

Higher Education in Asia: Quality, Excellence and Governance

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Researching Higher Education in Asia

History, Development and Future

 Springer

Higher Education in Asia: Quality, Excellence and Governance

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Editors

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Foreword: The Centrality of Research on Higher Education

Postsecondary education, in the era of massification, has become big business in every sense of that term. Universities and other postsecondary institutions serve ever-expanding segments of the population. In Asia, enrolment rates in South Korea and Japan are among the highest in the world—at more than 80 percent of the age group. Asia’s emerging economies, including China and India, are rapidly expanding—and indeed those two countries will account for more than half of global enrolment growth in the coming several decades. Further, postsecondary education has become central to most societies—providing the skills needed in the global knowledge economy and offering social and economic mobility to segments of the population which had never had access before.

Public, state-supported postsecondary education is a significant part of the budgets of most countries. The private higher education sector, now the fastest-growing part of postsecondary education worldwide, is particularly strong in Asia, where it has traditionally educated the large majority of students in Japan, South Korea, Taiwan, and the Philippines and is expanding rapidly in Indonesia and elsewhere.

It is surprising that there is only limited knowledge about postsecondary education in Asia—and for that matter in much of the world. There are thousands of business schools that educate managers and entrepreneurs and conduct research on commercial enterprises of all kinds. There are schools for civil servants sponsored by governments. Universities do research on most aspects of society. But there is very little research or training focusing on postsecondary education. *Researching Higher Education in Asia* is the first effort to assess the state of research on higher education in the region, and for the most part, this volume presents a story of ignorance of a key social institution. Few if any Asian countries have a robust research infrastructure on higher education. There is limited training available for postsecondary leaders—presidents, vice chancellors, rectors, and other key administrative officers necessary for any university. There are few journals published. While higher education is a matter of considerable public interest and is reported in newspapers and the mass media, there are few professionals able to interpret key developments. In many countries, statistics are poor or entirely missing.

Researching Higher Education in Asia not only points out the problems but makes a strong case for the importance of understanding postsecondary education in Asia. Understanding and analysis require good data—statistics, research studies, and commentary. If postsecondary education is to be successful and serve the needs of ever-increasing numbers as well as the requirement for scientific research that contributes to the global knowledge society, a higher education research infrastructure is needed throughout Asia.

A few countries such as Japan and China have both good statistical information about postsecondary education and some research capacity. Other Asian countries need to develop research institutes, academic specialists, training programs, and the other requirements for understanding postsecondary education.

Philip G. Altbach

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Chapter 1

Introduction: Higher Education Research as a Field of Study in Asia

Jisun Jung, Hugo Horta, and Akiyoshi Yonezawa

Abstract Higher education research in Asia is undergoing significant changes, but limited yet in terms of research community, active researchers, research themes and methodologies. This chapter introduces the book *Researching Higher Education in Asia: History, Development and Future*, which aims to explore the evolution of higher education research as a field of study in Asia using a historical, theoretical and empirical approach. It further aims to extend the research scope beyond the more studied East Asian countries to incorporate Southeast Asian, South Asian and Central Asian countries. An overarching framework that relates to main issues under discussion in the region in terms of higher education research is presented in the introduction, followed by 14 country cases from different Asia regions describing the dynamics of higher education research in each individual country.

Introduction

Higher education research has been expanding worldwide over the past few decades (Sadlak and Altbach 1997; Teichler 1996; Tight 2004). This is reflected in the increasing number of academic degree programmes (Blackwell and Blackmore 2003; Altbach et al. 2006) and publications specialising in higher education (Volkwein et al. 1988; Altbach and Engberg 2001; Hutchinson and Lovell 2004). As Tight (2004) has noted, higher education research has become a more respectable and attractive field. There are several reasons for the wide increase in higher education research. Above all, massification has caused increasing attention regarding higher education among supranational institutions, governments, institutional policymakers and other stakeholders (Brennan and Shah 2000). This change has in turn led to funding support for evaluative research projects to better understand the ongoing changes

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in higher education systems and their impact on social and economic development (Tight 2004). There has also been an increased demand for expertise and data on higher education to provide a more sophisticated understanding of the nature of higher education characteristics and systems (Altbach et al. 2006). Recent emphasis on university competitiveness, such as notions of world-class universities, league tables and internationalisation, has also brought about new research interests within higher education (e.g. Seeber et al. 2016). These changes have highlighted a number of related issues, both theoretical and practical, at the national, regional and international level.

However, the maturity of higher education research differs between regions and countries. While some countries have only a few basic statistics and overview reports to guide their own knowledge and policy initiatives, many of which are unsound, others have solid institutions and agencies gathering systematic information through ongoing research on higher education (Schwarz and Teichler 2000). The study of higher education is closely related to the size, scale and growth of the higher education system in each region (Clark 1996; Tight 2007). It is not surprising that higher education as a significant field of academic study initially developed in North America, which now has the largest and oldest body of relevant research compared to other countries (Tight 2007). Altbach et al. (2006) have shown that the United States of America has the largest research enterprise in the field of higher education, with a well-developed training programme for researchers. Moreover, studies on higher education have focused mainly on the Anglo-Saxon academic traditions, such as those found in the United States, United Kingdom, Canada and Australia. Beyond this realm, Tight's (2004) analysis of the main higher education journals from outside North America has identified a diverse array of research interests and methods among European academics. More recently, mass higher education systems have also developed in other countries, including countries in Western and Eastern Europe, Oceania and parts of Asia-Pacific, with a concomitant increase in higher education research. Higher education studies as a course have been added to many curricula, and research institutes focused on higher education have been established in several countries (Teichler and Sadlak 2000; Altbach et al. 2006).

This book concentrates on higher education research in Asia, a region of the world that has experienced a fast growth in participation in higher education, particularly in the first decades of the twenty-first century, but that it is evolving at an accelerated pace in terms of contributions to new knowledge in all fields of science (including the humanities). Japan and South Korea have reached the universal access stage in terms of gross enrolment in higher education (World Bank 2000), and numerous indicators point to a rapid growth in recent research productivity among Asian academics (Postiglione and Jung 2012). The average annual growth in research output in China and South Korea in 2011 was 16.8% and 10.1%, respectively. China, as the world's second largest national producer of science and technology research papers, accounted for 9% of the world total in 2009. Rapid annual growth rates of over 10% were also experienced by Iran, Thailand, Malaysia and Pakistan between 1999 and 2009 (National Science Foundation 2012).

Yet, despite the rapid growth and concomitant challenges of higher education in Asia, related research in this field in Asia has a relatively short history, and the participation of its higher education community, especially in the international research arena, is limited (Jung and Horta 2013). Knowledge about the evolution of higher education research in Asia is scarce, and its current status remains to a very large extent unknown. Many questions remain unanswered: who is doing such research, what topics are being researched, and how do researchers collaborate with one another? Is higher education research being undertaken by higher education researchers or by researchers in related fields, do they have a stable and sustainable national academic community for their research, and do they collaborate with colleagues in other countries? If these communities exist at national and international level, what is it that characterises and defines them the best, and what are the future plans for development?

Higher Education as a Field of Study

When one describes higher education research, one frequently encounters the question of whether higher education is a mature and independent academic discipline. The answer is often ‘no’ or ‘not really’, as there is insufficient evidence to define higher education research as a ‘discipline’, which generally addresses a highly abstract phenomenon and remains exclusive to a large a number of people with interest in the subject (Piierce 1991). May (1997) has described higher education research as enjoying only ‘part-time involvement’ from scholars who hold and apply theoretical perspectives from other disciplines. Instead of using the word ‘discipline’, scholars often describe higher education as a ‘field’. For example, Tight (2004) stated that the work of higher education departments or centres might be called a ‘field of study’ or ‘practice’ rather than a discipline, while Altbach et al. (2006) described higher education research as an emerging ‘field’. The term ‘field’ is a geographical metaphor used to describe, categorise and classify knowledge and skills (Burke 2000). Fields are constructed over time with ‘accumulated knowledge, paradigms and academic capitals, recognised by academics or other social groups’ (Chen and Hu 2012, p. 656). As a field of study, higher education research is represented by academic degree programmes at the postgraduate level, and there are higher education institutes and centres, and specialized journals (Altbach et al. 2006). Nonetheless, the term ‘academic field’ is still used ‘loosely’ and ‘customarily’ (Chen and Hu 2012).

In reality, the boundaries of this field are recognised by ‘a group of people operating as a community who identify with it and work within it’ (Chen and Hu 2012, p. 664). Tight (2012, p. 209) described communities of practice in higher education as ‘groups or networks which help guide, regulate and make meaning of our lives, both in work and outside’. The importance of academic departments in creating and maintaining disciplinary communities makes them the building blocks from which a discipline is created (Pierce 1991). Tight (2004) applied Wenger’s (2000) definition

of ‘community’ – the ‘basic building blocks of a social learning system’ (p. 229) – to the higher education community. Members should have sense of a *joint enterprise*, relationships of *mutuality* and a *shared repertoire*. Tight (2004) concluded that ‘higher education research is not a single community of practice but, rather, a series of, somewhat overlapping, communities of practice’ (p. 409).

In this context, there have been discussions to identify the nature and features of higher education research. For instance, higher education is an object-focused area based on multi-disciplinarity, as researchers in other subspecialities often deal with topics related to the enterprise of higher education (Altbach et al. 2006; Teichler 1996, 2005). Teichler (1996) described the features of higher education research as characterised by a blurred distinction between practitioners and researchers in the midst of the principal tension between scientific reasoning and professional problem solving. Tight (2004) further explained that most higher education researchers do not need to make their theoretical perspectives explicit or become involved in broader aspects of the theoretical debate. How, then, has such a group built an academic community in higher education? They have established degree programmes, research centres and associations; they have held annual conferences and published research results in specialised journals to share their ideas. The evolution of higher education research in terms of research centres, academic programmes and publications across the region has been well listed in the Rumbley et al. (2014) *Higher Education: A Worldwide Inventory of Research Centers, Academic Programs, and Journals and Publications*. There are also several bibliographical sources in higher education, including journal articles, books, encyclopaedias and handbooks, government documents, dissertations and theses, legal material, newspapers, conference proceedings, letters and, in particular, a number of research journals focused on higher education. The latter group has expanded over the past few decades, with many now in international circulation (Budd 1990; Altbach et al. 2006). For example, a few special issues were published in recent years to explore the legitimacy of higher education research as a field of study in terms of diverse research themes and methodologies in different contexts. They are *The development of higher education research as a field* (Published in *Higher Education Research and Development*, 2012), *Alternative methodologies in higher education* (Published in *Higher Education Research and Development*, 2013), and *Researchers and policy makers: A strategic Alliance* (published in *Studies in Higher Education*, 2014).

Professional journals in most disciplines serve the important function of providing a mechanism for professional communication. They encourage the communication of ideas, stimulate discussion – including on controversial topics – and allow scholars to share their findings (Hutchinson and Lovell 2004). With the influence of journal articles, there have been attempts to analyse higher education research patterns from a sociometric perspective. This method provides an unobtrusive, non-reactive measure of formal communication practices within a scholarly discipline (Smith 1981). An examination of what is used during the process of communication in higher education allows readers to discern the current position of higher education research. Who, then, studies higher education? Who is predominantly engaged

in higher education research? Which country, institution or discipline are they from? Teichler (1996) categorised higher education researchers by their backgrounds, dividing them into five categories: (1) department-based occasional researchers, (2) continuous discipline-based scholars, (3) scholars based in higher education research institutes, (4) applied higher education researchers and research units and (5) occasional research practitioners. Furthermore, Teichler (1996) described the changing trends in higher education research. While past research on higher education tended to focus on individual countries, there is now increased interest in comparative perspectives, including research from supranational organisations (UNESCO, OECD and World Bank, among others).

Higher Education Research in Asia

To describe the growth of higher education in the Asian region, Marginson (2011) quoted *Times Higher Education* (2010) as stating that ‘higher education systems in North America and Western Europe are watching the emerging Asian systems with a mix of excitement and apprehension’. The Asia-Pacific region has the fastest growing higher education market internationally, based on rapid economic growth (Shin and Harman 2009). According to UNESCO’s annual statistics, enrolment in tertiary education in East Asia and the Pacific was approximately 47 million in 2007, over three times that of 1991 at 14 million. The growth rate in South and West Asia is also surprising, with 20 million students currently enrolled. Higher education in Asia has undergone enormous change and development in the past few decades. In particular, massification is not a simple issue of enhanced access; this change in scale is of great importance because it has transformed the entire landscape of higher education, affecting governance, financing, quality, curricula, faculties and student demographics (Shin and Harman 2009). In defining the major challenges of higher education in Asia-Pacific for the twenty-first century, Shin and Harman (2009) list massification, privatisation, accountability and governance, internationalisation and the global ranking of universities. Postiglione (2011), in pointing to the effects of the global recession on higher education in East and Southeast Asia, noted that during this period it is particularly important for the region to continue to reform governance and administration, access and equity, internal and external efficiency and regional collaboration.

The development of higher education itself has been accompanied by an increase in academic interest within the community, stimulating the creation of a common identity (Teichler 1996). In particular, we must recognise the importance of not only the national but also the international academic community. Arimoto (2000) proposed that it is time for domestic networks to reach out to the worldwide network of research on higher education. In this light, what is in store for higher education research in Asia? Despite these emerging issues, one cannot help but ask how many academics are involved in this research field and how active its research community currently is. Asia has a number of research institutes specialised in higher education,

some of which are internationally recognised, such as the Research Institute for Higher Education at Hiroshima University in Japan (established in 1970) and the Research Center of Higher Education Development at Xiamen University in China (established in 1978). Additionally, supranational organisations such as the OECD, UNESCO and the World Bank have continuously contributed to higher education research. Such international organisations in Asia have also contributed by collecting data broadly and conducting a large proportion of the major higher education research. For instance, the Asian Development Bank has published a series of higher education research reports and releases annual statistics on the higher education sector with a focus on Asia. However, Arimoto (2000) described the institutionalisation of higher education research in this region as still ‘underdeveloped’.

Some studies have investigated the evolution of higher education research in this region. For instance, Chen and Hu (2012) outlined the history of higher education research by the academic community in China and described its stages of progression as pre-discipline, discipline establishment, expansion and consolidation. They offered a perspective on the unique Chinese context, noting that the field could not have established itself as a proper and recognised field without the blessing of the state. They further indicated that higher education research in China has been open to international academic communities since the 1980s and has sought an outward-looking perspective through international referencing. Further inquiry into higher education research in Asia is still needed. Guided by Schwarz and Teichler’s (2000) analysis of higher education research in the European context, we can pose the same question and consider its implications: ‘How can research on higher education cover more successfully the broad thematic range and bring together the various areas of expertise?’ (p. 2).

About This Book

Asian countries have similar backgrounds in the evolution of higher education research. Their higher education systems face challenges that require active engagement from researchers to permit policymakers and managers to take informed decisions. Yet the higher education research community in Asia appears fragmented and dispersed, with an inconsistent focus on research themes (Jung and Horta 2013) and a heavy dependence on just a few dedicated scholars. Institutional support also varies substantially across countries. In some, higher education research associations are pivotal in developing the higher education community, while in others they are either developing too slowly or mired in internal issues, in which case education administrative associations or government agencies often take the role of fostering higher education research at the national level. In addition, the higher education community in each country appears to be strongly affected by funding opportunities and the disciplinary background of its researchers. For an interdisciplinary field such as higher education research, the disciplinary organisation of Asian universities – echoing similar challenges elsewhere (see Ribeiro 2014) – appears to obstruct its development.

In a globalised scientific community, national and local dynamics still matter. The study of higher education communities at the national level is warranted to understand how domestic higher education communities with shorter or longer histories, associated organisations and related specialist publications contribute to the challenges of national higher education and dialogue with the international higher education community. This dialogue between the national and international higher education communities is particularly relevant, as topics such as faculty and staff development, institutional research and quality assurance, for example, can sometimes strengthen local higher education research, as these practices are highly embedded in their local contexts. This book aims for a broad discussion on the subject of higher education research as a field of study in Asia. It strives to share ideas about the evolving higher education research communities in Asia, identify common and dissimilar challenges, improve regional articulation of these national communities, and ultimately contribute to the international higher education research community. This is particularly important as several higher education authors have argued for an Asian view that goes beyond the simple adoption of Western models that may not be the most appropriate for analysing the Asian context. In light of this gap in current knowledge, each chapter in this book focuses on a set of questions that the editors of this book deem critical to better understand the higher education community in Asia.

- Who is undertaking higher education research in Asia?
- Where are the key regions of higher education research in Asia, and how have they been evolving?
- To what extent does higher education research in Asia involve international, regional, national and institutional collaboration?
- Is higher education an independent academic field at the national level across Asia?
- Does Asia have research institutes, academic degree programmes and nationally based academic journals specialising in higher education?
- What kinds of topics are being researched, and what methodologies are being applied?
- What is the relationship between government policy and higher education research?

The country cases apply robust analytical thinking and in-depth analysis based on a solid theoretical and methodological framework to highlight key events and issues critical to the past, current and future development of each country's national community. This includes the effects of agents in higher education research development, the role of funding sources, the resulting influence (or not) of this research on policymaking, the relative influence of national versus international higher education research communities and the links between higher education, teaching and practice. In each case, the authors briefly present the historical background of their own higher education research community and focus on specific issues regarding the current landscape of higher education research in their own context. In terms of methodology, these studies use various methods including both quantitative and

qualitative approaches. Based on accumulated expertise and a strong scholarly network, this book aims to explore the evolution of higher education research as a field of study in Asia using a historical, theoretical and empirical approach. It further aims to extend the research scope beyond the East Asian countries to incorporate Southeast Asian, South Asian and Central Asian countries. An overarching framework is presented in the introduction, followed by 14 country cases from different Asian regions describing the dynamics of higher education research in each individual country. It is noteworthy that some of the countries have little to almost no history concerning research done in higher education, since its national higher education research communities were never truly developed or are only now starting to develop. In many country cases, the focus on higher education research rests on one, a few or a group of researchers that take interest in issues related to higher education, in other cases remits to a newly formed research centre and attempts to create national communities and national language journals. In most of these cases, the authors opted to explain the evolution of their higher education system, bringing in topics of current interest, and mix it with the little there is to say about a research field that is only now starting to evolve from an embryonic phase.

The book consists of four sections. Part I opens with a general overview of higher education research in Asia, including how this academic community has developed, its level of activity and its values and methods from an Asian point of view. In Chap. 2, Hugo Horta presents a comparative analysis of international publication data across the various Asian countries, using historical quantitative analysis from a descriptive perspective, to provide a macro view of higher education research in Asia, covering the contribution of higher education researchers to the global pool of knowledge in higher education research and assessing the patterns of collaboration at regional and global levels. Rui Yang, in Chap. 3, criticises the almost total current reliance on Western theoretical constructs in the conceptualisation of higher education development in East Asia and argues for perspectives that emphasise the influence of traditional East Asian cultural thinking on contemporary development. In the following chapter, Jae Hyung Park examines the Confucian heritage and its methodological issues in knowledge production, followed by 'Asia' as a higher education research methodology. Roger Jr. Chao, then, explores the regionalisation of higher education research in Asia and its relationship to the broader literature on Asian regionalism, to facilitate a better understanding of its evolution and future direction.

Part II presents higher education research in East Asia – including Japan, China, Hong Kong, Macau, South Korea, Taiwan and Mongolia – which currently leads the higher education research community in Asia in most cases. Akiyoshi Yonezawa describes how higher education research in Japan was shaped historically and discusses its current and future challenges in the global context. Li-Fang Hu and Shuang-Ye Chen outline the development of higher education research in China into a well-recognised independent academic field with an organised academic community in its unique national and historical context. Using empirical publication data, Yat Wai Lo and Felix Sai Kit Ng focus on higher education research in Hong Kong, both at the national and international level. Zhidong Hao examines the key issues in higher education in Macau and its national and global challenges. The

case of South Korea is explored by Jisun Jung, which describes the development of its higher education research and the key topics and methodologies applied. Sheng-Ju Chan and Ying Chan focus on Taiwan and its rapid development in higher education research despite the lack of a solid academic programme and other constraints. Nyamjav Sumberzul and Shagdarsuren Oyunbileg consider higher education research in Mongolia, where it is still in the initial stages of development.

Part III examines the especially rapid development of higher education research in Southeast Asia, including Singapore, Malaysia, the Philippines and Thailand. Michael Lee probes the major characteristics, trends and issues in higher education development in Singapore, under such themes as 'centralised decentralisation', entrepreneurialisation, globalisation, internationalisation, marketisation and massification. Norzaini Azman and Morshidi Sirat introduce the salient features of the evolution and current state of higher education research in Malaysia. Nopraenu Dhirathiti focuses on Thailand through the lens of teaching courses and programmes, national educational policy and current research and publication in higher education research. Christian Bryan Bustamante provides an overview of the status and challenges of higher education research in the Philippines, based mainly on the policies of the Philippines' Commission on Higher Education (CHED).

Part IV focuses on South and Central Asia, including India, Iran and Saudi Arabia. N. V. Varghese describes the historical and current higher education research in India and highlights the major challenges to its future development. Abbas Arani, Lida Kakia and Mohammad Jafari Malek provide an overview of the development of higher education research in Iran and its key contemporary challenges, while the chapter by Abdulrahman Abouammoh analyses the case of Saudi Arabia, where this field of research is currently undergoing regeneration.

The concluding chapter of the book provides a summary of findings, the evolution of national higher education research communities and the challenges – common and not so common – that are still to be tackled in the region, and based on these, a set of suggestions for the future development of the field of higher education research in Asia is forwarded.

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Part I
Conceptualization and Understandings
of Higher Education Research in Asia

Chapter 2

Higher-Education Researchers in Asia: The Risks of Insufficient Contribution to International Higher-Education Research

Hugo Horta

Abstract The aim of this study is to explore questions associated with the engagement of Asia-affiliated researchers in higher-education research published internationally. The contribution of Asia-affiliated researchers to the international higher-education research community is measured by analysing articles published in Scopus-indexed journals between 1980 and 2015. The results show that despite the somewhat accelerated growth since the 2000s in the number of articles published internationally by higher-education researchers affiliated with Asian countries, this community is still relatively small and poorly regionally connected, relies extensively on collaboration with researchers from native English-speaking countries and predominantly comprises researchers who began publishing international higher-education research in the last 15 years. Currently, Asian-based researchers contribute less to the global pool of higher-education research than their counterparts in most other regions of the world. These findings lead to the argument that efforts must be made to increase the participation of Asian-based researchers in international higher-education research in the short term. The failure to do so, in a globalised world in which English is the lingua franca of research, will significantly limit the world's understanding of the characteristics and development of higher education in Asia. In the absence of native Asian accounts and analyses, non-Asian-based researchers may be solely responsible for contributing insights into Asian education to the international higher-education literature. The key and somewhat provocative question asked here of higher-education researchers based in Asia is as follows: are you going to allow others to research and share to the world their understandings of what is happening in higher education in Asia – with all the consequences associated to it – or are you going to take the initiative and do it yourselves?

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Introduction

The volume of both national and international higher-education research published in international journals is increasing (Tight 2004). The growing interest in higher education as a subject of enquiry has arisen from the central role played by higher education in knowledge, social, economic and cultural systems in today's knowledge society (David 2011; Shin and Harman 2009). Higher-education researchers have sought answers to a plethora of questions related to higher education that many governments, families and other stakeholders around the world are interested in tackling (Altbach et al. 2006). In so doing, higher-education researchers are required to deal with increasingly diverse and complex issues arising from the development of higher-education systems in the twenty-first century. As a result, a great range of research themes and topics has been addressed, although a strong emphasis remains on policy issues, theory and practice and pedagogy (David 2011; Tight 2004). Concurrently, higher-education research worldwide has been augmented by the views and expertise of researchers from various backgrounds, such as scientists, educators and administrators (Ashwin et al. 2015).

Nevertheless, higher-education research remains under-researched (Tight 2004). Dennison (1992) pointed out with some irony that although higher education has become a major area of government expenditure and public interest, higher-education research has received relatively little investment from public sources (i.e. the government). The development of higher-education research has progressed at different speeds in different regions of the world, but this variation has also received limited attention from researchers, international organisations and other stakeholders (Jones 2012). Higher-education research communities tend to emerge and develop when higher-education systems are expanded. In North American and Western European countries, relatively recognised, competent and engaged higher-education research communities have been established following the early development of higher-education systems. However, in Asia and other regions, researchers are less engaged with higher education from an international standpoint (Jung and Horta 2013), in part due to the later development of most higher-education systems in these regions (Jung and Horta 2015; Chen and Hu 2012).

It is important to assess the development of higher-education research in Asia for several reasons, of which two are acknowledged to be the most relevant. (1) Most higher-education systems in Asia are undergoing accelerated massification, with a speed, breadth and scope never previously attained in any other part of the world (Shin et al. 2015). This process carries with it many of the usual challenges facing the development of higher-education systems, but also brings to the fore new challenges created by uncertain, complex and multifaceted trends of globalisation. (2) In the years to come, higher-education systems in Asia are expected to account for the largest share of students worldwide. However, Asian governments are also investing substantially in activities at the top of the higher-education knowledge pyramid, in Heitor and Horta's (2016) words, that is, the academic-research component of higher-education systems. To increase their countries' vis-

ibility in the international scientific community, governments across Asia are making consistent efforts to promote institutions with a greater or lesser degree of resemblance to the American model of the research university (Yang 2015; UNESCO 2014). In addition, they are replacing manufacturing processes that add little value (such as the mere assemblage of products designed elsewhere; Locke and Wellhausen 2014) to transform their economies into innovative, knowledge-driven systems. Higher-education researchers based in these countries have a key role to play in explicating and contributing to this development, although national higher-education research communities in Asia have not always prospered, due to various factors related to resources, traditions, mentalities, rewards and institutional environments (e.g. Chen 2015; Chan and Chan 2015).

Although national higher-education communities play a key role in making policies and elucidating the development of national higher-education systems, the failure of these national communities to contribute to the international scientific community is an increasingly urgent problem (Yonezawa 2015; Jung 2015). In a globalised world in which geopolitical and scientific communities influence each other and are increasingly connected, policymakers look for benchmarks to compare performance (Voegtle et al. 2011). In addition, the media today share news from all over the world, and curiosity about the dynamics of higher-education development in Asia is mounting (e.g. Marginson 2011). Audiences across the world, not just higher-education researchers and policy makers, are interested in learning about key developments in Asia's higher-education systems. For example, it remains unclear how Asian governments are reorganising their countries' education systems and institutions; what strategies are being adopted in Asia to internationalise education, to establish knowledge hubs, to build research capacity, networking and collaboration, to use and expand resources and to increase access; and which learning styles are being fostered to improve students' learning experiences and graduates' employability (e.g. Mok 2016; Postiglione 2014). The global research community has shown clear interest in these questions, as demonstrated by the following two examples. An article about East Asia, Singapore and the rise of the Confucian education model by Simon Marginson, an Australian researcher currently based in the United Kingdom, received 76 citations between its publication date in 2011 and October 2016. A 2009 article on the challenges facing higher education in Asia and the Pacific region by Jung Cheol Shin, a South Korean researcher, and Grant Harman, an Australian researcher, has garnered 61 citations since its publication in 2009. This rapid accumulation of citations reflects the speed with which articles on Asian higher-education systems have drawn attention and interest worldwide.

At this juncture, two key questions are as follows. Who is publishing internationally on higher education in Asia? Who is letting the world know what is happening in Asian higher education, how it is happening and why? Answers to these questions are suggested by a very simple scientometric analysis. A search of international higher-education journals indexed in the Scopus database for articles with the keyword 'Asia' in their titles, abstracts or keywords reveals that the researchers who write the most about higher education in Asia are affiliated with institutions in Australia and the United States. That two of the most frequently cited articles on the

current state of and future directions for higher education in Asia were authored by Australian researchers is indicative of the global prevalence of non-Asian researchers in the field of Asian higher education.¹ This raises concerns that Asia-based researchers are under-represented in the higher-education literature; according to some authors, this may be due to editorial bias (e.g. Atkinson 2013). Meanwhile, the ‘Westernisation’ of theories and methods and their consequent inapplicability to Asian contexts creates tension and discomfort among Asia-based researchers (Lo 2016a, b), while they continue to struggle to define Asia-appropriate models, theories and methods that are visible to both national and international actors and represent best practice in analysing ongoing developments in Asian higher-education systems (Yang 2015; Postiglione 2014).

Against this backdrop, the current chapter builds on and extends the work of Jung and Horta (2015) on the contribution of Asian countries to internationally published higher-education research. Its aim is to better understand how this contribution has evolved and to what extent researchers in the Asian region are capable of contributing more than they have done so far. To achieve this aim, descriptive statistics drawn from a dataset of indexed international journals are analysed using a quantitative historical method (e.g. White and McCain 1998) to (1) assess the evolution of publications in Asia and elsewhere in the world, (2) analyse co-authorship collaboration at country level and (3) identify and better understand generational changes in composition of Asia-based higher-education researchers with the greatest volume of international publications.

This chapter is organised as follows. In the next section, the data used and the chosen methodological approach are described. Subsequently, the results are discussed in relation to previous literature on higher-education research and the transformation of higher-education systems in Asia. The final section concludes the study: the findings are discussed with reference to the current engagement in international publication of Asia-based higher-education researchers, and some consequences of the failure to encourage higher-education researchers to publish in international higher-education journals are suggested.

Methods

Database and Analysis

This study is based on the Scopus database, a large abstract and citation database of peer-reviewed research literature, which is particularly suited to the analysis of publications produced in international peer-reviewed higher-education journals due to

¹The most frequently cited article with the keyword ‘Asia’ in the international higher education literature (cited 118 times) was published in 2008 in *Higher Education Policy* and co-authored by two English researchers and one Asia-based researcher (Deem et al. 2008). The second most frequently cited article with this keyword was authored by Simon Marginson, as noted in the text.

its extensive coverage of journals in the social sciences (Norris and Oppenheim 2007). The data collection was conducted in March 2016 and covered articles with a focus on higher-education research published by Asia-affiliated authors between 1980 and 2015. The content of the specialised higher-education literature (journals only) was based on the recommendations by Hutchinson and Lovell (2004) and Tight (2004), who identified and listed core higher-education journals. A few recently indexed higher-education journals were added to this list to cover a field with expanding publication venues (Brennan and Teichler 2008). The latter journals were identified by considering only journals with the words 'higher education' and 'tertiary education' in their titles (as in similar research; see Horta and Jung 2014). The final list of journals is similar to that used in recent research on higher education in Asia (see Jung and Horta 2015). Analysing specialised higher-education literature is meaningful because these journals offer forums for the presentation of new knowledge and professional communication and debate (Tight 2008).

Using the criteria explained above, the search yielded 19,305 articles on higher education published between 1980 and 2015. However, 3323 articles were removed from the analysis due to insufficient information on the country or institution of affiliation, as author affiliation provides a critical measure of the development of knowledge in the field by region and country. More than 50% of the articles with undefined affiliations were published by the *Chronicle of Higher Education*. Although this publication is indexed in the higher-education journal database, it has a multitude of functions (such as advertising academic jobs and hosting blogs); it predominantly concerns issues in the higher-education system of the United States; and its articles are generally only one or two pages long, in which higher-education researchers identify and debate topics of immediate interest to stakeholders (Meyer 2010). In a sense, the *Chronicle of Higher Education* is a publishing venue that communicates the approaches and findings of higher-education research to both the general public and the higher-education community (Wilson 2011); therefore, the comparability of its aims and purposes with those of other well-established specialised higher-education journals is questionable.

The remaining 15,982 articles – constituting the final database – were categorised by country and region according to author affiliation to gain insights into the nature and evolution of higher-education knowledge production in each world region and country. As the focus of analysis was knowledge production in international higher education in Asia, the United Nations' classification² of countries was generally followed to identify those countries considered to be part of Asia. Only two countries in this classification, Turkey and Israel, were not considered part of Asia. As associated member states to the European Union, these countries have long benefited from European research funding, positioning them between the European Research Area and the Asian research community. Therefore, their situation differs considerably from that of other Asian countries (Svarc et al. 2013; Zimmerman et al. 2009). The publication-counting method used in the study was whole counting,

²The United Nations' list of countries classified by region can be found at <http://unstats.un.org/unsd/methods/m49/m49regin.htm> [last accessed 26 September 2016].

a common scientometric counting method whereby articles with multiple authors are counted by author affiliation (Gauffriau et al. 2008). For example, an article with two authors affiliated with different countries was counted as two articles. The main focus of the analysis was articles authored or co-authored by researchers based in Asia. These data were analysed by quinquennia to assess the evolution of production in the field of higher education at the country level. Author analysis was also pursued to identify the researchers in the region who have produced the greatest volume of international publications on higher education.

Results

Evolution of Higher-Education Research Worldwide and in Asia

The number of articles published in higher-education journals worldwide is increasing. As Fig. 2.1 shows, the number of articles published between 1980–1984 and 2011–2015 increased by 4.4 times, from 1301 to 5738, respectively. This growth reflects the increasing contribution of national higher-education research communities to the international knowledge pool – even from communities with a long history of participation in global science research (Lo and Ng 2015). Some of these international publications were also comparative studies, which have maintained a steady state throughout the last decades as identified by Kosmutzky and Krucken (2014). However, the rise in the number of articles is also due to the emergence of new journals in higher education and the increase in annual volumes and issues of existing higher-education journals to accommodate the increasing participation and contribution of researchers from outside the United States (Tight 2012).

