The aims of the project were to educate high level students for the demand of scientific, economic and social development and to enable some institutions of higher education to upgrade their teaching and research qualities in the hope that a few of them could achieve world class standards after ten or more years.

As a national project, *Project 211* played an historical role in the advancement of China's scientific and cultural development. However, it is still too difficult for all these 100 universities to develop simultaneously because of their history, social reputation and lack of resources.

On May 4<sup>th</sup>, 1985, the 100<sup>th</sup> anniversary of Beijing University, the then president, Jiang Zheming, suggested that some universities with world class standards be built to meet the demand and to modernize universities. Hence, *Project 985*, a more important project than *Project 211*, was launched with the aim of building universities recognized around the world. New administration and functional systems were set up to gather excellent resources, invest on key disciplines and bring the advantages into full play. This would be a great leap forward in the development of higher education in China.

### **New Modes of United Construction**

A significant increase in funding would be needed for both *Project 211 and Project 985*. So, collective efforts were needed to claim funding from the central and local governments, universities and other social sectors. Reforms on economical systems since 80s in the last century contributed greatly to the income of local developments because they attached great importance to higher education. As a result, a new, united mode for building elite universities was formed. This was a totally new mode in organizational management involving the contents of united construction, fund raising and its use.

*Organization and Management* The *coordinating committee for Project 211* was organized by the State Council, the former National Educational Committee, the National Planning Committee, the National Treasury Department and other concerned organizations. This committee was in charge of the development and guiding of important principles and policies. A subordinate committee for *Project 211* was also set up to be responsible for specific practical management, inspection and assessment. Later, two interim procedures for the construction of universities and the special funds were drawn up and issued. A series of management documents were created on the construction, financial management and purchase of equipment. Following that, a legal organization and a team of leaders were established. Some universities went a step further by setting up a sub committee. The person in charge signed a duty contract, divided and assigned the jobs and expounded on the

construction of the project to the coordinating committee.

Similar to *Project 211*, a leading committee and working committee for *Project 985* were established to coordinate important guiding principles and the overall schemes. An office was set to be in charge of specific routines and jobs. According to the construction objectives and mission, the leading and working committees would decide the basic requirements for those universities who wanted to be on the list for *Project 985*.

During the construction of these projects, inspection, auditing and their achievement would be assessed by the Ministry of Education and the National Treasury Department. Adjustments for funding and specific programs would be based on the results and the situations. Furthermore, checking would also be done when the programs were finished.

These related institutions set up relevant organizations to take full charge of the overall planning and the completion of *Project 985*. Feasibility and demonstration reports of every university were made to the leading committees. After the plans for the projects were examined and approved, a schedule was established to begin the construction. In some universities, management groups were set up to take charge of the platforms, research bases, faculty development, equipment, books for the library and, finally, for assessment and achievement.

### *Construction Content*

Construction of Important Disciplines The construction of important disciplines was the main task of project 211. Its specific requirements were:

- to select some important disciplines relevant to the national economy, scientific advancement and social development;
- to select some important research bases which, hopefully, would make breakthroughs in some fields;
- to form a series of discipline groups which were relevant to each other and which could share their resources; and
- to strive for a complete and rational discipline system which would cover all the research fields and trades, and, push forward the development of science and technology.

About 800 important disciplines were on the lists. They covered such important disciplines as agriculture, hi-tech, basic discipline, economics, politics and law, resources and environment, medicine and health, humanity and social sciences.

Each university would be constructed according to the national overall plan and its needs and importance. Take Xiamen University for example, its aim was to construct discipline groups based on its thirteen national disciplines. Priority was given to the important disciplines with a strong foundation and an outstanding reputation. They would be able to tackle the problems in national and local, economical development such as life sciences, computers and information sciences.

Construction of Innovative Scientific Platforms and Bases The construction of Innovative Scientific Platforms and Bases was the main objective of *Project 985*. Guided by the Discipline Construction Planning Document and the requirement of the international scientific edge, a series of high level, innovative, scientific platforms were been built and integrated. Meanwhile, a series of innovative scientific bases on philosophy, social sciences were also established in the light of some social problems. These bases were characterized by inter-discipline, innovation, intersection and availability to the public. The platforms and bases were classified into two Categories: I and II (I is higher and more important than II).

For *Project 985*, thirty-one of the thirty five universities applied for thirty innovative scientific platforms in Category I, and fourteen of them applied for innovative bases of social sciences in Category I.

Afterwards, each university selected its platforms or bases for the key projects in *Project 985*. For example, Xiamen University chose six innovative scientific platforms and five innovative research bases in social sciences.

Development of Faculty and Researchers This was a common concern of *Project 211* and *Project 985*. As for *Project 211*, the faculty required more training and education inside the universities themselves so that they could become leaders and the backbone of academic development. In *Project 985*, the focus was to attract and hire outstanding professors of world renown, both from home and abroad, who would be the backbone of academic development. Students with great potential, both PhD and post-docs students, could be trained and educated to form a greater number of first class researchers who would teach and/or continue do their research at these universities.

Maintenance of Infrastructure The maintenance of infrastructure was involved in both *Project 211* and *Project 985*. *Project 211* paid great attention to the construction of external public service systems, including the construction of China Education and Research Network, Security System for Reference Books, Modern Instrument and Equipment Sharing System. *Project 985* attached great importance to the construction and sharing platforms, public resources and equipment, digital educational and the research environments. Hopefully, they would reach international, advanced levels soon.

Enhancing International Communication and Cooperation Both *Project 211* and *Project 985* claimed to enhance international communication and cooperation. The former aimed for broadening the influence of China's higher education internationally while the latter aimed at enhancing substantial cooperation with renowned scholars and first class universities around the world, including the joint education of students, the joint tackling of key scientific problems, sponsoring first class international conferences and attracting more international students.

Furthermore, Project 985 demanded innovation in management systems and functioning systems based on construction demand for first class universities, reforms of personnel systems in accordance with the ideas of competition and circulation of personnel, assessment of talents, motivational systems such as higher salaries and additional research funds.

Project 211 aimed to establish a functional system characterized by innovation, intersection, sharing of ideas, and establishing an assessment and evaluation system based on investment benefits. Each university would launch its own reforms on relevant management and functional systems for the innovative scientific platforms emphasizing the bases of philosophy and social sciences.

Raising of Funds and Their Use In order to motivate the departments concerned, fund raising was done in many ways. The use of funds, however, was different for each because of the different content of construction. As for Project 211, the funds were mainly raised by the national departments and local governments, supported the universities, along with some additional funds from the central government. The special fund from the central government was used to subsidize the development of disciplines of national importance, the public service system of higher education, and the infrastructure of a small number of universities. As for the special fund from the central government, the proportion between the National Planning Committee and National Treasury Department is 6.5: 3.5. The university itself was encouraged to raise funds accounting for around 20 percent of the total amount.

As for Project 985, in addition to the special funds from the central government, the relevant departments and local governments were also encouraged to raise funds. They were mainly used for the innovative scientific platforms, bases of philosophy, social sciences and faculty development.

The Treasury Department and the Ministry of Education specified the use of the other funds. Great differences could be seen among the universities on the use of funds. For example, Beijing University and Tsinghua University have already obtained RMB1.8 billion, respectively, and will continue to receive more funds in the future, as necessary. They were followed by 7 universities: University of Science and Technology of China, Nanjing University, Fudan University, Shanghai Jiaotong University and Xi'an Jiaotong University. The main objective was to construct first class universities recognized around the world. So far, these universities have obtained RMB300 million, respectively, excluding the investment from the local governments. For instance, Guangdong Province has invested 900 million in Sun Yat-Sen University, Shandong Province 500 million in Shandong University and Gansu, a province in the northwest of China, has invested 150 million in Lanzhou University and also has gained 300 million from the Ministry of Education.

### **Achievements Attained**

The successive issues of Project 211 and Project 985 and the common efforts of governments at all levels, institutions of higher learning and society itself have made it possible for some institutions of



higher learning to attain great development in discipline construction, faculty development, talent cultivation, scientific research and achievement transformation.

