Chapter 1
The Future of University in the Post-Massification Era: A Conceptual Framework

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1.1   Background

In observing the current rapidly changing context of higher education and dynamic change in higher education itself, we ask ourselves whether the magnitude and speed of change is "normal" or whether we live under conditions of exceptional transformation. To respond to this question, we tend to look at the history of higher education. Historical experts, although being as diverse in their views as experts of the current scene of higher education, seem to agree that there have been two mega transformations of higher learning institutions throughout history.

The first major development was the emergence of the medieval university in Europe in the twelfth century. There were institutions of higher learning prior to this period, notably in some Mediterranean, and Middle Eastern and East Asian countries, but the medieval university is seen as the first major step towards systematic intellectual reasoning in a multidisciplinary institutional setting deserving of the name "university" (de Ridder-Symoens 1992). While there was substantial variation in the educational philosophies and in the organization of the institution, in comparison to the current state of higher education, we tend to view the period from the end of the twelfth to the end of the eighteenth century as the first stage of the development of higher education.

The transformation to the second stage in the development of higher education is often characterized as the emergence of the "modern university" in the early nineteenth century. This seems to be the time when the credo gained momentum

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among academics that a close link between teaching and research is institutionalized for the university and for the activities of the academic profession. The concept of the "unity of research and teaching" along the concepts of "solitude and freedom" and of the "community of scholars and students," formulated by Wilhelm von Humboldt for the University of Berlin established in 1810, is most frequently identified as the guiding "idea" of the modern university (Rüegg 2011).

We note striking differences across countries and institutions. For example, many historians point out the enormous impact of three university models found all over the world: The Humboldtian model, the Napoleonic model, and the Oxbridge model (Ben-David 1977). We note also changes over time, such as the emergence of a new synthesis of the German and English traditions and the establishment of graduate schools as a new feature in the United States of America. These different approaches still have their footprint in current times; for example, Arimoto (2013), in analyzing the views and activities of academics according to the two major comparative surveys in the academic profession so far, argues that there is a dominant preoccupation with research in countries such as Germany, efforts to strike a balance between teaching and research in Anglo-Saxon countries, and a primary emphasis on teaching in Latin-American countries and other countries influenced by the French tradition. Yet, in retrospect, we can view the emergence of the close linkage between teaching and research as one of the major transformations in the history of the university.

Since the end of World War II, we note many changes in higher education which constantly raised the question of whether we have entered a new stage in the development of higher education. Various dramatic transformations are pointed out, which—according to some experts—deserve to be considered as the advent of a new stage (Teichler 2005). Yet, we do not see a widespread consensus emerging among experts as to whether we can identify this as the third stage.

The first significant change after World War II was the emergence of new models of higher education reinforced by the new political world order of the "Cold War." In the late 1940s, US higher education became the model for many of their allies, for example, Japan, and Soviet higher education similarly for China and various Central and Eastern European countries. But these influences were not pervasive across the globe and cannot be viewed as indicating a new overall stage of higher education.

Second, the rapid growth of student enrolment in the 1960s and the 1970s has been cited in recent decades as indicating a completely new stage of higher education. The focus shifted from university education to higher education and, eventually, tertiary, thereby, playing down quality differences and underscoring the life-stage of learning, i.e., study of any kind by young adults. The distinction between "elite higher education," "mass higher education," and "universal higher education" put forward by Martin Trow (1974) was most influential in this period, underscoring the belief that diversification of higher education was the most appropriate way of coping with large numbers of students and the growing overall diversity of motives, talents, and future job perspectives of students. Other authors, for example, Clark Kerr (1963), pointed out the growing diversity of functions

within single universities. But it is unclear whether a new stage of higher education emerged at that time. Enrolment rates surpassed 50 % in some countries, notably the USA and Japan, but remained below 20 % in some other economically advanced countries. The diversity of higher education seems to have grown in all countries, but the patterns of higher education remained diverse (Teichler 1988), thereby, reflecting different national historical traditions and different policy objectives.

Third, the notion of a rapid speed of change in higher education has spread even further since the 1990s, and attention is no longer paid to a single dominant phenomenon. Rather, major changes tend to be underscored in four areas concurrently.