This growth was not linear, but followed a polynomial trend line with two main periods. First, from 1980 to the mid-2000s, article number remained fairly steady, fluctuating only within a narrow range (from 1211 publications in each of two periods, 1983–1977 and 1985–1989, to 1486 in 2001–2005). Between 2001 and 2005, only 9% more articles were published than between 1980 and 1984. In the second main period, from the mid-2000s to the present day, the increase in the number of publications accelerated, accounting for most of the spectacular growth recently observed in publications on higher education. This period of growth coincided with the transformation of the higher-education systems of upper middle income countries from elite to mass systems (Marginson 2016) and with increasing national and institutional policy pressure on researchers from all disciplines to publish more frequently in international indexed journals, especially high-impact journals (Dobele and Rundle-Theile 2015; West and Rich 2012). This pressure was due in part to the craze for world university rankings and institutional positioning and legitimisation activities in global higher-education systems, and in part to the rise of an evaluative culture and accompanying assessment systems in higher education, associated with managerial practices that have influenced academia (Leisyte and Wilkesmann 2016; Cattaneo et al. 2016). As interest in higher education mounts, and its challenges – old

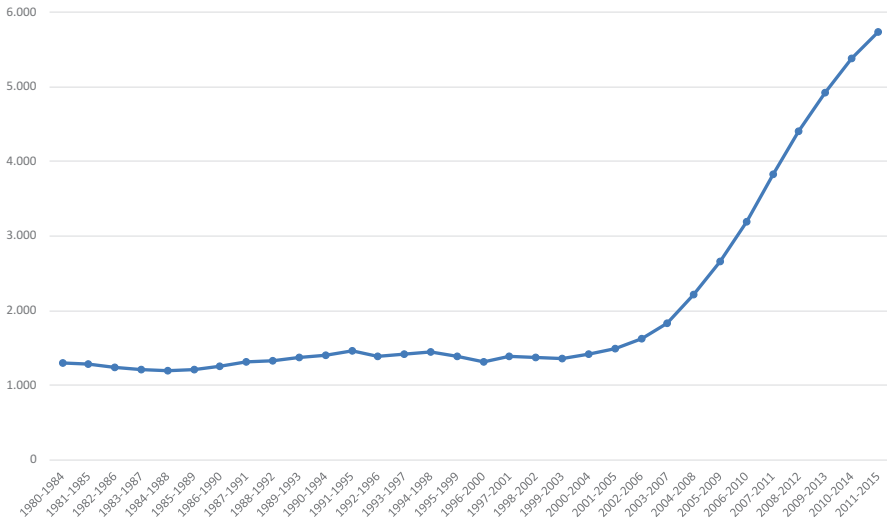


Fig. 2.1 Number of publications in specialised higher-education literature worldwide, 1980–2015

and emergent – draw the attention of mature higher-education researchers and others that contribute to the pool of knowledge on higher education (Kehm 2015), it will be interesting to see whether the increase in publications on higher education will continue or stabilise in the near future. Interest in higher-education issues, coupled with the ‘publish or perish’ imperative and other collaborative-competitive trends associated with pressurised audit cultures, evaluation systems and prestige rankings, suggests that the second key trend depicted in Fig. 2.1 will last for several more years.

Researchers from different regions make different contributions to the field of higher education (Fig. 2.2). There are two main reasons for this inequality. First, almost all of the specialised higher-education literature is published in English, favouring researchers in native English-speaking countries and countries in which resources are available to allow authors to commission their articles to be proofread by native English speakers (Min 2014). Second, compared with those in Asia, higher-education systems developed earlier in North America, followed by Europe, in which the international collaboration of national communities was internationally supported by the European Framework programmes (Hoekman et al. 2013). This created demand for a higher-education research community that would support policymakers, the academic community and other stakeholders by gaining insights into the emerging and sometimes unexpected challenges facing higher-education massification (Kuzhabekova et al. 2015).

Therefore, it is not surprising to observe in Fig. 2.2 that researchers affiliated with North and Central America³ contributed the most to the higher-education field

³A large percentage of the articles published in the North and Central America regions were authored or co-authored by US and Canada-affiliated researchers.

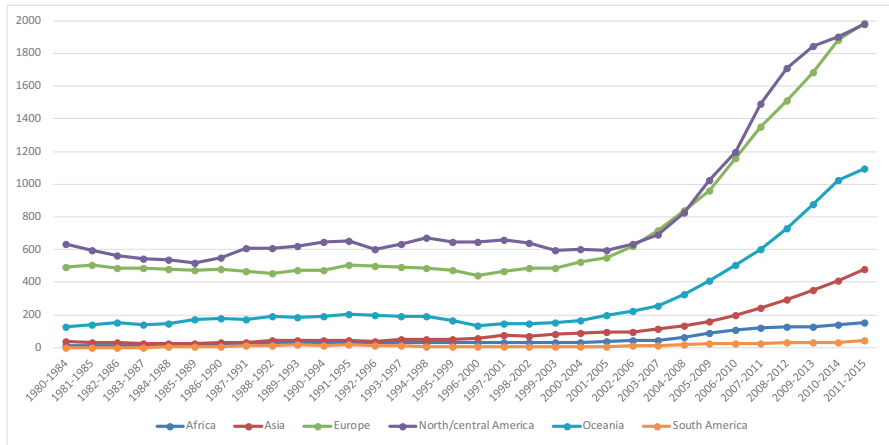


Fig. 2.2 Publications in the specialised higher-education literature by region, 1980–2015

during the first period identified in Fig. 2.1 (from 1980 to the mid-2000s), followed by Europe. On average, researchers in North and Central America published 608 articles per quinquennium, and European researchers published 486. Researchers from Oceania published a third to a half of the output of researchers in North and Central America and Europe (169 articles per quinquennium), followed by their counterparts in Asia, Africa and South America (49, 25 and 8 articles per quinquennium, respectively). This trend had a similar regional composition in the second period, from 1980 to 2015, but researchers in North and Central American and Europe produced roughly the same number of publications, with both areas showing rapid growth. Oceania-based researchers also produced substantially more publications than in the first period (exhibiting the greatest increase between the two periods). The average number of articles published per quinquennium from 2002 to 2006 by researchers in North and Central America was 1329, while European researchers published an average of 1271 articles and Oceania-based researchers 604. The Asia-based authors also increased their contribution to the international field, with their average number of publications per quinquennium in this period reaching 248. Between the first period and the second period, the average number of articles published by Asian-based researchers per quinquennium grew by more than five times.

The number of articles by African authors also increased (with more than 100 articles published in a quinquennium for the first time in 2007 and 2011, respectively). During the second period, African researchers published an average of 101 articles per quinquennium. The South American contribution to the field also increased substantially, but South American researchers were still far from publishing 100 articles in a single quinquennium; and in the second period, 2011–2015, they published only a third of the number of articles produced by African authors. On average, South American researchers published 26 articles per quinquennium in

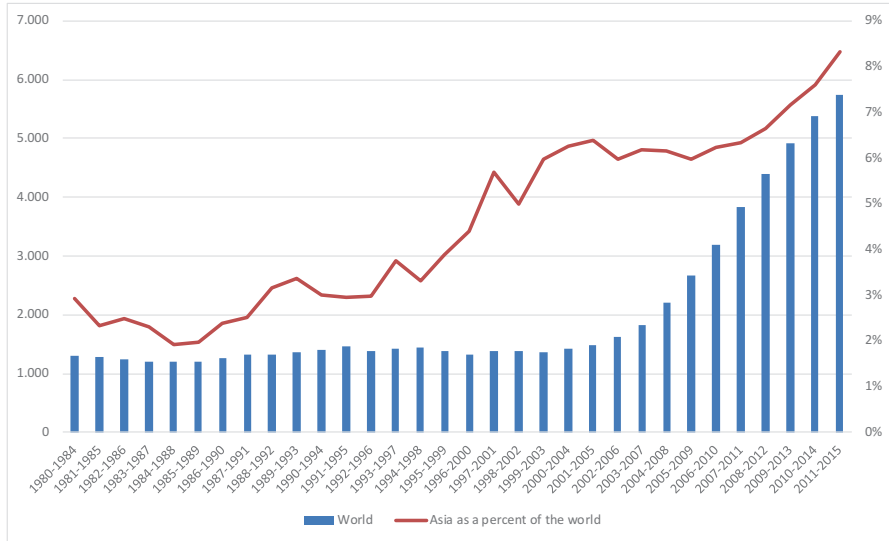


Fig. 2.3 Publications in the specialised higher-education literature worldwide and share of Asia-affiliated publications, 1980–2015

the second period. There are several possible reasons for the limited contribution of South American higher-education researchers; most importantly, they tend to disseminate their findings predominantly in Spanish and Portuguese language journals that are not indexed by an English language-dominated international community and thus lack widespread visibility (see Vasconcelos et al. 2009).

Figure 2.3 shows that the worldwide share of international higher-education articles produced by Asia-affiliated researchers increased from 2% to 4% in the 1980s and 1990s, respectively, from 5% to 6% in the first decade of the 2000s and to 8% after 2010. Although this is a positive trend, it also indicates that Asian-based researchers have the potential to make a greater contribution to the field of higher-education research and that knowledge production in this field is currently occurring at a very low rate. This is confirmed by the following two observations. Between 1981 and 1985, Asian researchers in the field of higher education published 0.002 articles per million people in Asia. This figure increased to 0.003 between 1991 and 1995, 0.005 between 2001 and 2005 and 0.023 between 2011 and 2015, but remains far from the world average, which serves as a reference point for world production relative to the global population. Between 1981 and 1985, 0.055 articles per million people worldwide were published in the field of higher education. This figure remained roughly stable in 1991–1995 (0.053), decreased in 2001–2005 to 0.047 (partly due to the rapid increase in the world population during this period) and has recently reached 0.160. This trend indicates that the contribution of new knowledge to the international higher-education literature by Asian researchers relative to the population of Asia is significantly smaller than the equivalent contribution of researchers elsewhere in the world. Similar findings are obtained from the analysis

of the number of students of both sexes enrolled on all programmes in tertiary education. Between 2000 and 2004, Asian-based researchers published 0.36 articles in the field of higher education per 1 million students enrolled in tertiary education in Asia; during the same period, the world average was 2.45 articles per 1 million students enrolled in tertiary education. Between 2010 and 2014, 0.79 articles were published by Asian researchers per 1 million students enrolled in tertiary education in Asia, while 5.52 were produced worldwide per 1 million tertiary students. Similar to the results for population, the findings for tertiary enrolment indicate that the production of new knowledge produced by Asia-affiliated researchers in the field of higher education relative to the total number of students enrolled in tertiary education in Asia is much lower than the equivalent contributions in other regions.⁴

The contribution of researchers across Asia to higher-education research is also unequal, with some countries accounting for a greater share of the overall number of publications in the region (Jung and Horta 2015). Analysis of the relative contribution of researchers affiliated with different Asian countries to knowledge production in higher education reveals dynamics of both change and stability. Figure 2.4 shows the relative contribution of countries in Asia to the field of higher education. The 10 countries responsible for the greatest share of knowledge production are shown individually in the figure, while the remaining countries are aggregated into a category named ‘others’. In terms of stability, analysis reveals that a

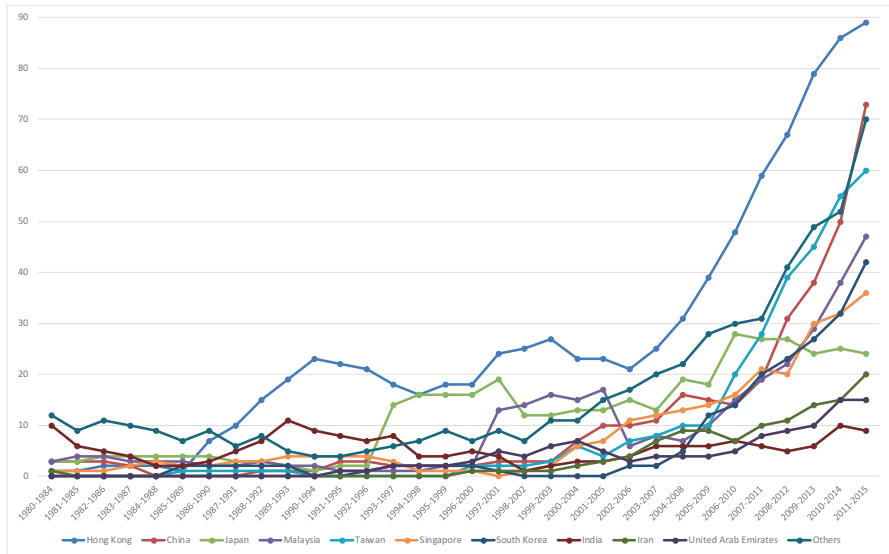


Fig. 2.4 Production of higher-education research by Asian country, 1980–2015

⁴Population figures based on World Bank data (<http://databank.worldbank.org/data/reports.aspx?source=education-statistics---all-indicators#>) and United Nations Educational, Scientific and Cultural Organisation data (http://data.uis.unesco.org/Index.aspx?DataSetCode=EDULIT_DS#) [both accessed 27 September 2016].

considerable proportion of the articles published in the field of higher education in Asia originate in Hong Kong, consistent with the findings of previous literature (Kim et al. 2017; Jung and Horta 2013). Another stable publication trend is the predominance of East Asian countries in the international publication of higher-education research. The higher-education systems in these countries were established earlier than those in West, South, Southeast and Central Asia (Jung and Horta 2013).

In terms of change, several countries were responsible for the production of higher-education knowledge during the 1980s, and those in the 'others' category were the highest producers during this period. Promisingly, after several years of fairly low but steady production, these countries have collectively begun to contribute more to the international pool of knowledge in higher education since the early 2000s. However, these countries have the potential to contribute even more, as their aggregate production from 2011 to 2015 was exceeded only by Hong Kong and China. If this trend persists, the contribution of researchers across Asia to international higher-education research is likely to become more balanced in the near future. Hong Kong researchers continue to contribute most to higher-education research in Asia, because Hong Kong's higher-education system is an educational hub boasting some key Asian flagship universities and a highly internationalised and well connected academic community, within which English is (not unproblematically) the main language used in publications (Lo 2016a, b; Lo and Ng 2015; Choi 2010). However, Hong Kong should be understood as something of an outlier in the region due to these educational features and its status as a multicultural hub; it is sometimes regarded as a foreign territory within Asia (even by mainland Chinese students studying in Hong Kong; see Yu and Zhang 2016).

The rapid growth in China's contribution to higher-education research began in the early 2000s, partly as a result of national policies designed to increase the research capacity, internationalisation and visibility of the Chinese academic community. The number of Chinese-authored publications in all disciplines has increased substantially (Breznitz and Murphree, 2011). The growing contribution of Chinese researchers to internationally published higher-education research is also related to the accelerated development of China's higher-education system. In addition, knowledge production in China is becoming increasingly outward looking, as intended by the Chinese government (Chen and Hu 2012). However, these incentives to publish are balanced by problems with research quality (Feng et al. 2012) and research integrity (Yang 2015; Zeng and Resnik 2010). The increase in higher-education publications in Taiwan, Malaysia, South Korea and Singapore since the early 2000s, despite their specific characteristics and thematic concentrations (see Kim et al. 2017), followed national efforts to promote these countries' research and development systems as global knowledge hubs by increasing not only their knowledge production and visibility but university prestige, networking and innovation (Lee 2015).

In the 1980s, researchers based in India also made a key contribution to the higher-education research produced in Asia; however, following a decline and subsequent growth in the 1990s, their production has substantially decreased, reaching a low but steady publication rate during the early and late 2000s. It would be useful to understand why the Indian contribution to the international higher-education community has reached a plateau. Meanwhile, Japan-based researchers made a

steady and relevant contribution to the development of and knowledge production in higher-education research from the early 1990s; however, production reached a peak in 2006–2010, and Japan’s contribution to the field has since been decreasing. This trend may be linked with national or institutional incentives in the form of research funding and career progression to focus knowledge production on national journals to guarantee a more straightforward knowledge exchange within Japanese society. However, the trend may also be associated with limitations on research approaches and resources (such as the time required to publish in both national and international journals) and unsolved language barriers that may eventually be tackled by a younger generation of higher-education researchers (Yonezawa 2015; Futao 2014).

It is important to rejuvenate the body of researchers in the higher-education field. New generations of researchers keep the field alive, as they combine knowledge accumulated by past generations of researchers with new knowledge of their own obtained through their particular abilities and approaches, and respond to novel challenges facing researchers in the field. Table 2.1 shows the researchers who produced the greatest volume of higher-education literature in Asia in two periods (1980–2015 and 2000–2015). In both periods, Hong Kong-based researchers were overwhelmingly prominent. Throughout the whole period under analysis (1980–2015) and the most recent period (2000–2015), seven of the ten most productive researchers were based in Hong Kong, and all of the ten most productive researchers were based in East Asia, reflecting the leading role of East Asian researchers in producing and internationally disseminating new knowledge on higher education. Even more importantly, the most productive researchers basically represent a new generation of researchers. Only David Kember and Ka-Ho Mok published articles before 2000; the remaining researchers have published research only in the last 15 years. This suggests that the field of higher education in Asia is being advanced by young scholars and scholars with strong publication records in recent years (which may indicate that researchers are adapting to the need to be more outward looking by publishing in international peer-reviewed journals).

Table 2.1 Most productive researchers in Asian region in two periods

Author (1980–2015)	No. of articles	Author (2000–2015)	No. of articles
Kember, D. (Hong Kong)	35	Kember, D. (Hong Kong)	22
Shin, J. C. (South Korea)	13	Shin, J. C. (South Korea)	13
Tsai, C. C. (Taiwan)	12	Tsai, C. C. (Taiwan)	12
Watkins, D. (Hong Kong)	12	Mok, K. H. (Hong Kong)	9
Mok, K. H. (Hong Kong)	10	Jung, J. (Hong Kong)	9
Jung, J. (Hong Kong)	9	Macfarlane, B. (Hong Kong)	9
Macfarlane, B. (Hong Kong)	9	Huang, F. (Japan)	8
Huang, F. (Japan)	8	Leung, D. Y. P. (Hong Kong)	8
Leung, D. Y. P. (Hong Kong)	8	Horta, H. (Hong Kong)	7
Horta, H. (Hong Kong)	7	Carless, D. (Hong Kong)	6

Analysis of the Asia-based authors who published at least three articles between 1980 and 2015 reveals that the trend observed among the highest-producing researchers in Table 2.1 can be generalised to most authors in the field. Of the researchers with at least three publications in the whole period, 81% published only between 2000 and 2015, 7% published between 1980–1999 and 2000–2015 and 12% published only between 1980 and 1999, indicating that they have since retired or are otherwise no longer engaged in producing higher-education research. This suggests that a new generation of higher-education researchers has emerged and is responsible for knowledge production and development in the field, in line with the developing character of higher-education research as a field of knowledge in Asia (Jung and Horta 2013). The emergent nature of Asian higher-education research is also evident from Asian researchers' tendency to collaborate with native English-speaking researchers on publications in international higher-education journals. In the period under study, 25% of all of the articles published by Asia-affiliated authors were produced in collaboration with researchers based in the United States, 16% with researchers based in the United Kingdom and 15% with researchers based in Australia. Within Asia, collaboration most frequently occurs with researchers in Hong Kong (6%), followed by China (5%, the same percentage as Canada) and Singapore (4%). Unsurprisingly, countries developing their research capacity rely on countries with leading scientific communities for collaboration (indeed, this phenomenon is prevalent in most disciplines; see Yonezawa et al. 2016; Mosbah-Natanson and Gingras 2014). However, the extent of this collaboration is surprising. For example, the proportion of internationally published higher-education research on which Asian-affiliated researchers have collaborated with US researchers is exactly the same as the proportion produced collaboratively by all Asian countries (25%).

Although collaboration between researchers in the scientific community is welcome in a globalising world facing increasingly complex challenges, excessive reliance on partners outside Asia to the detriment of regional collaboration may adversely affect the identity, development and theoretical and methodological creativity of Asia-based higher-education researchers (Yang 2014). This tension is particularly evident in post-colonial countries and territories and has led to an emphasis on searching for and conceptualising appropriate models of higher-education systems and institutions in Asia (Li 2012). The increase in 'soft' and economic power of Asian countries operating within global research and higher-education systems has only made this tension more apparent and more pressing (Zha and Hayhoe 2014; Postiglione 2014).

Conclusion

The contribution of higher-education researchers affiliated with Asia-based institutions to international knowledge production in the field of higher education is growing. However, this growth began only recently, in the early 2000s, and Asia-based researchers are currently underperforming relative to researchers in other parts of

the world in their contribution to the global pool of knowledge in the field of higher education. This underperformance is evident from analysis of the volume of publications contributed by Asian researchers to the international higher-education literature relative to population size and number of students in Asia and from comparison of this indicator with the world average number of publications in higher education relative to global population and total number of students worldwide. The analysis reported in this book chapter also reveals that the Asian higher-education research community is becoming more and more internationally oriented and relies increasingly on a new generation of researchers. However, this positive trend has several limitations. The first is the tremendous reliance of Asian-affiliated researchers on scholars from countries such as the United States, the United Kingdom and Australia to collaboratively produce contributions to the field. This collaboration should by no means be devalued or obstructed; in modern globalised research systems, collaboration has become the *praxis* of research activities in most fields and is crucial to attempts to solve the increasingly complex and uncertain challenges facing human societies all over the globe (Ebadi and Schiffauerova 2015). But it is important to increase collaboration between higher-education researchers in the Asian region, which continues to be scarce, revealing a somewhat disconnected and unarticulated community of researchers that contributes little to the international higher-education community (this besides the limited collaboration between those higher-education researchers involved in teaching and learning and those working on the policy dimensions of higher-education research; see Kim et al. 2017; Horta and Jung 2014).

In recent years, there have been attempts to tackle the problem of limited collaboration between Asia-affiliated researchers in the field of higher education. The creation of the Higher Education Research Association (HERA) (whose name excludes geographical particularity and thus reflects an internationalist stance similar to that of Europe's Consortium of Higher Education Researchers, CHER) and its ongoing conferences indicate a growing willingness to bring together higher-education researchers from Asia, starting with researchers based in East Asia.⁵ The HERA conferences occur annually and move from country to country, probably in emulation of the CHER model. This is promising, because the attempt made by CHER's instigators to promote a linked, relatively coherent and thriving higher-education research community with an international outlook in Europe has largely been successful (Teichler 2013). Routine events such as annual conferences help to consolidate higher-education research communities and furnish them with common identities, enabling them to make a unified contribution to the field (Francis 2014; Kehm 2013). Other national conferences are taking place in Asia to promote a more international perspective and underline the need to contribute to international knowledge in the field, providing a forum for debate on national and institutional experiences, challenges and initiatives from which others can learn. For example, during the 2016 annual meeting of the Japan Association for Higher Education Research, a session in English with non-Japanese guests was held for the very first

⁵The fourth and most recent HERA conference took place in Hong Kong in May 2016: <https://www.ln.edu.hk/dgs/events/HERA-conference-programme.pdf> [accessed 29 September 2016].

time to discuss ways of encouraging higher-education researchers in Japan to publish internationally. The audience comprised mainly young researchers and some of the most internationally engaged Japanese researchers, and at the end its members expressed a willingness to continue holding such sessions in English and open them further to international scholars from Asia and beyond.

The development of Asian higher-education research, like any other such development, faces ‘growing pains’ and requires difficult decisions. Scholars based in Asia (with the exception of Hong Kong-based researchers, who also make the most prolific contribution to global knowledge of higher education) often find it difficult to write in English (Min 2014). However, language-editing services are increasingly available in many countries, allowing authors to ensure that their manuscripts are in accurate English prior to submission (Lane and Tang 2016). As a coordinating editor for one of the most international and visible journals in the field of higher education (*Higher Education*), I can say with certainty that in the vast majority of cases, submitted manuscripts are not turned down based on language issues if the research is up to standard and has the potential to concretely advance the field. In addition, some journals in the field of education offer programmes to help non-English native speakers to publish internationally, minimising language barriers (Lillis et al. 2010). As a result, language is still a barrier to higher-education researchers in Asia seeking to publish internationally, but one that can be to some extent overcome.

Other challenges are much more concerning, such as the inadequate training and preparation of researchers in tightly focused – and sometimes insular – national higher-education research communities that accept and even promote research practices and writing styles that do not meet the requirements for publication in international journals (e.g. Jung 2015; Yang 2015). The younger generation of researchers must be exposed from a very early stage in their training – i.e. at Master’s level or doctoral level – to the theories, methods and writing and presentation practices and requirements adopted by the global higher-education community. To this end, researchers-in-training should be given opportunities to engage intensively in research activities and projects, to participate in and present research at international conferences and to collaborate in various ways with researchers from different countries (Sala-Bubaré and Castelló 2016; Laudel and Glaser 2008). This process of socialisation is critical to ensure that the new generation of higher-education researchers is adequately prepared to contribute effectively to the international higher-education research literature.

Other concerns relate to career-promotion incentives, research identity and the various obligations, duties and benefits that arise from engagement with international and national communities. In many cases, such engagement creates tension due to discrepancies between national, local and/or international practices (Kwiek 2015). Examples include the priorities for research set by research-funding agencies and the increasing constraints placed on time, a key academic resource (Ylijoki 2013). The increasing pressure to publish internationally is accompanied by pressure to publish in the national higher-education literature (Vessuri et al. 2014). It is important to balance the contribution made by researchers to these two sectors of the literature, which have different audiences and belong to different research communities,

and to position and allocate resources accordingly (e.g. Boyd and Smith 2016; Smith et al. 2014). It is not always easy to find such a balance. Research-funding agencies play a key role in the relative production of nationally and internationally oriented research (Drivas et al. 2015), but the limited number of international publications by researchers in many countries in Asia suggests an orientation towards national publications to the detriment of publishing in international journals (as in South Korea; see Jung 2015).

However, if few or no locally based researchers write about higher education in their own countries and publish these case studies in the English language international literature, higher education in Asia will ultimately be addressed only by researchers based elsewhere and written based on their own culturally informed perspectives. Crucially, English is the lingua franca of research today; articles not published in English are unlikely to be read widely. Publications in Japanese, Chinese and other languages used in the Asian region are generally read only by those who know these languages. The problem is a lack of global visibility, which is of major importance, because any story told on a global scale – by non-nationally based or nationally based researchers – will resonate and remain in the minds of audiences worldwide, thereby becoming the ‘truth’. Some scholars raise concerns about intellectual imperialism when researchers based elsewhere tell the stories of other countries in ways subsequently criticised (often legitimately; see Alatas 2000) for bias. However, the appropriation of these stories by researchers based elsewhere may also be due to a lack of local narratives in the international literature and thus a gap in global understanding of the issues addressed.

However, the point here is not whether research written by researchers based elsewhere is biased (and there are many cases of such researchers with tremendous in-depth knowledge of other countries; e.g. Hayhoe 2015).⁶ The key problem is that research produced by researchers based elsewhere may receive global acceptance if locally based researchers do not publish their own accounts of events in their respective countries in the international literature. It is natural to assume that the only available information on a topic – even if limited to a few articles or affected by bias – is a valid account of that topic. Note that culturally or socially biased articles written about a higher-education system by non-Asian affiliated researchers have a fair chance of being accepted by international journals if the panel reviewers are researchers who know little about the country’s higher-education system or society. The application of theories and methods with which reviewers are familiar, rather than the content of the articles, will be the decisive factor in their assessment of research quality. The key question I am asking is as follows: are researchers based in Asia content to allow only other researchers to report on and discuss the progress of higher education in their own region and countries? If not, higher-education

⁶Note that terms used throughout the text are “Asia-based researchers” or “Asia-affiliated researchers” which focus on affiliation and not on nationality. By this, I underline that nationality is not necessarily a precondition to better understand a country. There may be foreign researchers living in a country that may understand some phenomena in that country better than most nationals from that country.

researchers in these countries need to be more proactive in sharing their views of recent developments, analysing case studies using up-to-date research practices and publishing their findings in English in international journals in the field.

Higher-education researchers in Asia need to be aware of the consequences of the failure to engage with the international higher-education community. Several scholars in Asia have already addressed this issue by identifying post-colonial trends and asserting the place of Asian indigenous research in national and global research communities (Xie and Yang 2015; Yang 2013). However, it is important to be wary of movements that may become too radical and contradict the universal and global characteristics of science (see Park 2016 for a critique of Chen 2010), as such movements are likely to be detrimental rather than constructive. A lack of contribution to the international literature may also limit the visibility and influence of important findings, which may then be misattributed to later scholars who obtain similar results. The origin of such a misattribution would not lie in post-colonialism, plagiarism or any other ideological or political practice, but simply in the failure to make findings visible through publication in English and in the international literature. Research on science and technology policy provides a key example. The triple-helix model conceptualised by Henry Etzkowitz and Loet Leidesdorff in the late 1990s (Leidesdorff and Etzkowitz 1996) is now familiar to everyone in the science and technology policy community; it has been widely used and has received hundreds if not thousands of citations in the literature. Etzkowitz and Leidesdorff have naturally been celebrated for developing the concept. However, in the early 1970s, an Argentinian researcher named Jorge Sabato proposed a model known as the triangle of Sabato, which is remarkably similar to the triple-helix model (Sabato 1975); the main difference is that the latter was conceptualised 20 years earlier. Why has the triple-helix model received recognition worldwide, while hardly anyone outside Latin America knows about the triangle of Sabato? The answer is simple: Sabato wrote his findings in Spanish and contributed only to the Latin American science and technology policy community, whereas Etzkowitz and Leidesdorff published their findings in English and contributed to the global science and technology policy community.

This example underlines the main objective of this chapter: to call on researchers based in Asia to publish more research on their national higher-education systems in the international literature. If these researchers continue to underperform in the global arena while interest in higher education in Asia continues to grow, an increasing number of researchers will come to Asia to research Asian higher-education systems using their own social and cultural perspectives. Some of these analyses are likely to yield biased findings, due to cultural and social differences between Asian and other higher-education contexts that are not easily grasped, researchers' limited access to information or the use of pre-existing 'Western' theoretical frameworks (usually derived from a global scientific hegemony established in the United States; see Marginson 2008) to explain the phenomena under analysis.

I am not convinced that these researchers analysing Asian higher education should be solely blamed for their potentially biased findings if they do not have Asian colleagues with whom to collaborate or lack access to previous findings published inter-

nationally by Asian-affiliated higher-education researchers. To prevent bias, it is necessary for higher-education researchers in Asia to write their own accounts of the development of regional higher-education systems and to publish these accounts in the international higher-education literature. They must continue to collaborate with colleagues from other parts of the world when writing about Asia, but also to increase their collaboration with other Asian researchers to gain insights into the different dynamics of development of higher education across Asia. Initiatives fostering communication and networking have already been established to form a coherent and participatory higher-education research community in Asia, which will play a crucial role in achieving an in-depth and nuanced understanding of the region and in making knowledge of Asian higher education available to the world.

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Chapter 3

Foil to the West? Interrogating Perspectives for Observing East Asian Higher Education

Rui Yang

Abstract After absorbing Western knowledge for at least one and a half centuries, East Asian higher education has made some remarkable achievements in recent decades. Throughout the region, a Western-styled higher education system has been well established. The region has become the world's third great zone of higher education, science, and innovation, alongside North America and Western Europe/UK, with research powerhouses, and the fastest growth in scientific output. While East Asia's achievement has been widely acknowledged, assessment of its future development is not. The strikingly contrastive assessments among scholars are often due to their perspectives employed consciously and unconsciously in their research. This chapter attempts to delve deeply into the theorization of perspectives for observing higher education development in East Asia. After some methodological inquiries into research perspective and frames of reference, it critiques the current English literature and calls for multiple perspectives for studying East Asian higher education. It concludes that current conceptualization of East Asian higher education development relies almost entirely on Western theoretical constructions and argues that the perspectives that give weight to the impact of traditional East Asian ways of cultural thinking on contemporary development are badly needed.

Introduction

Let me begin with some personal reflections. As a researcher watching and writing about higher education in East Asia, I have been an active contributor to the literature. My academic career spans nearly three decades with roughly one decade each in the Chinese mainland, Australia, and Hong Kong. I published mainly in the Chinese language in the 1990s and shifted to the English language since the 2000s. I have found it highly relevant to reflect on some of my own trajectories and experiences before I critique the work by my fellow researchers in the area of higher education in East Asia:

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First, regarding perspective and frame of reference:

- I commenced my doctoral studies at the University of Hong Kong in June 1996. When I was still new in Hong Kong, one day my Head of Department sent me to the airport to meet a British visitor, an eminent scholar in education and the then Dean of the Graduate School at the Institute of Education of the University of London. As a young man who had just been out of the mainland, I was struck by the huge differences in my eye between Hong Kong and the Chinese mainland at the time. On the way from the airport to the Robert Black College where the British professor stayed, I asked her if she thought Hong Kong was a Chinese society. Understandably, her answer was positive and immediate.
- In 2002, I was in Hong Kong again after 5 years of study and work in Australia. I was invited to deliver a seminar at the City University of Hong Kong where I told the audience that Hong Kong in my view was indeed a Chinese society.

Second, as for knowledges, their sociocultural contexts and politics:

- In the early 1980s when China's university enrolment rate was well below 3%, I was a junior student then. One day one of my classmates was preparing for the semester exam. He tried to recite Lenin's definition of matter.¹ We then had some discussions at the dormitory about how to understand the definition. When I pointed to a chair in the room as an example of matter, I was laughed by my roommates.
- In 1993, I visited a primary school at a well-developed coastal city in Guangdong, China. A class of grade one were having a quiz. One question was how the sky looked like with four choices: dark, gray, blue, and bright. Some pupils looked out of the window at the sky and ticked gray as the answer. Their answer was graded wrong because the standard answer was blue, even if the sky in China's coastal areas had already been much polluted by then and indeed looked gray.
- In 2014, I visited Guangxi Normal University at the picturesque Guilin city in China. The Faculty of Education organized a special discussion session between their professors and myself. The Associate Dean (research) remarked that in their everyday teaching and research, Chinese educational history could hardly come in, while Western history of education could fairly easily.
- In 2004, I was sent to Singapore to teach a Master of Education course of the international programs offered by the Faculty of Education at Monash University. I encouraged the students to cite published works by local authors in both English and Chinese when they prepared for their essays. One student formally complained to my Dean that the suggestion was "ridiculous." Fortunately, I had an open-minded Dean and she simply laughed off the complaint.