*Discipline Development and Structure Optimization* Since the implementation of Project 211 and Project 985, institutions of higher learning have earnestly focused on discipline development and improved the overall standards of each discipline. Taking national economic building and social development as the starting point, Project 211 undertook macro-control by optimizing structure and financially supporting some important universities. These universities are encouraged to share faculties and facilities to avoid the narrow professional outlook. For example, Nanjing University guaranteed its focus and a faster development by establishing a number of first class disciplines and special study areas. By relying on key disciplines, the Agricultural University of China established a group of research centers for forage, corn improvement and the study of gene-transformed plants, and played a leading and exemplary role in teaching, scientific research and talent cultivation. Project 211 helped to create a developing environment for those discipline closely related to social and economic development. It adopted effective measures to realize the combination of discipline development and practical application; therefore, frontier topics which are key to national economical and social development, such as life sciences, information sciences, environment sciences, bio-chemistry engineering were specifically promoted and cultivated. In addition, Project 211 combined and sustained other relevant disciplines into one comprehensive discipline.

During the ninth 5-year plan (1996-2000), the development of key disciplines enhanced the ability to solve significant scientific and technological problems and to solve knotty problems related to scientific research. For example, Beijing University, which now boasts seven academicians from the Chinese Academy of Science and a large group of core members in academic research, has gained substantial achievements in the calculus dynamic system. This lays a solid basis for building a first class mathematics discipline recognized around the world. In genetics, at Fudan University, as a result of 90 research projects, new human genes have been cloned so they have applied for Chinese invention patents and, in addition, six have applied for PCT.

Until August 2000, the total number of key discipline construction projects in our country reached 602 covering the following seven fields: culture and society, economics, politics and law, basic science, resources and environment, basic industry and high technology, medicine and health and agriculture. These projects have played a key role in promoting discipline structure adjustment and strengthening discipline power.

*Faculty, Scientific Research Teams, Discipline Leaders and Researchers* The key disciplines focused on the building and development of the teaching staff and the scientific research team. Most institutions of higher learning accepted by Project 211 have issued new personnel systems to attract, encourage and cultivate both current and new faculties. This has resulted in

excellent conditions to foster key academic research teams for those middle-aged faculties. The teachers of Project 211 with doctoral degrees accounted for 87% of the total national number. During the ninth 5-year plan, the proportion of teachers who had doctoral degrees increased by 109% and students who returned with degrees from abroad increased by 38%. Universities of Project 985 supported the view that excellent faculties were one of the most important resources. Various measures were taken to hire excellent teachers and strengthen the qualities of the teaching staff. Take Xiamen University as an example, through flexible hiring, it introduced 536 full-time teachers (262 persons with doctoral degrees and 65 professors). During the three years of the first phase of Project 985, many were first class experts from home and abroad. Teachers who possessed a doctoral degree increased from 17.6% to 32% while graduate students who returned from abroad increased by 43.7%. Among these excellent teachers was a group of experienced middle age teachers. From the year 2001-2003, 190 teachers were regarded as key teachers who eventually became the academic leaders of relevant disciplines.

*Research and Industrialization of Science and Technology* The guiding thought of Project 211 was to face the main challenges related to the economical and social development. During this time, as a result of productive forces combining the economical and social development, scientific research and education policies were transformed and enhanced. For example, the large-scale container checking system of Tsinghua University sponsored by Project 211 funds, successfully solved problems in the scientific, technological and industrial fields. Now, a series of products for container checking system have been produced such as a built-in mode, combinational mobile mode, vehicle carrying mobile mode, and a truck carrying mode. Since Customs was equipped with this system, it has seized smuggled goods worth more than RMB 200 million. Now, Customs throughout China is equipped with this system regarded as the leading large-scale container checking system and has received excellent reviews. The project, “The Research and Development of Key Technological Equipment for Special Use in Processing Santana Piston”, in Shanghai Jiaotong University has saved in foreign currency upwards of 5,570,000 German marks for relevant enterprises of Shanghai and an additional RMB 27 million investment for Technological Reform which produces direct economic returns worth RMB 36 million each year. The key discipline development project, “Thermal Energy and Environment Engineering”, a 0.5 MW experimenting platform for liquidized waste burning in Zhejiang University, has gained a series of achievements in waste burning technological research. This application has created taxes and profits worth more than RMB 40 million.

Institutions of higher learning of Project 985 enhanced the construction of innovative scientific platforms and bases in social sciences, and, the development of faculty. This increased the total number of scientific research projects and their conditions and environment. Some of these achievements have reached or are approaching advanced, world levels. In addition, institutions of higher learning mentioned in Project 211 are continuously exploring new modes to study and establish

bases to promote the transformation of scientific and technological results. Some of them have been industrialized and acquired great social and economic returns.

*Capacity and Quality of Education and Teaching* The implementation of Project 211 encouraged every institution of higher learning to further transform their thoughts and values to deepen reform in teaching to reach a common understanding in educating students. The goal was to improve the comprehensive quality of education, the knowledge of students and the development of each individual student. These ideas have been put into active practice.

Institutions of higher learning of Project 985 have continued to improve and raise their standards. Through a series of measures, they have continued to advance and strengthen the comprehensive quality of education and the creative consciousness and capabilities of students. For instance, many colleges and universities have taken the following measures to improve the overall quality and competence of both faculty and students. They have encouraged postgraduate and undergraduate students to participate in scientific research, taught undergraduate students with more practical experiments and adjusted the educational plan for postgraduate and doctoral students.

*Facilities and Equipment* Project 211 paid full attention to improving mechanical equipment used in universities by increasing investment to transform the campus internet, library, public teaching labs and public service facilities, such as the gymnasium. So far, all these campus networks have played an essential role in teaching, scientific research and management, as well as, providing advanced approaches for multi-campus and long-distance management. The collection of electronic literature in the library continues to increase and these resources have become more and more popular to satisfy the growing needs in teaching and scientific research. Basic labs such as computer teaching labs, public English video labs and basic physics and chemistry labs have also been improved. As a result, the teaching level of experiments has improved dramatically. The transformation of basic facilities continues to strengthen and improve including the teaching buildings, scientific research labs, student and teacher dormitories and gymnasiums. These improvements have helped considerably in the running of these schools.

Universities of phase I in Project 211 accounted for 72% of scientific research expenditure, 54% of facilities and equipment values and 31% of the total for collections of books and electronic literature in the libraries. Universities with excellent faculties had 96% with doctoral degrees, 84% with master degrees and 32% with bachelor's degrees. Furthermore, they have 96% of the national key labs and 88% of the national key disciplines in China.

### **Existing Problems**

While great progress has been made since the launching of these two projects, some problems still exist. They are as follow:

*Geographical Distribution of Key University* Both Project 211 and 985 aimed at constructing a number of elite universities. They were located mainly in the east part of China. This further widened the education gap between the east and the west. So far, there are 107 universities belonging to Project 211 and 38 belonging to Project 985. From the chart, Page 12, it can be clearly seen that among the 107 key universities of Project 211, there are 63 in the east, 24 in the middle and only 20 in the west. This accounts for 59%, 22% and 19% of the universities respectively. As for the 38 key universities of Project 985, there are 23 in the east, 8 in the middle and 7 in the west, accounting for 61%, 21% and 18% respectively.

In terms of geographical distribution, it is interesting to note that 10 out of the 38 universities of Project 985 are located around Beijing and Tianjin while 7 are in the Changjiang River Triangle (east). In particular, there are only 2 located in the Zhujiang River Triangle (south) while the remaining are scattered around China. This does not promote a fast economical and social development throughout China.

In terms of city distribution, there are 8 universities belonging to Project 985 in Beijing and only 3 in Shanghai. However, Shanghai's economy is better, not worse than that of Beijing. The negative results of these two projects will be clearer in the future.

**Table 1. The Geographical Distribution of the Two Projects**

Province University	Beijin	Shanghai	tianjin	Chongqin	Hebei	Shangxi	Inner Mogolia	Liaolin	Jilin
Project 211	23	9 + 1	3	2	1	1	1	4	3
Project 985	8	3	2	1				2	1
Province University	Helongjiang	Jiangsu	Zhejiang	Anhui	Fujian	Jiangxi	Shangdong	Henan	Hubei
Project 211	4	11	1	3	2	1	3	1	7
Project 985	1	2	1	1	1		2		2
Province University	Hunan	Guangdongng	Guangxi	Sichuang	Yunnan	Guizhou	Shangxi	Gansu	Xinjiang
Project 211	3 + 1	5	1	5	1	1	6 + 1	1	1
Project 985	3	2		2			3	1	

Source: the latest list of Project 211, 2006-04-07.

