Convergence and Diversity in the Governance of Higher Education
Comparative Perspectives

For several decades, higher education systems have undergone continuous waves of reform, driven by a combination of concerns about the changing labour needs of the economy, competition within the global-knowledge economy, and nationally competitive positioning strategies to enhance the performance of higher education systems. Yet, despite far-ranging international pressures – including the emergence of an international higher education market, enormous growth in cross-border student mobility, and pressures to achieve universities of world-class standing, boost research productivity and impact, and compete in global league tables – the suites of policy, policy designs, and sector outcomes continue to be marked as much by hybridity as they are by similarity or convergence. This volume explores these complex governance outcomes from a theoretical and empirical comparative perspective, addressing those vectors precipitating change in the modalities and instruments of governance, and how they interface at the systemic and institutional levels and across geographic regions.

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Convergence and Diversity in the Governance of Higher Education

Comparative Perspectives

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For my mamma, Melina
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Preface

For historians, the rise and fall of civilizations have been relatively contiguous exercises in force projection, colonization, economic aggrandizement, overextension, exhaustion, and collapse, where the competition for territory, markets, and physical and economic resources has defined the ebbs and flows of history, explaining why ‘some parts of the world have grown rich and others have lagged behind’ (Kennedy, 1989; Maddison, 2007, p. 1).

In the twenty-first century, the wealth of nations continues to rest on trade and commerce, to be sure, but much less so on territory, extraterritorial wealth extraction, mercantilist trade practices, or resource competition. Ever-increasing amounts of wealth derive from knowledge, information, and technology – commodities that defy the confines of national borders or their amassing through military acquisition. The rise of the fourth industrial revolution (i.e., the nexus of technologies situated between the physical, digital, and biological spheres and represented by fields such as artificial intelligence, biotechnology, robotics, nanotechnology, and informatics) is largely supplanting industrial and manufacturing-based economic activity as core drivers of growth, employment, and national wealth (Klaus, 2017). While in 1917, for example, the largest economic enterprises (by share value) listed on the New York Stock Exchange were energy, steel, manufacturing, and resource-based firms, by 2017 it was knowledge and technology firms – the likes of Apple Inc., Alphabet Inc. (Google), Amazon, Facebook, Microsoft, financial services, biotechnology, and pharmaceutical firms. Indeed, just 2 firms (AT&T and General Electric) listed in the top 50 firms on the New York bourse in 1917 remain there today, with the rest either delisted, acquired by larger conglomerates, or having ceased trading (Kauflin, 2017).

This transformation from industrial-manufacturing to knowledge-based economic power is no better personified than by Apple and the iPhone. The value-capture in the development, manufacture, and
assembly of the iPhone accrues disproportionately to the knowledge-ownership of the technology rather than the physical production and assembly of the hardware itself. As Gereffi demonstrates, assembled entirely in China (via a Taiwanese firm, Foxconn), with a per unit export value of $194.41, the value actually captured by China is a mere $6.54. If the costs per unit of technology imports required to assemble the iPhone are taken into account, then China’s share is dwarfed by Korea at $80.85, Germany at $16.08, and by the rest of the world at $62.79 (Gerefﬁ, 2014, pp. 20–21). By far the greatest value per iPhone produced accrues to Apple Inc., which retails the phone for approximately $700 and uses the platform to generate stream revenues through app and content sales, making Apple the most valuable publically traded company in the world (Carroll and Jarvis, 2017, pp. 27–28; Feiner, 2019; Gerefﬁ, 2014, pp. 20–21). Brains, not industrial brawn, are what drive modern-day economic dynamism.