- Move towards universal tertiary education: International organizations, in counting all post-secondary education, point out that "tertiary education" becomes more or less universal, with peak figures close to 100 % (see the figures of Korea in Shin 2012). This seems to lead to a redefinition of the function of higher learning no longer leading to economically and socially exclusive positions (OECD 1998). The dichotomy of a clear distinction between a "match" and "mismatch" between higher education and the world of work becomes obsolete with the growth of positions no longer typical for a traditional "graduate job," nor making competencies acquired in the course of study superfluous. And higher education is expected to find its place in taking care for the development of competencies in a much broader range of occupational strata than before, as the growing popularity of the term "employability" underscores. Finally, the belief that "life-long education" will spread emphasizes that this stage of enrolment expansion seems to be linked to major functional changes.
- Knowledge and research-based society: Research is increasingly viewed as the basis of innovation in industry and the economic system at large. "Knowledge society" and "knowledge economy" are the key terms underscoring the growing role of systematic knowledge for all spheres, calling for increased investment in research to stimulate technological progress and economic growth. There are indications that the role of research in higher education is more strongly emphasized in current higher education policies than ever before, and that academics in many countries devote more attention to research at the expense of a balance of teaching and research (Shin et al. 2013).
- Managerial approaches, emphasis on competition, and the growing role of assessment in steering and governance: Possibly, the most striking changes have taken place recently in steering governance in higher education. Where government played a strong supervisory role in the past, it has moved towards strategic steering with reduced process control. Public funding is increasingly embedded into competitive schemes. The power of institutional management is strengthened. Multiple schemes of assessment, ranging from in-depth evaluation to reliance of quantitative indicators, signal the desired performance of academics.

- Internationalization and globalization: Although universities are traditionally institutions looking across borders, the flow of border-crossing knowledge and interactions have increased substantially in recent years. The term "internationalization" in this context refers to growing border-crossing interaction, notably, physical mobility of students and academics, cooperation between institutions and individuals, and knowledge transfer of various kinds. "Globalization" refers to the worldwide interaction as national characteristics and borders decrease in the relevance thereof, and is seen, for example, in the worldwide competition for prestige among individual universities.

Some of these lines of discourse and actual change converge in a growing emphasis on "world-class universities" and in the identification of these exceptional institutions with the help of so-called rankings. A strong emphasis on research which should serve academic quality and societal relevance in harmony, a belief in the beneficial effects of borderless competition and strong management, as well as a prime attention to the apex of a vertically stratified higher education system.

Views vary substantially as to whether higher education is moving towards improving conditions for enhancing quality and serving society or whether instrumental pressures challenge quality; whether relevance is limited to economic growth along neoliberal ideas; whether academics are stimulated or downgraded and de-motivated; whether the quality of research at the apex is achieved at the expense of the quality of teaching and learning and at the expense of moving towards varied profiles of higher education institutions and a mass knowledge society aimed at enhancing the wisdom of the many (Shin and Kehm 2013; Shin et al. 2011). We do not know whether we are at a clear point of transition to a new stage of the history of higher education.

1.2   Conceptual Frameworks

The recent developments in higher education and its context have not led to a widespread consensus so far about the overall character of changes and the benefits and dangers of the current state of higher education. But the changes tend to be viewed as so dynamic and salient that efforts are obviously encouraged to strengthen our understanding of the current scene and its implications for the future. Therefore, this book is designed to develop conceptual frameworks for understanding contemporary challenges and discussing future directions.

These complexities of contemporary higher education cannot be reduced to a single theoretical framework. University development is the result of continuous interactions between new ideas, environments, and historical institutional forms. Policymakers tend to emphasize new ideas and environmental changes as the logical grounds for their reform policy. Sometimes, the reform initiatives attract people's attention, but universities tend to be skeptical about government initiatives. The universities did not accept even Humboldt's idea at the time, and, obviously, we are confronted today with a more complex set of conditions. The institutional forms
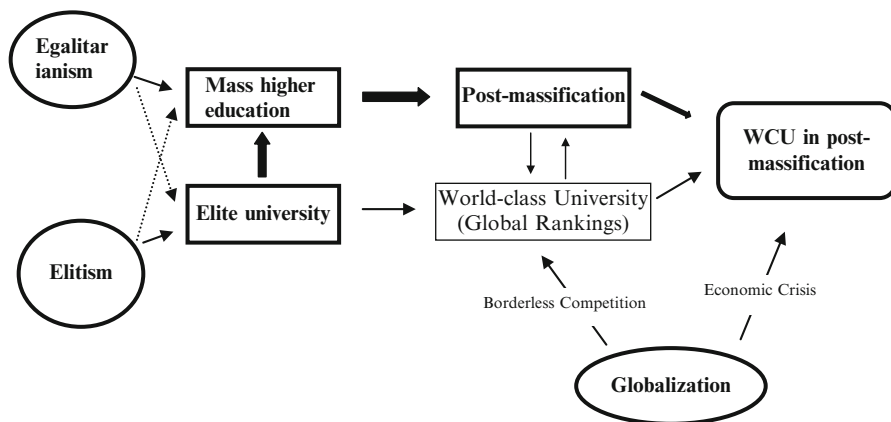
Fig. 1.1 Conceptual framework for the future of the university