*Selection of Important Disciplines* During the selection of important disciplines in each university, too much attention was paid to the traditional disciplines while newer disciplines, the ones

demanding intersection, the periphery disciplines and others of great potential, were neglected. As to the combined discipline group, it was simply an assortment of disciplines lacking any real internal relations so it was hard to maximize their use. If things like this continue, it will be harmful to the development of universities in the future. The construction of innovative scientific platforms and innovative bases for social sciences is partially composed of the above negatives. The selected disciplines were not necessarily the most powerful ones but the ones the universities wanted to develop and strengthen most. However, some problems still exist.

First, most of the key universities of Project 211 were comprehensive and research-oriented. They lacked the participation of universities on finance and economics, and geography and mining. Medical science was also excluded in the innovative scientific platforms of Category I.

Second, some innovative, scientific platforms and bases of the second phase of Project 985 were repetitive which can be seen from Table 2 on next page. The innovative, scientific platforms of Category I on the Information already existed in Tsinghua University, Zhejiang University, South East China University and Electronic University of Science and Technology. It can also be seen that innovative scientific platforms of Category I in Chemistry continue to exist in Beijing University, Nankai University, Xiamen University and Dalian University of Science and Technology.

**Table 2. The Repetitive Construction of the Platforms in the 2<sup>nd</sup> Phase of Project 985**

University category	Tsinghua Univ.	Zhejiang Univ.	Southeast Univ.	Univ. of Electronic and Technology
Information	Information science	Information and control	Communication Technology	Electronic information
University category	Beijing Univ.	Nankai and Tianjin	Xiamen Univ.	Dalian Univ. of Science and Technology
Chemistry	Molecule science	Green chemistry	Chemistry	Green resources
University category	Fudan Univ.		Shangdong Univ.	
Material	Advanced material		Functional material	
University category	Nanjing Univ.		Univ. of Science and Technology of China	
Material science	Material Science		Micro size material	
University category	Harbin Univ.	Beijing Aviation and Aeronautics Univ.		Northwest Univ. of Industry
Aviation	Navigation	aviation		Unmanned navigation
University category	Mid-South Univ.		Northeast Univ.	
Metal	Nonferrous metals		Metallurgy and Material	

Source: platforms and bases of category I in Project 985, <http://www.cuaa.net>

*Problems in Investment* The funds given to the universities in both Project 211 and Project 985 were invested in the name of each university as a unit rather than by their disciplines. This resulted in some problems. It is well known that it is possible to find strong disciplines in key universities; however, often, only a few strong disciplines can be found in general universities. If the universities of Project 211 and Project 985 are financed in the name of each university as a unit, then

the university could invest more on those once weak disciplines for the sake of a better balance. What is more, the key universities of Project 211 and Project 985 would try their best to persuade or attract outstanding professors, even if it meant that these professors would have to leave their current universities, to join the ones of Project 211 or 985. This would add frost to snow as the general universities would have to strive harder to survive. Unfortunately, it would probably harm those general universities that had played important roles in local economic and social development.

*Use of Funds* The checking and approval of the first phase of Project 211 showed that the use of funds was not very appropriate. The problems were as follow.

First, there was too much investment on hardware like infrastructure, equipment purchasing and too little on software like faculty development and international communications. In particular, more investment was needed to upgrade lab equipment, lab management and lab operators.

Second, too much money was spent purchasing equipment but too little on repairs and maintenance. Unfortunately, the funds were usually all spent at one time to purchase equipment so that little money was left for repairs and upgrading.

Third, there was too little investment on general services to benefit all students and faculty. If funds were invested more wisely, the quality of education would improve dramatically for everyone.

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## Presentation 6

# Empowerment of Higher Education and Academic Profession in India: Problems and Challenges

Jandhyala B G Tilak\*

According to the latest thinking on the part of the government and others, India has a vision of becoming an advanced country by 2020, and with the current rate of growth of the economy of about 8 per cent per annum, it is widely hoped that the vision may be realised. In the same context the role of higher education and knowledge has to be recognised. The Government of India has set up a Knowledge Commission with a view to create a knowledge society. In the area of higher education, higher education of excellence has been the buzzword and the eleventh five year plan (2007-2002) tentatively aims at reaching 15 per cent gross enrolment ratio, though the threshold level of gross ratio is higher, above 20 per cent. At the same time, the need to promote equity in the system is also clearly realised. This paper examines the growth of higher education in India, and some of the efforts that are being initiated towards empowerment of higher education in the recent period.

### Increasing Importance of Education

Higher education is widely recognised as a public good, at least a *quasi*-public good, as it produces a huge set of economic, social, cultural, demographic and political externalities. Higher technical education is associated, in addition, with technological and dynamic externalities. Second, education is also a *merit* good. The Government of India has recognised post-elementary education at least as a *Merit-2* good, which needs to be financed considerably by the State. [It recognised elementary education as a *Merit-1* good.] Third, education is an important investment both from social and individual points of view. Investment in higher education makes a vital contribution to accelerate the process and rate of economic growth, through increasing human productivity. Higher education is, therefore, regarded crucial to the development of the economy and to compete in the global economy. Higher technical education is one of the most important components of human capital. This in fact, is seen as 'specialised human capital' (Schultz, 1988). The returns to such specialised human capital are estimated to be very high. Increasing returns to total factor productivity are due to investment in specialised human capital formed through investment in higher technical and professional education, including science and technology; and such human capital checks the general pattern of diminishing

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\* Professor, National Institute of Educational Planning and Administration, India, e-mail: jtilak@vsnl.com

returns and even contributes to increasing returns. In short, higher education as a whole forms an important instrument for development, as it is the higher education that makes the difference between the rich and the poor nations and the rich and the poor people. Higher education also forms a unique investment that promotes growth and equity at the same time. With respect to equity, higher education is perhaps one of the most important instruments, providing social, occupational and economic mobility to the weaker sections in the society. After all, promotion of equity is an important social function of the universities, independent of other growth promoting functions. Lastly, the current debates on human rights are no more confined to elementary education; they are also getting extended to cover higher education as well. After all, the *Universal Declaration of Human Rights* of the United Nations (1948) did include higher education as an important human right, though qualified, in contrast elementary education as an absolute human right. That higher education represents a higher quality of life is also being widely noted.

It is also important to emphasise the important functions of higher education. They are: creation and dissemination of knowledge; supply of manpower, specifically knowledge workers; inculcation of human values, bringing attitudinal changes for modernisation and social transformation; formation of a strong nation-state, and promotion of higher quality of individual and social life. It is widely recognised that these traditional functions of higher education are ever relevant for all societies – modern as well as traditional, and developed as well as developing. These functions are performed through teaching, research and extension activities, and all the three are important facets of a sound higher education system and all the three need to be well-nurtured and strengthened.

Higher education in India has been performing some of these traditional functions. But the growth in higher education has not been adequate to contribute fully to development. The policies of globalisation introduced in India in the early 1990s further reinforce the need to develop a strong and vibrant higher education system for two reasons.

The institutions of higher education have to become centres of excellence and be internationally competitive. Global competition in higher education put additional emphasis on the need for serious efforts to improve the quality of higher education. After all, only those societies could reap gains of globalisation that have strong and widespread higher education systems, and the countries that have not made much progress in higher education suffered severely. After all, the very success of economic reform programmes critically depends upon higher education. As with globalisation and international competition, the need for more educated labour force would be strongly felt. With illiterates and ill-educated work force, the reform programmes cannot even take-off properly. In this sense, higher education becomes “*even more important in the new context of a global economy*” (Stewart, 1995, emphasis original). Strengthening of our higher education institutions, even on a selective basis, may help in facilitating our institutions to compete with foreign institutions that are coming into the country and even to force them to exit from India, if necessary. After all, many foreign universities are coming into India and other developing countries, where higher education systems are weak. Hence, given the



wave of globalisation, increasing international competition, building of knowledge society, and also increasing rates of international outflow of human capital, the need for according a higher priority to higher education arises in countries like ours.

Secondly, as inequity-enhancing aspects of globalisation are very strong, leading to progressive reduction in social opportunities (see Tilak, 1992), it becomes imperative to pay serious attention to improvement of access and equity in higher education during the phases of globalisation. Otherwise, a larger number of our young population may get increasingly marginalised during the phases of globalisation, and this would mean a hue social loss.