¹Today, Chinese students continue to recite the definition: "Matter is a philosophical category denoting the objective reality which is given to man by his sensations, and which is copied, photographed and reflected by our sensations, while existing independently of them" (Lenin 1962, p.130).

Although the above is only in a montage-like manner, they were my actual experience and played a role in shaping how I view real-world educational issues and how I assess other people's work in the field of higher education research. The first two scenarios show how a person's perspective and frame of reference influence the picture a researcher has. The third montage indeed left its long-lasting mark on me. Many years later I still try to reflect on that. Together with the fourth and the fifth, they show how deeply Chinese contemporary education has been separated from even irrelevant to societal needs and how little attention the education pays to the real world. Similar stories can be easily found throughout China at all levels of education.

The above montages also show collectively knowledge politics in Chinese contemporary education, similar to the situations in most non-Western societies where formal education is foreign (usually Western) in nature without much linkage to their actualities. While Dewey (1938) insisted that the educator's role was in creating an educative experience, the experience in Chinese schooling is often based on Western experience. As the last montage shows in particular, Western education is perceived as prestigious in non-Western societies. Western knowledge is the one that counts as the real knowledge by both the educator and the general public. The student who complained about my suggestion was indeed paying a dear price to buy a Western degree.

Understanding is hermeneutically always conditioned by one's own horizon and perspective. Our horizon and perspectives are shaped by a variety of factors. Furthermore, they are multifaceted and are always in a change state. What should be the appropriate perspective for observing East Asian higher education? How should we interpret what we have observed? All of the above reflections have significant implications for how we should conduct our research and how we assess the existing literature on East Asian higher education.

Perspective, Frame of Reference, and Comparative Historical Analysis

In 1804, Shu Shi (1037–1101), one of China's greatest poets in history, wrote a poem on Mount Lu. The poem has since been well known for articulating philosophical insights into the interaction between recognition and perspective. It is often understood as a reflection on the limitation and blindness of an insider's point of view or the difficulty of knowing something up close. It describes Mount Lu in four lines²:

Viewed horizontally a range; a cliff from the side;
It differs as we move high or low, or far or nearby.
We do not know the true face of Mount Lu,
Because we are all ourselves inside.

²The Chinese original is 苏轼,《题西林壁》:横看成岭侧成峰,远近高低各不同。不识庐山真面目,只缘身在此山中。

The poem vividly illustrates the critical significance of perspective for observation. According to the poet, the very interiority of the location makes it impossible for us to know the “true face of Mount Lu.” We do not know the “true face of Mount Lu” because what we see constantly changes as we move high or low, far off, or up close. Such a circularity or subjectivity of our understanding urges us to become conscious of the challenge. It demonstrates how perspectives influence how we see and interpret the world. It also implies how difficult to overcome the limitation of our own perspectives. A perspective is usually defined as an ingrained way of perceiving the world. Simply put, it is the way that one looks at something. Its closely related term frame of reference refers to a complex set of assumptions and attitudes which we use to filter perceptions to create meaning. The frame can include beliefs, schemas, preferences, values, culture, and other ways in which we bias our understanding and judgment. It is a set of ideas, as of philosophical or religious doctrine, in terms of which other ideas are interpreted or assigned meaning.

Some people, such as Friedrich Nietzsche and Edmund Husserl, use the term horizon, which was further developed by Hans-Georg Gadamer (1975) into a crucial term for understanding the very nature of understanding: “The horizon is the range of vision that includes everything that can be seen from a particular vantage point” (p.302). Since and to some extent because of them, the term has been used more to characterize the way in which thought is tied to its finite determinacy and the way one’s range of vision is gradually expanded. Every (social) researcher has her/his particular horizon or vantage point from which she/he sees and understands things, and what she/he sees must be within the range of her/his vision, tied to her/his finite determinacy. Thus horizon constitutes the precondition of understanding or what Heidegger (1962) called the fore-structure of understanding. Before people understand anything, they already have some idea about that which they are about to understand, that is, their anticipations or prejudgments, and the process of understanding appears to move in a hermeneutic circle. For instance, when observing East Asian higher education, a Western scholar would understand it from the horizon and perspective of a Westerner.

The hermeneutic circle does not legitimize the subjectivity of one’s own horizon. As Gadamer (1975) points out, all correct interpretation must be on guard against arbitrary fancies and the limitations imposed by imperceptible habits of thought, with one’s gaze always directed on the things themselves (p.267). What it does is to remind us of the significance of perspective and frame of reference in the social sciences. Issues of perspective are particularly relevant in comparative historical analysis which has a long and distinguished history in social research. Major figures in the formation of modern social science, including Adam Smith, Alexis de Tocqueville, Karl Marx, and Max Weber, all pursued comparative historical analysis as a central mode of investigation. Offering historically grounded explanations, this research method appeals most to sociologists, political scientists, historians, and anthropologists interested in tracing the development of social forms and institutions and comparing these processes across cultures. The scholarly tradition has dominated social thought for centuries, with a dramatic reemergence over recent decades. Thus, comparative historical inquiry is increasingly visible in the

institutions and organizations of the social science disciplines such as sociology, history, and political science (Mahoney and Rueschemeyer 2003).

However, comparative historical analysis has been challenged for privileging Western perspective over others in the studies of other/non-Western societies epitomized often by Western bias and lack of intimate knowledge of and respect for those societies. Calls for insider perspectives are heard increasingly. Indeed, social researchers have engaged in an extensive debate about the merits of researchers being “outsiders” or “insiders” to the community they study. Insider-outsider perspectives have been theorized across various academic disciplines. The main disjuncture between the insider and outsider perspectives is simply a conflict in what Merton (1972) calls the “public interpretation of reality” (p.19): The outsider perspective primarily draws on the classical philosophical arguments that warn against “the corrupting influence of group loyalties upon the human understanding” (p.19). It assumes that objective knowledge relies on the degree to which researchers can detach themselves from the prejudices of the social groups they study (Agar 1980; Boon 1983). The insider perspective, however, essentially questions the ability of outsider scholars to competently understand the experiences of other groups because they are not initiated in the cultural values of the people they study.

The insider/outsider distinction lacks acknowledgment that insiders and outsiders, like all social roles and statuses, are frequently situational, depending on the prevailing social, political, and cultural values of a given social context (Merton 1972). Recent research has attempted to move beyond a strict outsider/insider dichotomy to emphasize the relative nature of researchers’ identities depending on the specific research context. The central question should not be whether or not one group or the other has privileged access to social reality but a consideration of their distinctive and interactive roles in the process of truth seeking. With the politics between knowledges in the social sciences, it is much more important for researchers to reflect upon the identities and Merton’s (1972) “status sets” that they bring to a research project, the way in which those identities may affect the development of partnerships with community members, and how they may affect the research process and its outcomes (Mercer 2007). What is urgently needed for contemporary social research is a multiplicity of perspectives and pluralistic epistemologies (Polkinghorne 1983).

In a context of Western dominance in contemporary social inquiry in East Asia, it is highly likely that a locally based researcher adopts a Western lens to observe her/his own society. With an increasing number of researchers from East Asia, including those within the region and those studying and working overseas, conducting research on higher education in East Asia, the politics of representation and authenticity are placed at the core. In the comparative studies of higher education, researchers are required to be not only aware of the perspectives adopted by other researchers but also constantly reflexive upon their own. Calling for the plurality of system models to render transparent the possible analytical schemas and analyze each system from more than one vantage point, Marginson (2014) argues that phenomena significant from several different vantage points take an added importance and facilitate generic global analysis. He writes:

Comparative education walks a path between homogenization and ultra-relativism. Over its history the field has tended to err on the side of homogenization. Most analytical work in comparative education, particularly in the USA and the leading European powers, imposes a single norm of system design as the template against which all systems are evaluated. Typically the norm is undeclared and based on the scholar's own higher education system. The approach is comparative but nation-bound: liable to underplay elements from other nations that fall outside the template, and global relations across national borders. Often the effect is also neo-imperial, as national systems are positioned as inferior copies of the master system. (pp. 28–29)

Normative frameworks tend to shape knowledge in social science. They are not the only factor in play. Observation and evidence are central. Observed data have materiality. However, the normative template used in comparison determines which data are visible and which questions can be asked. If the template being used is the US system it is clear Chinese universities have insufficient autonomy to make strategic decisions. If the template used is a Post-Confucian one it is clear American families are not sufficiently committed to learning and the state has only a weak commitment to system improvement. Questions significant in one framework become less significant in the other. (p.29)

Knowledge Politics and the Searching for an East Asian Scholarly Identity

Social theories are, by nature, the result of specific times and spaces. However, although non-Western philosophers, such as Confucius, had long analyzed society and culture, the contemporary social sciences have their origins in European thinkers especially in the nineteenth century (Rosenberg 2008). Their diffusion to nearly all non-Western societies from their European heartland was under the condition of imperialism and colonialism. They are now institutionalized all over the world. Contemporary international academic discourses are highly dominated by Western scholarship. This is particularly evident in the social sciences. Major social theories are almost exclusively based on Western experience. Names mentioned in textbooks are overwhelmingly of Western origin. Non-Western names such as Confucius are rarely seen. As the result of the specific time and space, once either time or space changes, such social theories become much less relevant in interpreting social phenomena, let alone guiding social practice. Against a backdrop of increasingly intensified globalization, these theories are often applied in a context in which both time and space have changed.

East Asian societies have long been struggling with their long-desired integration between their traditional and Western cultural traditions. Ever since their early encounters with the West, their strikingly different cultural heritages have led to continuous conflicts with Western values. They are confronted with a difficult choice: the dominant Western knowledge on one hand, their strong indigenous traditions on the other, and the constant tensions between the two. The two value sets have never been on equal footing: the West came to Asia with immense prestige especially since the nineteenth century, with a pronounced effect of Asia's tendency

to imitate the West. Fundamental assumptions of Asian indigenous knowledges have rarely been presented as established sets of beliefs and as processes or coherent methods of learning and teaching. Even with recent developments, Western knowledge remains the one that counts throughout the region. For East Asian societies, the coexistence of the two value systems proves extremely challenging. After absorbing Western system for one and a half centuries, East Asia has been institutionally westernized. The implementation of Western system has resulted in “academic colonization” in social inquiry in East Asia. Most social science researches have designated to accumulate empirical data under the guidance of Western theoretical models (Hwang 2016).

Lu Jie, an eminent education researcher based at Nanjing Normal University on the Chinese mainland, points out the previous that the previous experiences of westernization and sovietization had left little space for an appreciation and understanding of China’s indigenous pedagogy or its possibilities for supporting modern educational development. Using Chinese pedagogy as an example, she remarks:

There still exists in Chinese academic circles a strong Westernization thrust, which tends to incorporate into Chinese pedagogy a somewhat simplistic transplant of pedagogical trends and theories based on Western scientific knowledge. (Lu 2001, p.249)

Citing Yang Kuo-shu,³ she notes that although China and Chinese people are the objects of study, the theories and concepts used are Western or reflect Western orientation:

While in daily life we are Chinese, in our studies we are Westerners, accepting and adopting Western concepts, theories and approaches. Under such circumstances we are only able to ape Westerners at every step. In both the quantity and quality of our studies we cannot compare with Westerners. As a result, up to now we have failed to establish a position of importance in the field of social and behavioral sciences. This historical lesson serves to remind us that consistency with our origins is the only way for Chinese pedagogy to progress toward world status. (Lu 2001, pp.251–252)

However, the authenticity of Western science and its methodology as the arbiters of “truth” have been increasingly questioned in Asia. Calls for alternative discourses in the social sciences have long lingered in Asia, such as China, the Philippines, Japan, Korea, and India, dating back to the early part of the twentieth century. The search for more relevant social science has recently picked up intensity and sincerity in East Asia (Lee 2000). The quest for an East Asian scholarly identity has been placed high on the agendas of social science research throughout the region. East Asian societies need to figure out how to wed their traditional values with the dominant Western ones. To do so, they need to understand the irrelevance/relevance of Western knowledge in East Asian context. In fact, East Asian scholars have never stopped questioning the relevance of the social sciences for non-Western societies. Their questioning of the validity of Western social sciences in explaining East Asian realities dates back to many decades ago (Alatas 1972; Alatas 1993, 1998). In China, for example, Fei Xiaotong

³Yang Kuo-shu is a professor of psychology at the National Taiwan University. He received his PhD from the University of Illinois and has since published on psychology and behaviors of Chinese people, personality psychology, and social psychology.

(Fei Hsiao-t'ung) (1979), writing in the 1940s, described sociological debates in Chinese universities as being “between pedants showing off their knowledge” and noted that they were based on “facts and theories derived from Western society” (p.25).

Two scenarios coexist ironically in East Asia. On one hand, East Asia's indigenous knowledge has been seldom presented as established and coherent sets of beliefs and has been largely devalued and/or ignored as processes or coherent methods of learning and teaching. Those who are using local materials and Western theoretical frameworks cannot successfully incorporate their indigenous traditions. On the other hand, East Asian societies are well positioned to develop their own social theories by their wealth of unique cultural heritages and their huge demographic and geographical size with sufficient center of gravity to operate with relative autonomy. The region is known for its rich intellectual traditions particularly in human and social sciences. On the basis of its abundance of social knowledge and a long tradition of social respect for scholarship, such a possibility is much facilitated by the region's remarkable development over the past decades which provide rich food for thought and ideas. Our contemporary turbulent and unpredictable world and times are also ideal for East Asian struggles to create new forms of knowledge and power (Yang 2005).

A successfully built East Asian social science identity would not only contribute significantly to the social and intellectual development of East Asian societies but also lift international social research to a substantially higher level. Some Western thinkers have expressed the need for non-Western social science development and have called for reassessing Western social theories. For example, Brenkman (1987) appeals to “relativize and reinterpret the Western tradition, which has taken its claim to universality” (p.230). Huntington (1996) has emphatically pointed out that modernization thesis is “misguided, arrogant, false, and dangerous,” projecting “the image of an emerging homogenous, universally Western world” (p.28). He reiterates that Western civilization is precious not because it is universal but because it is unique (p.35) and that “culture follows power” and “Imperialism is the necessary, logical consequence of universalism” (p.41). Placing higher expectations on China, Perry (1999) hopes that the study of China can mature from a “consumer field” (dependent for its analytical insights upon imports from the study of other countries) to a “producer field” (capable of generating original analyses of interest to comparativists in general).

Some individual scholars have achieved highly in this aspect. Gregory Chow (1997), a Chinese American economist base at Princeton University, has challenged some mainstream beliefs by studying China's practices. He finds that the successful experience of the township and village enterprises in China is sufficient to challenge the dogma that only private enterprise in a capitalist economy can be efficient (p.321). China's current legal system, which is seen as poorly developed in Western perceptions, has been working well for China's internal economic development, and less than strict enforcement of a law can sometimes be beneficial (p.323). It is said that China is ruled by people and not by law. This statement does not necessarily imply that the Chinese system is bad (p.324). In fact, he argues, in a society emphasizing the collective good, government leadership is stronger, and its effects require more careful study. Democracy in the sense of a government of the people, for the people, and by the people can be practiced under a one-party rule (p.325).

Examples from the Literature on East Asian Higher Education

The names mentioned above are usually outside education: John Brenkman in American literature, Samuel Huntington in political sciences, Elizabeth Perry in Asian studies, and Gregory Chow in economics. What then about education and especially the study of higher education in East Asia? To answer this question, I searched for the literature using Ingenta Connect via the electronic library at the University of Hong Kong on October 29 in 2015. It needs to note that this survey has its clear limitations. Its aim is not to provide a comprehensive survey of the existing English literature on East Asian higher education. Rather, it attempts to offer an example of some current literature to illustrate who are observing East Asian higher education development and from what angle. The keywords used for searching the literature were East Asia and higher education. There was no time limit set for the search.

Altogether 55 items popped up on my computer screen, with the earliest published in 1995 and the latest in 2015. They have covered a wide range of topics, and those on education are at various levels of schooling. Each was checked carefully. Three of them were not available at the time. Seventeen items excluded because of their irrelevance were respectively on foreign-trained dentists in the United States, socioeconomic variation in tobacco consumption, progress of the doctoral students from the Middle East, the impact and treatment of allergic rhinitis in the Middle East, European convergence in dental education, structural change and wage inequalities in the manufacturing sector, post-Communist youth in Central Asia, skilled migration from India, Africa's economic growth, Pakistan's electronic access, physical activity in early pregnancy, smoking in migrants in New South Wales, socioeconomic disparities in low birth weight outcomes in Quebec, OECD's economic outlook, benefits of growth for Indonesian workers, East Asian child-rearing attitudes, and human rights in EU-China relations.

While there are so many irrelevant items included in the above list, some works that fall squarely into the field of East Asian higher education to my knowledge have been excluded, such as Howe (2009). This might be due to the coverage of the searching engine and/or the indexing situations of different academic journals. There were four book reviews that cannot be regarded as research work. Thirty-one publications were finally included in the following analysis. They were published in 1995 (1), 1998 (1), 2001 (1), 2002 (1), 2003 (1), 2005 (2), 2006 (1), 2007 (6), 2008 (1), 2009 (1), 2011 (4), 2012 (1), 2013 (4), 2014 (4), and 2015 (2). Among them, some work are only remotely related to East Asia such as three World Bank Working Papers, respectively, on economic analysis of World Bank education projects (2001), education and earnings in Vietnam (1998), and promoting growth in Sri Lanka (1995). A number of works claim research on East Asia yet indeed only look at one society such as Hong Kong, Thailand, and Japan. Altogether 14 were considered directly on East Asia.

Authors Writing About East Asian Higher Education

The 31 items were written by 46 authors: among them, most (20) were Westerners based in the West, followed by East Asians working within their own region (13). There were five authors who are originally from East Asia and now based in the West, and four Western authors now based at East Asia. Two authors who are neither from the West nor from East Asia originally worked at East Asia when the publications were produced. In contrast, another two authors who are neither from the West nor from East Asia originally were then based outside East Asia, but had written on East Asia. They were consultants employed by the World Bank. While it is not a surprise that most authors who publish in English are from the West, it deserves our attention that more and more East Asian scholars are publishing in international English journals. It is also interesting to see more Westerners are watching East Asia from within East Asia. As Asia's rise continues, such trends are expected to continue.

Areas of East Asia Higher Education Researched

The 31 publications covered a wide range of themes, including internationalization and regionalization of higher education in East Asia, higher education markets, (higher) education governance, economic analysis of education projects (of the World Bank), education and earnings, impact of family background on schooling, educational software for training, digital access in an era of globalization, higher education hubs, authorship and plagiarism, world-class universities, higher education reform policies, university rankings, female academics, transnational higher education, problem-based learning, private higher education, education in promoting economic growth, innovation support systems, student and teacher experience, and policy-borrowing in higher education. Based on such diversified research themes, it is difficult to point out the most evident research focuses in the coming years.

References Cited

The 31 publications cited a total of 1270 references. Among them, 1159 (91.26%) were in English, while 10 (0.78%) in German. Ninety-four (7.46%) government documents were cited, of which 77 were from East Asia and 17 the West. Seven local references were cited, among them, four were published in Sri Lanka and two were in Chinese. The Chinese ones were indeed the same work cited twice by the same author in two different publications. The imbalance between Western (especially English) literature and local scholarship cannot be more evident. This contrast explains how researchers lack a local perspective. Such a gap often leads to divides among local scholars between those publishing in English and those mainly writing

in local languages. Major East Asian societies including the Chinese mainland, Japan, Korean and Taiwan have all developed a solid research system operating in local languages. For both international and local researchers, it is no longer feasible to continue to ignore the increasingly large bodies of literature the system produce. Indeed, the width and depth of such locally produced literature are often of high quality. Anyone who aims to truly understand East Asia needs to pay serious attention to it.

The fact that local literature, especially those on local history and culture in native languages, has been incorporated so little is indeed a serious issue for research on East Asian higher education. Higher education is deeply rooted in culture, and universities are after all cultural institutions. They are most profoundly influenced by the cultural conditions of their societies locally, regionally, and globally. East Asian high education development is fundamentally about the relations between Western and East Asian cultural values. Whether or not East Asian societies can fulfill their long-desired integration between the two knowledge systems is the true meaning of and biggest challenge for East Asian high education development. Within such a cultural context, researchers have to understand their own cultures and societies well. Yet, understanding their own cultures and histories has been a mission impossible for the generations born after the mid-twentieth century due to the dramatic historical changes in these societies. Without understanding their own histories, cultures, and societies, it is just not possible for them to build a truly locally based perspective. It would also be beyond their capacity to challenge the often inappropriate Western perspective in observing East Asian societies.

Theoretical Framework Employed

The theoretical frameworks employed by the 31 publications can be categorized into 4: pure description of East Asian practices (2), using foreign (Western) theories to analyze East Asia (15), using East Asian examples to confirm foreign (Western) theories (13), and trying to challenge foreign (Western) theories (1). This scenario echoes the findings from a similar survey of literature a few years ago which used Hong Kong and education policy as keywords (Yang 2013). In the survey, only one piece of work among 73 publications was trying to challenge the existing Western theory. Interestingly, the author of the work was from Australia originally with decades of academic working experience in Hong Kong. In the current survey, the author is from Germany working at a Japanese university. The fact that they are both Western working in East Asia is not purely accidental. While most Western scholars observing from the West tend to be Euro-centered, East Asian local researchers have had a strong colonial mindset. The mindset is most evident in former colonized societies such as Hong Kong and Taiwan. It is also strong among the societies such as China and Japan where although there was no political colonization, there has been colonization of their mind. A typical research work produced by East Asian

researchers is constituted of Western theories with local examples. The “academic colonization” defined by Hwang (2016) remains prevalent throughout East Asia.⁴

End Remarks

East Asian societies have recently made remarkable some progresses in higher education. While the achievement has been widely acknowledged, assessment of their future development is not. The developments and the highly differing assessments of such developments raise questions of profound significance not only about how researchers of higher education have conceptualized East Asian higher education development but also about how the scholarly communities that produce such knowledge function. Both those studying East Asia from outside and the East Asians themselves have often been bogged down into a quagmire of a tradition-modernity contrast in their interpretation of what’s happening in East Asian higher education. Regarding contemporary East Asian development as a modernization process, they have equated modern with Western and Western with advanced. As a result, the West and Western practices become the standard to assess East Asia, whereas anything unfound in Western practices have been considered as insignificant or do not get considered at all. Their assessments arouse uneasiness, not necessarily because the interpretations are incorrect, but because they are consistent with a mindset based on Western primacy, despite strong assault on such hold since the 1950s.

Ever since their early encounters with the West, East Asian societies have been struggling with the relations between the two strikingly different yet mutually intolerant cultures. While East Asian states have been keen to embrace Western civilization, East Asian people are not willing to give up their traditions. For East Asians, the past one and a half centuries are thus culturally soul-stirring. Such an experience adds importance to a cultural and historical perspective on one hand and increases the difficulty for East Asian thinkers not to be affected by their strong emotions in their scholarly work on the other. East Asian higher education development is fundamentally about the relations between Western and their indigenous higher education traditions. The greatest challenge for East Asia is that their universities have not yet figured out how to marry the “standard norms” of Western higher education to their traditional values. After delving into the theorization of perspective and horizon in social research and citing some recent English literature as an example, this chapter argues for a multiplicity of research perspectives, especially for a cultural and historical perspective that gives weight to the impact of traditional ways of cultural thinking on contemporary development of East Asian higher education.

⁴It is important to point out that with recent remarkable social development in major East Asian societies, a small number of (usually the best) local researchers have started to become more confident. At the same time, and quite unfortunately, there have been some signs of dangerous academic nationalism.

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Chapter 4

Higher Education Knowledge Production in Postcolonial-Neoliberal Asia

Jae Park

Universities...are dominated and influenced by the need for the kind of education that produces a system of special examinations and the trained expertness that is increasingly indispensable for modern bureaucracy

– Max Weber

Abstract Against a descriptive analysis or even eulogies on the neoliberal impact on Asian higher education such as “brain gain/drain,” managerialism, marketization, and globalization, this theoretical chapter takes a rather critical position regarding the ongoing neoliberalization of higher education as a field of study in Asia. It examines the discourse of *Confucian heritage culture* and its methodological issues in knowledge production, followed by some recent counterarguments against the universalism of research methodology by exploring the possibility of Asia as a higher education research methodology.

Introduction

In a century that is called after her, Asia is yet to come to terms with her past under colonialism and Cold-War “peripherality” amid fresh nationalistic struggles and territorial/maritime disputes from within. Knowledge production was at the core of such an “imposed peripherality,” and it still remains the most looked up and debated upon among the commonly recognized threefold mission of higher education (HE), namely, instruction, research, and social projection.

This chapter suggests an alternative theoretical imagination on contemporary Asian HE and its knowledge production in social sciences and humanities in the context of her unfinished modernity, from a colonial past to an inextricably neoliberal

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present. Indeed, under the self-imposed hastiness of belated modernity, Asia swiftly embraced what Max Weber keenly perceived and wrote in 1946 as a transition from generalist education to expert education in order to sustain modern bureaucracy (Weber 2011 [1946]). These “imported” instrumentalist principles of higher education had a great impact on the nature and mission of Asian universities which, in turn, led to a widespread reformation and creation of numerous new higher education institutions across Asia (Zhou and Park 2015). The general spirit behind the early twentieth-century HE reformation was far from being entirely discouraging and politicized in order to attain industrial modernization; there was also a genuine enlightenment among intellectuals. Bertrand Russell described thus his encounter with Chinese HE students during his one-year sojourn in the Republic of China in 1920:

They wish their country to acquire what is best in the modern world... As the first step to this end, they do all they can to promote higher education, and to increase the number of Chinese who can use and appreciate Western knowledge without being the slaves of Western follies. (1993[1922], p. 214)

His was a Western¹ view of China but not as generalizable across Asia. Korean HE was, for example, suffering under the geopolitics among the surrounding empires (Schmid 2002), and it had a significant role in the anti-colonial movement (Atkins 2010). Japanese HE, on the other side of the Asian colonization process, took an important role in Meiji and post-Meiji Japanese modernization. *Meiji Ishin* generated a unique HE and schoolmen:

The man regarded as Japan’s first professional academic anthropologist, Tokyo Imperial University’s Tsuboi Shogoro (1863–1913), was a physical anthropologist rather than an ethnographer. It was left to his student Torii Ryuzo (1870–1953) to inaugurate ‘scientific’ ethnographic fieldwork in the recently acquired colony of Taiwan, studying the island’s aboriginal peoples (whom he called ‘untamed barbarians’) on four trips between 1896 and 1900. (Atkins 2010, p. 62)

This biography reflects the general spirit of university under Meiji restoration, closely linked to hegemonic ambitions in the Asian geopolitical setup, which were reified with the victory over Russia in 1904–1905 and dismantled with the defeat in the Second World War. Noted Japanese scholar Takeuchi Yoshimi cites John Dewey’s visit to Japan and China and elaborated the following on the modernization in both nations (Takeuchi 2005 [1961], p. 154): “While Japan appeared on the surface to be quite modernized, the roots of this modernization were in fact shallow. If this were not corrected, he warned, Japan would almost certainly come to ruin.” Takeuchi used Dewey as a mouthpiece to point out an idea that was politically sensitive for him: Japanese modernization was a soft copy and block import of Western modernization of the imperial/colonial kind, whereas the university student-led May Fourth Movement was a genuinely local Chinese initiative.

¹ Throughout this chapter, the terms “West” and “Western” are used in their broader sense, as in the “West and the rest” by Stuart Hall (1992).

For a critical analysis of such a fascinating panorama, this chapter takes the bull by the horns to break down the present book's theme (Higher Education Research as a Field of Study in Asia) into the following sub-themes in a question format:

- Is higher education research a *champ à la Bourdieu*?
- Could there be a research methodology that is authentically Asian?
- Should the main concern of Asian knowledge production be a neoliberal hegemony in the region?
- Does Asian knowledge production address the equally Asian needs and problems?
- What is the fate of knowledge already produced and what does it bring home?

Perhaps a disclaimer here would be helpful. Asian academics today live in a sea of bureaucratized and bureaucratizing HE institutions as diagnosed by Weber. Since the fish is the last to see the water, most of us Asian academics seldom counterpoise Asia as a critical outlook in order to examine HE as a Western social institution. It is the Asian HE knowledge production I am up to problematize in this chapter by looking at its positioning as a field, method, and goals. A second disclaimer is more obvious: I cannot even remotely represent the entire Asian HE research community. Hence, I do not pretend to offer here a World Bank kind of report. All that is argued hereafter is based on my personal exposure to Asian higher education as well as other education systems I have been fortunate to experience.

Knowledge Production as a Field in Asia

The main question related to HE-based research addressed in this section is whether an “Asian higher education research” is a *field of study*, that is, an academic discipline of its own standing. By required characteristics, a *field* should possess a threefold principle of (1) an inner coherence of the substantive subject matter with identifiable boundaries; (2) Bourdieu's principle of *champ*, namely, the interplay of structures and human agency; and (3) members' subject-specific utterances or discourse (Ref. Manzon 2011).² Although readers might find the suggestion rather mechanistic and essentialist, it is of great value if we are to understand the core of the matter without illusory attempts of accommodating all the nuances of a *field*.

The validity of the threefold justification of what constitutes a *field* could be better understood with a thought experiment. Suppose that there is an area of research A with reasonably distinct boundaries, a substantive body of content and logical

²For this threefold principle, I have profited from Maria Manzon's theorization and apology of comparative education as a *field* (2011) albeit our few disagreements. For example, for the term *discourse*, instead of power relation-based one suggested by Foucault, I take a more positive stance: “ways of combining and integrating language, actions, interactions, ways of thinking, believing, valuing, and using various symbols, tools, and objects to enact a particular sort of socially recognizable identity” (Gee 2011, p. 29).

coherence. Suppose also that there is a growing number of academics attracted to *A* and they now devote to it a great deal of time; they debate with agreements and disagreements; they ripple out on and related to *A* to the wider community, which perhaps unwittingly make them known as “people doing research on *A*” by scientists in different disciplines and departments; members themselves believe they have a group identity (that of doing *A*) and that they have something to say about *A*, hence contributing to society.

If *A*, as above-described, could be recognized as a *field*, there is no reason why to deny it to both “higher education” and “Asian higher education research.” Of course, the issue is open to refutations, but, anyway, this is precisely how science makes advances as suggested by Karl Popper (1963). I shall elaborate a few possible refutations.

Ambiguity argument is commonly used by skeptics in philosophy, and it is a common refutation. Can the size of a community of experts determine a *field*? Suppose that the total number of “people doing research on *A*” equals five in the whole world. If so, is *A* a *field*? How about if the total number of experts is 50 or 500?

Consider a second refutation. Bourdieu’s concept of *field* is a social space where the interplay between structure and agency takes place over the pursuit of desirable resources (1969). This could, sometimes, not be applicable to *A* or other comparable research areas. For example, suppose that *A* is the *Scarlet Letter* “*A*” for adultery and *A* is merely a handful of experts in this novel by Hawthorne. There is no resource whatsoever for these bohemian scholars to compete for neither state nor institutional funding. This is not that far-fetched; in fact, most university-based research in humanities and the arts are conducted by helping themselves. In this case, there is no *field* at all in Bourdieu’s sense of an *arena*, where people compete for resources, power, and ideology as Daniel Katz observed (1965).

A final refutation is a fundamental goal of science called *reduction* or *inter-theoretic reduction* by which experts merge disciplines and fields with the principle of *Ockham’s razor*. Thus, chemistry may eventually be absorbed by physics (particle physics to be precise), and, closer to our field, the psychology of education is a potential candidate to be incorporated into neuroscience (see the elimination of classic psychology suggested by Churchland 1981). From medicine to law, there is a scarcity of holistic synthesis, while an exorbitant amount of specialisms tends to further fragment into sub-specialisms. So, wouldn’t it be salutary that both “higher education” and “Asian higher education research” are merged into, say, education studies or sociology? A relatively recent response of higher education institutions to this problem, but rarely successful, is the advocacy and rise of interdisciplinary and multidisciplinary divisions, departments, and research centers.

From the “threefold principle” mentioned earlier, “higher education” and, in a lesser degree, “Asian higher education research” clearly have a structure/agency and discourse. “Higher education” has an international network of societies devoted to it and a sizable number of scholars who consider themselves *doing* “higher education.” Furthermore, it has a score of highly reputed academic journals almost at the same level of curriculum studies. An indicator of the rise of higher education as a sizable field of study is the international journal rankings. Higher education journals

are prominent with another two rising stars in the category of education studies, namely, educational technology and environmental-ecological studies (2011–2013 data).³ Higher education-related academic journals have not only attained high ranks and impact factors but are also significantly more represented in the field of education than traditional areas such as curriculum studies and language instruction. In the same ranking, no Asian educational journal has reached the top quartile, and a journal of Asian HE is yet to be listed, which can suggest that Asian higher education as a field of study will continue to have a sizable presence within the international higher education field until it is able to substantiate its independence as a field of study with significant growth in the coming years doing justice to growing numbers as well as invested efforts and resources of HE in Asia (UNESCO Institute for Statistics 2013).

The biggest challenge to be a *field* is the first principle: “an inner coherence of the substantive subject matter with identifiable boundaries.” We all know that “higher education” and “Asian higher education research” would sit more comfortably within the *field* of education as a subfield or area of enquiry, for example, education studies and Asian studies, or perhaps as a subfield of higher education, although it is, in turn, under education studies. The boundaries of its subject matter are rather weak. When the demarcations are weak, smaller subjects tend to merge with other subjects in order to gain in weight or perish.

Yet, why not? If a community of scholars such as *A* happily organize themselves and they are free to utter what they deem important to the world, what could prevent them to do so? Polanyi argued: “To accept the pursuit of science as a reasonable and successful enterprise is to share the kind of commitments on which scientists enter by undertaking this enterprise” (1983, p. 25). This brings us back to the point of departure. Perhaps, instead of an almost Renaissance argument of “to be or not to be,” what is more interesting and fruitful is to examine the sort of issues and problems mankind faces and figure out what could possibly be solved or alleviated by Asian higher education research. I think, this is the only plausible justification to regard HE as a (*sub*)*field* of study.