of the universities do have to be changed dramatically, and the perseverance of some features of higher education is often referred. Yet, substantial changes of functions are obvious.

The public discourse on the changes in higher education is strongly influenced by varied values as regards to academia, political ideologies, religious beliefs, etc. Often, values of elitism and egalitarianism clash (Shin and Harman 2009). Economic, societal, and cultural values turn out to be incompatible. This does not preclude, however, seeking a conceptual framework aimed at putting the various values, powers, concepts, and activities on an overarching conceptual map.

Shin and Harman (2009) conceptualized new challenges for higher education in their paper "New Challenges for Higher Education: Global and Asia-Pacific Perspectives." They point out that most issues of higher education to which are currently paid attention, e.g., massification, privatization, governance, global rankings and world-class university, and internationalization, are linked to the crucial issue of whether future higher education policy will concentrate on elitism and the apex of the institutional pyramid or whether it will pay attention to the knowledge society based on broad social functions of knowledge on the part of the majority of the population. This will affect the relationship between teaching and research, which is important for the range of values served by higher education policies. The historical development of higher education with the interactions between elitism and egalitarianism under globalization is conceptualized in Fig. 1.1.

Future-looking in higher education means developing scenarios for a "post world-class university" higher education system and a "post-massified" higher education system. Is there an option for a higher education system which is not the servant of the most powerful current political ideology and the most powerful system, for a higher education which is not torn apart by destructive clashes, but, rather, can serve a multitude of approaches through a creative balance? This requires both a realistic and an idealistic discourse. It is hoped that this book serves as a small step forward in this direction.

1.3   Plan of This Book

This book consists of three parts, along with introduction and conclusion chapters. Part I provides the theoretical and practical grounds for the following chapters.

- In Chap. 2, Shin briefly introduces university development from an historical perspective and emphasizes how the university has maintained its heritage throughout its long history. He then discusses how the ancient ideals of higher learning were incorporated into the medieval university, and how the medieval university ideal was, in turn, incorporated into the modern university. In addition, he conceptualizes contemporary higher education as post-massification, and compares how post-massification differs from elite and mass higher education in terms of teaching and research. From this discussion, the author seeks to explain the complexity of contemporary higher education and argues that most of the problems confronting contemporary universities are accumulated problems from the elite and massified stages. Based on this discussion, the author also suggests that the decoupling of teaching and research is one of the main challenges facing the modern university.
- In Chap. 3, Neubauer discusses how globalization is a complex set of structures and dynamics that appear to function as a highly complex system for which outcomes are often problematic and unpredictable. This context of structural uncertainties is the environment within which the contemporary university exists and to which it must respond. This chapter outlines these structural elements of the global economy, points to a set of dynamics that powerfully affect higher education in general, and seeks to gain a better understanding of the role that crises play in this overall environment. The author then examines some of the probable elements of emergent future universities, especially as they seek to adapt to challenges from other social institutions in the performance of their historic functions.
- In Chap. 4, Shin gives an overview of how economic crises affect higher education and draws out some theoretical perspectives from the overview. An economic crisis has a short-term cycle and its impact on higher education is direct and more serious than secondary education or social welfare. The core challenge of post-massification has become how to survive in an economic crisis without tuition fee increases. This chapter proposes that universities move from a strong research orientation to a more balanced movement harmonizing teaching and research.
- In Chap. 5, Yonezawa discusses how internationalization is formulated as a type of international collaboration in higher education. In this chapter, the author analyzes the past directions, current trends, and future prospects of global and regional collaboration in higher education linked with the natural transformation of internationalization. The author discusses the values of regional and global collaboration in higher education for the sustainable development of higher education systems around the world.