It is increasingly felt that the emergence of knowledge-economy has brought into focus the interesting linkages between higher education, knowledge, and wealth creation. Knowledge is a driving force for enhancing economic strength of a nation, and that this can be realised only if education and research in liberal as well as in professional disciplines is of sound quality. While technical education produces technical manpower, it is humanities, social sciences, languages and natural and physical sciences that help in producing all-rounded citizenry. Given all this, higher education needs to be paid serious attention. But the policies of adjustment seem to go against the growth of higher education (Tilak, 2005).

### **Higher Education in India: Quantitative Explosion**

After independence India has started almost from a scratch and made significant progress in the field of education. During the post-independence era, the progress in the case of higher education is also very impressive. On the eve of the heralding of the plan era in India, there were 28 universities in 1950-51, less than 700 colleges with student numbers standing at less than half a million. During the last fifty years after independence, higher education has expanded in India somewhat remarkably. According to the latest statistics available, in 2004-05 there are more than 300 universities, including institutions deemed to be universities and nearly 18,000 colleges offering general and professional education in India. Perhaps this is one of the largest networks of higher education systems in the developing world. These figures do not include the vast network of about 300 and odd specialised science and technology institutions, including more than 200 specialised laboratories. These are also in addition to industrial research and development laboratories in private and public sector and 1105 polytechnics. In case of professional education, there has been “the most spectacular achievement” (Adishesiah, 1994, p.133). Compared to an almost zero professional education base at the time of independence, today India has seven technological institutes (IITs) of high standard, and six top level institutions of management (IIMs), 1068 colleges of engineering, technology and architecture, 783 medical colleges, 900 teacher training colleges, and 19991 other professional and technical institutions in areas comprising agriculture, law, management, computer applications, and information technology (in 2003-04). Some of these institutions are regarded to be institutions of world class excellence. Thus in case of technical and professional education also, a wide network has been established.

**Table 1. Growth of Higher Educational Institutions in India**

	Colleges for			Universities**	Enrolment (million)
	General Education	Professional Education*	All		
1857-58			27	3	250 <sup>\$</sup>
1947-48			496	20	0.2
1950-51	370	208	578	28	0.2
1960-61	967	852	1,819	45	0.6
1970-71	2,285	992	3,277	93	2.0
1980-81	3,421	1,156	4,577	123	2.8
1990-91	4,862	1,765	6,627	184	4.4
2000-01	7,929	2,223	10,152	254	8.6
2004-05	9,427+	2,751+	17,625	343	10.48

Source: Ministry of Human Resource Development (various years). *Selected Educational Statistics*; and UGC (various years). *Annual Report*.

Notes: \* include engineering, technology, architecture, medical, education colleges.

\*\* include institutions deemed to be universities, and institutions of national importance; \$ number (not in million); + refer to 2003-04.

The system is also characterised with a high degree of diversity. While a large number of universities are financed by provincial governments, there are a few universities funded by the central government, through the University Grants Commission. Besides there are also a few private universities and institutions financially supported by the government, and some supported mainly through student fees. A good number of institutions also exist, which are treated as institutions deemed to be universities. There are a few which are set up essentially to meet the needs of minority populations. While many universities provide both general and professional education, there are also some which are exclusive in their coverage, providing either general or professional education -- engineering, medical, agricultural, etc.

The large network of education and research institutions could contribute to rapid accumulation of specialised human capital. There was an explosion in student numbers, the enrolments in higher education swelled from less than a quarter million in 1947-48 to 10.5 million in 2004-05. The output of these institutions is indeed impressive – both in quality and quantum. India could become one of largest reservoirs of scientific and technical manpower in the world of nations and is able to ‘export’ manpower, particularly in information, communications and technology sector to the world. The contribution of India in terms of IT manpower to the developed countries is now widely recognised. On the whole, today India ranks fairly high in terms of the size of the network of higher education institutions, enrolments therein, and the graduate manpower it produces for development of the domestic economy and to the international economy as well.

The massive expansion of higher education also contributed to the phenomenon of what can be called *democratisation* of higher education. Presently a large number of students from lower socio-economic strata constitute a sizeable proportion in the total enrolments in higher education. One-third to 40 per cent of the enrolments in higher education belongs to lower socioeconomic strata, compared to the extremely elitist system inherited from the colonial rulers. Women students form currently

about 40 per cent of the total enrolments. These are no mean achievements for a developing country. The emerging open learning systems, comprising of traditional methods of correspondence courses, and also modern methods of distance education also contribute significantly to ‘massification’ of higher education, though a high degree of inequalities does persist between several states, between several institutions of higher education, and between various groups of populations, besides different kinds of imbalances between different areas of study.

Nearly half a million teachers are employed in higher education institutions in the country. At the inception of planning, *i.e.*, in 1950-51, there were barely 24 thousand teachers.

**Table 2. Growth in Teachers in Higher Education**

	in thousands
1950-51	24
1960-61	62
1970-71	190
1980-81	244
1990-91	271
2000-01	350
2004-05	472

Source: Ministry of Human Resource Development (various years).  
*Selected Educational Statistics*; and UGC (various years).  
*Annual Report*.

As per the latest statistics, nearly 50 per cent of the teachers are lecturers (assistant professors). A quarter of the total are full professors. More than 80 per cent of all teachers in higher education are employed in colleges, and only 16 per cent are in universities. Within the universities, 21 per cent are full professors, 32 per cent are associate professors, and 30 per cent work as lecturers. Most of the colleges offer under graduate programmes, while universities mostly offer post graduate and research programmes. Gradually over the years, the structure of teaching staff in the universities is changing from a typical pyramidal structure to a cylindrical one and then to an inverted pyramid, with a larger number of professors, and smaller number of lectures.

**Table 3. Teachers in Higher Education in India, 2004-05**

	Universities*		Colleges**		Total	
	Number	%	Number	%	Number	%
Professors	16,244	21.0	23,708	6.0	39,952	8.5
Readers	24,468	31.6	94,016	23.8	118,484	25.1
Senior Lecturers	11,850	15.3	59,505	15.1	71,355	15.1
Lecturers	22,868	29.6	203,425	51.6	226,293	48.0
Tutors/Demonstrators	1,920	2.5	13,927	3.5	15,847	3.4
Total	77,350	100.0	394,581	100.0	471,931	100.0

Source: UGC. *Annual Report, 2004-05*.

Notes: \* includes university colleges.

\*\* affiliated colleges

In brief, India has made significant achievements in the development of education: Indian education system at all levels was thrown open after independence to all – rich, poor, and middle

income classes, men and women, rural and urban populations, backward and non-backward segments of the population. Secondly, as a consequence, there has been a veritable explosion in numbers – student numbers, institutions, and teachers. Thirdly, there has been the development of institutions of excellence, producing highly specialised human capital. Lastly, it could produce the second largest (next only to China) stock of educated and skilled manpower in the world, and the third largest reservoir of scientific and technical manpower.

Such an educational explosion has been inevitable as the provision of educational facilities in the pre-independence period were very insignificant; and independence has created an unquenched thirst for knowledge resulting in an abnormal rise in social demand for higher education. Secondly, building up a new socio-economic system after the end of colonial rule required large scale manpower with varied skills, and so the government has deliberately expanded the higher education system significantly.

### **Problems and Challenges**

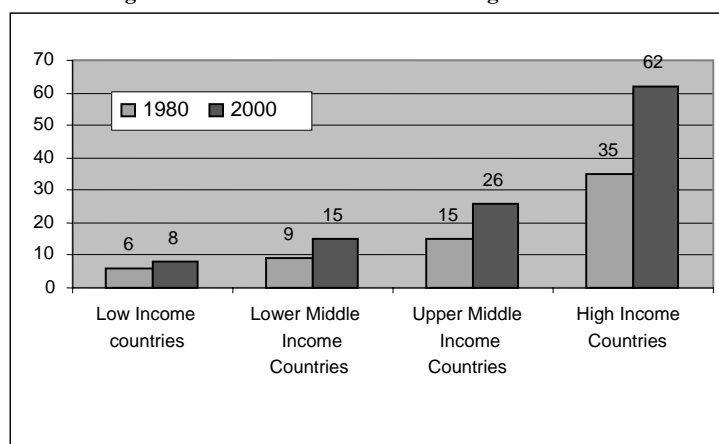
First, paradoxically hardly any Indian institution of higher education figures in the list of top level institutions in the world, raising concerns about quality and standards of our higher education. While the strengths and achievements of higher education are significant, equally, if not more, significant are the problems and weaknesses it is associated with. As already noted, the quantitative expansion is not adequate, as only 8-9 per cent of the youth are enrolled in higher education; inequities by gender and socio-economic groups of population, and between various states are quite marked especially in certain regions of the country; and the inequalities between different institutions in quality is alarmingly striking.