***Ad Hoc* Methodology for Higher Education?**

Perhaps the most critical of the threefold characteristic of a *field* discussed in the previous section is *discourse*. It denotes claims and research findings of a *field* worth being disseminated in benefit of the society, which denotes the identity of a

³Thomson Reuters’ JCR ranking is highly selective if not elitist. Its category “education and educational research” lists only about 200 compared to more than 1000 listed by the “education” category of the SCImago Journal Rank-Scopus (2011–2013 data). The latter, despite its larger database, only lists a dozen journals on Asian issues. In November 2014, the *Times Higher Education* (THE) split from Thomson Reuters’ JCR ranking (Jobbins 2014). In my view, this was due to the smaller database of Thomson Reuters, which cannot serve an increasingly globalized academic institutions and their broader range of perspectives and interests.

community of enquiry beyond the thresholds of historical interplay of self-preserving power within a structure as Foucault would deconstruct (Foucault 1972). Knowledge production is, thus, not a selfish and ostracizing exercise; it tends to communicate, spread out, outreach, and become a shared oral and written tradition of a civilization and *époque*, hence *discourse*.

A *discourse*, then, implies a process of production and dissemination of knowledge. This section critiques a few idiosyncrasies of Asian education research in general, which also affects higher education research. First, I conjecture what could possibly be an “Asian methodology,” whether Asian education research could or should have a distinct method. Second, I will examine the problem of “subjection and submission” in the power relations (Foucault 1983) of Asian HE researchers and research participants. It is based on my own experience in the field of humanities and social sciences with no pretense to generalize and extrapolate to methodology in natural sciences, which would usually follow some hypothetico-deductive methods of the West.

Possibility of an Asian Methodology

A field with substantive *corpus* of subject matter and plausibly clear boundaries (the first characteristic of our threefold principle of a field) can generate not only fresh insights but also unique perspectives, frameworks, and perhaps research methods. Could or should Asian higher education research have a distinctive methodology called *Asian methodology*?

To my knowledge, there are two such major proposals in Asia. The first one is “Asia as method,” that is, Asia as *the* paradigm for knowledge production suggested by some Asian intellectuals in critical (cultural) studies and, second, a nuanced empirical social science and education research methodology suggested by exponents of Confucian heritage culture scholarship.

The former will be detailed throughout the rest of this chapter, but, in short, it is a critical proposal to transform both knowledge structure and production with the idea of Asia as an “imaginary anchoring point” that makes possible societies in Asia become each other’s points of reference (Chen 2010). The latter, Confucian Heritage Culture (CHC), has been described by the educational research community as a group of Asian nation-states with their motherland and overseas population who share Confucian values, which consistently reflect in their behavior and social practices, including learning styles and academic outcomes (Park 2011). This circle’s Asian education research methodology calls for critical reflections on the kinds of conditions that such a methodology should meet if it were to produce plausible and fruitful researches and that are not misinterpretation-prone, methodologically troubling, or of dubious validity.

A *sine qua non* condition for viability (survival of the fittest argument in global academic arena) is a “compliance” issue with the conventional Western research dynamics and philosophy of science. “Research dynamics” comprises the research

rationale and ensuing actions, namely, free and rational choice of a unit of inquiry and framework, fieldwork (or equivalent), and analysis. A framework comprises a conceptual component and a perspective, a plausible version of preexisting theory or “paradigm,” which equips the researcher with an epistemic/logical coherence throughout all the stages of an inquiry. In my view, this and comparable Western research dynamics and their basic rationale are required conditions to which any possible Asian HE research should pledge and that Asian HE researchers have no other option but to comply with any of the time-honored “Western methodologies” if they want to be recognized in and outside Asia.

The most *sui generis* problems for an Asian methodology are in the sphere of moral philosophy and actions. Consider the act of choosing a theoretical framework by researcher X. There are a set of tentative theories available to X. The predicament here is that all theories known to X are, obviously, yet to be tested, hence, nothing can assure X of their adequacy. We will see that an interesting paradox occurs here. X now has to make a choice. Is X free to choose any *ad random*? Probably not! If X is honest, X has to take an informed and rational decision to choose the best theory or the fittest theory (Popper 1959). The issue here is that not everybody will do what X does and this is ethically troubling. For example, consider the case of researcher Y who just attained a government research fund to start a research project in the coming academic year. It surely has obtained an ethical committee’s clearance. Yet, the moral problem is that almost the same research has already been conducted and completed by Y’s senior colleague in the same research center with a different funding source. What Y did is to replicate the extant plan with minor changes for the proposal. The topic and framework are almost identical to the completed one. Y is aware that the prior research resulted with minimal to moderate relevance and impact. Clearly, Y did not choose the fittest theory; in fact, Y’s only goal appears to be that of getting a competitive grant for prestige and promotion.

Consider a second case of imaginary researcher Z. Professor Z has been in the same experimental research topic for more than 25 years that most people and colleagues regard as a very successful academic career. In his tenure, more than 100 papers have been published and more than a dozen reputed research grants obtained from competitive sources. Z has been using one research model adapted from a single theory. The effect size d has consistently been low. The ethical problem that Z faces is that of dragging on a model that is known to Z himself, already, as ineffective. Karl Popper (1959) explained his *Falsification* theory by saying that scientific knowledge advances by *error elimination*, the act of discarding wrong/weak hypotheses or false theories that failed to solve the research problem. In my opinion, Z’s case is not that uncommon in social sciences and humanities; theories that failed to advance understanding or have lost descriptive power are repeatedly used by the same researcher and same research center. Needless to say, any attempt to forcibly reconcile the research dataset with a failed or weak hypothesis and framework goes against academic integrity. I will later illustrate the foregoing claims with some real cases in Asian higher education.

I argued elsewhere that an Asian research methodology would be impossible were it to attempt bypassing Western research rigor, yet Asian methodology in and

about CHC could be recognized as a particularly nuanced methodology subject to certain conditionals (Park 2011). One of such conditionals is that a culturally sensitive Asian research methodology ought to take into account variation in experience to overcome the tension between *emic* and *etic* dimensions of research. The referred variation is the distance between the experience of the actor and the experience cum articulation of it by researchers. The following section will deal with problem.

Researchers and Research Subjects in “HE Field”

However plausible it may be, the abovementioned account of “compliance issue” with the Western methodology, numerous Asian HE researchers think that escaping the rigor of Western research methodologies is possible. After reviewing more than 200 works by scholars in and outside Asia, I recently published the salient arguments from such a position (Park 2016). I do not think that they constitute an academic community with an *esprit de corps* or a field, but I am quite certain that they share a common concern: Asia’s modernity, colonization, and the Cold War profoundly damaged the interplay of structures and subjectivity of Asia, which, in order to heal, necessitates a local reference point, knowledge structure, and production so that “self may be transformed, and subjectivity rebuilt” (Chen 2010, p. 212).

Outside the circle, however, the position differs among scholars. For example, Asian higher education expert William Lo (2011) identifies two main perspectives in understanding the hegemonic struggle in Asian HE knowledge production. From an anti-colonial perspective, he says, such hegemony of knowledge production would be an oppression, whereas, from a soft-power perspective, an attraction. My opinion is that either way applies to how Asia looks at herself. Whether it is a charm offensive, animosity, or both does not matter. What really does is that, without struggle against the privileges of knowledge (knowledge, competence, and qualification), Asia would never get rid of the scar of subjection and submission. (For what privilege of knowledge entails, see Foucault 1983, p. 212.)

The preceding analysis is important if we are to understand researchers and research subjects in Asian HE knowledge production. A powerful and incisive observation can open our discussion, and it is from noted Taiwanese intellectual Kuan-Hsing Chen (2003, p. 878):

The ‘west’ is equipped with universalist ‘theory’ and the rest of us have ‘particularist’ empirical data, and eventually in writing, ‘we’ become a footnote to either validate or invalidate theoretical propositions. Hence, theoretically minded researcher vs. native informant.

This accusation rings an alarm bell of how ethical issues and methodological issues overlap in research. The overlap occurs at the very start of a knowledge production process. The act of singling out a research problem from hundreds that come to the attention of a researcher depends on the exercise of the researcher’s freedom and choice; hence, it is a moral act in a Kantian sense. Bewilderment or sense of wonder makes researchers choose a research problem while dismissing all others, while not

changing a research problem lightly implies a no less free and rational moral act. Ethical-methodological overlap is already apparent when turning research participants into a case or a research problem by “pathologizing” and problematizing them (Nind et al. 2004).

In a broad sense, an “Asian HE research field” is a discursive space where an interplay of structure and agency occurs by problematizing Asian HE academics, students, and other research participants by tagging and classifying them (e.g., brain gain and drain) with overt cultural invasion and disruption. The very concept of “research field” denotes an economy of power relations (Foucault 1983) in Asia. Under an imposed colonial and Cold-War peripherality, the “West and the rest,” the Asian HE embraced alien ideals of HE that gave priority to their pragmatic goals and analytical-positivistic methodologies at the expense of humanities as well as social studies. Across Asia, HE knowledge production became the crucible where researchers and research participants, now colonial subjects, unwittingly lost their subjectivity with generally weak “forms of resistance against different forms of power” (Foucault 1983, p. 211).

Higher Education and Asian Problems

The problem of subjection and submission in knowledge production indicates self-imposed limitations in agency that are deeply rooted in the *xin* (心 mind-heart) of Asian researchers. Naoki Sakai (2010, p. 448) tries to explain, for example, why Asians have difficulties with theorizing in humanities and how theoretical elaborations came to be understood as the exclusive possession of the West. He argues that the Western conception of *West* is not geographical but a distinction in knowledge production in humanities. He elucidates it with the terms *humanitas* (Latin) and *anthropos* (Greek) (2010, p. 455):

Humanitas has signified those people who could engage in knowledge production in both the first and the second relationships—namely, in the empirical as well as transcendental relationships, hence, empirico-transcendental doublet—while *anthropos* has gradually been reserved for people who participate in knowledge-production only in the first. Thus, humanity in the sense of *humanitas* has come to designate Western or European humanity, to be distinguished from the rest of humanity—so long as we trust in and insist upon the putative unity of the West.

This point contrasts with Stuart Hall’s (1992) that the concept of the *East* emerged when the West formulated a “West and the rest.” In Sakai’s argument, the East-West distinction is a distinction in knowledge production in humanities and understating of social realities, namely, social sciences. Sakai also implies that global knowledge production rides on the conceptual binary of West and non-West. Sakai takes it as almost innate that Asians have been relegated to the intellectual periphery, namely, *Anthropos*; hence, Asia might produce knowledge but it is incapable of strong theories as it lacks a logical-metaphysical tradition, which relegates Asia to the production of positivistic and pragmatic knowledge. Sakai’s view of the global knowledge

production is polarized and anti-naturalistic, that is, there is no continuum between the empirical world and the world of humanities. His view of Asian (or perhaps limited to Japanese) knowledge production is different with what Bertrand Russell observed in the early Chinese modernization:

Chinese schools and universities...are not hotbeds of rabid nationalism as they would be in any other country, but institutions where the student is taught to think freely, and his thoughts are judged by their intelligence, not by their utility to exploiters. The outcome, among the best young men, is a really beautiful intellectual disinterestedness. (Russell 1993[1922], p. 222)

Russell also perceived a genuine interest for humanities and social sciences. He witnessed a Chinese youth full of eagerness to become modern yet with “a profoundly humanistic attitude to life” (Russell 1993[1922], p. 223), that is, socially oriented humanities aimed at solving urgent problems of China and Asia (e.g., post Versailles treatise annexation of Shandong by Japan).

Among the young, a passionate desire to acquire Western knowledge, together with a vivid realization of Western vices. They wish to be scientific but not mechanical, industrial but not capitalistic. To a man they are Socialists, as are most of the best among their Chinese teachers. They respect the knowledge of Europeans, but quietly put aside their arrogance. (Russell 1993[1922], p. 222)

In contrast, Sakai seems to suggest an internalized handicap of many Asian HE researchers. We could also extrapolate, however, that it is not that HE researchers cannot do humanistic research but they could rather be reluctant to look at their own problems while looking up to the West.

If we are to compare scholarship on Asian HE with the West, we will find that Western scholarship on HE is quantum ahead. It is sizable and some of them regarded as classics (Barnett 1990; Jaspers 1960; Newman 1999 [1907]; Ortega y Gasset 1999; Pelikan and Newman 1992). Even early history and critical arguments about Asian HE have been written mostly by Western scholars, John Dewey on student activism during the *May Fourth Movement* (Takeuchi 2005 [1961]; Wang 2007), Bertrand Russell on the Chinese universities’ intellectual capacity at the turn of the twentieth century (Russell 1993[1922]), and the more recent neoliberal hermeneutics by Philip G. Altbach (1989, 2004; Altbach and Salmi 2011).

Where is Asian meta-discourse on Asian HE? Why are the neoliberal arguments so prevalent in Asian HE scholarship? Why is Asian subjectivity silenced by default in Asian HE knowledge production? These are rather naively provocative questions but useful to address upfront the leitmotif of this book “Higher education research as a field of study in Asia” (this was also the initial/tentative title of the book) and find some answers.

Asian scholars have long been preoccupied with a never-ending and complex mindset of “catching up with the West” and standardized preference for analysis over synthesis, empirical-positivistic induction over other methods, and ambition for generalizability and “total” frameworks. Administratively, Asian HE has been emulating the dominant Western model for HE management, which is an arena of realpolitik at the expense of academic freedom with a direct impact on knowledge production (Ginsberg 2011).

It is not far-fetched to argue that all three key missions of HE in Asia have become dependent on or caught by a neoliberal outlook, materialism, “bad” pragmatism and utilitarian, neo-Kantian normative discourses, market-oriented managerialism, and internationalization and the “glory” of global rankings as a goal. Consider the following special initiatives for selected “elite” universities:

- China’s 211 and 985 projects
- Japan’s Global 30 program
- South Korea’s Brain Korea 21 Program
- Taiwan’s Program for Aiming for Top University (Five Year-Fifty Billion Program)
- Hong Kong’s Areas of Excellence Scheme

They aim to improve the research capacity of selected institutions or research units, thereby facilitating them to achieve world-class status. Should the future of Asian knowledge production be developed with neoliberal gimmicks? Jamil Salmi appraises that there is a crisis and the problems also faced by Asian HE; they are clearly not sustainable (2014):

- Raising unreasonable expectations of a rapid rise in the rankings.
- Creating dangerous distortions in resource allocation in favor of a few flagship institutions to the detriment of the overall tertiary education system when additional resources are not available.
- Undue priority to research and publications in prestigious journals, often at the expense of excellence and relevance in teaching and learning.
- World-class systems are made equivalent to those that can boast the largest number of highly ranked universities.

A problematization of Asian HE knowledge production is complex and multifaceted. They are both structural and agential. Among the structural problems, to mention just a few, we have the so-called all-administrative universities (Ginsberg 2011) in Asia, state-sponsored “internalization-aimed” HE programs, institution and state-initiated elbowing for a higher position in the global rankings, hegemony of Anglophone academic journals, massive manipulation of peer-reviewing process to get published in top-ranked journals, and cash incentives for high rank publications that are becoming a norm across Asian universities.

Problems of agency are not less acute. When Asian universities recruit foreign students, they are getting global talents; when American universities do so, they do a favor to the international cause of democracy and development. Agential problems of Asian HE might be more deeply ingrained in the mind and soul of researchers and students, hence harder to tackle. Across Asia, academics have a general aversion to teaching, and most of us are after the glory of a successful research fund hunting. A case in point is Hong Kong. Even those universities with the founding spirit of assisting secondary education graduates who went to industries’ full-time jobs for diverse socioeconomic reasons with evening lectures are now fully embarked in what is a must—a government-funded research university, a true betrayal in a city that has a pathologically low rate of access to HE and ridiculously small number of HE institutions.

The super-emphasis on HE knowledge production is a dated problem in the West. John Henry Cardinal Newman argued that research is neither the main nor the maiden mission of a university, and it should rather be done outside the campus (Barnett 1990). Earlier across Europe, the Humboldtian idea of a university argued for a balance between teaching and research (Anderson 2010). I agree with Robert Anderson that the proportion of research and teaching, even social projection, should not have a fixed proportion but a flexible and adaptable model. When we turn our eyes to the Asian context, what we see is a huge continent that houses the richest and poorest nations on earth in a frantic neoliberal race. In this regard, I find Simon Marginson's pragmatic analysis of HE in East Asia and Singapore (2011) bundling them together as a phenomenon linked to Confucius or Confucianism. Marginson looks at numerical facts such as state investment on research; thus, Asian universities are divided into research universities and the rest. Marginson's *thin* version of Confucian culture only renders an oversimplified and generalized neoliberal argument.

My opinion is that, on the one hand, East Asian nations have both *thin* and *thick* value systems coexisting side by side and, on the other hand, that many HE statistical figures and policies are the results of structural and agential problems Asian HE inherited from her colonial past and that are still embedded in the mind-heart of HE stakeholders. Do Asian universities buy an archaic British ideal of a university in Henry Newman's fashion and should hence, perhaps, strongly orient toward humanistic discoveries? Not at all! Asian HE is, in a way, more neoliberal than the conservative half of the United States.

To sum up the section, all the problems in Asian HE knowledge production call for a keen ability to look inwardly, examining the Asian knowledge production with an Asian, humanistic, historical, and, if possible, philosophical perspective.

Knowledge Mobility in Asia

So far, this chapter has mostly looked into the problems inherent to the first two missions of HE—research and teaching—in a multifarious context of Asian modernity. In this final section, I address the convoluted problem of knowledge mobility in Asia, that is: What is knowledge produced by HE for and where does it go?

We mentioned that, by nature, knowledge production is not an egocentric or hermitic endeavor; it tends to be disseminated and communicated to become a shared oral and written wisdom tradition of a society while shaping its history. Knowledge mobility studies the process of produced knowledge to different clusters of the society (Fenwick and Farrell 2012). It is not only about the transfer and use of research but also its discourse, politics, and ethical dimensions. I organize the discussion by two usual destinations of produced knowledge: scholarly publications and the larger community. We will see that Asian HE has significant predicaments in either of them.

Scholarly Publications

My colleague and friend Rui Yang says, “Scholarly publication is a significant instance of the way in which academic knowledge is ‘mobilized’ in the global network” (Yang 2011, p. 185). I think this is plausible but an incomplete picture. “Mobility” is a heavily politicized and sociologically loaded term. It often categorizes a person or groups on Marxian assumptions of promotion or demotion from a social class. Of late, a technology-mediated social network and its horizontal mobility have been discussed. Any versions of mobility imply that somebody or something bridges a gap between a local and distant place and the power to act—agency. An *agent* is capable of either *agere*, Latin for “to do mentally,” which differs from *facere*, Latin for “to do physically.” I have never accepted this Medieval Aristotelian-Thomistic distinction because, in my view, human *facere* cannot be performed without the corresponding *nous* and *agere*. Anyhow, academic scholars are heirs of *schoolmen*, and they are *agents* of knowledge production. But scholars do not only produce knowledge, but they also deliver and communicate knowledge to other agents. These recipients are both immediate and distant peers, who play an important role in the advancement of science, namely, Polanyi’s *principle of mutual control*, a “simple fact that scientists keep watch over each other. Each scientist is both subject to criticism by all others and encouraged by their appreciation of him” (Polanyi 1983, p. 72).

Within academic circles, Asian HE knowledge production faces another critical problem—academic corruption. Research is inextricably a moral act insofar as free actors are involved in it (Park 2011). Therefore, it is little surprising that knowledge production is the kernel of academic corruption in Asia (Macfarlane et al. 2012; Ren 2012; Yang 2005). Ethical issues affect scholarly publications (Yang 2011), public feeling and public understanding (Kim 2009), politicization of higher education (Yang 2010), and higher education’s “research muscle,” public instruction, and social projection that can turn HE institutions into ideological state apparatuses (Althusser 2006), for example, the case of Chinese Confucius Institutes (Park 2013). Asian academic corruption often occur in the interplay between HE structure and agents of HE research under imported Western audit cultures and the pressures on performativity in educational research (Somekh and Schwandt 2007) (also see the Asian methodology section).

Community-Bound Knowledge Transfer

From the two usual destinations of produced knowledge, I now refer to the community at large. I examine the distance and linkage between the two key missions of HE, namely, research and community projection, also known as “knowledge transfer” (KT) or “knowledge exchange” in various HE institutions.

Apart from teaching and research, KT is usually regarded as the third mission of HE (Lockett et al. 2008) (Nelles and Vorley 2010). It emerged in the 1990s Europe

as an academic discourse—from ivory tower to *praxis*—and a social responsibility discourse (Serrano-Velarde and Krücken 2012). My claim here is that there is a significant gap between Asian conception of KT and its actual practice.

In what is the most prototypical understanding of it, an Asian state university funding agency define KT as:

The systems and processes by which knowledge, including technology, know-how, expertise and skills are transferred between higher education institutions and society, *leading to innovative, profitable or economic or social improvements*. (UGC 2015, my emphasis)

It adds that it should be a two-way process, because “not only would the community enjoy realizable benefit from the knowledge transferred from institutions, but academics and researchers would also be enriched by having closer ties with the larger community” (UGC 2015).

The usefulness-oriented KT can be problematized (Strathern 2007) because of its social self-imagery of situating itself into global market and knowledge economy, globalization. But for the postcolonial Asia, the very globalization itself is problematic:

[Globalization is] capital-driven forces which seek to penetrate and colonize all spaces on the earth with unchecked freedom, and that in so doing have eroded national frontiers and integrated previously unconnected zones. In this ongoing process of globalization, unequal power relations become intensified, and imperialism expresses itself in a new form. (Chen 2010, p. 4)

In this view, the “third mission” is essentialized as one more socioeconomic engagement, capacity building for university-industry linkages (Schiller and Brimble 2009), or an entrepreneurial turn toward being bundled together with other core missions—teaching and research (Nelles and Vorley 2010).

Not only is KT a discourse mounted on a Western view of globalization that evokes a “G-series” World Summit cocktail party, but it also turns Asian knowledge production into a subservient of the West-led globalization cum neo-imperialism. These have become the neoliberal bases on which the so-called KT strategies are formulated and adopted by Asian HE, albeit notable discrepancies among countries and systems in planning, implementation, and governmental HE funding.

My critique is not at KT itself but this naïve idea that any KT, regardless of its local contexts, should be instrumental to reify the universal dream of a ‘globalized world’.

From West to Asia, Then Back to the Ideal of University

The core of the matter is as follows: What is the contribution of Asian universities to human condition in the immediacy? Are Asian HE institutions contributing to the solution of the regional problems? Should the main concern of Asian HE the highest position in global rankings by promoting flagship “boutique universities”?

The neoliberal management and administration of Asian HE as knowledge production machinery comes at a high price. The first victim is academic and intellectual freedom and the loss of subjectivity. Then, even the social projection of knowledge or KT in Asia has become a lip service. As Kuan-Hsing Chen argued, there is a need to formulate a critical proposition to transform the existing knowledge structure and, at the same time, transform ourselves, so that Asian societies can become each other's points of reference to "develop a more adequate understanding of contemporary cultural forms, practices, and institutions in the formerly colonized world"(Chen 2010, p. 1).

I think this is possible and should be done although fewer, critical discourses on HE do exist in the West. In what constitutes an alarm bell for academics and intellectuals, Henry Giroux critiques the relative silence of the Western (American in particular) university intellectuals on the 70th anniversary of the Hiroshima atomic bombing (Giroux 2015). He says that, overwhelmed by decades of public education in a culture of violence and warring, treating the socially marginalized as "disposable people" and abandoned dead bodies, the US HE intellectuals are in a state of moral coma in respect to the country's darker and unexamined past. The cause, he argues, is the rampant neoliberalism that transformed an entire civilization with loss of intellectual capability to put itself under the skin of others. The consequence is an "aesthetics of catastrophe" that exults the violence and glorifies cruelty, in which social imagery is hijacked by a mental state of numbness dictated by a "neoliberal disimagination machine." Giroux has faithfully reflected on what is going on in the university campuses:

The lesson to be drawn here, however tentative, is that under the reign of neoliberalism the roles and responsibilities of the intellectual are being devalued, reduced to a stance marked by a flight from moral and political responsibility, infused by an indifference to the unpleasant necessities of mass violence, and safely tamed within public spheres such as *higher education that have given themselves over to a crude instrumental rationality and endorsement of market-based values, practices, and policies.* (Giroux 2015, pp. 108, my emphasis)

This caution is not only for the West. I believe it is the kind of structure and agency that Asian HE knowledge production should never buy wholesale and that Asian HE has an imperative homework of healing the wounds of colonization and the Cold War; the damage inflicted by a borrowed neoliberal outlook and all-administrative HE should be criticized and, if possible, halted.

Brace, the Worst May Be Ahead

This section attempts to outline some desirable or promising directions for Asian HE. The section showcases a recent Japanese education policy to underscore that the issues previously raised in the chapter are pressingly current.

Japan's Ministry of Education was founded as an independent department of the Meiji government. Its early education policies were aligned with an imperialistic

ideal of regional political hegemony and pursue of a Western model of modernization (Takeuchi 2005 [1961]). Breaking a centennial tradition, it was merged with the former Science and Technology Agency to become the “Ministry of Education, Culture, Sports, Science and Technology” (MEXT) in 2001. This amalgamation was rather fateful for education, in my view. Education that had always been seen as a field in the domain of social sciences and humanities was now placed next to national science and technology, which are, in turn, regarded as champions and catalyzers of the ongoing globalization buzz.

The fast decline of Japanese HE humanities and social sciences was all a matter of time. No sooner had the merge occurred than a new social and political paradigm was imposed to Japanese HE. Now, it has to respond to market pressures by introducing the idea of rank-tabled excellence, competition (both sane and insane), higher managerial autonomy, reduced costs, and, in short, organizational reform as “agencification” (Yamamoto 2004). The move also includes reifying a financial management focus of both publicly and privately funded Japanese HE with a profit-oriented business model (Parker 2012).

In 2015, Takamitsu Sawa, the president of Shiga University, expressed concern over the MEXT’s ad hoc policy on humanities and social sciences in HE (Sawa 2015):

On June 8, all presidents of national universities received a notice from the education minister telling them to either abolish their undergraduate departments and graduate schools devoted to the humanities and social sciences or shift their curricula to fields with greater utilitarian values.

Sawa had previously alerted the Japanese public that Japan’s national universities are being “forced” to implement unprecedented reforms following a business model (Sawa 2014). His stress call a year later was followed by media responses (Grove 2015; Nakata Steffensen 2015).

MEXT is unflinching in its power deployment as it justifies its hard hand on Japanese education/normal universities and programs. In the majestic plural “We,” MEXT underlines:

At teacher training universities and faculties, we are meanwhile working to raise teacher quality while reducing student quotas, based on factors such as expected demographic dynamics and teacher demand. To that end, we already have a policy to “abolish” courses in the teacher training universities and faculties which do not focus on acquisition of a teacher certificate. From now on emphasis will be placed on teacher training courses and the issue is to raise teacher quality. (2015, p. 3)

Japan is not the only country where social sciences and humanities in HE continue languishing. It is, indeed, a global phenomenon (Eagleton 2015). Humanities and social sciences faculties are not shut down upfront, but their courses and programs are eaten away from within like apple worms. When the actual closing down occurs, the public will hardly notice it or have no interest in humanity to voice any concern. Unlike many global cases of “all-administrative universities” (Ginsberg 2011) where social sciences and humanities have been subtly and gradually chocked over the years, the Japanese case gets a distinction for its frontal attack à la swordsman.

In the outset of this section, I promised an outline of some promising directions to save Asian HE humanities and social sciences. I do not pretend to offer a panacea policy formula because the Asian HE landscape is rather heterogeneous, albeit their common features such as their colonial past, strong eagerness for development, and rapturous celebration of globalization.

It could be argued that whatever may be the Asian nation-states' vision and mission, the ongoing demolition of HE humanities and social sciences may backfire on us, Asia, making us once more embrace a worldview and social programs that are not authentically ours while fueling up rampant nationalism and dangerous geopolitical disputes within our continental boundaries. If social sciences and humanities are intellectual instruments for *self* and a mutual understanding in and among our societies, ours seems to be a time when we need social sciences and humanities the most. Hence, it is only foolish that we now take action to destroy such intellectual tools right at the root of knowledge structure and production—Asian higher education.

What I have offered here is a call for an immediate/deep examination and reflection on the current state of affairs so that, in so doing, we Asians may authentically determine, neither imposed nor conditioned, the future directions for the Asian HE humanities and social sciences.

Conclusion: Toward a “Fourth Mission” of Asian Higher Education

I am not a purist, and I do not believe that human endeavors including the time-honored social intuitions such as universities are to be read in black and white. However, there is not even a remotest doubt that Asian HE institutions are in the pains of delivering a knowledge production machinery, “research mill,” at the service of the state, or state apparatuses (Althusser 1971) with borrowed neoliberal principles and practices.

In a century called after her, Asia is still preoccupied with putting herself on the Western topography. I do believe that Asian universities will keep contributing to the global goal (not ragged globalization) of *universitas*, that is, universal access to knowledge with authentic and sustainable growth, which may lead to a real and “sincere” service to the society with qualitative improvement of human condition.

This service in Asia should set some priorities, for example, knowledge produced in Asia should contribute to easing war grudges and territorial-maritime disputes with fresh nationalistic politics that threaten the peace. Perhaps it should be a “Fourth Mission of HE,” a mission of sanitation and reconciliation from within, with a wide range of Asian perspectives in humanity and social sciences research to overcome the many inherent and dated regional problems in true spirit of science, which “derives its capacity for self-renewal from its belief in the presence of a hidden reality, of which current science is one aspect, while other aspects of it are to be revealed by future discoveries” (Polanyi 1983, p. 82).

The unfinished modernization of the Asian continent and its many internal conflicts should be a primary focus and aim of Asian HE knowledge production. They should be able to portrait, explain, and ease the numerous and manifold Asian problems. If HE research were to be taken as an independent field of study in Asia, there is a need to look at it from a historical and philosophical standpoint in order to connect dated and outstanding problems in Asia with local-regionally produced knowledge. To do so, it has to reflectively reexamine its own subjectivity and to get out of an intellectual and emotional chasm for an uncritically embracing borrowed model of HE.

Asian HE knowledge production has faced colossal challenges in every stage of its process, from subjectivity to methodology through knowledge transfer. Asia was the reference point for the self-imagery of the West, that is, the West became West by looking at itself in the mirror of the East (Hall 1992). What is suggested here is different: Asia will better understand what she is with Asia as a reference point of herself, and never in the usual paradigm of the West and the rest.

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Chapter 5

Regionalism, Regionalization of Higher Education, and Higher Education Research: Mapping the Development in Regionalization of Higher Education Research

Roger Y. Chao Jr.

Abstract This chapter is an exploratory study to fill in the knowledge gap related to regionalization of higher education research in Asia and its relationship with the broader Asian regionalism literature and facilitate a better understanding of its evolution and future direction. Key concepts related to regionalization of higher education, the development of Asian regionalization, and regionalization of higher education research in Asia are presented and followed by the discussion and conclusion sections of this chapter.

Introduction

With the increased focus on regionalism across disciplines since the 1990s, Asia has seen a significant literature on political, economic, and security regionalisms. Increased interdependency within Asia facilitated by neoliberal globalization, the establishment of the East Asian production network, various bi-/tri- and multilateral trade agreements, and the changing security environment brought about by the end of the cold war era facilitated Asian regionalisms and a growth in Asian regionalism literature. Furthermore, the challenges brought about by the 1997/1998 Asian financial crisis not only increased the focus on Asian regionalism research but also served as a catalyst for increased East Asian economic, financial, and political regionalization. In spite of conflicting visions of Asian regionalization and the legitimacy-capacity issue in Asian regionalism (Acharya 2014a, b), developments in East Asian regionalism resulted in the establishment of the Association of Southeast Asian Nations (ASEAN) centered ASEAN Plus Three (APT) and East Asian Summit (EAS) frameworks in 1997 and 2005, respectively. These frameworks significantly expanded the ASEAN regionalization project to initially include China, Japan, and

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South Korea and later Australia, India, and New Zealand into an East Asian regionalization project. East Asian regionalism, however, has been seen to be lopsided with a strong focus on economic regionalism along with the development of regional governance mechanisms (Jayasuriya 2004a, b; Chao 2013).

Regionalization of higher education in Asia was influenced by European higher education developments with the Bologna Process and the establishment of the European Higher Education Area in 1999 and 2010, respectively. Although it started as European projects, the establishment of regions and the regionalization of higher education expanded from its European origin and influenced regionalisms and regionalization of higher education worldwide. In fact, Chao (2011) has stated that the “Bolognazation of Global Higher Education¹ can be seen as Europe’s initiative to remain competitive and emerge as the leader in the higher education space.” The influence of the Bologna Process and the developments of the European higher education regionalization project have influenced the East Asian and the Asia Pacific regions (Chao 2011, 2014a, b). East Asian regionalization of higher education, however, is a complex project given its multiple stakeholders, frameworks, power asymmetries within the region and its regional organizations and frameworks, and the ASEAN way of consultation and consensus building.

Aside from the influence of Asian regional organizations (e.g., ASEAN, Southeast Asian Ministers of Education Organization-Regional Centre for Higher Education and Development (SEAMEO-RIHED)) and its member nation states, various external institutions such as the European Union; Asia-Europe Meeting; United Nations Educational, Scientific, and Cultural Organization (UNESCO); and the Asian Development Bank (ADB) significantly influence policy transfer through a number of mechanisms including technical assistance, study visits, project funding, and publications (Dale and Robertson 2012; Dang 2013; Chao 2014a, b). As such aside from the political, organizational, and functional approaches to regionalization of higher education (Knight 2013), path dependency, power asymmetries, and the maturity of a region’s regionalization project need to be considered (Chao 2014a).