Little wonder that moving ‘up the value chain’ and positioning economies in knowledge-based activities has become the dominant policy mantra of the contemporary era. It also explains the ever-increasing interest in and emphasis on the ‘knowledge factories’ of the twenty-first century: higher education systems which collectively produce the human capital and know-how that nurtures creativity, innovation, and technological discovery – the zeitgeist of national economic competitive advantage (Marton, 2006; Raunig, 2013). If there are contemporary ‘empires’ they increasingly nestle around those spaces where the metabolic rate of creativity is most intensive: the ‘silicone valleys’ and hinterlands of commerce that leverage off higher education systems and the complex, myriad talent networks that arise. Richard Florida labels this the location geographies of creative classes; or, in more formulaic policy terms, it is what Etzkowitz and Leydesdorff term the triple helix paradigm – the interface between universities, government, and industry (Etzkowitz and Leydesdorff, 1995; Etzkowitz and Zhou, 2009; Florida, 2002, 2005). Regardless of the nomenclature employed, the point is clear: universities and higher education systems are the pillars that make possible the knowledge economy of the twenty-first century and the economic rewards that flow from it. They sit at the centre of modern-day economic empires.

This reality has made higher education fertile ground for policy reform as governments the world over seek to create universities of ‘world class
standing’ and make higher education systems ‘fit for purpose’ (Gleason, 2018a, 2018b; Slaughter and Rhoades, 2004). Transforming higher education has become de rigueur, with higher education policy ‘being “done” in new locations, on different scales, and by new actors and organizations’ as never before (Jules and Jefferson, 2017, p. 124). The introduction of new forms of managerialism, regulation, accreditation, sector financing, institutional reporting and accountability regimes, metrics-driven performance assessment of institutional and sector outcomes, national and international rankings and benchmarking practices, and performance-based remuneration are recasting higher educational landscapes and the mechanisms by which they are governed.

But if the policy reform mantra surrounding higher education appears universally singular, it would be wrong to conclude a form of policy convergence, or, indeed, convergent trajectories or sector outcomes. Any rudimentary survey of the landscapes of higher education systems globally reveals contradictory realities – processes of both convergence and divergence. Indeed, despite far-ranging international pressures, the emergence of an international market in higher education and enormous growth in cross-border student mobility, pressures to achieve universities of world-class standing, recruit high-calibre international academic talent, boost research productivity and impact, or compete in global league tables, the suites of policy, policy designs, and sector outcomes are as much marked by hybridity as they are of similarity (King, 2010).

This volume grapples with this conundrum. It focuses on the governance of higher education, exploring those vectors precipitating change in the modalities and instruments of governance, and how they interface at the systemic and institutional levels, and across geographic regions.

By its very nature, however, focusing on governance is a necessarily amorphic activity, composed of both inductive and deductive forms of investigation. There is no settled analytical lens able to stabilize the language of governance or explicate and fix the parameters of its dimensions in a way that cartographers are able to map and reference points in geographic space. As a conceptual rubric, governance remains intellectually incongruent. While it is not the intention of this volume to grapple with these larger meta-theoretical and conceptual issues, the practical orientation of policy studies does require the emplacement of ordering devices, or at least frameworks, that permit the comparative
application of the concept (Brennan, 2007, p. 168). To that end, this volume approaches governance in higher education across two interrelated spectrums, each broken down into their constituent parts. In Part II, governance is treated analytically and broken down into sub-categories such as regulation (the tools and instruments of governance, including quality assurance, accountability, and management), system or structural elements of governance (the composition and institutional design of the sector, including the public–private mix), sub-structural elements of governance (organizations and institutional-level decision making), and meta-structural elements (internationalization). In Part III, the governance of higher education is explored geographically, addressing regional variations and similarities in the case of Europe, North America, Asia, Africa, and South America. The volume is thus designed to facilitate a thematic analysis of specific elements of governance, but referenced more generally in relation to governance trends globally.