What we find in India is: there exist a good number of universities and other institutions of higher education of excellence, at the same time there also exists a large number of institutions of substandard quality. As a result, while in terms of the total quantum of output of our higher education institutions it is one of the largest in the world, the quantum adjusted for quality, and in case of even indicators of quantity, India does not necessarily rank fairly well with many developed and even developing economies. For example, India has a huge stock of about 8-10 million science and technology manpower, consisting of scientists and engineers, and ranks third in the world. But the myth of the third largest stock of scientific and technical manpower in the world stands exploded if one carefully examines the quality of the manpower. The stock is not so huge to match the requirements of the economy (Tilak, 1997). Any standardised international comparisons of the stock of science and technology manpower would not make any tall claims tenable. For example, for every one thousand population, there were only seven scientists/engineers in India in 1999, while in many other countries the corresponding figure is 10-30 times higher. The stock of manpower is also made of first graduates (in sciences and engineering). Post-graduates are few; and doctorates are fewer. This reflects the 'quality' of the science and technology manpower India has.

In all, nearly ten million young people are enrolled in higher education institutions in the country, of whom about one-fifth are estimated to have been enrolled in technical education. Though the number of students seems to be large, the gross enrolment ratio (number of students as a percent proportion of the youth population of the age group 17-23/18-24) is 8-9 per cent, which is not adequate for a country that aims at transforming itself into an industrial tiger economy, or in simple words, a developed country.

Though international comparisons have their own known limitations, they nevertheless provide some broad indications on the relative position of a country in comparison with others. The current enrolment ratio in India is less than the average of lower middle income countries in the world. While on average, high income countries have a ratio above 60 per cent, the same is more than 25 per cent in the group of upper middle income countries. The corresponding ratio is above 80 per cent in USA, above 70 per cent in Sweden, Norway, New Zealand, above 60 per cent in UK and Australia, and above 40 per cent in several European countries, and more than 20 per cent in many developed countries and also in several developing countries such as Mexico, Malaysia, Thailand, Chile and Brazil.

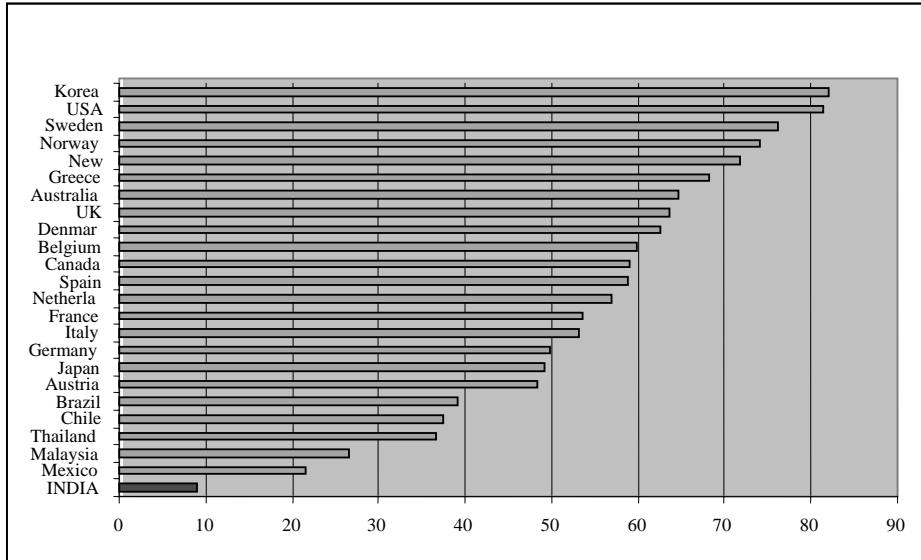
**Figure 1. Gross Enrolment Ratio in Higher Education**



Source: World Bank (2003). *World Development Indicators 2003*.

Country-wise evidence shows that no country could become an economically advanced country, if the enrolment ratio in higher education is less than 20 per cent. We find actually no country in the group of the developed countries whose enrolment ratio in higher education is less than 20 per cent, and conversely we find very few countries with an enrolment ratio of above 20 per cent among the developing countries with very few exceptions of some countries in Latin America and Philippines.

Thus a level of 20 per cent of enrolment ratio seems to be the threshold level of higher education to contribute to rapid and sustainable economic progress. However, it has to be noted that a 20 percent enrolment ratio in higher education may not necessarily and automatically lead to high

**Figure 2. Enrolment Ratio in Higher Education in Selected Countries (%), 2001**

Source: UNESCO (2005).

economic growth, but such a ratio in high quality higher education can be expected to contribute to high economic growth, subject to other conditions. In other words, the enrolment ratio of 20 per cent becomes a necessary condition for development, but not a sufficient condition. The evidence on threshold level refers to early-to-mid 1990s. More recent evidence may indicate that the threshold level may be even higher.

Secondly, inter-state variations in the development of higher education are glaring in India. Some states have expanded their higher education systems fast, but many are lagging behind. Policies of development of higher education vary from state to state, particularly in terms of emphasis on provision of access to higher education, improvement in quality, funding, etc., though most states follow broadly the national policies and in conformity with the policy guidelines periodically formulated by the apex education policy organisations such as the University Grants Commission, the All India Council for Technical Education and other similar bodies. There are, however, several other factors responsible for inter-state variations in the development of higher education.

The cumulative development in higher education gets reflected in the stock of higher educated population and labour force. According to the latest statistics (NSSO, 2002), in every thousand on average only 29 persons have general higher education and 14 have technical education (three are technical degree holders and 11 have technical diploma) in 1999-2000. In the case of workforce, people with higher and technical education form still smaller proportions, 18 with general higher education and nine with technical education (two degree holders and seven diploma holders).

**Table 4. Adult Population (age: 15 and above) with Higher Education, by Economic Groups, 1995-96**  
(% of the Total Adult Population)

Quintile Groups	Graduate	Post Graduate & above	Total	Graduate	Post Graduate & above	Total	Graduate	Post Graduate & above	Total
	<i>Rural</i>			<i>Urban</i>			<i>All Areas</i>		
00-20	0.6	0.0	0.6	1.5	0.3	1.8	0.8	0.1	0.9
20-40	0.6	0.1	0.7	3.8	0.5	4.3	1.5	0.2	1.7
40-60	0.7	0.1	0.8	5.5	0.9	6.4	2.0	0.3	2.3
60-80	1.4	0.1	1.5	10.1	1.9	12.0	3.6	0.6	4.2
80-100	3.4	0.8	4.2	21.8	5.4	27.2	8.1	2.0	10.1
Total	1.4	0.2	1.6	9.2	2.0	11.2	3.5	0.7	4.2

Source: NSSO (1998).

We also find very striking differences by economic groups of population in the adult population with respect to higher education. The proportion of population with higher education sharply rises with rising levels of household economic status both in rural and urban areas. In the bottom quintile (monthly per capita consumption expenditure quintile) hardly one per cent of the population has higher education, and this ratio steadily rises to above ten per cent in the richest quintile. In rural areas, the corresponding ratio increases by seven times between the bottom and top quintiles, and it increases by 15 times in urban areas, highlighting a high degree of inequalities within urban areas. The differences between rural and urban areas are quite striking at each quintile. In all, only 16 out of every 1000 in rural areas are a college graduates (or above); in contrast 112 out of every 1000 in the urban areas belong to this category.

A majority of the higher educated population in rural or urban areas consists of only first degree holders; very few have done their post-graduate studies. Among the poorest quintile group in rural India there are no post graduates at all, while in the richest group in rural areas, the corresponding ratio is 0.8 per cent.

National Council for Teacher Education (NCTE) in collaboration with UGC and AICTE are expected to ensure recruitment of properly qualified teachers in higher education institutions in India. UGC sets guidelines for deciding workload of every teacher and correspondingly number of teachers to be appointed in a given university/college. Teachers in higher education are also ensured promotions in their career, under the career advancement scheme, earlier known as the merit promotion scheme of the UGC – from the post of lecturer (assistant professor) to senior lecturer to reader (associate professor) and to professor, if they complete a minimum number of years of service at the given level. Since this is subject to fulfilment of a bare minimum level of performance in teaching and research, it is widely feared that the scheme would be counter productive and would adversely affect the motivation of the teachers to excel in their work. But it is also feared that the scheme has come to stay, as any action otherwise will incur the wrath of the teachers' unions.