Given the importance of higher education within the global knowledge-based economy discourse, understanding the extent of knowledge production, who are the knowledge producers, and the evolution and direction of higher education research is increasingly becoming a necessity. In spite of Asia’s accelerated expansion of higher education in the past two decades, it has been noted that little attention has been given to the evolution of higher education research in Asia (Jung and Horta 2013). Similarly in spite of the increased focus on the regionalization of higher education in research and policy circles since the early 2000s, little attention has been placed on higher education research evolution in Asia.

This chapter is an exploratory study to fill in the knowledge gap related to regionalization of higher education research in Asia and its relationship with the broader Asian regionalism literature and facilitate a better understanding of its evolution and future direction. Key concepts related to regionalization of higher education, the

¹ Defined as “the process by which the Bologna Process is creating harmony (not standardization) and convergence in higher education systems across the world” (Chao 2011)

development of Asian regionalization, and regionalization of higher education research in Asia are presented and followed by the discussion and conclusion sections of this chapter.

Regionalism and Asian Regionalism Research

Given that this chapter is focused on regionalization of higher education in Asia and the developments of its research, it is necessary to address the basic understanding of regionalism, its related concepts and issues. Furthermore, there remains the need to incorporate the power dimension and dynamics to understand the evolution of regionalism studies and subsequently the regionalization of higher education research in Asia.

The distinction between regionalism, regionalization, regional integration, and regions falls in their being an ideology, a process, a condition, and a result of the regionalization process, respectively. Regional integration is the condition that the regionalization process aims to achieve to establish a real region, which is minimally defined as “a limited number of states linked together by geographic relationship and by a degree of mutual interdependence.” Regions are actually social constructs constructed by its actors’ interests and their subjective understandings and form part of the international system and are usually constructed by intergovernmental collaborations between two or more states and differentiated in terms of social, economic, political, and organizational cohesiveness² (Ravenhill 2001, 2010; Hettne and Soderbaum 2000; Hettne 2005; Chao 2014b). Regionalism has been recently defined as “an outcome of the integration processes usually involving the coalition of social forces: markets, private trade investment flows, policies and decisions of organizations and state led initiatives” (Robertson 2008) expanding its original focus on government initiatives to include other social actors.

In fact, Lombaerde and Soderbaum (2013) four-volume edited publication on regionalism broke down regionalism’s development into classical regional integration (1945–1970), revisions of classical regional integration (1970–1990), new regionalism (1990–2000), and comparative regionalism (2000–2010). Shifting from their initial focus on economic and security regionalisms, Asian regionalism research has increasingly focused on political regionalism which includes a focus on regional community building and regional governance as shown in the list of selected publications and edited volumes presented in Appendices 1 and 2, respectively. Even though its focus has changed from time to time, regionalism has actually evolved from classical (old) regionalism to new regionalism and subsequently increased its focus on comparing regions and regional integration developments. Contemporary developments, such as the economic and security developments and the increased momentum on Asian integration and community building in the early

²This definition is based on supranational regions which are different from subnational regions.

1990s and 2000s, respectively, have also influenced Asian regionalism research as shown in the list of edited volumes presented in Appendix 2.

As power asymmetries and dynamics are also predominant in regionalism, these are represented in regionalism research. These include the leadership question in Asian regionalism (Frankel and Kahler 1993; Acharya 2008, 2009, 2014b; Kavalski 2009), interregional competition (Capie 1994; Higgots and Stubbs 1995; Dent 1998; Robertson 2008; Acharya and Buzan 2010), Asian regional governance (Jayasuriya 2001, 2004a, b), and the role and influence of regional and international organizations (Acharya and Johnston 2007; Foot 2011; Watson 2014). The latter can also be seen in Appendix 3, a subset of the list of selected Asian regionalism research presented in Appendix 1, which shows research published by regional organizations and think tanks, and those affiliated with international organizations studying regionalism such as the United Nations University Institute – Comparative Regional Integration Studies. These institutions not only contribute to the knowledge base and contemporary policy discourses but also render support to key stakeholders and regional (and other regions) actors within Asian regionalism.

As this chapter is not about Asian regionalism, the above observations should be sufficient to highlight some trends in Asian regionalism research. These observed trends include: the evolving characteristic, definitions, and actors in regionalism (and by extension Asian regionalism); an initial focus on economic regionalism (particularly during the period 1990–2001) which then shifted its focus on political regionalism especially since 2000; Asian regionalism research published in edited volumes that tend to be focused on contemporary issues; and the power asymmetry and dynamic dimension in Asian regionalism research that are seen in terms of inter- and intra-regional contexts and the influence of regional organizations and think tanks. These observed trends need to be confirmed with a larger study of regionalism research not limited to Asia. Given the scope of this chapter, however, the above observed trends should suffice in the task of mapping the regionalization of higher education research in Asia.

Asian Regionalization of Higher Education: A Conceptual Framework

Although Asian regionalism development is lagging behind European regional developments, their approach to regionalism actually follows different models, namely, networked and institutional regionalism. According to Yeo (2010), Europe's institutional regionalism "achieves integration through endowing specific institutions with far-reaching decision-making powers to shape the behavior of the member states," which is contrasted by East Asia's open-ended networked regionalism. Similarly, and in spite of Europe's pioneering status and influence in the regionalization of higher education, the regionalization of higher education in Asia has taken a different path. Chao (2014a) presents the difference in European and East Asian regionalization processes and the regionalization of their respective higher

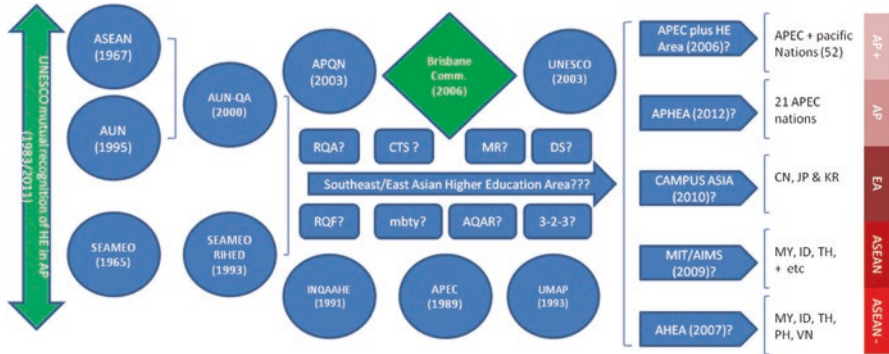


Fig. 5.1 East Asian regionalization of higher education (Source: Chao 2014a)

education systems, which tend to support Yeo’s institutional and networked regionalism argument.

As presented in Fig. 5.1, UNESCO’s 1983 Asia-Pacific Regional Convention on the Recognition of Qualification in Higher Education together with ASEAN, which established the ASEAN University Network (AUN) and the AUN-quality assurance network (AUN-QA) in 1995 and 2000, respectively, and SEAMEO, particularly through SEAMEO-RIHED, is the core of East Asian regionalization of higher education. Although guided in part by European higher education developments, the abovementioned institutions and their higher education initiatives have advanced contemporary East Asian regionalization of higher education. Along with other institutions, such as the Asia Pacific Quality Assurance Network (APQN) and the Asia Pacific Economic Cooperation (APEC), networks (e.g., University Mobility for the Asia Pacific (UMAP)), and the Australian-led Brisbane Communiqué, East Asian regionalization of higher education initiatives has focused on student mobility, quality assurance, mutual recognition, and harmonizing academic systems toward establishing a regional higher education area. The scope and boundaries of this regional higher education area, however, remain vague to date with its evolution being shaped by extra-regional forces. These extra-regional forces include the European Union, which launched and supported the 9.6 million Euro project “the European Union Support to Higher Education in ASEAN Region (EU SHARE)” for the period 2015–2018, and the Asia-Europe Meeting education dialogues. In spite of this brief overview of East Asian regionalization of higher education, Fig. 5.1 and Table 5.1 should be able to give a bird’s eye view of the process and the various related initiatives being undertaken.

With the abovementioned contextual differences between European and East Asian regionalism established, it is appropriate to dwell into the definition of regionalization of higher education and the conceptual frameworks that will inform our task in mapping the development of regionalization of higher education research in Asia.

Stressing that regionalization is an intentional ongoing and evolutionary process built on existing and new relationships and activities by diverse actors, Knight

Table 5.1 Regionalization of higher education in Asia (FOPA)

1980	1990	2000	2010
<i>Organizational</i>			
Administrative	SEAMO RIHED (1993*); AUN (1995); AUN-QA (1998)	AQAN (2008)	
<i>Functional</i>			
Mobility ⁸⁵	UMAP (1993)	AIMS (2009)	AUN Student Mobility initiative (2010); CAMPUS Asia (2012)
Credit transfer			AUN-ACTS (2010); Harmonizing CTS in GMS and beyond (2012)
Quality assurance		AUN-QA guidelines (2004); AUN-QA Manual (2006); Chiba Principles for QA in HE in the Asia Pacific (2008)	Guide to AUN-QA Assessment at Program level (2011)
Mutual recognition revised UNESCO recognition convention for the Asia and Pacific (1983)			Revised UNESCO recognition convention for the Asia and Pacific (2011)
<i>Political</i>			
Regional integration	AFTA (1992); AFAS (1995); ASEAN Vision 2020 (1997)	East Asian Vision Group (2001); East Asian Study Group (2002)	East Asian Vision Group II (2012)
HE regional integration		Brisbane Communiqué (2006); SEAMEO- RIHED harmonization of higher education (2008 and 2009)	APT Plan of Action on Education 2010–2017 (unimplemented to date)

Source: Chao (2014b)

(2012) defined regionalization of higher education as the “process of facilitating closer collaboration and alignment among higher education actors within a designated area or framework called a region.” Along with the above definition, Knight (2012, 2013) also advanced a conceptual model for the regionalization of higher education based on three different but complementary approaches, namely, functional, organizational, and political approaches (FOPA).

The functional approach focuses on practical activities like the alignment of systems and policies and collaborative programs. On the other hand, the organizational

approach refers to the development of organizational architecture including developing organizations and networks that guides regionalization initiatives, and lastly, the political approach involves the political will and strategies that place regionalization initiatives on the agenda of decision-making bodies which are usually embodied in terms of declarations, conventions, agreements, treaties, and summits.

It should be noted that Asian regionalization of higher education is focused on East Asian regionalism and its higher education initiatives. As such, and at least to date, East Asian regionalization is representative of Asian regionalization of higher education. Chao (2014b) mapping of key East Asian higher education regionalization (and related) initiatives from the 1980s to the early 2010s into Knight's functional, organizational, and political approaches, as presented in Table 5.1, provides a longitudinal overview of Asian higher education regionalization. Together with the evolution of Asian regionalism research, the power dimension discussed in the next paragraph provides a basis to map and analyze regionalization of higher education research in Asia.

Furthermore, given that education policies including that for regionalization of higher education travel between nations and/or between regions, its acceptance, adaption, location, and transformation into a hybrid policy that fits the local or regional contexts are usually negotiated by nation states through bilateral and multilateral levels especially using regional and interregional frameworks, networks, and organizations (Chao 2011, 2014a; Dale and Robertson 2012; Dang 2015). This actually falls in line with DiMaggio and Powell's (1983) concept of institutional isomorphism and collective rationality where regions, and their respective member nation states and other actors, reshape their respective (regional and national) higher education systems through coercive isomorphism, mimetic processes, and normative pressures.

In fact, international organizations along with key East Asian regional organizations (e.g., ASEAN, SEAMEO-RIHED, and ASEAN University Network) direct and negotiate higher education discourses and shape the characteristics and evolution of Asian regionalization of higher education (Chao 2014b; Moutsios 2009, 2010). The influence of UNESCO Asia and Pacific Regional Bureau of Education, and to a lesser extent the Asian Development Bank and the Asia Pacific Economic Cooperation, has also contributed to Asia's regionalization of higher education which necessitates inquiry into their contribution to regionalization of higher education research in Asia. Lastly, the establishment of the Asia Pacific Quality Assurance Network (APQN) in 2003, which aims to serve the needs of quality assurance agencies in Asia Pacific higher education, should also be considered in the analysis.

Regionalization of Higher Education Research in Asia

Although a recent study by Jung and Horta (2013) shows that higher education research publications in Asia have been increasing, the study also noticed that its proportion in relation to total world publications in higher education research

remains stationary. In fact, the same study highlighted that “the higher education research community in Asia is heavily concentrated in a few countries and universities, resting on a relatively small number of core scholars who published research in the international specialized higher education journals” (Jung and Horta 2013). Furthermore, a tendency toward thematic specializations has also been seen among higher education researchers in Hong Kong, China, Japan, and Malaysia (Kim et al. 2015).

Along with the growing interest and higher education regionalization initiatives in Asia, a similar growth in regionalization of higher education research in Asia can be seen. The signs of the development of a specialized community focused on regionalization of higher education research, however, remain inexistent or minimal at best. This section presents various regionalizations of higher education research in Asia, including academic publications, project reports, and regional organizations’ relevant documents which form part of the region’s regionalization process.

Based on the selected publications presented in Appendix 4, regionalization of higher education research in Asia started roughly in the early 2000s with its focal topics evolving from simple to more complex and interdisciplinary topics. Research during the period 2003–2009 tend to focus on higher education (restructuring, privatization, quality and equity issues, massification, governance, rankings, and world-class universities) with East Asia, Asia, or the Asia Pacific region taken as a geographic boundary, context, and/or a point of comparison. Among the publications in that period, three publications did focus on regionalisms and how international and regional organizations should and/or are approaching East Asian higher education (Yepes 2006; Robertson 2008) and the development of transnational education in East Asia (Huang 2007).

In contrast, post-2010 publications have significantly refocused their topics on various issues and challenges to East Asian regionalism. In fact, an increased focus on higher education regional cooperation, internationalization (including regional higher education hubs and student mobility trends), regional quality assurance, and the establishment of regional organizations and networks related to higher education is gaining ground in regionalization of higher education research in Asia. Furthermore, similar to regionalization research presented in the earlier sections, research in education policy transfer and its power dynamics has also been gaining ground especially in relation to Europe, the Bologna Process, the European Higher Education Area, and their impact and influence in the Asia/Asia Pacific region’s regionalization of higher education processes.

The evolution of focal topics in regionalization of higher education research in Asian is also reinforced even in subcategories of research including edited volumes (Appendix 5), journal articles (Appendix 6), and even selected chapters of a recently published book (published 2015) on the European Higher Education Area (Appendix 7). Edited volumes and journal articles related to regionalization of higher education research evolved from using East Asia/Asia/Asia Pacific as a context, to the challenges in regionalization of higher education in Asia, and eventually to the process, power asymmetries, and policy borrowing, transfer, and mobility within regionalization of higher education in the region. Furthermore, the editors (or at

least of the editors) come from Asia, work in Asia, or are connected/affiliated with an institution that studies Asia, including higher education. Although this observation seems to hold true for journal articles on regionalization of higher education research in Asia, there is a need to conduct a broader and systemic study to increase its reliability.

In relation to power asymmetries and influence in Asia, a brief observation on international and regional organizations' related publications (Appendix 8) shows that the East West Center, Asian Development Bank, SEAMEO-RIHED, UNESCO Asia and Pacific Regional Bureau for Education, APEC, and very recently even the Institute of International Education have been engaged in the regionalization of higher education research in Asia. A deeper look at the nature of these publications, however, shows that APEC and SEAMEO-RIHED took the lead in regionalization of higher education research in Asia. This can be seen in terms of the Australian-led Brisbane Communiqué and the latter's mission to increased collaboration (and eventually harmonization) of Southeast Asian (which was later expanded to East Asian) higher education.

The Asian Development Bank and East West Center's geographical focus (on Asia and the Asia Pacific, respectively), UNESCO's interest on mutual recognition of higher education qualifications, and the Institute of International Education's interest in understanding international education in relation to US international education competitiveness in part explain their entry and contribution to regionalization of higher education research in Asia. The Asia Pacific Quality Assurance Network, whose mission statement is "to enhance the quality of higher education in Asia and the Pacific region through strengthening the work of quality assurance agencies and extending the cooperation between them,"³ also contributes to research focused on harmonizing quality assurance in the region which is a functional part of regionalization of higher education in Asia.⁴

The increased focus on higher education in global and regional policy platforms, the development of Asian regionalism, and regionalization of higher education explains not only the growth of higher education research in Asia but also that for regionalization of higher education research in the region. Most (if not all) of the selected East West Center publications included in the selected literature in Appendix 1 were based on international education-related events hosted in Asia in collaboration with Asian universities and researchers. Furthermore, APQN's work and their contributing authors/scholars established a small community centered on APQN's central theme of quality assurance in Asia and the Pacific region. The existence of a higher education research community in Asia is no longer the question, but rather is there a subcommunity within the higher education research community focused on regionalization of higher education in Asia.

Looking at Appendix 9, which maps the selected literature into Knight's functional, organizational, and political approaches (FOPA) to regionalization of higher education, the minimal research contribution to the organizational approach is the

³<http://www.apqn.org/about/mission/>

⁴APQN and their affiliates organize conferences and events around harmonizing quality assurance in the Asia and the Pacific region.

most striking observation. In fact, only Tadaki and Tremewan (2013) and Ratanawijitrasin (2015) work on advancing the use of international consortia as a transformational space, and the challenges of governance in the evolving landscape of Southeast Asian higher education, respectively, focused on the organizational approach. Although international and regional organizations have contributed to research within both functional and political approaches, the ADB, APEC, and UNESCO tend to focus on the functional approaches, while the SEAMEO-RIHED has placed significant effort to research focused on the political approaches.

Looking at research within the functional approaches, the range of themes involved ranges from transnational education and world-class universities to the various higher education challenges (access, equity, privatization, quality assurance, and governance), rankings, and higher education research within the Asian region. Although not all of these researches are directly relevant to regionalization of higher education research, these researches provide the contextual background and academic discourse into what does on in the region and indirectly filter into regionalization of higher education research. They also bring out the different dimensions and challenges within the regionalization of higher education process in Asia. Within the political approach, researches range from intra-regional and inter-regional policy transfer and influence, advocating regionalization of higher education in Asia (including Southeast Asia/East Asia/Asia Pacific), and these policies influence to member nation states and increasingly an alternative path to regionalization and/or an Asian higher education model.

Discussion

Given the development of regionalism, regionalism, and regionalization of higher education research in Asia, there is the need to establish certain parameters. Is there a higher education research community focused on regionalization of higher education research? Which organizations form part of this research community? What factors determine the themes of regionalization of higher education research? And are there unique features in regionalization of higher education research in terms of government policy? This section focuses on discussing the abovementioned questions in relation to the various data on Asian regionalism and regionalization of higher education in Asia presented in the earlier sections.

Regionalization of Higher Education in Asia Research Community

Given the regionalization of higher education research (Appendix 4) and related research by international/regional organizations and their affiliates (Appendix 8), it may be plausible to mention the presence of regionalization of higher education in

Asia research community. Evolving from a subcommunity within the broader higher education research community, its members include Asian studying and working in other regions, higher education scholars, and practitioners affiliated with institutions with an interest in higher education in Asia. Most of these scholars/researchers, however, are focused on key themes within Knight's functional, operational, and political approaches to regionalization of higher education and are also engaged in other higher education-related topics. Furthermore, it was observed that the thematic focus of these researchers tends to evolve along with contemporary developments in Asian regionalism and the ongoing higher education discourse and dialogues within the region. As such, it may be more practical to assume a subgenre of the higher education research community in Asia that includes research in regionalization of higher education in Asia.

The members of this regionalization of higher education in Asia research community are spread out across and even outside the region. Although most are affiliated with academic institutions, some researchers working for international and regional organizations contribute to regionalization of higher education research as part of their institutions' thematic or geographic focus and constitute part of this research community. For example, Hou (2011, 2012; Hou et al. 2015a, b), who is currently the vice president of the Asia Pacific Quality Assurance Network, has been engaged in quality and quality assurance-related research mostly related to Taiwan and the Asia Pacific region. Furthermore, Asian academic institutions have jointly hosted a number of East West Center's higher education events leading to edited volumes related to regionalization of higher education in Asia (see Appendix 8). These two cases illustrate the different methods one contributes to regionalization of higher education research in Asia and its community.

As shown in Appendixes 8, the Asian Development Bank, Asia Pacific Economic Cooperation, East West Center, SEAMEO-RIHED, and UNESCO form part of the regionalization of higher education in Asia research community. To a lesser extent, but increasingly over the past years, the ASEAN University Network (AUN) is expected to contribute to research and become part of the community. Although their initial focus was on subnational higher education cooperation between AUN member universities, the past years have seen the organization increasingly focuses on regional higher education cooperation at ASEAN and ASEAN plus 3/6 levels. As mentioned earlier in this chapter, the 9.6 million Euro European funding project will at least ensure that AUN and their related research projects will contribute and focus on regionalization of higher education in Asia.

Path Dependency

The themes in regionalization of higher education research in Asia, and possibly worldwide, tend to be path dependent based on global and regional economic, security, and political developments, the evolution of Asian regionalism, and the actors engaged with regionalization of higher education in Asia. Path dependency,

however, is not fixed and unidirectional. In fact, negotiations between actors, the ongoing evolution of Asian regionalism, and the funding directed to regionalization of higher education in Asia may reshape the path, within boundaries, of regionalization of higher education in Asia.

To broadly illustrate this path dependency, multilateral and eventually regional (and bi/tri-lateral) trade agreements managed to set up global and regional markets for goods and services. At the multilateral level, the World Trade Organization's 1995 General Agreement on Tariff and Trade (GATT) and General Agreement on Trade in Services (GATS) essentially set the pace of economic liberalization at the global stage. While the former institutionalized economic globalization and set the global rules of trade, the latter reconstituted higher education as a commodity subject to the rules of trade at the global level. Prior to GATT and GATS, APEC's establishment in 1989, with its initial member economies being close US allies in the Asia and Pacific region, advocated for open regionalism based on the principles and rules of what we now know as GATT and GATS. ASEAN, with all its founding member countries being APEC member economies, followed through with its ASEAN Free Trade Area and ASEAN Framework Agreement on Services in 1992 and 1995, respectively. The end of the Cold War in 1991 facilitated APEC and ASEAN membership to include former socialist countries in the late 1990s expanding economic regionalism and formed the foundation for regionalization of higher education in Asia. Although Asian regionalism and regionalization of higher education reinforced global developments, Asia's historical development (at national and regional levels), unique governance structure, diversity, and relevant actors negotiated and facilitated a localized hybrid of economic globalization and regionalization of higher education in Asia.

Similarly, Europe's Bologna Process, which led to the establishment of the European Higher Education Area in 2010, serves as a catalyst for regionalization of higher education across regions, including Asia, regionalization of higher education in Asia is dependent on the maturity and characteristics of Asian regionalism, its governance structure (e.g., ASEAN Way), Asian higher education diversity, and the region's key higher education actors including non-Asian actors providing funding, technical assistance, and capacity building support to the regionalization of higher education project.

This path dependency holds for both Asian regionalism research and regionalization of higher education research in Asia. As observed earlier in this chapter, Asian regionalism research focused on the evolving characteristic, definitions, and actors in Asian regionalism, an initial focus on economic regionalism (1990–2001) which eventually shifted to political regionalism especially since the 2000s. Although regionalization of higher education research in Asia can be said to have started in the early 2000s, its evolution from simple to complex interdisciplinary themes clearly mirrors (but at a faster pace) Asian regionalism research developments. It has evolved from higher education issues within Asia as a geographic boundary, to issues to regionalization of higher education in Asia, and eventually to the processes, power asymmetries, and policy borrowing, transfer, and mobility within regionalization of higher education in Asia.

Actors and Thematic Selection

As key actors and power asymmetries do play a role in regionalization of higher education, they also play a role in regionalization of higher education research. Donor countries, regional organizations, interregional forums, and other functionally specific organizations contribute to regionalization of higher education research to provide evidence-based policy advocacies or directives and interregional policy mobility or simply to gain a better understanding of a phenomenon within their geographic area of focus.

The Australian-led Brisbane Communiqué and the European Union that supported regionalization of higher education initiatives in Asia are just examples of donor countries' engagement. Australia, through APEC and the ASEAN-Australia-New Zealand Free Trade Agreement (ASEAN-ANZ FTA), has been continuously advocating and supporting regionalization of higher education in Asia. In terms of regionalization of higher education, SEAMEO-RIHED, and to a lesser extent the Asian Development Bank, started strongly advocating for regionalization of higher education in Asia and contributing to its research (SEAMEO-RIHED 2008, 2009; ADB 2012). On the other hand, AUN and APQN have focused on quality assurance issues since the 2000s, while UNESCO has been strongly contributing to mutual recognition of higher education qualifications especially in the late 2000s.⁵ In fact, Table 5.1 showed that regionalization of higher education initiatives in Asia and regional quality assurance only started in the mid-2000s, while academic/student mobility, credit transfer, and mutual recognition (revisited) issues occurred in the 2010s.

With the developments in regionalization of higher education in Asia, APEC and East West Center's geographic focus on the Asia and Pacific region required them to engage and contribute to research. In fact, APEC's research contributions and EWC's edited volumes only started in the mid- and late 2000s, respectively. Contemporary issues, academic discourse, and the development of regionalization of higher education in Asia, however, do play a key role in the thematic selection of topics especially those published in academic journals.

Research and Government Policies

Given the diverse nature of actors and researchers of regionalization of higher education in Asia, is there truly a unique feature in this subfield of higher education research? Similar to all higher education research, it is driven by contemporary developments in Asian regionalism, global higher education discourses, and challenges in Asian higher education.

⁵ UNESCO's 1983 Mutual Recognition Convention for Higher Education Qualifications was revised in Tokyo late 2011.

A key feature in regionalization of higher education research, however, can be seen in its strong comparative nature with the regionalization of European higher education. The influence of European higher education developments can be seen in Australia's Brisbane Communiqué and SEAMEO-RIHED's harmonization of Southeast Asian higher education, which actually includes a number of East Asian countries. During the period 2015–2018, AUN and its EU SHARE European partners will be significantly contributing to research and evolution of the regionalization of higher education in Asia. As such, it has a strong regional comparative nature and a strong involvement of regional, interregional, and Asian higher education scholars (including those based outside the region), and it supports the need for empirical policy-related research required by the key drivers for the regionalization of higher education in Asia.

Conclusion

Regionalization of higher education in Asia research is a relatively new research area which started in the early to mid-2000s and evolved from simple to complex interdisciplinary themes which evolved from higher education issues within Asia as a geographic boundary to the process, power asymmetries, and policy borrowing, transfer, and mobility within regionalization of higher education in Asia. Although the establishment of global markets for goods and services and the commodification of higher education formed the foundation, the regionalization of higher education in Asia required the maturity of Asian regionalism and was deeply influenced by developments in the regionalization of European higher education.

This chapter has presented and analyzed selected literature on Asian regionalism and regionalization of higher education in Asia, and mapped the latter into Knight's functional, organizational and political approaches to regionalization of higher education. In the process, it has shown and argued that there exists a regionalization of higher education in Asia research community, which should be seen as a subgenre of the higher education research community in Asia. Members of this community include academic researchers/scholars, policy researchers, regional and interregional organizations, and their affiliates located within and outside Asia. In spite of its recent existence, the regionalization of higher education in Asia research community provides significant contribution to empirical research required by policy makers and, at times, provides alternatives for Asian hybrid of regionalization of higher education based on Asian values, culture, and practices.

A path dependency based on the region's historical developments, the evolution of Asian regionalism, and the negotiations between key actors is apparent in the regionalization of higher education in Asia. Starting the mid-2000s, key actors including SEAMEO-RIHED and Australia, through APEC, have significantly pushed and influenced the regionalization project. In fact, the relevant themes in regionalization of higher education in Asia research are influenced by contemporary developments in regionalization of higher education in Asia and a number of other

actors (aside from those mentioned above) whose geographic focus and political and economic interest involve the regionalization of higher education in Asia.

Being strongly influenced by European developments, regionalization of higher education in Asia research has a strong regional comparative nature with significant involvement of regional, interregional, and Asian higher education scholars located within or outside the region. It is also significantly influenced by European and donor countries' funding, technical assistance, and capacity building support. Lastly, regionalization of higher education in Asia research significantly supports the region's need for empirical policy-related work, influences regional higher education policy making, and even managed to provide arguments for an Asian-based model for higher education and its regionalization.

Appendixes

Appendix 1: Selected List of Asian Regionalism Research and Their Focus

		Title	Political	Economics	Security
1968	Nye, JS	International regionalism: readings	x		
1991	Palmer, ND	The New Regionalism in Asia & Pacific	x		
1992	Jayasuriya, K	The Dynamics of Economic Policy Reform in South-East Asia and the South West Pacific		x	
1993	Frankel, J & Kahler, M	Regionalism & Rivalry: Japan & the United States in Pacific Asia		x	
1994	Garnaut, R & Drydale, R	Asia Pacific Regionalism: readings in international economic relations		x	
1994	Acharya, A	An Arms Race in Post-War Southeast Asia: prospects for control			x
1994	Capie, D	Rival Regions? East Asian regionalism and its challenge to the Asia-Pacific	x		
1995	Higgots, R & Stubbs, R	Competing Conceptions of Economic Regionalism: APEC versus EAEC in the Asia Pacific		x	
1995	Acharya, A & Stubbs, R	New Challenges for ASEAN: emerging policy issues	x		
1997	Lake, D & Morgan, P	Regional Orders: building security in a new world			x

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		Title	Political	Economics	Security
1998	Coleman, W & Underhill, G	Regionalism & Global Economic Integration: Europe, Asia & the Americas		x	
1998	Dent, C	Regionalism in Southeast Asia: Opportunities & threats for the European Union (European Business Review 98:4, 184-195)		x	
1999	Jayasuriya, K & Rosser, A	Economic Orthodoxy & the East Asian Crisis		x	
1999	Barry, D & Keith, R	Regionalism, Multilateralism & the politics of global trade		x	
2000	Acharya, A	The Quest for Identity: International relations of Southeast Asia	x		
2000	Katzenstein, P	Regionalism & Asia	x	x	
2000	Stubbs, R & Underhill, G	Political Economy & the Changing global order	x	x	
2001	Jayasuriya, K	South East Asia's Embedded Mercantilism in Crisis: International strategies & domestic coalitions	x	x	
2001	Jayasuriya, K	Governance, Post Washington Consensus & the New Anti-Politics	x	x	
2001	Acharya, A	Constructing a Security Community in Southeast Asia: ASEAN & the problem of regional order			x
2002	Narine, S	Explaining ASEAN: Regionalism in Southeast Asia	x		
2003	Capie, D & Evans, P	The ASEAN Way	x		
2003	Acharya, A	Regionalism & Multilateralism: Essays on cooperative security in the Asia-Pacific			x
2004	Jayasuriya, K	Asian Regional Governance: Crisis & change	x		
2004	Jayasuriya, K	Governing the Asia Pacific: Beyond the 'new regionalism'	x		
2004	Acharya, A & To, LL	Asia in the New Milenium: APISA first congress proceedings	x		
2004	Tan, SS & Acharya, A	Asia-Pacific Security Cooperation: National interests & regional order			x

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		Title	Political	Economics	Security
2005	Pempel, TJ	Remapping East Asia: the construction of a region	x		
2005	Farrell, M, Hettne, B & Lagenhove, L	Global Politics of Regionalism: Theory & practice	x		
2007	Acharya, A & Johnston, A	Crafting Cooperation: Regional international institutions in comparative perspective	x		
2007	Jones, D & Smith, M	Making Process, Not Progress: ASEAN & the evolving East Asian regional order			x
2008	Acharya, A	Asia Rising: Who is leading?	x		
2008	ADB	Emerging Asian Regionalism: A partnership for shared prosperity		x	
2008	Dent, C	East Asian Regionalism	x	x	
2008	Tanaka, H & Liff, A	The Strategic Rationale for East Asia Community Building	x		
2009	Acharya, A	Whose Ideas Matter? Agency & power in Asia regionalism	x		
2009	Acharya, A	Constructing a Security Community in Southeast Asia: ASEAN & the problem of regional order			x
2009	Kavalski, E	China & the Global Politics of Regionalism	x		
2009	Hu, R	Building Asia Pacific Architecture: the challenge of hybrid regionalism	x		
2010	Acharya, A & Buzan, B	Non-Western International Relations Theory: Perspectives on & beyond Asia	x		
2010	ADB	Institutions for Regional Integration: Toward an Asian Economic Community		x	
2010	Calder, K & Ye, M	The Making of Northeast Asia			x
2010	Capie, D	When Does Track Two Matter? Structure, agency and Asian regionalism			x
2010	Ravenhill, J	Understanding the 'new East Asian Regionalism' (Review of International Political Economy 17:2, 173-177)	x	x	

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		Title	Political	Economics	Security
2010	Ravenhill, J	The 'new East Asian regionalism': A political domino effect (Review of International Political Economy 1:2, 18-208)	x	x	
2011	Foot, R	The Role of East Asian Regional Organizations in Regional Governance: Constraints & contribution			x
2012	Komori, Y	In Search of Regional Governance in East Asia: Processes & outcomes	x		
2012	Capie, D	The Responsibility to Protect Norm in Southeast Asia: Framing, resistance & the localization myth	x		
2012	Curley, M & Thomas, N	Advancing East Asian Regionalism	x		
2012	Beeson, M & Stubbs, R	Routledge Handbook of Asian Regionalism	x	x	x
2013	Lombaerde, P & Soderbaum, F	Regionalism: Volume 1-4	x	x	x
2014	Watson, L	Foreign Aid & Emerging Powers: Asian Perspectives on Official Development Assistance	x		
2014	Acharya, A	Constructing a Security Community in Southeast Asia: ASEAN & the problem of regional order			x
2014	Acharya, A	Rethinking Power, Institutions and Ideas in World Politics: Whose IR?	x		x
2014	ADB Institute	ASEAN 2030: Toward a borderless economic community		x	
2015	Brenan, L & Murray, P	Drivers of Integration & Regionalism in Europe & Asia: Comparative Perspectives	x		