Part II focuses on the three functions of the modern university. In this part, the authors present an overview of how teaching, research, and service activities are conducted in contemporary higher education, and discuss how to restructure these functions in the future.

- In Chap. 6, Shin provides theoretical and practical grounds for teaching, research, and service. This chapter discusses how these three dimensions are perceived and carried out by academics, and how these functions reinforce each other for the betterment of the university and society. This chapter uses the Changing Academic Profession (CAP) data to provide empirical evidence.
- In Chap. 7, Shin argues that universities should put more weight on teaching than on other functions. The chapter presents student development, knowledge production, and economic situations as the logical grounds for this. In addition, the chapter looks at how teaching has been conducted in different higher education systems globally. This provides an overview as to how professors teach their students, what they teach, how much time they spend on curriculum development, etc. This diagnostic information provides the starting point for realigning the university as a teaching institution through restructuring undergraduate education.
- In Chap. 8, Marginson focuses on what research means and he proposes six distinctive social functions of university research. He then discusses how the six functions are related to social contexts, e.g., new public management, global rankings, and the internal functions of university, such as teaching and research. His thoughtful discussion opens up a new arena of investigation on "research" discussions. He also discusses whether the university research model is optimal for the spreading of knowledge within universities, and its broader social dissemination, including relations between university and non-university research.
- In Chap. 9, Lee and her colleagues conceptualize the scope of academic service, which is a relatively less often studied area in higher education research. Professors tend to rationalize their service activities in various ways, which raises the question, what is service? What does a service activity mean to academics? Why do they rationalize their service activities? Lee et al. address these questions through a comprehensive literature review and report on their interviews of professors.

Part III focuses on how to realign these three functions by systemic changes at the system level, by redesigning evaluation and reward systems at the institutional level, and by enhancing ethical considerations.

- In Chap. 10, Teichler discusses the challenges of higher education and proposes research topics corresponding to the challenges. Based on his review of major challenges in higher education, he proposes some possibilities for developing new higher education systems. In his discussion, he emphasizes the need to balance various aspects of higher education: to be socially relevant without becoming overly instrumental, and serving a variety of persons and functions without promoting a steeply stratified higher education system. Finally, he proposed how higher education could serve a "highly educated society," when the majority of the population is highly informed, highly reflective, and able to share responsibilities.

- In Chap. 11, Arimoto conceptualizes research-driven teaching and learning from the university development perspective, and explains teaching and research practices by drawing on the CAP data. Using the empirical data, the author discusses how and why both teaching and research should be coordinated. Finally, he proposes suggestions for balanced scholarship through changing evaluation and reward systems in the globalized context.
- In Chap. 12, Teichler further develops the topic of higher education as public goods. He focuses on the contribution of higher education to equality of opportunity in the European policy discourse. He points out that the social dimension of higher education was only a minor theme in the Bologna Process based on empirical data. Further, he relates his discussion to the issues of socio-biographic background and education, and points out that these issues are rarely addressed in policy discussions in European higher education. He wonders whether the current preoccupation with issues of competition and quality will persist or give way to notions of a mass knowledge society, where a balance between meritocracy and equality of opportunity will be sought.
- In Chap. 13, Heyneman discusses how the university benefits society in general, and he considers the ethical issues facing the world-class universities which are at the frontier of contemporary policy issues. He further develops his long-standing research topics into an empirical study to provide confirmative evidence. The study defines "ethics" in the management of a university. In his empirical research, he found that virtually all of those universities ranked in the Times ranking, across 40 counties, mentioned ethical infrastructure elements on their web pages, and this suggests that having an ethical infrastructure is an important ingredient in a university's reputation.

In the conclusion, in Chap. 14, Shin highlights the current dilemma of coordinating the conflict between undergraduate education and graduate education, between teaching and research, and between pure and applied research. As a potential solution, this chapter proposes a multilayered approach which allows autonomous decision-making by different academic units—undergraduate education, graduate education, and applied research units. In addition, in Chap. 15, Teichler discusses how higher education systems differ across countries, especially between Europe and Anglo-Saxon systems. The discussion highlights reasons why policymakers and academics should pay attention to systemic differences in their discussions of higher education reforms.

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