The rapid growth in enrolments leads to rapid growth in demand for teachers. But the growth in teachers has not kept pace with the growth in enrolments. As a result, the pupil-teacher ratio has

deteriorated over the years. In 2003-04, the national average is 22 pupils for every teacher in higher education. But there are wide variations between several states: it ranges between 7-8 in small states/union territories like Chandigarh and 43 in Uttar Pradesh. Though pupil-teacher ratio is not a highly relevant parameter in higher education, the available data however does indicate the nature of the problem.

An important problem with the academic profession is: there is a *de facto* official ban on recruitment of university teachers (and non-teachers as well) in many universities in the countries. This follows the introduction of economic reform policies that required downsizing of all public sector units including higher education institutions. The block grants provided by the state governments to the universities have also remained virtually frozen for quite some time. Thus the depleting size of the faculty and the frozen state grants have caused a serious damage on the morale and motivation of the teachers, the physical ambience of the universities and the overall academic environment of the universities, as many departments and post graduate centres of the universities are sub-critical in the size of the teaching staff, and are also sub-critical in their performance, offering few high quality teaching and research programmes. Universities were to resort to various methods, many not necessarily desirable, to confront the twin problems. Shortage of full time faculty forced them to recruit temporary teachers with varied designations like part-time teachers, guest teachers, contract teachers, and teaching assistants, at consolidated salaries, some times at a level of one-fifth of regular teachers -- akin to the phenomenon of *para-teachers* in the school system. Number of such teachers forms 15-60 per cent of the total staff strength in various universities in one of the states in south India. Many of these teachers may not necessarily be fulfilling the qualifications necessary for a regular university faculty member. But they seem to be continuing for several years. Many of them are also recruited to teach 'self financing courses', which are not funded by the government; the students pay for the total cost of such studies. Such teachers are also recruited to teach normal regular courses of study. The long term effects of all this on the quality of teaching and research in higher education could be devastating, if a sizeable system of higher education were to survive with the help of part-time contract staff (APSCHE, 2005; see also Tilak, 2006). The teaching profession is getting deprofessionalised. Their role is changing is from knowledge creators and transmitters of knowledge to knowledge managers, net-workers and fund raisers.

There is yet another important problem. With the introduction of cost recovery mechanisms in higher education on the one hand, and growth of private sector in the economy, along with the opening up of the economy, student demand for post graduate and research courses particularly in professional courses such as engineering and technology, and even demand for higher education in humanities, social sciences, and basic sciences was seriously affected. All this is feared to pose serious problems in meeting the growing teacher demand in higher education.

In order to ensure national standards of the teachers in higher education thought out the country, teachers in higher education institutions are recruited on the basis of a national eligibility test (NET)



for the last NET and similar eligibility tests at the state level, called SLET (state level eligibility test) were introduced to ensure minimum uniform quality of teachers in higher education institutions. After all, teachers in higher education institutions do not receive any pre-service or even any substantial in-service training. In one of the most recent developments, in 2006, the NET has been abolished with a view to ease the problem of teacher shortage in many areas. The NET as a minimum eligibility condition for teachers in the higher education institutions is relaxed in those cases who possess research degrees (doctoral and pre-doctoral).

Teaching profession used to be highly respected with a high level of social status attached, though the salary structure was not encouraging. The National Committee on Teachers, constituted by the Government of India (1985) had gone into several aspects relating to the teaching profession in universities and colleges. In the recent years there were attempts to raise the salaries of all teachers, and also of civil servants. Table 5 gives an idea of the salary structure of teachers in higher education. These figures are not exact; they should be regarded as crude estimates, meant to give an overall idea. Though from the point of view of international comparisons, the salary levels seem to be low, they are not that bad in comparison with salary structure of others in the public sector in the country, and the relative purchasing power of the money.

**Table 5. Gross Salaries for Teachers in Higher Education, 2002**

	Start	End	Start	End
	Rs.		US\$	
Lecturers	12,600	21,180	280.0	470.7
Senior Lecturers	15,720	23,832	349.3	529.6
Readers	18,840	28,668	418.7	637.1
Professor	25,704	35,064	571.2	779.2

Source: Jayaram (2002).

Note: in US\$: re-estimated using current (2006) exchange rate.

Policies of non-recruitment of teachers and the growth of market forces led to significant changes in research and teaching professions. The emphasis slowly seems to be shifting from scholarly research to economically productive knowledge creation, from scholarly research to project based research, and from project based research to consultancy. In the area of teaching, the shift is from promotion of scholarship to imparting of market relevant, saleable, and employable information and skills.

Overall, there has been a steep decline in the status of teaching profession in the country, which used to be considered a unique profession of high respect. Earlier the social status of the teachers used to be high, but their economic status was far from satisfactory. But in the recent years, the economic status improved, but there was a fall in the social status. (see also Basu, 2005). Traditionally teachers were regarded as God (*Acharya Devobhava*); in the later phase, teachers and students began to be treated as equal; and finally the roles got reversed, the students are treated as God, as in the market framework, customers is to be treated as God. Both students and teachers who used to be in the

forefront of civil, social and political movements in the country, seem to be slowly withdrawing into the background

To sum up, despite massive growth in numbers, hardly 8-9 per cent of the relevant age-group population in the country is presently enrolled in higher education institutions. Quality and equity dimensions of higher education also need serious attention. Despite some improvement in equity over the decades, higher education is still not accessible to the poorest groups of the population. Inter-regional variations in quality, quantity and equity dimensions of higher education are marked. 'Empowerment of higher education,' as Shri A. P. J. Kalam, President of India observed, is the critical need of the hour. Higher education needs to be empowered, as it, and it alone, helps in sustainable social, economic and political development of the society and some assurance of equity (Tilak, 2004).

Thus, given (a) the current level and status of higher education in the country, (b) the highly iniquitous system in general and in higher education in particular, (c) the relationship between higher education and development, (d) the rising aspirations of the people, (e) development goals of the country such as creation of a 'knowledge society' and transforming itself into a developed economy, and (f) given the introduction of policies of globalisation to reap the benefits from the same, the need for according a high priority to higher education is obvious. The need is to expand higher education, to promote equity in the system, and to improve quality in higher education.

But the attention that is being paid to higher education has been on a rapid decline. It is widely felt that higher education is not receiving adequate attention of the government.

### **Recent Efforts to Revitalize Higher Education**

However, there are some welcome interventions and initiatives that are being made to improve the status of higher education in India. The recent five year plans aim at increasing the enrolment ratio in higher education from the current levels to about 15 per cent in the next five years and increase further gradually in the later period.

Assessment and accreditation has become an important initiative taken by the government in the recent years, which can have a very positive effect on quality of higher education in the country. This is indeed surprising that this was not taken up for a long time. The assessment and accreditation programme had indeed shook up some of the universities and colleges and provoked soul-searching about quality. After all, assessment and accreditation form an important instrument of maintenance of quality and standards in higher education. There may exist scope for making the assessment and accreditation processes highly respected and valued by the universities and colleges, but nevertheless it has to be realised that there is no substitute to assessment and accreditation. This may help in identifying not only black sheep, but also shining stars.

Following the resolve made in the National Policy on Education 1986, to encourage institutional innovations and experimentation, emphasis has been placed on autonomy; and a good number of colleges are given autonomy under the programme of establishment of autonomous colleges to promote

new methods of teaching, research and learning. Currently there are about 130 such colleges affiliated to 29 universities. Autonomy should, however, mean mainly academic autonomy to design new courses and curriculum, to promote quality and to make innovations, rather than financial and administrative autonomy. By granting autonomy, the role of government should not get minimized particularly in funding, planning and in providing a healthy sustainable teaching-learning environment.

Thirdly, as resolved in the *National Policy on Education 1986*, a network of Academic Staff Colleges are established in about 40 universities (at least one each state) which provide an important platform for teachers in colleges and universities to refresh their knowledge and to reorient them to new methods of teaching and to emerging issues in the given discipline.