Appendix 2: Selected Edited Volumes of Asian Regionalism Research

		Title	Publisher	Political	Economics	Security
1992	Jayasuriya, K	The Dynamics of Economic Policy Reform in South-East Asia and the South West Pacific	Oxford University Press		x	
1993	Frankel, J & Kahler, M	Regionalism & Rivalry: Japan & the United States in Pacific Asia	Univ of Chicago Press		x	
1995	Acharya, A & Stubbs, R	New Challenges for ASEAN: emerging policy issues	UBC Press	x		
1997	Lake, D & Morgan, P	Regional Orders: building security in a new world	Pennsylvania State Univ Press			x
1999	Jayasuriya, K & Rosser, A	Economic Orthodoxy & the East Asian Crisis	Murdoch University		x	
1999	Barry, D & Keith, R	Regionalism, Multilateralism & the politics of global trade	UBC Press		x	
2000	Stubbs, R & Underhill, G	Political Economy & the Changing global order	Oxford Univ Press	x	x	
2004	Jayasuriya, K	Asian Regional Governance: Crisis & change	Routledge	x		
2004	Jayasuriya, K	Governing the Asia Pacific: Beyond the 'new regionalism'	Palgrave Macmillan	x		
2004	Acharya, A & To, LL	Asia in the New Milenium: APISA first congress proceedings	Marshall Cavendish Academic	x		
2004	Tan, SS & Acharya, A	Asia-Pacific Security Cooperation: National interests & regional order	M.E. Sharpe			x

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		Title	Publisher	Political	Economics	Security
2005	Pempel, TJ	Remapping East Asia: the construction of a region	Cornell Univ Press	x		
2007	Acharya, A & Johnston, A	Crafting Cooperation: Regional international institutions in comparative perspective	Cambridge Univ Press	x		
2009	Kavalski, E	China & the Glibal Politics of Regionalism	Ashgate	x		
2010	Acharya, A & Buzan, B	Non-Western International Relations Theory: Perspectives on & beyond Asia	Routledge	x		
2013	Lombaede, P & Soderbaum, F	Regionalism: Volume 1-4		x	x	x
2015	Brennan, L & Murray, P	Drivers of Integration & Regionalism in Europe & Asia: Comparative Perspectives		x		

Appendix 3: Selected Asian Regionalism Research and Their Publishers

1994	Acharya, A	An Arms Race in Post-War Southeast Asia: prospects for control	ISEAS			x		
2003	Capie, D & Evans, P	The ASEAN Way	ISEAS			x		
2008	Tanaka, H & Liff, A	The Strategic Rationale for East Asia Community Building	Japan Center for Intl. Exchange	x				In Wanandi & Tamamoto
2009	Hu, R	Building Asia Pacific Architecture: the challenge of hybrid regionalism	Brookings Institution	x				
2011	Foot, R	The Role of East Asian Regional Organizations in Regional Governance: Constraints & contribution	Carnegie Endowment for Peace			x		
2013	Lombaerde, P & Soderbaum, F	Regionalism: Volume 1-4	Sage/UNU-CRIS*					
2015	Brennan, L & Murray, P	Drivers of Integration & Regionalism in Europe & Asia: Comparative Perspectives	Routledge/UNU-CRIS*					

Appendix 4: Selected List of Asian Higher Education Regionalism Research

Year	Author(s)/Editor(s)	Title	Journal/ Publisher
2003	Mok, KH & Welch, A	Globalization and educational restructuring in the Asia Pacific region	Palgrave Macmillan
2006	Keeling, R	The Bologna Process & the Lisbon Research Agenda: the European Commission's expanding role in HE discourse	European Journal of Education
2006	Yepes, C D	World Regionalization of Higher Education: Policy Proposals for International Organizations	Higher Education Policy
2007	Huang, F	Internationalization of Higher Education in the Developing & Emerging Countries: a focus on transnational higher education in Asia	Journal of Studies in International Education
2008	Deem, R; Mok, KH & Lucas, L	Transforming Higher Education in Whose Image? Exploring the concept of the "World Class" University in Europe and Asia	Higher Education Policy
2008	Peng, S & Wang, L-Y	Pursuing Quality and Equity of Higher Education: a review of policies and practices in East Asia	New Directions for Institutional Research
2008	Hawkins, J	Higher Education Transformation: Some trends in California & Asia	Policy Futures in Higher Education
2008	Robertson, S	Europe/Asia Regionalism, Higher Education and the Production of World Order	Policy Futures in Higher Education
2009	Poole, G & Chen, Y-C	Higher Education in East Asia: Neoliberalism & the professoriate	Sense
2009	Shin, JC & Harman, G	New Challenges for Higher Education: Global & Asia-Pacific Perspectives	Asia Pacific Education Review
2009	Tilak, J	Trends in Private Higher Education in Asia	Higher Education Review
2009	Bigalke, T & Neubauer, D	Higher Education in Asia Pacific: Quality and the Public Good	EWC/Palgrave
2011	Chao, RY	Reflections on the Bologna Process: the making of an Asia-Pacific Higher Education Area	European Journal of Higher Education
2011	Marginson, S	Higher Education in East Asia and Singapore: Rise of the Confucian model	Higher Education

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Year	Author(s)/Editor(s)	Title	Journal/ Publisher
2011	Lo, W	Soft Power, University Rankings and Knowledge Production: Distinctions between hegemony and self-determination in higher education	Comparative Education
2011	Neubauer, D & Tanaka, Y	Access, Equity & Capacity in Asia Pacific Higher Education	EWC/Palgrave
2011	Palmer et al	The Internationalization of East Asian Higher Education: Globalization's impact	Palgrave
2011	Welch, A	Higher Education in Southeast Asia: Blurring borders, changing balance	Routledge
2012	ADB	Regional Cooperation and Cross-Border Collaboration in Higher Education in Asia: Ensuring that everyone wins	ADB
2012	Chao, RY	The Emergence of Regional Quality Assurance in South East Asia (Understanding the dynamics involved in the creation of a regional quality assurance system)	Scientific Bulletin - Educational Sciences Series
2012	Chen, S-J	Shifting Patterns of Student Mobility in Asia	Higher Education Policy
2012	Kuroda, K & Neubauer, D	Migration & Mobility in Asia-Pacific Higher Education	EWC/Palgrave
2012	Neubauer, D	Regionalization of Education in Asia: Changing patterns, major challenges & policy responses	EWC/ HKIED - Asian Education & Dev. Studies
2012	Hawkins, J; Mok, K H; Neubauer, D	Higher Education Regionalization in Asia Pacific: Implications for governance, citizenship & university transformation	EWC/ Palgrave Macmillan
2013	Dang, Q	ASEM-the modern silk road: travelling ideas for education reforms and partnerships between Asia & Europe	Comparative Education
2013	Jung, J & Horta, H	Higher Education Research in Asia: a publication and co-publication analysis	Higher Education Quarterly
2013	Jons, H & Hoyler, M	Global geographies of higher education: the perspective of world university rankings	Geoforum
2013	Mok, KH	The Quest for an Entrepreneurial University in East Asia: Impact on academic and administrators in higher education	Asia Pacific Education Review

(continued)

Year	Author(s)/Editor(s)	Title	Journal/ Publisher
2013	Tadaki, M & Tremewan, C	Reimagining Internationalization in Higher Education: International consortia as a transformative space?	Studies in Higher Education
2013	Neubauer, D; Shin, JC & Hawkins, J	The Dynamics of Higher Education Development in East Asia: Asia cultural heritage, western dominance, economic development & globalization	EWC & Palgrave Macmillan
2014	Jeong, DW; Lee, HJ; Lee, SH & Wi, E	Shaping Education Policy Research in an Asia-Pacific Context	Asia Pacific Education Review
2014	Chao, RY	Pathways to an East Asian Higher Education Area: a comparative analysis of East Asian & European regionalization processes	Higher Education
2014	Horta, H & Jung, J	Higher Education Research in Asia: an archipelago, two continents or merely atomization?	Higher Education
2014	Yonezawa et al	Emerging International Dimensions in East Asian Higher Education	Springer
2015	Mok, KH	Higher Education Transformations for Global Competitiveness: Policy responses, social consequences, impact on academic profession in Asia	Higher Education Policy
2015	Dang, Q	The Bologna Process Goes East? From “Third Countries” to Prioritizing Inter-regional Cooperation Between the ASEAN and EU	Springer (chapter)
2015	Ratanawijitrasin, Sauwakon	The Evolving Landscape of South-East Asian Higher Education and the Challenges of Governance	Springer (chapter)

Appendix 5: Selected Edited Volumes of Asian Higher Education Regionalism Research

Year	Author(s)/Editor(s)	Title	Journal/ Publisher
2003	Mok, KH & Welch, A	Globalization and educational restructuring in the Asia Pacific region	Palgrave Macmillan
2009	Bigalke, T & Neubauer, D	Higher Education in Asia Pacific: Quality and the Public Good	EWC/ Palgrave
2009	Poole, G & Chen, Y-C	Higher Education in East Asia: Neoliberalism & the professoriate	Sense

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Year	Author(s)/Editor(s)	Title	Journal/ Publisher
2011	Neubauer, D & Tanaka, Y	Access, Equity & Capacity in Asia Pacific Higher Education	EWC/ Palgrave
2011	Palmer et al	The Internationalization of East Asian Higher Education: Globalization's impact	Palgrave
2012	Kuroda, K & Neubauer, D	Migration & Mobility in Asia-Pacific Higher Education	EWC/ Palgrave Macmillan
2012	Neubauer, D	Regionalization of Education in Asia: Changing patterns, major challenges & policy responses	EWC/ HKIED - Asian Education & Dev. Studies
2012	Hawkins, J; Mok, K H; Neubauer, D	Higher Education Regionalization in Asia Pacific: Implications for governance, citizenship & university transformation	EWC/ Palgrave Macmillan
2013	Neubauer, D; Shin, JC & Hawkins, J	The Dynamics of Higher Education Development in East Asia: Asia cultural heritage, western dominance, economic development & globalization	EWC & Palgrave
2014	Yonezawa et al	Emerging International Dimensions in East Asian Higher Education	Springer

Appendix 6: Selected Journal Articles of Asian Higher Education Regionalism Research

Year	Author(s)/Editor(s)	Journal articles	Journals
2006	Keeling, R	The Bologna Process & the Lisbon Research Agenda: the European Commission's expanding role in HE discourse	European Journal of Education
2006	Yepes, C D	World Regionalization of Higher Education: Policy Proposals for International Organizations	Higher Education Policy
2007	Huang, F	Internationalization of Higher Education in the Developing & Emerging Countries: a focus on transnational higher education in Asia	Journal of Studies in International Education
2008	Deem, R; Mok, KH & Lucas, L	Transforming Higher Education in Whose Image? Exploring the concept of the "World Class" University in Europe and Asia	Higher Education Policy

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Year	Author(s)/Editor(s)	Journal articles	Journals
2008	Peng, S & Wang, L-Y	Pursuing Quality and Equity of Higher Education: a review of policies and practices in East Asia	New Directions for Institutional Research
2008	Hawkins, J	Higher Education Transformation: Some trends in California & Asia	Policy Futures in Higher Education
2008	Robertson, S	Europe/Asia Regionalism, Higher Education and the Production of World Order	Policy Futures in Higher Education
2009	Shin, JC & Harman, G	New Challenges for Higher Education: Global & Asia-Pacific Perspectives	Asia Pacific Education Review
2009	Tilak, J	Trends in Private Higher Education in Asia	Higher Education Review
2011	Chao, RY	Reflections on the Bologna Process: the making of an Asia-Pacific Higher Education Area	European Journal of Higher Education
2011	Marginson, S	Higher Education in East Asia and Singapore: Rise of the Confucian model	Higher Education
2011	Lo, W	Soft Power, University Rankings and Knowledge Production: Distinctions between hegemony and self-determination in higher education	Comparative Education
2012	Chao, RY	The Emergence of Regional Quality Assurance in South East Asia (Understanding the dynamics involved in the creation of a regional quality assurance system)	Scientific Bulletin - Educational Sciences Series
2012	Chen, S-J	Shifting Patterns of Student Mobility in Asia	Higher Education Policy
2013	Dang, Q	ASEM-the modern silk road: travelling ideas for education reforms and partnerships between Asia & Europe	Comparative Education
2013	Jung, J & Horta, H	Higher Education Research in Asia: a publication and co-publication analysis	Higher Education Quarterly
2013	Jons, H & Hoyler, M	Global geographies of higher education: the perspective of world university rankings	Geoforum

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Year	Author(s)/Editor(s)	Journal articles	Journals
2013	Mok, KH	The Quest for an Entrepreneurial University in East Asia: Impact on academic and administrators in higher education	Asia Pacific Education Review
2013	Tadaki, M & Tremewan, C	Reimagining Internationalization in Higher Education: International consortia as a transformative space?	Studies in Higher Education
2014	Jeong, DW; Lee, HJ; Lee, SH & Wi, E	Shaping Education Policy Research in an Asia-Pacific Context	Asia Pacific Education Review
2014	Chao, RY	Pathways to an East Asian Higher Education Area: a comparative analysis of East Asian & European regionalization processes	Higher Education
2014	Horta, H & Jung, J	Higher Education Research in Asia: an archipelago, two continents or merely atomization?	Higher Education
2015	Mok, KH	Higher Education Transformations for Global Competitiveness: Policy responses, social consequences, impact on academic profession in Asia	Higher Education Policy

Appendix 7: Selected Chapters in 2015 Edited Volume (European Higher Education Area)

	Author	Chapters in (Curaj, Matei, Precopie, Salmi & Scot 2015) European Higher Education Area: Between critical reflections and future policies	
2015	Dang, Q	The Bologna Process Goes East? From “Third Countries” to Prioritizing Inter-regional Cooperation Between the ASEAN and EU	Springer
2015	Ratanawijitrasin, Sauwakon	The Evolving Landscape of South-East Asian Higher Education and the Challenges of Governance	Springer

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Appendix 8: International/Regional Organizations' Selected Publications

		Publication title	Publisher
	Asian Development Bank	Higher Education in Dynamic Asia: Study Reports	
2011	ADB	Higher Education Across Asia: An overview of issues and strategies	ADB
2012	ADB	Improving Instructional Quality: Focus on Faculty Development	ADB
2012	ADB	Counting the Cost: Financing Asian higher education for inclusive growth	ADB
2012	ADB	Private Higher Education Across Asia: Expanding access, searching for quality	ADB
2012	ADB	Access without Equity? Finding a better balance in higher education in Asia	ADB
2012	ADB	Regional Cooperation and Cross-Border Collaboration in Higher Education in Asia: Ensuring that everyone wins	ADB
2012	ADB	Administration & Governance of Higher Education in Asia: Patterns and implications	ADB
2012	ADB	Improving Transitions from School to University to Workplace	ADB
2012	Shepherd, B & Pasadilla, G	Services as a New Engine of Growth for ASEAN, the Peoples Republic of China, and India	ADB Institute
	East West Center (EWC)		
2009	Bigalke, T & Neubauer, D (Eds)	Higher Education in Asia Pacific: Quality and the Public Good	EWC/Palgrave
2011	Neubauer, D & Tanaka, Y (Eds)	Access, Equity & Capacity in Asia Pacific Higher Education	EWC/Palgrave
2012	Kuroda, K & Neubauer, D (Eds)	Migration & Mobility in Asia-Pacific Higher Education	EWC/Palgrave Macmillan
2012	Neubauer, D (Ed)	Regionalization of Education in Asia: Changing patterns, major challenges & policy responses	EWC/ HKIED - Asian Education & Dev. Studies

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		Publication title	Publisher
2012	Hawkins, J; Mok, K H; Neubauer, D (Eds)	Higher Education Regionalization in Asia Pacific: Implications for governance, citizenship & university transformation	EWC/ Palgrave Macmillan
2013	Neubauer, D; Shin, JC & Hawkins, J (Eds)	The Dynamics of Higher Education Development in East Asia: Asia cultural heritage, western dominance, economic development & globalization	EWC & Palgrave
	Institute of International Education (IIE)		
2015	Bhandari, Raika (Ed)	Asia: The Next Higher Education Superpower?	IIE
	SEAMEO - RIHED	Selected Publications	
2005	SEAMEO-RIHED	The Proceedings of Regional Seminar on Higher Education in Southeast Asia Countries: A current update	SEAMEO-RIHED
2006	SEAMEO-RIHED	Higher Education in South-East Asia	SEAMEO-RIHED
2008	SEAMEO-RIHED	Harmonization of Higher Education: Lessons learned from the Bologna Process	SEAMEO-RIHED
2009	SEAMEO-RIHED	Raising Awareness: Exploring the ideas of creating a common space in higher education in South-East Asian: a conference proceeding	SEAMEO-RIHED
2010	SEAMEO-RIHED	The Proceedings of Regional Seminar on Quality Assurance in Higher Education in Southeast Asia countries	SEAMEO-RIHED
2010	Aphijanyatham, Ropharat	East Asian Internationalisation of Higher Education: A Key to Regional Integration	SEAMEO-RIHED
2012	SEAMEO-RIHED	A Study of Quality Assurance Models in Southeast Asia Countries	SEAMEO-RIHED
	APEC	APEC Human Resources Development Working Group Publications	
1997	APEC	Capacity Building of Human Resources Development of Key Basic Industries in the Asia-Pacific Region	APEC

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		Publication title	Publisher
1998	APEC	Global Advantage through People: Human Resource Management Policies and Practices in 10 APEC Economies	APEC
2007	APEC	Enhancement of Quality Assurance Systems in Higher Education in APEC Member Economies	APEC
2009	APEC	Developing Effective Public-Private Partnerships - Report on Human Resources Development in the APEC Region	APEC
2009	APEC	Mapping Qualifications Frameworks across APEC Economies	APEC
2009	APEC	Measures Affecting Cross Border Exchange and Investment in Higher Education in the APEC Region	APEC
2010	APEC	Higher Education Diploma Supplements Among APEC Member Economies	APEC
2011	APEC	Quality in Higher Education: Identifying, Developing and Sustaining Best Practices in the APEC Region	APEC
2011	APEC	Strategic Approach to Sustainable Capacity Building	APEC
2011	APEC	Capacity building for policies and monitoring of cross-border education in the APEC region	APEC
2012	APEC	Higher Education Learning Profile and Social Development in the Asia-Pacific	APEC
2014	APEC	Promoting Regional Education Services Integration: APEC University Associations Cross-Border Education Cooperation Workshop - Workshop Report	APEC
2013	UNESCO	International Mobility of Students in the Asia and Pacific	UNESCO
2014	UNESCO	Higher Education in Asia: Expanding Out, Expanding Up: the rise of graduate education and university research	UNESCO
2015	UNESCO	The Transition from Secondary Education to Higher Education: Case studies from Asia & the Pacific	UNESCO

Appendix 9: Selected Regionalization of Higher Education Research in Asia (FOPA)

		Functional	
2007	Huang, F	Internationalization of Higher Education in the Developing & Emerging Countries: a focus on transnational higher education in Asia	Journal of Studies in International Education
2008	Deem, R; Mok, KH & Lucas, L	Transforming Higher Education in Whose Image? Exploring the concept of the “World Class” University in Europe and Asia	Higher Education Policy
2008	Peng, S & Wang, L-Y	Pursuing Quality and Equity of Higher Education: a review of policies and practices in East Asia	New Directions for Institutional Research
2008	Hawkins, J	Higher Education Transformation: Some trends in California & Asia	Policy Futures in Higher Education
2009	Poole, G & Chen, Y-C	Higher Education in East Asia: Neoliberalism & the professoriate	Sense
2009	Shin, JC & Harman, G	New Challenges for Higher Education: Global & Asia-Pacific Perspectives	Asia Pacific Education Review
2009	Tilak, J	Trends in Private Higher Education in Asia	Higher Education Review
2009	Bigalke, T & Neubauer, D	Higher Education in Asia Pacific: Quality and the Public Good	EWC/ Palgrave
2011	Neubauer, D & Tanaka, Y	Access, Equity & Capacity in Asia Pacific Higher Education	EWC/ Palgrave
2011	Palmer et al	The Internationalization of East Asian Higher Education: Globalization’s impact	Palgrave
2012	Chao, RY	The Emergence of Regional Quality Assurance in South East Asia (Understanding the dynamics involved in the creation of a regional quality assurance system)	Scientific Bulletin - Educational Sciences Series
2012	Chen, S-J	Shifting Patterns of Student Mobility in Asia	Higher Education Policy
2012	Kuroda, K & Neubauer, D	Migration & Mobility in Asia-Pacific Higher Education	EWC/ Palgrave
2013	Jung, J & Horta, H	Higher Education Research in Asia: a publication and co-publication analysis	Higher Education Quarterly

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		Functional	
2013	Jons, H & Hoyler, M	Global geographies of higher education: the perspective of world university rankings	Geoforum
2013	Mok, KH	The Quest for an Entrepreneurial University in East Asia: Impact on academic and administrators in higher education	Asia Pacific Education Review
2014	Jeong, DW; Lee, HJ; Lee, SH & Wi, E	Shaping Education Policy Research in an Asia-Pacific Context	Asia Pacific Education Review
2014	Horta, H & Jung, J	Higher Education Research in Asia: an archipelago, two continents or merely atomization?	Higher Education
2015	Mok, KH	Higher Education Transformations for Global Competitiveness: Policy responses, social consequences, impact on academic profession in Asia	Higher Education Policy
2011	ADB	Higher Education Across Asia: An overview of issues and strategies	ADB
2012	ADB	Improving Instructional Quality: Focus on Faculty Development	ADB
2012	ADB	Counting the Cost: Financing Asian higher education for inclusive growth	ADB
2012	ADB	Private Higher Education Across Asia: Expanding access, searching for quality	ADB
2012	ADB	Access without Equity? Finding a better balance in higher education in Asia	ADB
2012	ADB	Administration & Governance of Higher Education in Asia: Patterns and implications	ADB
2012	ADB	Improving Transitions from School to University to Workplace	ADB
2010	SEAMEO-RIHED	The Proceedings of Regional Seminar on Quality Assurance in Higher Education in Southeast Asia countries	SEAMEO-RIHED
2012	SEAMEO-RIHED	A Study of Quality Assurance Models in Southeast Asia Countries	SEAMEO-RIHED
1997	APEC	Capacity Building of Human Resources Development of Key Basic Industries in the Asia-Pacific Region	APEC
1998	APEC	Global Advantage through People: Human Resource Management Policies and Practices in 10 APEC Economies	APEC

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		Functional	
2007	APEC	Enhancement of Quality Assurance Systems in Higher Education in APEC Member Economies	APEC
2009	APEC	Developing Effective Public-Private Partnerships - Report on Human Resources Development in the APEC Region	APEC
2009	APEC	Mapping Qualifications Frameworks across APEC Economies	APEC
2009	APEC	Measures Affecting Cross Border Exchange and Investment in Higher Education in the APEC Region	APEC
2010	APEC	Higher Education Diploma Supplements Among APEC Member Economies	APEC
2011	APEC	Quality in Higher Education: Identifying, Developing and Sustaining Best Practices in the APEC Region	APEC
2011	APEC	Strategic Approach to Sustainable Capacity Building	APEC
2011	APEC	Capacity building for policies and monitoring of cross-border education in the APEC region	APEC
2012	APEC	Higher Education Learning Profile and Social Development in the Asia-Pacific	APEC
2013	UNESCO	International Mobility of Students in the Asia and Pacific	UNESCO
2014	UNESCO	Higher Education in Asia: Expanding Out, Expanding Up: the rise of graduate education and university research	UNESCO
2015	UNESCO	The Transition from Secondary Education to Higher Education: Case studies from Asia & the Pacific	UNESCO
		Organizational	
2013	Tadaki, M & Tremewan, C	Reimagining Internationalization in Higher Education: International consortia as a transformative space?	Studies in Higher Education
2015	Ratanawijitrasin, Sauwakon	The Evolving Landscape of South-East Asian Higher Education and the Challenges of Governance	Springer
		Political	
2003	Mok, KH & Welch, A	Globalization and educational restructuring in the Asia Pacific region	Palgrave Macmillan

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		Functional	
2006	Keeling, R	The Bologna Process & the Lisbon Research Agenda: the European Commission's expanding role in HE discourse	European Journal of Education
2006	Yepes, C D	World Regionalization of Higher Education: Policy Proposals for International Organizations	Higher Education Policy
2008	Robertson, S	Europe/Asia Regionalism, Higher Education and the Production of World Order	Policy Futures in Higher Education
2011	Chao, RY	Reflections on the Bologna Process: the making of an Asia-Pacific Higher Education Area	European Journal of Higher Education
2011	Marginson, S	Higher Education in East Asia and Singapore: Rise of the Confucian model	Higher Education
2011	Lo, W	Soft Power, University Rankings and Knowledge Production: Distinctions between hegemony and self-determination in higher education	Comparative Education
2011	Welch, A	Higher Education in Southeast Asia: Blurring borders, changing balance	Routledge
2012	Neubauer, D	Regionalization of Education in Asia: Changing patterns, major challenges & policy responses	EWC/ HKIED - Asian Education & Dev. Studies
2012	Hawkins, J; Mok, K H; Neubauer, D	Higher Education Regionalization in Asia Pacific: Implications for governance, citizenship & university transformation	EWC/ Palgrave Macmillan
2013	Dang, Q	ASEM-the modern silk road: travelling ideas for education reforms and partnerships between Asia & Europe	Comparative Education
2013	Neubauer, D; Shin, JC & Hawkins, J	The Dynamics of Higher Education Development in East Asia: Asia cultural heritage, western dominance, economic development & globalization	EWC & Palgrave Macmillan
2014	Chao, RY	Pathways to an East Asian Higher Education Area: a comparative analysis of East Asian & European regionalization processes	Higher Education
2015	Dang, Q	The Bologna Process Goes East? From "Third Countries" to Prioritizing Inter-regional Cooperation Between the ASEAN and EU	Springer

(continued)

		Functional	
2012	ADB	Regional Cooperation and Cross-Border Collaboration in Higher Education in Asia: Ensuring that everyone wins	ADB
2012	Shepherd, B & Pasadilla, G	Services as a New Engine of Growth for ASEAN, the Peoples Republic of China, and India	ADB Institute
2005	SEAMEO-RIHED	The Proceedings of Regional Seminar on Higher Education in Southeast Asia Countries: A current update	SEAMEO-RIHED
2006	SEAMEO-RIHED	Higher Education in South-East Asia	SEAMEO-RIHED
2008	SEAMEO-RIHED	Harmonization of Higher Education: Lessons learned from the Bologna Process	SEAMEO-RIHED
2009	SEAMEO-RIHED	Raising Awareness: Exploring the ideas of creating a common space in higher education in South-East Asian: a conference proceeding	SEAMEO-RIHED
2010	Aphijanyatham, Ropharat	East Asian Internationalisation of Higher Education: A Key to Regional Integration	SEAMEO-RIHED
2014	APEC	Promoting Regional Education Services Integration: APEC University Associations Cross-Border Education Cooperation Workshop - Workshop Report	APEC
2015	Bhandari, Raika (Ed)	Asia: The Next Higher Education Superpower?	IIE

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Part II
East Asia

Chapter 6

Higher Education Research in Japan: Seeking a Connection with the International Academic Community

Akiyoshi Yonezawa

Abstract This study examines the historical, current, and future challenges of higher education research in Japan within a global context and discusses future perspectives. Japanese higher education research has been strongly influenced by the international academic community. At the same time, higher education researchers in Japan have participated in international projects, and Japan has served as a leader for economic and academic research in East Asia. However, the language barrier and the early development of higher education as a clearly identifiable topic of research have contributed to Japanese higher education research's rather unique characteristics. Currently, this area of research is undergoing rapid expansion through the participation of emerging professionals, such as institutional researchers and faculty/staff developers. In addition, the internationalization of the academic community is having both a progressive and a retrogressive impact on higher education research in Japan.

Introduction

Higher education has been one of the most internationalized areas of research within the broader field of social sciences and education. As indicated by Marginson and Rhoades (2002), the perspectives of higher education have already exceeded the national dimension because of globalization. However, in non-English-speaking countries with established academic traditions, the language barrier is still substantially high, particularly in relation to the publication of research. Japan is a good

Note

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example of a country where social sciences, including higher education research, have been presented primarily in the literature written in the national language (Yonezawa 2008). From the earliest stage of the establishment of modern universities in the latter half of the nineteenth century, the social science fields in Japan have utilized the Japanese language as the main medium of instruction and have fostered researchers mainly through domestic graduate education based on supervision and literature in the national language (Yonezawa 2015).

The international experience of higher education researchers in Japan varies (Huang 2015), partly because of diversified academic and professional backgrounds. Many of the leading researchers in this field have had study-abroad experiences as graduate students or visiting scholars. In addition, it is becoming more common to participate in international conferences and projects inside Japan or abroad. However, it is fair to argue that the number of higher education researchers who are actively engaged in publishing articles in English is very limited, partly because the domestic publication market is large enough to establish their academic career inside Japan.

The existence of this language barrier also impacts the landscape of academic dialogue. Teichler (1997, 2007), who has developed a close network with higher education researchers in Japan, has pointed out that the rich accumulation of literature and dialogue on higher education research in Japan has historically been invisible to the international academic community. Jung and Horta (2013) have developed a map of higher education research in Asia through an analysis of the international citation database. In their findings, Japan is one of the largest producers of publications in this research area, but even in international publications, it is not well connected to the higher education research communities of other countries and economies in Asia.

The boundaries of academic dialogue based on language have established a separate development of perspectives in the academic literature among different language communities. Those who are not familiar with a language that has a weak international influence simply cannot access the literature in that language, and they do not have a strong enough incentive to acquire the necessary language skills that would enable them to access and participate in the ongoing dialogue. Under these circumstances, authors writing in their own language do not include international readers in their audience, and the academic dialogue therefore tends to be limited to the users of their language.

This tendency also has been noted in comparative education research, which is international in nature. Yamada (2014b) has described the rather autonomous development of comparative education research in Japan based on an analysis of questionnaires completed by members of the Japan Comparative Education Society. However, Yamada's review is rather unique because it has been specifically written for the international research community.

Again, in the literature in Japanese, several literature reviews of higher education research have been written with the assumption that the readers consist of those within the Japanese academic research community (Tsukahara 2009; RIHE 2006, 2014; JAHER 2007, 2013; Hashimoto and Asonuma 2010–2011). The provision of a simple aggregated summary of the enormous amount of literature on higher

education in Japanese is not necessarily effective because most of the detailed arguments do not directly reflect the interest of international readers. An effective approach would be to exhibit the context of higher education in Japan for an international audience, as Huang (2014) discussed in his work on the challenges of Japanese higher education and research of Japan focusing on demographic trends and internationalization.

In this article, the author reviews higher education research written by academics based in Japan. The author focuses mainly on comparative research studies because they have more direct linkages with issues and topics familiar to the international audience. In terms of methodology, the author refers to the examinations of representative approaches of comparative education research indicated by Bray et al. (2014). First, the author examines the development of networks, institutions, and journals on higher education research in Japan. Second, the author identifies the audience of higher education research in Japan and its demand for higher education research. Third, the author examines the international context of higher education research in Japan, with a focus on the strong Japanese interest in borrowing ideas from developments elsewhere from various models. Finally, the author identifies the future challenges of higher education research in Japan, particularly related to its link to the international research community.

The Platform of Higher Education Research in Japan

Higher education research in Japan has been developed as a field that is based on the dialogues of various stakeholders on multiple platforms, from scholarly oriented theorists to the practitioners both in macro and micro scopes (Tsukahara 2009). Here, the author identifies the major journals and associations in higher education research in Japan, referring to the existing reviews of Japan's higher education research previously mentioned in this article.

The journal on higher education that has the longest history in Japan is *IDE: Contemporary Higher Education*. *IDE* has been published as a monthly magazine by the Institute for the Development of Higher Education since 1957, and it has a reputation of presenting the work of a wide variety of authors, including researchers, policy makers, and higher education managers. International authors, mainly higher education researchers, have also contributed through translated articles that are relevant to the audience in Japan.

The Research Institute for Higher Education (RIHE) was established at Hiroshima University in 1972. It was the first research institute in Japan to specifically focus on higher education research. RIHE participated in various international projects in the early stages of its history and has published the journal *Daigaku Ronshu (Research in Higher Education)* since 1972. RIHE has also occasionally published articles and reports in the English language, circulated them internationally, and posted them on its website. The main focus of the research at RIHE has been on policy studies.

However, researchers of history, economics, sociology, and others have also participated in the research projects and events at RIHE.

Other Japanese universities have also established various types of centers and institutes for higher education research. For example, the University of Tsukuba established the Research Center for University Studies in 1986, focusing mainly on policy studies in universities and science. Centers related to higher education research and services were then established at major national universities, such as at Kyoto University in 1994, the University of Tokyo in 1996, and Nagoya University in 1998. These more recently established centers tend to be focused more on the research and service provision for their own universities, such as institutional research to provide information to the offices of the presidents, faculty and staff development, or the curriculum management of general education. At the national level, the National Institute for Educational Policy Research under the Ministry of Education, Culture, Sports, Science, and Technology (MEXT) established the Department for Higher Education Research in 2001, and it has engaged in surveys and comparative studies related to the concrete policy demands of the national government, such as the assessment of educational outcomes. These institutes have also published institutional bulletins and reports, some of which have been published in English.

In addition, graduate education programs on higher education research are offered at Hiroshima University, Nagoya University, J. F. Oberlin University, and the University of Tokyo. The research and development divisions of national institutes that provide public services also employ researchers and experts of higher education, and they conduct surveys and research on university finance and management, quality assurance, entrance examinations, and so on.