Ultimately, of course, no analysis of the governance of higher education, especially viewed macroscopically and comparatively, can hope to be exhaustive. Despite the increasing prevalence of relatively uniform, meta-structural forces impacting national systems of higher education, the manner in which these articulate and traverse institutional settings and socio-political and economic national contexts makes for a series of empirically rich landscapes. That said, it is also the case that reform and transformations in the governance of higher education have never been so intense and far reaching, impacting not just the competitive dynamics of how higher education systems are positioned, but the treatment of academic labour and the opportunities for participation.

We hope this volume contributes to a deeper understanding of those forces impacting and transforming the governance of higher education.

Giliberto Capano and Darryl S. L. Jarvis

References

Preface


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Preface

## Abbreviations

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>AACU</td>
<td>Association of American Colleges and Universities</td>
</tr>
<tr>
<td>AAU</td>
<td>Association of American Universities</td>
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<tr>
<td>AASCU</td>
<td>American Association of State Colleges and Universities</td>
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<tr>
<td>ACCT</td>
<td>Association of Community College Trustees</td>
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<tr>
<td>ACU</td>
<td>American Capital University</td>
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<tr>
<td>AERES</td>
<td>Agence de l’évaluation de la recherche et de l’enseignement supérieur</td>
</tr>
<tr>
<td>AIU</td>
<td>Asian International University</td>
</tr>
<tr>
<td>ARACIS</td>
<td>Agenția Română de Asigurare a Calității în Învățământul Superior</td>
</tr>
<tr>
<td>ASEAN</td>
<td>Association of South East Asian Nations</td>
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<tr>
<td>BAN</td>
<td>Badan Akreditasi Nasional</td>
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<tr>
<td>BFUG</td>
<td>Bologna Follow-Up Group</td>
</tr>
<tr>
<td>BHMN</td>
<td>Badan Hukum Milik Negera</td>
</tr>
<tr>
<td>CAE</td>
<td>Crédito con Aval del Estado</td>
</tr>
<tr>
<td>CAP</td>
<td>changing academic profession</td>
</tr>
<tr>
<td>CAS</td>
<td>Chinese Academy of Sciences</td>
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<tr>
<td>CCDI</td>
<td>Central Commission for Discipline Inspection</td>
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<tr>
<td>CCP</td>
<td>Chinese Communist Party</td>
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<tr>
<td>CEI</td>
<td>International Campus of Excellence</td>
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<td>CEO</td>
<td>chief executive officer</td>
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<tr>
<td>CEQ</td>
<td>Course Experience Questionnaire</td>
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<tr>
<td>CHEA</td>
<td>Council for Higher Education Accreditation</td>
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<tr>
<td>CIC</td>
<td>Council of Independent Colleges</td>
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<tr>
<td>CMEC</td>
<td>Council of Ministers of Education, Canada</td>
</tr>
<tr>
<td>CNE</td>
<td>Comité National d’Évaluation</td>
</tr>
<tr>
<td>CNRS</td>
<td>Centre national de la recherche scientifique</td>
</tr>
<tr>
<td>CPI</td>
<td>Corruption Perception Index</td>
</tr>
<tr>
<td>DAAD</td>
<td>Deutscher Akademischer Austauschdienst</td>
</tr>
<tr>
<td>E4</td>
<td>ENQA, EUA, ESU, and EURASHE</td>
</tr>
<tr>
<td>EEA</td>
<td>European Economic Area</td>
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</table>
## List of Abbreviations