Fourthly, in the recent years, UGC has given special focus on developing excellence in higher education. UGC started a programme to identify and support universities with potential for excellence, in order to improve excellence and quality in teaching and research activities in these institutions, which may influence the quality in other institutions as well. Further, a programme of supporting centres in universities with a focus on one given area of specialization in each university was launched. Centres/Departments are identified as 'centre with potential for excellence' for extra financial support by the UGC. Still further, as a substantial part of higher education is imparted in colleges, the programme for support for excellence has been extended to colleges; colleges with potential for excellence were identified for additional funding, with a view to achieve excellence in teaching activities and initiate a research cultures in such institutions.

Lastly, some efforts are also initiated to provide a regulatory framework for the growth of private sector in higher education. Further, to promote internationalisation of higher education, *i.e.*, to enable regulated entry of foreign universities into India, and to enable Indian institutions to go offshore, a framework of rules and regulations.

But such initiatives are too few to have a massive effect on higher education. More sustained and concerted efforts are needed to promote high quality higher education.

### **Concluding Observations**

India recognises the need to expand higher education, to meet the challenges of globalisation. As Kalam (2003), the President of India, recently noted, 'empowerment of higher education' is the critical need of the hour. Higher education needs to be empowered, as it and it alone helps in sustainable social economic and political development of the societies. The challenges of globalisation add further demands on higher education. The empowerment of higher education should include (a) provision of a basic minimum level of physical infrastructure facilities to all the colleges and universities (a crash project like the operation blackboard project in primary education may have to be launched), (b) recruitment of good quality teachers in all institutions, and further enhancement of their quality, and above all (c) sound public policies particularly relating to funding and management.

In the era of globalisation, care needs to be taken that higher education institutions do not become commercial enterprises. They should be guarded to remain as centres of learning. Further, the idea that universities are a place where scholars from various corners of the country and the world come and live together, discuss and debate various social, political, economic and scholarly issues, needs to be deliberately protected.

Further, higher education develops and nurtures values. Universities are suffering from loss of social concerns with the demise of value-oriented programmes such as NSS, NCC, and sports meets etc. It is important that special efforts are made to preserve and promote educational values such as thirst for knowledge, critical thinking, and search for truth, and more importantly to inculcate universal human values such as peace, tolerance, non-violence, love, patriotism, social welfare, etc., through education. Such an education will have an everlasting effect on building sustainable development. This is perhaps more important in the era of globalisation, when national and traditional values are fast getting replaced by global, in fact western, and market values. This may, in the final analysis, reflect the true quality of our higher education. These are the educational and human values that Jawaharlal Nehru, the first Prime Minister of India, expected our universities to provide, when he observed, "A university stands for humanism, for tolerance, for reason, for the adventure of ideas and for the search for truth. It stands for the onward march of the human race towards even higher objectives."

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## Summary

Futao Huang\*

The Research Institute for Higher Education (RIHE) hosted the international conference entitled “*The Construction of the University Visions and Mission of Academic Profession in Asian Countries: A Comparative Perspective*” as part of the Institute’s COE program from 4-5 October this year. It is the second international conference focusing on the academic profession that has been organized by the Institute in 2006. In contrast to the conference in February 2006, which was mainly concerned with the changing academic profession in North America and European countries, the October conference had a special emphasis on Asian countries and dealt mainly with issues concerning restructuring university visions and the mission of academic profession. In the two-day conference distinguished speakers from China, India, Indonesia, Malaysia, Mongolia, Korea, Thailand, the Philippines, and Japan made stimulating and valuable presentations based on their research findings and made recommendations for future reform policies in their respective individual Asian countries.

Through these presentations and discussion, in particular, four major research questions were touched on. First, what are the changing university visions and the mission of the academic profession and their relationship in historical and comparative perspectives? Second, what are the major drivers for constructing university visions in the individual participating countries? And what are the major responses to the impacts of these drivers? Third, what is the mission of the academic profession in constructing university visions? And fourth, what are the major challenges for individual countries in constructing their university visions?

The first of these questions, was addressed by Professor Arimoto, Director of RIHE, Hiroshima, Japan, The mission of the academic profession has an intimate relationship with university vision. The prototype of the mission of the academic profession is directly linked to the vision of the traditional university. In the medieval university, where a teaching ideal constituted university vision, teachers were simply expected to provide a good teaching and learning process for students. The modern university became more complicated in its ideals, vision, and values, when it added dimensions, such as research and service, to academic work. Research and teaching pursue different ideals so that good researchers are not necessarily good teachers and *vice versa*. In recent years, new professional groups have appeared and become responsible for administration and management. Functions of service and management have come to occupy an importance equivalent, or even superior, to those of research and teaching at the core of academic work. Especially since the 1990s, the power of the academic

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\* Associate Professor, R.I.H.E., Hiroshima University, Japan, e-mail: futao@hiroshima-u.ac.jp

profession has gradually declined while the power of the nation and society has gradually increased to the extent that has possibly resulted in de-professionalization of academics in some countries

In regard to the second research question, many participants stated that various external and internal drivers are influencing reconstruction of university visions and changes in the academic profession in individual countries. In Asian countries, as in many other parts of the world, these factors are dominated by globalization, marketization, corporatization, and massification. However, because countries in Asia differ significantly in political and economic systems, culture and traditions, these drivers do not necessarily impact all countries in this region to the same degree or in the same form. For example, restructuring visions of the university and missions of the academic professions in the Philippines, Korea, and Malaysia are particularly affected by the progress of globalization; pressures from marketization and corporatization are having a striking influence on China, Japan, Mongolia, and Malaysia. In contrast, issues arising from massification have had particular impact on China, Mongolia, Indonesia, Thailand, and India.

Various measures have been made in response to these pressures and challenges. In Mongolia, a further expansion of the higher education system and institutional autonomy are emphasized. In the Philippines, great efforts have been made to stimulate internationalization of higher education. In Korea a reorganization of the structure of Korean higher education has been adopted as part of a national policy concerning improvement of the quality of and access to higher education in a lifelong perspective, and enhancement of the international dimension of higher education. In Indonesia, there has been a strong emphasis on the quality of education, access and equity, and the organizational health of higher education. In China: one of major actions has been to create elite universities through mergers. In Thailand: tremendous endeavors have been made to facilitate massification, classification and diversification, and to provide greater autonomy in higher education. In India, issues concerning empowerment of higher education, include massification of higher education, implementation of assessment and accreditation, emphasis on autonomy and high quality higher education, as components of a national agenda.

In considering the mission of the academic profession in constructing university visions, the third research question, the report on Japan stressed the importance of developing creativity in the process of coordinating the various conflicting values. According to the response from Mongolia, it is necessary to incorporate the effects of globalization with increased professional commitment to foster new values and culture in scientific research. The speaker from the Philippines emphasized the necessity and significance of integrating international perspective into teaching, learning and research activities. From Malaysia it was argued that the mission of the academic profession should be active involvement in the envisioning of Malaysian universities; while in Thailand special attention is placed the assumption by universities of new responsibilities and participation in the affairs of society.

Regarding major challenges for individual countries in constructing their university visions, it seems that those countries in which higher education systems are still in the elite phase – such as

Indonesia, Thailand, India, Malaysia, and Mongolia – are confronting the more diversified pressures. These countries have to deal with dual problems: quantitative growth and qualitative enhancement, in addition to achieving more autonomy at an institutional level, and diversifying funding, access and equity. Countries that have realized mass higher education, such as Japan and Korea, focus mainly on enhancing the quality and further internationalization of their higher education

Regrettably, in many Asian countries, little previous research on the issues identified in the conference has been undertaken; moreover, a comparative and empirical study of some key and basic terminology and definitions and institutional research is urgently required. During the conference, many participants suggested that an important outcome should be creation in the near future of effective partnerships of academics, policy-makers, and industry, both in individual countries and particularly to conduct joint research between different Asian countries.

In conclusion several major research questions and issues were identified as needing further discussion and study. They include questions such as:

- how distinctive university visions can be constructed in an environment of universal drivers and in response to domestic factors;
- what roles or functions can the academic profession play in constructing future university visions; and
- what models should be pursued in Asian countries regionally and in individual countries.