Japan also has academic associations related to higher education. The representative association for policy-oriented research on higher education is the Japanese Association for Higher Education Research (JAHER). In addition, the Liberal and General Education Society of Japan, the Japan Association of Japanese University Administrative Management, and other groups of researchers, professionals, and experts have served as platforms for dialogues among higher education researchers, policy makers, and practitioners. Adding to the associations and networks of higher education research, many higher education researchers also belong to academic associations with various disciplines and neighboring fields, such as educational research, comparative education, sociology of education, and the public administration of education. These associations have occasionally invited international researchers for key note speeches, presentations, and article contributions and have also engaged in academic exchange with international academic associations and associations in other countries.

In addition, various types of publications that could be identified as higher education research have been published through the academic journals of neighboring research fields, such as comparative education, the sociology of education, the public administration of education, science policies, and so forth (Kaneko 2010; Amano 1990a). Japanese researchers have also published their articles and research notes in higher education research through the bulletins issued by the schools and departments to which they belong.

The Audience for Higher Education Research in Japan

What does the audience for higher education research in Japan look like? This is a question frequently raised in examining the characteristics of an academic field. For example, Bray et al. (2014) examined the characteristics of various journals and other publications and identified the major actors of comparative studies in education as parents, practitioners, policy makers, and international agencies and academics, all of whom have different purposes. Through the reviews of the articles of comparative research in higher education that appeared in the various platforms mentioned in the previous section of this study, the author identifies the following audience for higher education research in Japan.

The first group of readers in this research field is composed of students and their parents. Higher education itself has traditionally been considered a major social issue in Japan; for example, the tradition of harsh competition surrounding the entrance exams for prestigious universities has been recognized as a serious social issue (Dore 1997). At the same time, the deep commitment by parents toward preparation for the entrance examination and the choice of schools and universities have been taken for granted in Japan because parents have substantially supported their children's university studies. The findings of higher education researchers that have explained the mechanisms of student admission and life at the universities and that have provided alternative approaches based on the case studies of other countries have certainly drawn the attention of the general public.

The second group of readers is composed of policy makers seeking information on the policies and practices of higher education in other countries so that they can compare Japanese higher education to other education systems and so that they can adopt effective policies. MEXT has also employed staff members who are experts in the education systems of various countries, and these individuals participate in the research communities of comparative education, including higher education research.

The third group of readers is represented by the managers and administrators of universities and higher education institutions. They read the research and information on higher education from the viewpoint of practitioners. Some have long-term commitments to higher education research and publish books and articles based on their experience, knowledge, and expertise. In addition to access to the literature of higher education research in general, these managers and administrators have also requested that higher education researchers be involved in the consultancy and administrative practices of higher education. Beyond the internal service centers for admission, job placement, faculty and staff development, and so on, many universities have set up offices and divisions of institutional research for supporting the strategic decisions of university managers (Kobayashi 2014).

The fourth but most important group of readers consists of the higher education researchers themselves. The ultimate focus of these researchers is on the frontiers of knowledge and on making theoretical contributions to higher education. Adding to the conceptual works by researchers in Japan, many of the works by the leading international researchers have been translated into Japanese and shared widely among researchers and other audiences in Japan. For instance, the comparative

study of higher education systems by Clark (1983) was translated by Arimoto in 1994 and has had influence among higher education researchers as a classic. Hashimoto (2008), who conducted a critical analysis of the policy formation process regarding the training of medical doctors throughout Japanese universities, presents a representative example in that he developed his original framework partly based on Clark's triangle (academics, the state, and the market) of coordination.

The last yet still important audience is represented by international organizations and researchers outside Japan. When they want to conduct a comparative study or analyze the Japanese education system, they need information and ideas from researchers and experts in the field of higher education (see, e.g., the works of James and Benjamin 1988; Pempel 1978; Hazelkorn 2011). On the other hand, in the *Japanese Journal of Higher Education Research* (published by JAHHER), researchers from other countries contribute articles on international trends in higher education research (Birnbaum 1998) and provide external views on higher education research in Japan (Teichler 2007). Joint research among researchers inside and outside Japan that focuses on higher education reforms in Japan has also been published in this journal (Eades et al. 2005; Goodman et al. 2013).

The International Context of Higher Education Research in Japan

What is the international context of higher education research in Japan? Again, the author approaches this issue based on an examination of literature reviews linked to the changing context of society and policies in Japan.

Japan was the first to develop a modern higher education system in East Asia and has also been economically influential for a long time. Although information that is internationally available has been limited, higher education researchers worldwide have paid attention to the trends and research in this country. The interaction between researchers inside and outside of Japan, in many cases, has occurred not only through publications in English but also through research collaboration, interviews, and discussions at international conferences. However, in many cases, the provision of information on domestic discourse to the international audience has not functioned as a direct contribution to global and regional frameworks. The case studies based on the information provided by experts in Japan need to be reinterpreted in order for international experts to form international frameworks, and very few higher education researchers from Japan have accomplished such a substantial leading role so far.

Independence from the International Research Community

The higher education research community in Japan has developed its own perspective rather independently from the international research community. This is partly because the audience and stakeholders of higher education research already exist in

Japan and also because the connection with the international research community of higher education has been rather limited.

For example, Japanese experts on the history of higher education have their own academic community called the Research Group of University History. Their core research topics include the history of universities and higher education both inside and outside of Japan. The universities and higher education institutions in Japan have primarily been patterned after a Western model that is based partly on the heritage of Eastern intellectual cultures influenced by China and Korea. Therefore, this research group has been actively engaged in publishing the histories of higher education in Germany (Beppu 1998), the United States (Sakamoto 2002), China (Otsuka 1996), France, Italy, and more. Most of the researchers in this group have visited and studied in these countries and have interacted with experts and researchers there. However, the majority of the articles and books written by the Japanese researchers of this group have been published in Japanese, and their targeted audience has been the Japanese language community.

Borrowing the Models Outside of Japan

Many researchers have tried to engage in higher education research from a comparative perspective by reflecting on the actual issues and challenges faced by universities and higher education in Japan. There has always been a demand for adopting policies from other countries, such as those of North America and Europe. This research on the higher education systems of foreign countries and the comparative research from the Japanese viewpoint have significantly impacted the direction of the policies and practices of higher education in Japan.

One example of this is the policy design for the expansion of the higher education system in Japan. Japan had realized mass higher education by the beginning of the 1970s as an early case in the world. To understand the ongoing transformation of the higher education system in Japan, many higher education researchers referred to Trow's model of elite, mass, and universal higher education (Burrage 2010). Actually, Trow's model and his related work have been viewed as the most influential in Japan research among higher education researchers and policy makers. Kitamura and Amano, leading researchers on US and Japanese higher education in Japan, edited and translated several articles of Trow's work (Trow 1976; 2000), and these works have been utilized for predicting, analyzing, and reflecting on the expansion of Japanese higher education in the latter half of the twentieth century. For example, Kaneko (1990) identified the uniqueness of Japanese mass higher education, which is led by its large private sector, compared with those of the United States and Western Europe, where public higher education institutions absorb the absolute majority of students. Researchers on the history of Japanese higher education have pointed out that the expansion of Japanese higher education led by the private higher education sector had already started before World War II because of the government's reluctance to expand the public higher education sector even

though there was a rapid increase in demand due to industrialization (Amano 1986; Ito 1999). Referring to these studies, Yonezawa (2013) composed an article in English on the development of private higher education, referring to the various comparative frameworks in the international literature.

The US and German higher education systems have particularly influenced the development of higher education in Japan from the mid-nineteenth century up to the present. In addition to mass and universal higher education, various topics highlighted in higher education research in the United States have been introduced and investigated by researchers in Japan, such as general and liberal arts education, the closure of universities and colleges, student consumerism, tuition and fees, finance, and organizational governance. These topics are strongly related to the trends of “globalization,” “marketization,” and “commercialization” in higher education, which have also been observed in Japan.

On the other hand, the approaches to and methods of education and quality assessment have also been focus areas of policy adoption. Some researchers have provided comparisons of the US and Japanese higher education systems and proposed reforms based on their own experiences, and some have developed comparative frameworks from a Japanese viewpoint (see, e.g., Kariya 1992). Others have conducted surveys and described the systems and practices of US higher education, such as those related to professional schools and student enrollment (Yamada 1998, 2008).

The German higher education system has also been used to explain the origins of contemporary issues and the challenges faced by higher education in Japan, such as the systems for appointing faculty members and chairs (Ushiogi 1973, 2008). In particular, international comparisons of university governance in the United States, Germany, and other countries have been published (Takagi 1998; Morozumi 2001; Ehara and Sugimoto 2005) before and after the Japanese government made a drastic reform of national and local public universities by introducing corporate style management in 2004. Again, the target audience of these comparative studies was Japanese readers. However, some researchers have also been actively involved in introducing these reforms and their impact to an international audience (see, e.g., Kitagawa and Oba 2010).

Developing Comparative Frameworks from Japan

These comparative research studies have not been limited to mere collections of information; some studies have intentionally tried to develop their own comparative frameworks. For example, Ushiogi (2004) argued that the research on higher education in Japan faced a turning point due to global structural changes in the 1990s. The end of the Cold War led to the end of a major ideological conflict in education between non-Marxists and pro-Marxists. At the same time, Japanese society had become more established and mature in social living after experiencing an unprecedented economic boom in the early 1990s. Before this change, the North American and European higher education systems had been perceived as the perfect models for policy adoption. However, researchers started to realize that they needed to

tackle the challenges in higher education that could no longer be solved through the mere borrowing of policies from the “more advanced” Western models.

Nakamura (2007) criticized the tendency of some higher education researchers to utilize the term “globalization” as a buzzword. He tried to make a contribution on meritocracy by examining the Japanese entrance examination process (Nakamura 2003). This approach was rather orthodox among Japanese social scientists in higher education (see, e.g., Amano 1990b). At the same time, this type of theoretical contribution was also being made by comparative education researchers. For example, Ogawa (2001) researched the equity of access to higher education and the labor market with a focus on ethnic minorities in China.

The US higher education system has certainly played a role in the debate on the future direction of Japanese higher education. However, the US higher education system is based on a highly decentralized federal system and on a highly developed and well-established market in which both education and research activities are completely different in nature from those of the Japanese higher education system. On the other hand, Europe experienced social and financial difficulties in the 1980s and also faced the challenge of reintegration after the collapse of the socialist regime in the USSR and Eastern Europe around 1990. At that point, Europe started to form a regional higher education arena; this process was accelerated due to the Bologna Process beginning in 1999.

This transformation of the European higher education system was monitored, surveyed, and analyzed by higher education researchers in Japan, especially in relation to quality assurance and the internationalization of higher education (see, e.g., Yoshikawa 2003; Kido 2012). However, again, the regional and geographic context of East Asia is completely different from that of Europe, which had already started a systemic regional integration.

Seeking New Models for Japan’s Higher Education

What drew more attention from Japanese policy makers was the rise of new public management policies in Europe, particularly in the United Kingdom. Starting in the mid-1980s, research on the UK higher education system became popular among the experts and policy makers of higher education in Japan. While the UK higher education system had been referred to among higher education researchers in Japan even before 1980, it was seen as an ideal but not realistic model of elite and free higher education. However, after Thatcher’s revolution, the UK higher education reform became a model for the introduction of new public management into higher education, not only for Japan but also for other, mostly continental European, countries (Tanaka 2005). The introduction of a contract between the government and universities in 1992 in France, as well as other reforms in university evaluation in Europe, was also surveyed and analyzed by researchers in Japan, primarily in response to requests by policy makers (see, e.g., Oba 2009). The models for policy borrowing became further diversified through worldwide structural changes.

From the end of the twentieth century, the higher education systems in the new industrial economy and other emerging countries started to draw the attention of higher education researchers and policy makers in Japan as new models from which to borrow policy. Up to that point, the research on higher education in these countries had primarily been curiosity-driven explorations or development studies. For example, in addition to the comparative studies of Altbach and various international authors (Altbach and Umakoshi 2004), Umakoshi edited a book on higher education in the Asia Pacific with researchers in Japan in the Japanese language (Umakoshi 2004). It covered topics such as world-class university policies, the transformation into a universal state of higher education, and the transition from secondary education to tertiary education in Asian countries.

At the same time, articles in Japanese written by researchers who had studied as international students or postdoctoral fellows in Japan increased rapidly after the Japanese government started to increase its acceptance of international students and researchers in the mid-1980s. These studies reflected both the interests of the research communities in Japan and the social demands of the researchers' countries of origin. The work of these non-Japanese researchers added an international perspective to the Japanese higher education research community. When their studies were complete, some of them established their careers in Japan as comparative higher education researchers, using Japanese, English, and their home languages (see, e.g., Huang 2006). Some went back to their own countries but continued to contribute to Japanese language publications, as well as to lead the research community in field research based on the positivism and comparative research in their home countries (see, e.g., Bao 2007).

As noted, some works written in English have been translated into Japanese and have had a significant influence on the Japanese higher education research community. Studies on the Japanese higher education system written in languages other than Japanese and English, however, have not been read widely by the researchers in the Japanese research community and have therefore had little impact on higher education research in Japan. At the same time, a limited amount of literature by Japanese researchers has been translated into other languages, for example, Chinese, by former students of these Japanese researchers or experts who accessed their research through international conference and lectures.

Active Participation to International Projects

Beginning in the 1990s, the higher education research community in Japan grew significantly because of the expansion of job opportunities in various professional arenas, such as institutional research, faculty development, and finance. Researchers started to engage in comparative studies of a variety of topics, such as entrance examinations, graduate schools, quality assurance, and university governance. Research on responses to the globalization and internationalization of higher education became particularly popular in many countries, including Japan. Ebuchi (1997)

participated in the initial international dialogue regarding the conceptualization of the internationalization of higher education, and he published his findings in Japanese. Japanese researchers also started to publish articles in English on Japanese and Asian higher education in collaboration with international researchers (Kaneko and Teichler 1997; Altbach and Umakoshi 2004; Altbach and Ogawa 2002; Ninomiya et al. 2009). Because the Japanese economy had established its leading status by the end of the 1980s, some research groups in Japan started to participate more actively in international projects. Arimoto and the RIHE, Hiroshima University, participated in international surveys on academic professions in 1992 and in 2007 and also initiated another survey on academic professions in Asia in 2011. Arimoto edited a book series based on the Changing Academic Profession (CAP) survey and contributed to a comparative framework along with international leaders in this field (Teichler et al. 2013; Arimoto et al. 2015). Yoshimoto participated in two international surveys of university graduates in collaboration with European research groups: *Careers after Higher Education: A European Research Study (CHEERS)* and *The Flexible Professional in the Knowledge Society (Reflex)* study (Yoshimoto 2002; Allen et al. 2007). Yamada (2014a, b) implemented large-scale surveys on student learning and compared the results to surveys in the United States.

Regarding internationalization of higher education, Japan established a distinguished position in Asia as a country receiving a significant number of students—again, mainly from Asia—by the end of the 1990s. The policies and practices for the internationalization of Japanese higher education were introduced to the international research community by Umakoshi (1997) and Horie (2002) as trials for the internationalization of higher education of a non-Western industrial country. However, most of the research and surveys on the internationalization of higher education have been published in Japanese—again, mainly for the domestic audience (see, e.g., Gondo 1992).

Growing Attention to Asian Higher Education

From the mid-2000s, the emergence of international university rankings and an improvement in the international reputation of Asian universities changed the direction of research on the internationalization of higher education. In particular, for experts in other countries, Japan appeared to have big challenges regarding internationalization at home, especially regarding active contributions to the international research community in the fields of the humanities and social sciences. Yonezawa (2007) described this change as a challenge to establishing world-class universities and also hierarchical diversities on the perspectives and practices of internationalization among different types of universities in Japan. At the same time, Kuroda et al. (2014) conducted a survey of the top universities in East and Southeast Asia and highlighted the increasing academic and student exchanges within the Asian region.

Moreover, publications on foreign higher education written in Japanese are currently growing, and the targeted countries and topics of these publications are becoming more diversified. In particular, research on Asian higher education has significantly increased in quantity and scope. On the other hand, research on some geographical regions, such as Africa, is still very limited in the Japanese literature.

These articles in Japanese on Asian higher education are mainly written by Japanese researchers and Asian researchers who have had study experiences in Japan. Especially in the case of the literature on non-English-speaking countries, research has typically been implemented through direct translations between Japanese and the languages used in those countries—for example, German, French, Chinese, Korean, Thai, Vietnamese, and Indonesian, without relying on English as today's lingua franca. In this process, researchers in Japan tend to focus more on research as area studies (e.g., studies of Taiwan's society and higher education written in Japanese language) and are thus less likely to connect their work to global or regional perspectives.

Experts and researchers in educational development have started to implement and publish their research within the field of higher education. The researchers of development studies have been more involved in the international research community, but not necessarily within the higher education research community. However, these boundaries are now becoming unclear, at least among Japanese and East Asian researchers (Yonezawa et al. 2014). Among the researchers in educational development and also among the researchers who have specific expertise interests, such as financial assistance, student exchange, and learning engagement, English is more likely to be used as the communication medium. Here, a closer connection to the global and regional perspective is likely to appear even in the literature in Japanese. For example, Kobayashi (2008) developed a worldwide comparative framework on financial assistance policies from the viewpoint of Japanese higher education reform.

Future Challenges

As has been described in this article, in Japan, the higher education research community is rather independent from the international network, even in the field of comparative research. It is true that some international actors, such as international organizations and researchers, have paid attentions to Japan's higher education, and Japanese researchers and practitioners have sought to borrow models on an international basis. Although international perspectives are shared somewhat through active efforts to search out and translate the literature on and practices of higher education outside Japan, it is clear that Japanese higher education research has historically been invisible to the international research community. Concurrently, the rapid growth of science, technology, and highly skilled human resources in neighboring countries in Asia is changing the perspectives toward Japan by an international audience from a distinguished case to one of the leading cases in Asia. In short, Japan is no longer a key attractive model in Asia for many higher education researchers in the world.

Japan's experiences in modern higher education lasting more than 100 years are not always shared in a way that conveys its deep knowledge and insight. This may be a disadvantage to higher education researchers and stakeholders in other parts of the world, particularly for those interested in comparative higher education research. At the same time, the researchers and other stakeholders in Japan also face the problem that their issues are not included enough in international discussions. This is simply because Japan's higher education is internationally invisible and not appealing as a success model to learn. For example, although the impact of aging on higher education without sufficient migration flow has become a common challenge among some East Asian higher education systems, the literature based on collaborative research between Asian researchers is highly limited (Yonezawa and Kim 2008).

A new approach is needed to strengthen the link between the higher education research community in Japan and the international community—and especially the regional research community. In particular, increasing competitiveness within education and the research capacity of Asian universities are dramatically changing the perspectives and knowledge flows in the world of academia. The frameworks of higher education research now include the paradigms and concepts of international relations, political economics, and cooperation. In these areas, researchers in Japan are now actively engaged in research projects within the international research community, especially in the Asia Pacific region (see, e.g., Hirozato and Kitamura 2009; Mok and Yonezawa 2007).

Today, researchers in neighboring fields, such as migration studies (Liu-Farrer 2011), science and technology policies (Sun and Negishi 2010), and university–industry links and innovation (Kitagawa and Woolger 2008), also view higher education as one of their major fields of study. Their research, however, is not necessarily developed on the basis of existing higher education research inside Japan.

It is also clear that many practices in higher education should now be seen in the context of internationalization and globalization, while the national context continues to play a critical role. The language used in the majority of the literature on higher education in Japan is still Japanese, and this tendency is strengthened by the expansion of the higher education research community to include professional practitioners. The question of how to construct a productive link between researchers in the national research community and those of other countries is still a big challenge for the future development of the higher education research communities in Japan and possibly in most of the other non-English-speaking Asian countries.

A structural transformation of the job opportunities in relation with higher education research in Japan also provides serious challenges in terms of the direction of higher education research. Policy- and scholarly oriented studies on higher education now face difficulty in terms of how to increase job opportunities in a very severe environment for the whole higher education sector in this country. More job opportunities have opened for more practical areas, such as faculty/staff development, institutional research, and multimedia education. The training necessary for these careers as “higher education experts” is not necessarily linked with the above-mentioned comparative and policy-oriented research in higher education. Moreover, increased attention on the viability of Japanese university education in the globalized economy has fostered more practically useful research that offers direct prob-

lem solutions, rather than research reflecting Japanese higher education based on international perspectives. In many cases, the higher education researchers that were trained through the newly established academic approaches in the last two or three decades have faced difficulty in directly applying what they studied to the very practical nature of the jobs they have acquired as experts in teaching/learning improvement, institutional research, and so forth. In this context, the graduate training in higher education research itself is now at the crossroads—it is now more linked to the practices of higher education in Japan and in the world, but not necessarily engaged in the active development of international research frameworks in a traditional domain of higher education research. Actually, some experts, such as those involved in faculty development, institutional research, and quality assurance, are now starting to actively engage in international expert meetings, while it is too early to identify the outcome in terms of quality literature from Japan.

Following are suggestions to improve the regional and global connection.

First, higher education researchers in Japan and Asia should develop their regional academic platforms, such as the Higher Education Research Association, which just saw its beginning in 2014. Second, the higher education research community should involve the academics and researchers who are actively engaged in the international research community. Considering the interdisciplinary nature of this research field, this approach would be more effective. Finally, the systematic efforts to provide training and instruction to actively publish in English should be strengthened, as seen in some social science fields these days. At this moment, however, such initiatives are slow and weak. Especially, it is crucial for them to find training and job opportunities outside of Japan and to assure a more direct connection between domestic and international higher education research communities.

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Chapter 7

Higher Education Research in China: An Independent Academic Field Under the State

Lifang Hu and Shuangye Chen

Abstract This chapter outlines higher education research (HER) in China developed as a well-recognized independent academic field in the unique national and historical contexts. The rise and formation of higher education as a research field in China have been closely related with the substantive growth of the higher education system itself. Higher education research in China is characterized by strong institutional basis, an obvious orientation toward policy and practice at the macro- and mesolevels, and support from and legitimacy by a strong state. Knowledge production in the field is currently characterized by being increasingly outward looking and through support from the state.

Introduction

The development of the study of higher education in one region is closely related to the size, scale, and substantive growth of its higher education system (Clark 1996; Tight 2007; Pan 1995). Given the size of the population who received and is receiving higher education in China, the Chinese higher education system is currently the largest in the world. Like its economic development, China's higher education system has expanded rapidly since 1999. In the latest official educational statistics released on the website of the Ministry of Education (MOE) in China (n.d.), there were 2560 higher education institutions in 2015, accommodating 2,369,326 academic and administrative staff, 1,911,406 postgraduate students, and 26,252, 968

This chapter is a modified and updated version mainly based on our journal articles published in 2012 (Chen and Hu 2012) and partly from Chen (2015).

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undergraduate students. This gigantic system as well as mounting reform efforts has created tremendous opportunities for knowledge production in the field.

“Field” is a geographical and spatial metaphor for categorizing and classifying knowledge. A research field is a result of accumulated knowledge, academic capitals, and a bounded “tribe” with certain academic identities (Becher and Trowler 2001). Journals, books, societies, academic programs, departments, and research centers are typical representations of an academic field (Altbach and Engberg 2001; Goodchild 2011; Teichler 2011).

Higher education in China as a research field has amassed the above general characteristics as in other regions (Yuan 2011). However, the national and historical contexts have shaped HER in China as a distinctive academic field and community. A very recent study of higher education in Asia (Jung and Horta 2013) found that the most productive researchers in Asia do not have their homed academic units specialized on higher education research. There is a visible discrepancy between research outputs and the substantive organizational bases. The lack of institutional rapport and relevant degree programs could cripple the academic communities of higher education research (Jung and Horta 2013). On the contrary, the field of higher education research in China is clearly filled up with named academic units of higher education research, like institutes, centers, departments, and schools (Wang and Liu 2014).

This chapter outlines the formation and features of the research field of higher education in China. A critical mass of researchers and practitioners in the institutes of higher education have actively shaped and institutionalized HER as an independent field as well as an organized community. At the same time, the state plays a significant role in legitimizing and supporting the field. In the following sections, we would analyze the formation and development of the HER in China historically from two aspects of actors and institutions. To put in another word, those people who made the field possible as well as the institutionalizing process are the foci of understanding the HER in China. After that, some features of the field will be outlined.

Scholars Making the Field

Any field of knowledge is an arena of knowledge and people producing knowledge. Without scholars and researchers who strongly committed to the bounded community, a field is not possible only with claimed knowledge. Both founders and a critical mass of followers have made and sustained the field.

According to J. Li (2005) and Wang (2010), the historical development of the HER in China can be periodized as four stages as the pre-discipline time, discipline establishment period, scale expansion stage, and consolidation period. Those stages have echoed the political and social changes of China as well as significant educational reforms, e.g., the years of 1977, 1985, 1992, and 1999. Based on a historical analysis of researchers and higher education development in China from institutional documents and relevant references, we found the development of HER as a field as

well as an academic community in China is closely correlated with an emerging group of researchers and an expanding higher education system itself.

1970s: The First Generation

In the pre-discipline time, interests in studies of the university and higher education were scattered and not organized. It was Professor Pan Maoyuan, a widely recognized founder of higher education studies in China (Hayhoe 2006; Hu 2010), who gathered individuals in conferences and other organized activities. This was the prototype of higher education research community in China. It was until 1978 that he formally established and led the first research center of higher education at Xiamen University, the first institutional base for higher education research then.

Out of need of studying higher education issues at Peking University, Professor Wang Yongquan in the Northern China founded another spearhead Institute of Higher Education Research in 1984 on campus. In the middle part of China, the cities of Wuhan and Shanghai, another two higher education institutes were also established at the Huazhong University of Science and Technology and East China Normal University. These institutes are still the most renowned centers of higher education research in China.

1980s–1990s: The Second Generation

The first generation of HE researchers came from various academic backgrounds, such as engineering, Chinese literature, English, history, and comparative education, as there was no formal program ever named “higher education” in existence in China. However, the forerunners sought to train and attract new higher education researchers with more specialized knowledge to expand and consolidate the disciplinary foundation of the HER. Thus, a stream of the second generation of higher education researchers grew up locally holding specialized degree in higher education. These researchers began to exert their influences in the 1990s as a formally trained academic cadre in the Chinese field of higher education.

Meanwhile, a group of fresh PhD graduates trained overseas returned to China. They brought back related disciplinary and methodological knowledge and instilled into the rising field of HER. For example, Professor Min Weifang, a trained educational economist from Stanford University, joined the Institute of Higher Education Research at Peking University and led quantitative empirical research in higher education planning, education economics, and finance in the 1990s. Professor Chen Xiangming, a colleague of Professor Min at Peking University, pioneered qualitative methods in higher education, education, and social research in China in the late 1990s.

In the 1990s, four institutions were authorized to grant PhD degrees in higher education, i.e., Xiamen University (since 1986), Peking University (since 1990),

East China Normal University (since 1993), and Huazhong University of Science and Technology (since 1996). Those PhD programs in HER produced around 100 PhD graduates specialized in higher education in the 1990s. With an increasing number of scholars working in the field, their personal research trajectories in higher education have defined and shaped HER as a clear and well-bounded academic field. Around 80 percent of the top 20 cited authors from the 1980s to 2000s were from this generation and the first generation of HE researchers (Fan and Gao 2010).

After 1999: The Third Generation

The year of 1999 represented a significant turning point in the history of Chinese higher education from an elite system to a mass one. The enrollment rate of higher education in 1999 increased by 50% in a single year. Such a policy-led system expansion created numerous practical issues and problems, but they in turn accelerated growth of HER in China by providing abundant research topics previously unexplored. The vibrant growth of the field has created plentiful research opportunities as the field consolidates on the basis of soft but applicable knowledge in studying practice (Labaree 1998; Terenzini 1996).

There were 10 PhD and 60 masters of higher education programs validated by the state in 2003 (Li 2005: 300). It was until 2009 that a professional degree of Doctor of Education (EdD) was established. Such a professional degree symbolized further development of the field to differentiate scholarly research and professional practice. Professional and practical relevance have been highlighted in such programs when training university administrators and policy-makers in the field of higher education.

Scholarship and the State Institutionalizing the Field

Beyond scholars as actors making and shaping the HER in China, the field has been informally and formally institutionalized and legitimized by academic power from scholarship and the state. It is far from enough for a group of scholars gathered and claimed their academic identity as a scholarly field in China. The state holds the substantial and symbolic power to legitimize and recognize the establishment of such a field. An academic field stands as field only after being approved and enlisted in the national academic catalogue of disciplines. Otherwise academic units could not recruit students and issue-recognized diploma.

In the 1980s, accompanied by the recovery and revival of higher education in China after the Cultural Revolution, HER was legitimated by the state as a subdiscipline under education in 1983. At the same time, forerunners fueled substantive academic activities through taught programs, independent research, conferences, societies, and liaison between a growing number of institutes of higher education

research. A first national higher education society was established around then by Professor Pan.

During 1980s, almost 200 of institutes of higher education research were established in Chinese colleges and universities. Rather than defining their own research agenda, their main roles were in consulting and supporting local governments and university leadership on issues of higher education and institutional development. It was not until the first cross-institutional conference of institutes of higher education research coordinated by Professor Pan and Professor Wang in October of 1989 that an explicitly scholarly agenda to shape higher education as a research field in China began to emerge (Pan 1995).

Given the rising number of higher education institutes, not every institute could establish programs to enroll students. Higher education research center at Xiamen University was authorized to run the first master program specialized in higher education in 1984 and then the first doctoral program in 1986. Xiamen University was honored as the first national key disciplinary site (xuekedian) in higher education. This title not only implied academic and symbolic capitals but also brought in substantial financial supports from the state through quotas of research students and generous research funding. The recognized status and reputation of this research center at Xiamen University have, in turn, reinforced the standing of HER in China.

Following their counterpart at Xiamen, the Institute of Higher Education Research at Peking University was also approved by the state to recruit master and doctoral students, respectively, in 1986 and 1990. Two institutes adopted diverged visions of developing the HER either as a unique discipline standing on its own theories or as a field of absorbing theories and methods from other major disciplinary fields, such as economics, psychology, and sociology (Chen 2010). Different as they have been, the two leading institutes of higher education research in China are more like brothers than rivals to enrich the diversity of the HER.

Meanwhile, HER journals were proliferating as tangible means to disseminate the outputs of knowledge production in the field. Around 400 such journals existed by the end of the 1980s (Li 2005: 202). *Journal of Higher Education (gaodeng jiaoyu yanjiu)*, founded in 1980 by Huazhong College of Technology (now Huazhong University of Science and Technology), is ranked the second most prestigious educational journal in China today.

In the Chinese context, the state is an essential player in formally institutionalizing the HER, but the growing scholarship as well as the enlarging academic community also contributes to the development of the HER along with the substantive system changes in the field of higher education.

After 1999, the Chinese higher education system has been enormously expanded. During the historical expansion of the system, HER in China has benefited from rich resources from the practical field of real problems and the pressing policy needs. Researchers are conscious of reviewing the field regularly and making the research field more visible than ever before. Any explicit review was rare before the 2000s. The first notable attempt to record such information was made in 1999 by Professor Chen Xuefei in publishing an edited anthology of selected journal articles on higher education between 1949 and 1999. In the 2000s the number of review articles which

examined publications in the field increased visibly. Researchers (Bie and Peng 2008; Ding and Zhou 2009; Fan and Gao 2010; Gong and Ye 2006; Han 2009; Pan and Li 2009; Pan and Liu 2006; Tang 2010; Zhang and Sun 2009; Zhong et al. 2009) chose themes, methods, researchers, and research institutes as analytical units to map out the field of HER in China from the quantitative and qualitative knowledge production disseminated through Chinese journals.

Accompanied by the expansion of the field, traditional institutes of higher education in the comprehensive universities initiated organizational upgrading from a research institute to a school of education during this period. For example, the Institute of Higher Education Research at Peking University was upgraded and renamed the Graduate School of Education in 2000. The institute in Xiamen University was renamed the Institute of Education in 2004. Another flagship comprehensive university, Tsinghua University, established their Institute of Education in 2009. The phrase “higher education” was deliberately omitted in their new names. This signifies their research expertise under the new organization moving beyond higher education as a subfield under education. At the same time, the status of a school indicates that the field of higher education research within the university is symbolically equal to other fields as social sciences, arts, and humanities.

Features of Higher Education Research in China

In the following section, we outline the features of higher education as a research field and an academic community in China.

An Independent Academic Field

Unlike in other contexts, higher education research in China is a legitimized independent academic field under the general discipline of education. The status of an academic field or a discipline in China needs to be approved and conferred by the state in accordance with the Catalogue of Academic Degrees Awarding and Education (xueke shouyu he rencai peiyang xueke mulu), an authoritative official regulation document which was issued and authorized by the Ministry of Education and the Academic Degrees Committee of the State Council (ADCSC) in China. Universities do not hold the authority to grant their own degrees. It is the state that governs and authorizes academic degree conferral to respective institutions.

Recognized as an independent academic field, higher education research has not reached a proper disciplinary status as enjoyed by other social science disciplines. For example, there has been a classical and lasting academic debate about whether higher education is a field or a discipline in China (Hu 2003; Wang 2004; Liu 2011; Gong 2011; Yan 2011; Guo 2011; Liu 2011; Yuan 2011; Zhang 2011).

An Organized Academic Community

The community of researchers in China includes researchers in HER centers or specialized higher education departments based in schools of education and other self-identified researchers from universities and think-tanks, such as official research institutes (e.g., the National Educational Development and Research Center affiliated to the Ministry of Education in China). The China Association of Higher Education is the officially endorsed society of higher education researchers in China. These organizations and associations have constituted a strong institutional basis for higher education research community in China.

By 2001, over 700 HER units existed in Chinese universities and 30 provincial HER institutes (Li 2005, 285). Due to university mergers and institutional restructuring, the number of HER institutes dropped to fewer than 400 by 2010 (Wang and Liu 2014).

Beyond the higher education researchers in the above units, some policy officials and practitioners working in the field of Chinese higher education also contribute to higher education research in China. Nongovernmental research organizations exist as well, such as the 21st Century Education Research Institute and Mycos Research Institute.