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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<tbody>
<tr>
<td>EMBA</td>
<td>executive master of business administration</td>
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<tr>
<td>ENQA</td>
<td>European Association for Quality Assurance in Higher Education</td>
</tr>
<tr>
<td>EPRDF</td>
<td>Ethiopia Peoples’ Revolutionary Democratic Front</td>
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<tr>
<td>ERA</td>
<td>Excellence in Research for Australia</td>
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<td>EROD</td>
<td>Education Resource Organizations Directory</td>
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<tr>
<td>ESC</td>
<td>Education Strategy Centre</td>
</tr>
<tr>
<td>ESG</td>
<td>European Standards and Guidelines for Quality Assurance</td>
</tr>
<tr>
<td>ESIB</td>
<td>now known as ESU</td>
</tr>
<tr>
<td>ESU</td>
<td>European Students’ Union</td>
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<tr>
<td>ETP</td>
<td>Education and Training Policy</td>
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<tr>
<td>EU</td>
<td>European Union</td>
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<tr>
<td>EUA</td>
<td>European University Association</td>
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<td>EURASHE</td>
<td>European Association of Institutions for Higher Education</td>
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<tr>
<td>FARC</td>
<td>Fuerzas Armadas Revolucionarias de Colombia</td>
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<tr>
<td>FDRE</td>
<td>Federal Democratic Republic of Ethiopia</td>
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<tr>
<td>FTE</td>
<td>full-time equivalent</td>
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<td>GDP</td>
<td>gross domestic product</td>
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<tr>
<td>HE</td>
<td>higher education</td>
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<tr>
<td>HEI</td>
<td>higher education institution</td>
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<td>HEP</td>
<td>Higher Education Proclamation</td>
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<tr>
<td>HERQA</td>
<td>Higher Education Relevance and Quality Agency</td>
</tr>
<tr>
<td>HEs</td>
<td>higher education system</td>
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<tr>
<td>IHE</td>
<td>international higher education</td>
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<tr>
<td>IIIP</td>
<td>International Institute for Educational Planning</td>
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<tr>
<td>ILO</td>
<td>International Labour Organization</td>
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<tr>
<td>IPB</td>
<td>Institut Pertanian Bogor</td>
</tr>
<tr>
<td>ISCED</td>
<td>International Standard Classification of Education</td>
</tr>
<tr>
<td>ITB</td>
<td>Institut Teknologi Bandung</td>
</tr>
<tr>
<td>IUCEA</td>
<td>Inter-University Council for East Africa</td>
</tr>
<tr>
<td>KEJN</td>
<td>Komitet Ewaluacji Jednostek Naukowych</td>
</tr>
<tr>
<td>KKN</td>
<td>Korupsi, Kolusi, Nepotisme</td>
</tr>
<tr>
<td>KNOW</td>
<td>Krajowe Naukowe Ośrodki Wiodące</td>
</tr>
<tr>
<td>KRASP</td>
<td>Polish Rectors Conference</td>
</tr>
<tr>
<td>LOLF</td>
<td>Loi organique relative aux lois de finance</td>
</tr>
<tr>
<td>MBA</td>
<td>master of business administration</td>
</tr>
<tr>
<td>MoE</td>
<td>Ministry of Education</td>
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</tbody>
</table>
List of Abbreviations

MOET Ministry of Education and Training
NAICU National Association of Independent Colleges and Universities
NASULGC National Association of State Universities and Land-Grant College
NCBR Narodowe Centrum Badań i Rozwoju
NCCS National Council for State Colleges
NCN Narodowe Centrum Nauki
NGO non-governmental organization
NPM New Public Management
OECD Organisation for Economic Co-operation and Development
ONESQA Office for National Education Standards and Quality Assessment
PRC People’s Republic of China
PRHEI private higher education institutions
PTP Perguruan Tinggi yang Diselenggarakan Pemerintah
QA quality assurance
REF Research Excellence Framework
SAP Structural Adjustment Programme
SHEEO State Higher Education Executive Officer Network
SSA Sub-Saharan African
(S)SCI (Social) Science Citation Index
STEM Science, Technology, Engineering, and Medicine
TI Transparency International
TNE transnational education
TVET technical and vocational training
UMcedel Universiti Malaya’s Centre for Democracy and Elections
UMNO United Malays National Organisation
UNDP United Nations Development Programme
UNESCO United Nations Educational, Scientific and Cultural Organization
UNICEF United Nations Children’s Fund
VC Vice Chancellor
VPAR Academic Vice President
VPN virtual private network