## **Outline of Seminar**

**21st Century COE Program,  
"Construction and Quality Assurance of 21st Century Higher Education System"  
Constructing University Visions and the Mission of Academic Profession in Asian Countries:  
A Comparative Perspective**

**Date:** Wednesday, October 4, 2006 - Thursday, October 5, 2006

**Venue:** Hiroshima Garden Palace, Hiroshima City

**Organized by:** Research Institute for Higher Education (RIHE), Hiroshima University, 21st Century COE Program

## Program

### Topics and Procedures

#### Wednesday, October 4

8:30 - Registration

#### Opening Ceremony

9:00 - 9:15	Opening Remarks	Taizo Muta, President, Hiroshima University, Japan
	Orientation	Akira Arimoto, Director & Professor, RIHE, Hiroshima University, Japan
9:15 - 9:30	Profile of Presenters	Takashi Hata, Professor, RIHE, Hiroshima University, Japan

#### Session 1

**Chair:** Fujio Ohmori, Professor, Kumamoto University, Japan  
Shinichi Yamamoto, Professor, RIHE, Hiroshima University, Japan

9:30 - 10:10	<b>Keynote Speech 1</b>	<b>Constructing University Visions and the Mission of Academic Profession</b> Akira Arimoto, Director & Professor, RIHE, Hiroshima University, Japan
10:10 - 10:30	<b>Q &amp; A</b>	
10:30 - 10:45	Coffee Break	
10:45 - 11:30	<b>Presentation 1</b>	<b>The Academic Profession in a Transition Society: A Case from Mongolia</b> Regsuren Bat-Erdene, Director, The Department of Higher and Vocational Education in the Ministry of Education, Culture, and Science of Mongolia, Mongolia
11:30 - 12:15	<b>Presentation 2</b>	<b>Internationalization of Philippine Higher Education: Challenges for the Academic Profession</b> Rose Marie Salazar-Clemeña, Professor & Executive Vice President, De La Salle-College of Saint Benilde, Republic of the Philippines
12:15 - 12:30	<b>Comment</b>	Akiyoshi Yonezawa, Associate Professor, The National Institution for Academic Degrees and University Evaluation, Japan
12:30 - 13:30	Lunch	

#### Session 2

**Chair:** Yumiko Hada, Associate Professor, Osaka University, Japan  
Atsunori Yamanoi, Professor, RIHE, Hiroshima University, Japan

13:30 - 14:10	<b>Keynote Speech 2</b>	<b>21st Century University Visions and Policy Issues in Korea</b> Hyun Chong Lee, President, Honam University, Republic of Korea
14:10 - 14:30	<b>Q &amp; A</b>	
14:30 - 15:15	<b>Presentation 3</b>	<b>Envisioning and Imaging of the Malaysian Universities towards Achievement of 'Regional Hub' Status: Are Academics being Marginalized and Deprofessionalized in the Process?</b> Morshidi Sirat, Professor & Director, National Higher Education Research Institute, Universiti Sains Malaysia, Malaysia
15:15 - 15:30	Coffee Break	
15:30 - 16:15	<b>Presentation 4</b>	<b>Higher Education in Indonesia: Development Strategies in the Face of Global Challenges</b> Muhammad Kamil Tadjudin, Professor & Dean, Faculty of Medicine, Syarif Hidayatullah State Islamic University, Republic of Indonesia
16:15 - 16:30	<b>Comment</b>	Kazuhiro Sugimoto, Associate Professor, Kagoshima University, Japan
16:30 - 17:30	<b>Discussion</b>	
18:30 - 20:30	<b>Reception</b>	Hiroshima Garden Palace MC: Tsukasa Daizen, Professor, RIHE, Hiroshima University, Japan Keiko Yokoyama, Assistant Professor, RIHE, Hiroshima University, Japan

**Thursday, October 5**

8:00 - Registration

**Session 3**

**Chair:** Motohisa Kaneko, Professor, The University of Tokyo, Japan  
 Reiko Yamada, Professor, Doshisha University, Japan

8:30 - 9:10 **Keynote Speech 3** **Construction of the Chinese Elite Universities in the Early 21st Century**  
 Maoyuan Pan, Professor, Xiamen University, People's Republic of China

9:10 - 9:30 **Q & A**

9:30 - 10:15 **Presentation 5** **The University System in Thailand: Responses to New Challenges**  
 Charas Suwanwela, Professor, Chulalongkorn University, Kingdom of Thailand

10:15 - 10:30 Coffee Break

10:30 - 11:15 **Presentation 6** **Empowerment of Higher Education in India**  
 Jandhyala B G Tilak, Professor, National Institute of Educational Planning and Administration, India

11:15 - 11:45 **Discussion**

11:45 - 12:00 **Concluding Remarks** Futao Huang, Associate Professor, RIHE, Hiroshima University, Japan

12:00 - 12:05 **Closing Speech** Akira Arimoto, Director & Professor, RIHE, Hiroshima University, Japan

**Only for Guests from Overseas**

Afternoon Field Trip

Evening Farewell Dinner

## List of Participants

(as of October 2006)

### Speakers

Akira Arimoto, Director & Professor, Research Institute for Higher Education (RIHE), Hiroshima University, Japan  
 Regsuren Bat-Erdene, Director, The Department of Higher and Vocational Education in the Ministry of Education, Culture, and Science of Mongolia, Mongolia  
 Rose Marie Salazar-Clemeña, Professor & Executive Vice President, De La Salle-College of Saint Benilde, Republic of the Philippines  
 Hyun Chong Lee, President, Honam University, Republic of Korea  
 Morshidi Sirat, Professor & Director, National Higher Education Research Institute, Universiti Sains Malaysia, Malaysia  
 Muhammad Kamil Tadjudin, Professor & Dean, Faculty of Medicine, Syarif Hidayatullah State Islamic University, Republic of Indonesia  
 Maoyuan Pan, Professor, Xiamen University, People's Republic of China  
 Charas Suwanwela, Professor, Chulalongkorn University, Kingdom of Thailand  
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 Futao Huang, Associate Professor, RIHE, Hiroshima University, Japan

### Commentator

Akiyoshi Yonezawa, Associate Professor, The National Institution for Academic Degrees and University Evaluation, Japan  
 Kazuhiro Sugimoto, Associate Professor, Kagoshima University, Japan

### Chairs

Fujio Ohmori, Professor, Kumamoto University, Japan  
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 Motohisa Kaneko, Professor, The University of Tokyo, Japan  
 Reiko Yamada, Professor, Doshisha University, Japan

### Participants

Akihiro Asonuma, Nagoya University, Japan  
 Koichi Otani, Hiroshima University, Japan  
 Yoshinobu Onishi, United Nations University, Japan  
 Yoshinao Okugawa, Kyoto University of Foreign Studies, Japan  
 Tsuneo Kazawa, Hiroshima Institute of Technology, Japan  
 Koichi Kuzuki, Kagawa University, Japan  
 Masako Kojima, Kairinjuku, Japan  
 Jinghuan Shi, Tsinghua University, People's Republic of China  
 Shiho Shirakawa, Hiroshima University, Japan  
 Taiji Hotta, Hiroshima University, Japan  
 Masahiro Matsuura, Hiroshima Jogakuin University, Japan  
 Fumihiro Maruyama, Center for National University Finance and Management, Japan  
 Kazuhiro Mori, Hiroshima Institute of Technology, Japan  
 Marites D. Mangabat, Hiroshima University, Japan  
 Feilong Yan, Xiamen University, People's Republic of China  
 Yutaka Otsuka, Hiroshima University, Japan  
 Oyunbileg Oirov, Hiroshima University, Japan  
 Ariunaa Monkhor, Hiroshima University, Japan  
 Purevsuren Myagmar, Hiroshima University, Japan  
 Purevdorj Oyunaa, Hiroshima University, Japan  
 Boldbaatar Khishigsukh, Hiroshima University, Japan  
 Haruna Yoshioka, Hiroshima University, Japan

**RIHE, Hiroshima University**

Akira Arimoto, Director and Professor

Ikuo Kitagaki, Professor

Takashi Hata, Professor

Atsunori Yamanoi, Professor

Shinichi Yamamoto, Professor

Tsukasa Daizen, Professor

Futao Huang, Associate Professor

Naoyuki Ogata, Associate Professor

Jun Oba, Associate Professor

Masataka Murasawa, Lecturer

Keiko Yokoyama, Lecturer

Keith J. Morgan, Emeritus Professor, Lancaster University, UK; University of Newcastle, Australia; COE Research Fellow

Masahiro Tanaka, COE Research Fellow



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**Reports of COE International Seminar on**

**Constructing University Visions and the Mission of Academic**

**Profession in Asian Countries: A Comparative Perspective**



**Research Institute for Higher Education  
HIROSHIMA UNIVERSITY**

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