Academic Programs Academic programs are a vital institutional basis to generate impacts through people. Academic programs are artifacts as well as social spaces and processes to accommodate future members. According to the database on the national postgraduate students information website (<http://yz.chsi.com.cn>), 91 higher education programs and 96 education economics and management programs, which also focus on economic perspectives and administration in higher education, currently exist at a masters level. At the doctoral level, 18 institutions are authorized to grant PhD degrees in higher education, and 15 EdD programs can confer professional doctoral degrees. Part-time students with full-time positions at various educational authorities and universities can regularly meet and interact with researchers by socializing with the teachers and future researchers who are their peers in the programs. Networking, understanding, and developing friendships through experiences in academic programs facilitate the research-policy-practice nexus in a gradual but deep manner. Although no comprehensive data is available, in the prestigious HER centers in China, e.g., Peking University, Xiamen University, and Huazhong Science and Technology University, senior policy-makers from the Ministry of Education and veteran university administrators did choose those academic programs, especially the EdD programs.

Key National Journals Specialized on HER Academic journals represent the organized institutional efforts to shape the research field by publishing articles, which are accounted as the major source of knowledge production constituting the field.

We counted the number of the selected articles in the database of RHERD¹ from 1999 to 2014 by their source journals. The top ten Chinese journals have a significant impact in shaping the field. They are the *Journal of Higher Education* (*gaodeng jiaoyu yanjiu*), *Tsinghua Journal of Education* (*qinghua daxue jiaoyu yanjiu*), *Education Development Research* (*jiaoyu fazhan yanjiu*), *Jiangsu Higher Education* (*jiansu gaojiao*), *Modern University Education* (*xiandai daxue jiaoyu*), *Comparative Education Research* (*bijiao jiaoyu yanjiu*), *Peking University Education Review* (*beida jiaoyu pinglun*), *Chinese Higher Education* (*zhongguo gaodeng jiaoyu*), *Fudan Education Forum* (*fudan jiaoyu luntan*), and *Chinese Higher Education Research* (*zhongguo gaojiao yanjiu*).

HER Themes and Orientation

Situated in the unprecedented social turbulence after 1989, higher education in China underwent an array of reforms and transformations. Substantive reforms of recruitment, employment, and tuition fees occurred, and there were remarkable institutional mergers in the Chinese higher education system. This made up the study of higher education and societal transition timely issues and meant that HER in this period was more focused on the practical needs of policy and institutions.

HER in China is oriented by practical issues and policy concerns, while it retains a strong tradition of theoretical and disciplinary enquiry (Pan and Chen 2005; Zhong et al. 2009; Wang and Liu 2014). Issues on the macro- and mesolevels have been emphasized as policy consultation, and institutional needs are the prioritized tasks for HER institutions in China (Wang and Liu 2014; Chen 2015).

From articles on higher education in the RHERD database from 1999 to 2009 classified as theoretical research, practical issue research, historical research, and comparative research, we find among 3074 articles that 67 percent focus on practical issues, 17 percent on theoretical issues, 11 percent on comparative approaches, and 4 percent on historical approaches. Among articles published on *Chinese Higher Education* in 2012, around 70% attended to practical issues in higher education by our calculation.

Recently, there are also rising research themes on student engagement and faculty development on the microlevel. But they still cannot outshine the traditional themes on the macro- and mesolevels.

¹Renda Higher Education Research Digest (RHERD) (*renda fuyin ziliao gaodeng jiaoyu*) is an established and highly reputable database of quality articles selected by experts invited by the Information Center for Social Sciences of Renmin University of China. It can be found from <http://ipub.zlzx.org/>

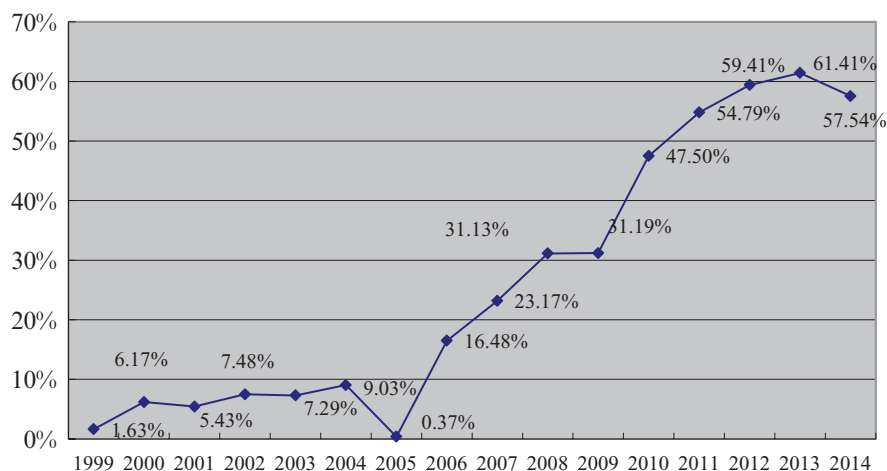


Fig. 7.1 The percentage of the state-funded HER articles in the total published articles per year in the RHERD database (1999–2014) (Note: Data in 2005 is missing)

The State Support

The state directs and supports the higher education research. In the RHERD database of 1999–2014, the number of published articles indicates that governmental projects and funding are increasing, especially since 2006 (Fig. 7.1). In 1999 just 1.63 percent of the articles in the database indicated funding support (i.e., five articles). By 2014 the total number of articles indicating funding support rose to 103, accounting for almost 58 percent. Since 2011, over half of the published articles in the RHERD database claimed the funding support by the state from various research funding projects.

Outward-Looking from Referencing

Since its establishment in 1980s, higher education as a research field in China has been open to international academic communities via individual networks, foreign visitors, translation of classic works, and returning Chinese scholars educated overseas. Pan and Chen (2005) called for international academic exchanges to be used to create a mutual dialogue between HE researchers in China and internationally rather than for such exchanges to be seen as resulting in dependent development. About 11 percent of the articles selected in the RHERD from 1999 to 2009 were comparative in nature. This is quite different from the inward-looking nature of the HER community in North America (Tight 2007). The Chinese community of HER tends to be more outward looking.

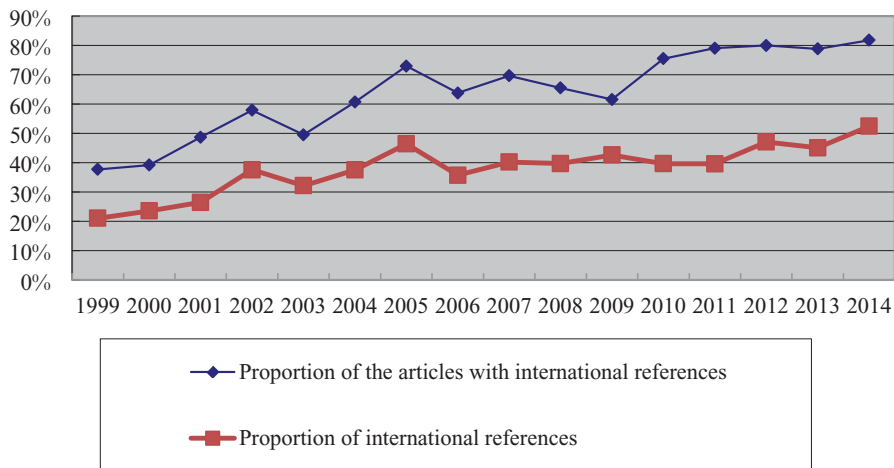


Fig. 7.2 Annual proportion of international references and the articles with international references in the RHERD database (1999–2009)

In the RHERD database from 1999 to 2014, there is a rising trend toward more international referencing as indicated in Fig. 7.2. In 1999, there were less than 40% articles citing international (mostly English language) references, while in 2014 the proportion increased to over 80%. This finding was echoed by another review of the international references used by the HE articles in the 2008 database of Chinese Social Science Citation Index (CSSCI) (Tang 2010).

Conclusion

Academic field is a term loosely and customarily used to describe a certain body of knowledge. Its boundary is recognized by a group of people operating as a community who identify themselves and work within it. A critical mass of people housed by certain organizations in the university, academic societies, journals, and programs constitutes the virtual and real landscape of the field of HER in China. However, quite different from other systems, the HER field in China has been legitimated and supported by the state and given the symbolic status as a proper specialized discipline.

The past 30 years has witnessed the growth of a vibrant academic community which has built up and shaped the field of HER in China. Higher education is a soft-applied field of academic inquiry consisting of many contributing disciplines. Generally the higher education research field in China has addressed practical issues and policy needs emerging from the substantive growth of higher education. This community is locally rooted but increasingly outward looking.

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Chapter 8

Higher Education Research in Hong Kong: Context, Trends, and Vision

William Yat Wai Lo and Felix Sai Kit Ng

Abstract With the processes of inter- and intranationalization, higher education in Hong Kong has been rapidly expanding in an effort to develop the city into a regional education hub. This chapter explores the trends and developments of higher education research (HER) in Hong Kong in the context of inter- and intranationalization. By drawing on the data from the Scopus database, this chapter analyzes a selection of journal chapters on higher education published in Hong Kong over the past three decades. Findings show that a significant growth and some new outputs have been seen in the field during the study period. In addition, local researchers have complied with the rule by forming more transnational and intranational research teams and by conducting more nonlocal studies. Interestingly, many of them have not abandoned local collaboration and studies, but they further developed their roots. These findings reveal that some internal signs of cosmopolitanization have been recorded in the field.

Introduction

The development of higher education in Hong Kong can be observed in a dual trend, in which higher education in the territory has responded to the phenomenon of globalization and its associated changes, and it has faced many local challenges especially during the period of the transfer of sovereignty. Specifically, on one hand, higher education in Hong Kong has been substantially influenced by international competition caused by the profound effects of globalization, as evident in many

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other East Asian countries. In addition, Hong Kong, as the Special Administrative Region (SAR) of the People's Republic of China (hereafter China or mainland China) after 1997, enjoys significant autonomy in various aspects, including education, under the "One Country, Two Systems" principle. This special political status, together with the colonial history of the city, grants universities in Hong Kong the privileged position as the bridge between the international academic community and the higher education sector in China, but this position requires them to remain highly internationally and globally connected. On the other hand, universities in Hong Kong have to deal with the ascending "China factors" in the development of higher education since the confirmation of the return of the city to Chinese sovereignty. This contextual issue has become particularly important to the development in higher education in Hong Kong, given that the city is a part of a rising nation.

The study presented in this chapter explores the evolution and the characteristics of higher education research (HER) in Hong Kong within a special context where massification, neoliberalization, internationalization, and sinicization simultaneously drive the development of the universities and the academic community in the city-state. The study analyzes the outputs of HER in Hong Kong between 1984 and 2014. The publication data on HER draws from the Scopus database and focuses on journal articles. The selection of articles is based on search keywords in academic journals. These keywords include "higher education," "tertiary education," or "post-secondary education" contained in article titles, abstracts, and keywords and "Hong Kong" contained in the affiliation of authors. The selected research outputs will be analyzed by number, institutional affiliation, type of authorship, collaboration patterns, and scope of themes and issues over the study period to initially demonstrate the general picture of HER in Hong Kong and to further examine the extent to which their research outputs are reflected on and have responded to the systemic changes in higher education over the last three decades. In connection with the transfer of sovereignty and the pursuit of being a regional education hub, this study will particularly look into the patterns of trans- and intranational research collaboration and research scope on which higher education researchers tend to focus throughout the period.

Context for the Study

Theoretical Orientations

The analytical basis of this study builds on the interface between the system context of higher education policy and the nature of HER. According to Gornitzka (2013: 260–262), "the changes in the formal governance and policy linkages between the national political-administrative level and the higher education institutions" (HEIs) have significantly affected "the nexus between research on higher education and policy-making." She argues that giving policy-relevant answers to the emerging

questions in the context of higher education expansion and innovation provides an instrumental use for HER, whereas research on higher education can also play a monitoring role through the conceptualization of major changes in the sector. This argument indicates that orientations of HER can be responsive and proactive in terms of its relationship with policy-making. It also suggests that HER is sensitive to political-administrative changes at the system level.

This idea frames the present study. Despite the fact that the range of topics and facets in higher education is broad, they are oriented to respond to social changes and challenges (Teichler 1996, 2005). In this sense, although a major part of HER focuses on teaching, learning, and assessment¹ (Horta and Jung 2014), trends in HER and changes are connected at the policy and systemic levels. Based on these ideas, this study intends to exemplify the nexus between the system context of the development in higher education and the characteristics of research on higher education that are published in journals, thereby charting the trends and developments of HER in Hong Kong.

With regard to the theoretical orientations of the analysis, this chapter attempts to further explore the conceptual understanding of the management of knowledge networks with a focus on the emerging research community on higher education in Hong Kong, which leads in establishing international research networks in the region (Jung and Horta 2013). According to Postiglione, the model of knowledge networks in Hong Kong has two dimensions. The first is “a high degree of internationalism,” which promotes the emergence of a globally open academic environment. Thus, academics in the territory are able to closely integrate with the global academy. The second is “a highly valued but self-defined Chinese cultural heritage,” which emotionally connects academics in Hong Kong with the development of China (Postiglione 2013: 347). This cultural background facilitates the intensified research collaboration with universities in the Chinese mainland, whereas the Western-originated academic model makes the national vision and commitment in the collaborative engagements remain reflective. This concept is called “the cosmopolitan model” (Postiglione 2013), in which the model successfully combines international elements with local and national traditions in the development of knowledge networks.

This chapter explores the response of the cosmopolitan model in HER in Hong Kong to the notion of transnationality embedded in the thesis of cosmopolitanization by Beck (2011), which presents a new type of cosmopolitanism (Fine 2007). In the past, cosmopolitanism was theoretically constructed based on universalism versus particularism (see Goulder 1957; Merton 1968; Nussbaum 1994). However, Beck (2003) argues that localism and cosmopolitanism are not mutually exclusive by themselves, and localism is also an essential element in contemporary cosmopolitanism, emphasizing the interaction between the global and the local. Hence, a cosmopolitan model is one that overcomes “the dominant opposition between cosmopolitans and locals” (Beck 2003: 17). The challenge of studying such a model is to avoid the state-centric perspective associated with the concepts of locals to replace the national “either/or” with a transnational/translocal “this, as well as that” (see Beck 2003, 2011). Furthermore, Beck (2011) also argues that we are living in

an age of cosmopolitanization because global risks cannot be properly managed by a single nation-state in world-risk society. Transnational curiosity, empathy, and cooperation are necessary to deal with global risks, and social developments have been inevitably transnationalized. In accordance with this argument, employing the concept of transnationality, which stresses both the national self and the global others, is necessary, and more empirical studies are needed to uncover and indicate signs that cosmopolitanization truly exists (Beck 2006).

Based on Beck's thesis, this study examines whether and how the research community on higher education in Hong Kong has been transnationalized in its strategic management of research networks and practices. This chapter presents data on the trends in HER in Hong Kong that empirically examines the relevance of the ideas of cosmopolitanism and cosmopolitanization to the development of the field. In addition, given the specific background of Hong Kong where it was initially a British colony and is now a SAR of China, this chapter also uses the terms "intranational" and "intranationalization" to describe and conceptualize the intensification of integration between Hong Kong and China. Before starting the analysis, it is useful to provide a brief history of Hong Kong with a specific focus on the development of its higher education sector and of the field of HER in the territory during the last three decades.

Higher Education Development in Hong Kong, 1984–2014

Higher education in Hong Kong is special because of the historical background and the position of the city, which had been under the British colonial rule for over 150 years. China resumed the sovereignty of Hong Kong in 1997, and thereafter the city became a SAR, which maintains its capitalist system, and enjoys autonomy under the "One Country, Two Systems" principle. The higher education system in Hong Kong is clearly established based largely on the British system because of its colonial history. According to Lin (2009), the establishment of the University of Hong Kong (HKU), the only government-funded, recognized university in the territory until 1963, carried a mission of extending the cultural influence of Britain to China and Asia. This connects university education in Hong Kong with British cultural colonialism.

Hong Kong underwent the first wave of higher education expansion during the transitional period (1984–1997). The higher education system expanded mainly through granting of several postsecondary education institutions with a university status. Consequently, eight publicly funded institutions obtained a self-accreditation status, and the participation rate for undergraduates aged between 17 years and 20 years surged in government-funded programs from 2% in the 1970s to 18% during this expansion wave (UGC 1996). The second wave of higher education expansion began after 1997. Compared to colonial rule, the SAR government put more emphasis on the importance of internationalization. For example, in 1997, the government planned to increase the proportion of nonlocal students to 4% at the

undergraduate level (Tung 1997). In 2010, the University Grants Committee (UGC) set a target of increasing quota places available for nonlocal students to 20% of total places (UGC 2010). Consequently, the number of nonlocal enrollment of UGC-funded programs has gradually increased from 1% in 1996/1997 to 15% in 2013/2014 (UGC 2015). Furthermore, in 2000, the government set up a target of increasing the participation rate of tertiary education students to 60% by 2010 (Tung 2000). Since then, the tertiary education sector has seen an exponential growth. According to the latest statistics, the university admission rate has reached nearly 70% (Education Bureau 2014b).

There are several features in the post-1997 tide of the reform of higher education. Firstly, internationalism is somewhat reflected and emphasized in the reform initiatives (UGC 2004), as internationalization is considered as an important response to the effects of globalization on higher education (Scott 1998). The government set up a policy goal of developing the city into a regional education hub during the period. The expansion of the population of nonlocal students is essentially related to this ambition. Secondly, related to the vision of being an education hub, the education industry is also considered by the government as an engine for economic growth (Tsang 2008). In fact, the higher education sector in Hong Kong has been substantially influenced by neoliberalism and entrepreneurialism since the early 2000s. Therefore, although the university admission rate has significantly grown, the new provision of higher education, especially in the sub-degree sector, is mainly run on the market-led, self-financing mode (Chan and Lo 2007). Only less than 23% of Hong Kong students enter publicly funded universities (Education Bureau 2014a). Thirdly, despite the emphasis on internationalization, the origin of the majority of nonlocal students in Hong Kong is mainland China. In 2013/2014, 78% of the nonlocal student population are from the Chinese mainland (UGC 2015). This figure is due to the many years of the pivotal role of Hong Kong as a bridge for the international mobility of mainland Chinese students (Postiglione 2005). Meanwhile, the city also considers its strong links with mainland China in terms of proximity and closed ties as the strong competitive edge over its regional competitors, particularly in meeting higher education demands, developing a global center for China studies and strengthening research collaboration (UGC 2004, 2010). In fact, market integration is found in higher education between Hong Kong and the mainland (Li 2011).²

Meanwhile, there was a worldwide expansion of HER, in the context of massification of higher education (Sadlak and Altbach 1997). Indeed, HER has been a growing academic field sustained by an increase of academic programs and research centers and the progress of professionalization (Macfarlane and Grant 2012; Altbach 2014). Similar to many other places, Hong Kong sees growth in the research and teaching infrastructure of studies in higher education. For example, HKU established the Comparative Education Research Centre in 1994, in which HER is one of its research foci. It has also offered a specialization of higher education in its Master of Education programs since 2010 (Faculty of Education, HKU 2014a, b). The specialization covers courses in globalization, policy studies, leadership, and organizational studies in higher education. Since 2014, this specialization has been added to its Postgraduate

Certificate in Advanced Educational Studies program. The Hong Kong Institute of Education (HKIEd) has recently launched the Master of Social Sciences in Higher Education Policy and Governance program, which focuses on providing students with skills in higher education policy analysis, governance strategies, and issues management. In addition, HKIEd is one of the core member institutions of the Asia Pacific Higher Education Research Partnership, which serves as a research network for specialists in HER in the Asia Pacific region. Furthermore, with the goals of promoting research into policy and practice in higher education and stimulating research collaboration, higher education researchers from the Chinese University of Hong Kong (CUHK), HKIEd, and HKU started the Society for Higher Education Research of Hong Kong in 2014.³ On this basis, an active research community on higher education in Hong Kong is reasonably notable.

Policy Orientations and Higher Education Research

The historical background and policy orientations that have been reviewed suggest the following four assumptions:

Assumption 1

This study assumes that massification of higher education results in the growth of research on higher education. Although higher education expansion seems to have a natural and direct causal effect on the growth of research on higher education, two waves of higher education expansion were observed in Hong Kong, and they have different features. The expansion in the 1990s relied on granting the existing degree providers (including colleges and polytechnics) with a university status. Only one new publicly funded institution was established, namely, the Hong Kong University of Science and Technology. In this regard, the effect of this round of expansion on the structure of higher education governance is relatively limited. Yet, the expansion in the 2000s was heavily characterized by the elements of privatization and marketization (Lo [in press](#)). A new sub-degree sector has emerged, which mainly consists of community colleges of public universities and private institutions. It is therefore noteworthy to examine the nexus between higher education expansion and the growth of HER.

Assumption 2

The rapid expansion of the sub-degree sector generates new type of publications to HER. In this regard, a new sub-degree sector that mainly provides two-year associate degree programs has rapidly grown in recent years. This marks move of Hong Kong from elite to mass higher education. However, the emergence of the

sub-degree sector has substantially changed the hierarchical structure of the higher education system of Hong Kong. On the one hand, institutions and personnel do not necessarily conform to the positions that are taken for granted in the differentiated model of governance. On the other hand, the shift to mass higher education has been clouded by complaints and criticisms (Kember 2010). In this regard, this study assumes that HER has further grown when problems in the sector emerge.

Assumption 3

The degree of transnationality of education in Hong Kong is reflected in HER. Hong Kong has served as a bridge between East and West, and this role is significantly shown in higher education provision (Li 2011) and academic research collaboration (Postiglione 2013). However, the internationalization of higher education is reiterated and emphasized in the last decade, given that the city is pursuing to be a regional education hub (UGC 2004). As Hong Kong has become part of China, examining the way in which internationalism has been developed in terms of research orientation and collaboration in HER is important.

Assumption 4

The ascending “China factors” are reflected in HER. This produces a prediction that is possibly opposed to the ideas about internationalism presented in the last assumption. At the system level in the post-1997 era, frequent connections and intensified integration with the Chinese mainland has been a trend in various domains, including higher education (Lo and Ng 2013). At the institutional level, the increase of academic staff and students (especially research postgraduate ones) from mainland China is considered as a significant factor affecting the orientation and collaboration of HER in Hong Kong. Nevertheless, the “need” to embrace China does not necessarily mean acceptance.

The Study

Methods

Although the Scopus database is unable to cover all the publications across the language-diverse world, it serves as the most comprehensive and largest bibliographic database of peer-reviewed journal articles (Norris and Oppenheim 2007), containing approximately 53 million records, 21,915 titles, and 5000 publishers, according to Elsevier’s statistics (2014). The coverage of higher education publications consists of 38 international peer-reviewed journals, out of which 37 have the keywords “higher education” in their titles, and one has “tertiary education.”

By using the Scopus database, this study analyzes academic publications that contain the keywords “higher education” and its synonymies, “tertiary education,” and “postsecondary education” appearing in the titles, abstracts, and keywords. These studies, published between 1984 and 2014, were written by authors affiliated with HEIs and other relevant organizations in Hong Kong. The search starts from 1984 because the first article on higher education appeared in this year. Publications in 2015 are not included because of incomplete data. In total, the period under study consists of the last three decades. The latest update on 11th September 2015 identifies 889 publications in the original search results. Two rounds of screening are conducted afterward to streamline the dataset. The first round of screening considers the content of the publications. Although “higher education” is used as a keyword in some of the shortlisted publications, they may not have direct and clear concerns over HER. For instance, 200 articles are included in the search results because higher education is shown in the name of a publisher, Higher Education Press. In some cases, the studies may consider “education level” as a categorical variable, and higher education qualification is therefore used as an independent variable and discussed in these articles. This scenario is particularly common in health science studies. Therefore, given that the themes of these articles are not related to the prominently identified theme in HER, these 127 items are excluded from our dataset. The second round focuses on the type of publications. The original search results contain different types of publications. However, conference papers are filtered out because they are considered unpublished items and may possibly be published later (Tight 2012). Eighty-five items are thus excluded to avoid double counting in the analysis. In addition, in spite of Scopus being a comprehensive database on journal articles, it has apparently yet to be developed into a comprehensive dataset for analyzing other publication elements, such as book chapter. Hence, this study concentrates on analyzing journal articles by screening 148 items of work in total.

Following the two rounds of screening, the dataset has been reduced to 414 articles, which is around 47% of the original search results. As for the characteristics of these articles, only around 29% of them are published in journals with the terms “higher education” or “tertiary education” in their titles. This observation means that most of the outputs of HER are disseminated in nonspecialized journals. This trend reveals that many of these articles are written by researchers “who have a primary research subject but also do some higher education research,” as addressed by Harland (2012: 704). Given the relevance of these articles to the present study, they are incorporated in the dataset. In addition, similar to the note of Harland (2012), this trend indicates that HER is also an open-access field in Hong Kong. That is, HER is not limited to those mainly or exclusively working in the specific field of higher education.

Scientometrics was adopted to analyze the dataset in light of the policy orientations discussed in the previous section of the article. To test Assumption 1, the dataset was sorted to present the number of journal articles published on higher education by year and by the statistics on the institutional affiliations of local researchers on higher education.⁴ The resulting set aims to shed light on whether higher education expansion has increased the number of publications. To test

Assumption 2, the percentage of journal articles by the type of institutional affiliation and the number of journal articles, especially in the sub-degree sector, is used to investigate whether and how the newcomers may have made contributions to HER. Finally, to find out whether HER has undergone the processes of “internationalization,” “intranationalization,” or both (Assumptions 3 and 4), the article illustrates the complexity of the dual process by examining research collaboration patterns as well as the scope of HER.

Findings

Significant Growth of Higher Education Research

This section begins with an examination of the relationship between higher education expansion and the development of HER in Hong Kong. Figure 8.1 illustrates the number of journal articles by publication year. An obviously significant growth of research outputs on higher education is observed. The growth of HER in Hong Kong can be divided into three phases. The first stage is the period between 1984 and 1994 (Phase 1). During the period, the number of journal articles fluctuated around 0 to 3 every year, and only 11 journal articles on higher education were observed in total, which reveals that HER was unsurprisingly an inactive research field both locally and globally during the period. The observation probably reflects that the field of higher education was relatively small in terms of number of institutions and the number of research outputs during the period.

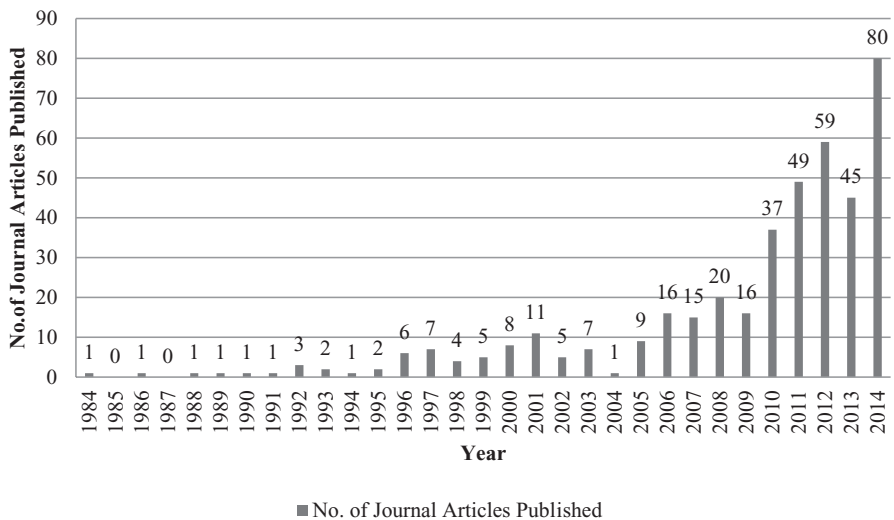


Fig. 8.1 Number of journal articles on higher education between 1984 and 2014

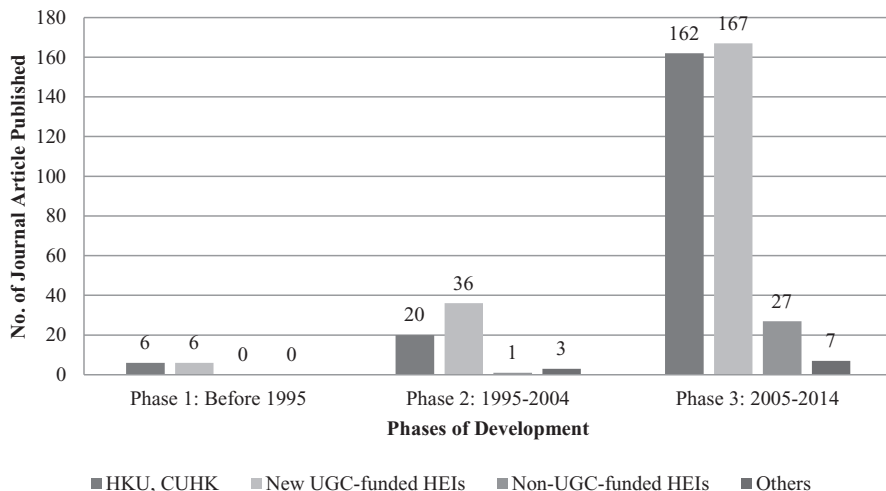


Fig. 8.2 Number of journal articles on higher education by the type of institutional affiliation (Note: The total number of articles does not add up to 414 because some coauthors are affiliated with different institutions in some jointly authored and multiauthored publications)

Following this period, 1994 and onward show a gradual growth in the number of published articles. Hence, this study considers another 10-year period between 1994 and 2003 as the second stage (Phase 2). Although the number of articles remained to be less than 10 during the period (except in 2001 when 11 journal articles were published), journal articles on higher education were published every year during the period, and a total of 56 articles were published, resulting in a fivefold increase from the first phase. The result shows that to a larger extent, this growth of HER can be attributed to the higher education expansion in the 1990s through the upgrading of colleges and polytechnics and the establishment of new universities. With more input of public higher education sector from the government, more social science particularly education-related faculties and schools simultaneously emerged or expanded in these new HEIs. With regard to the institutional affiliation of the publications (see Fig. 8.2), the number of publications in affiliation with the new publicly funded HEIs, namely, the Hong Kong University of Science and Technology, City University of Hong Kong, Hong Kong Baptist University, Hong Kong Polytechnic University, Lingnan University, and HKIEd, had grown considerably from 6 in the first phase to 39 in the second phase. On the contrary, their older counterparts, namely, HKU and CUHK, published only 20 articles, around half of those from the new HEIs during the period.⁵

The third stage refers to the period from 2004 onward (Phase 3). As shown in Fig. 8.1, a more rapid growth began in 2004. The number of journal articles increased from one in 2004 to nine in 2006. Since then, a proliferation of HER in Hong Kong was witnessed. In total, the number of articles has increased to 271 in the third stage, accounting for approximately 80% of the journal articles on higher education

over the whole period. These findings show that the upward trend of HER is highly associated with the phenomenon of higher education expansion (Assumption 1).

New Sector in the Field

As previously discussed, the higher education sector was expanded through marketization. Consequently, a striking increase of postsecondary educational institutions in Hong Kong that are self-financing was observed. These institutions, which mainly provide sub-degree programs including two-year associate degrees and two-year higher diplomas, accepted around 52,046 students in the academic year 2013/2014 (iPASS 2015). This section analyzes the influence of this new self-financing sector of higher education, which mainly consists of sub-degree programs providers, to HER in the city.

Figure 8.3 indicates that researchers affiliated with self-financing HEIs have contributed to the growth of HER in Hong Kong. In Phase 1, only the researchers from publicly funded HEIs were involved in HER, whereas researchers from self-financing HEIs were not engaged in studies in higher education. The situation did not significantly change in Phase 2, as only one article involved a researcher from a self-financing HEI. The number, however, increased markedly in Phase 3, as researchers in the self-financing sector contributed 21 articles, which accounts for around 8% of the total during the period (see Fig. 8.3). In fact, the number of enroll-

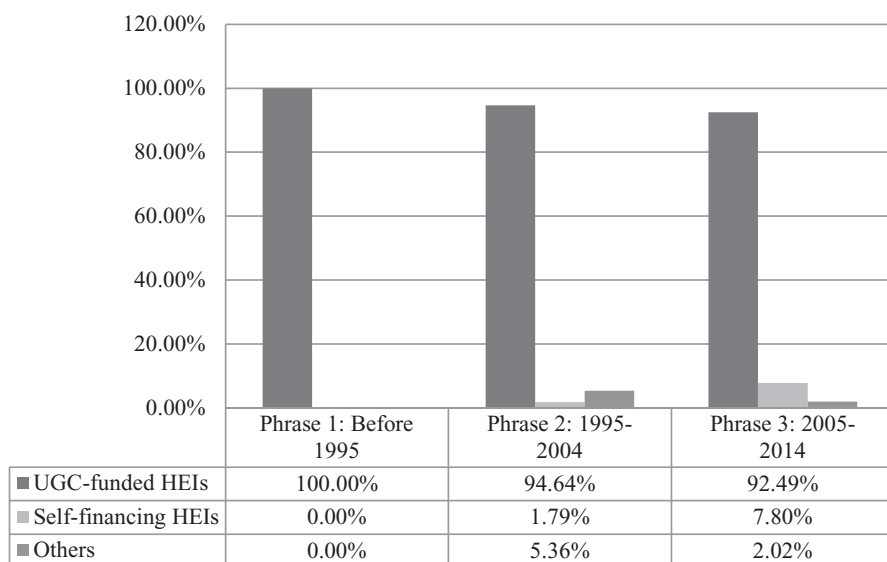


Fig. 8.3 Percentage of journal articles on higher education by the type of institutional affiliation (Note: The total is not equal to 100% because some articles involve interinstitutional collaborations)

ments of full-time self-financing programs climbed from 27,296 in the academic year 2004/2005 to 84,157 in 2013/2014 (iPASS 2015). However, as the self-financing HEIs are identified as teaching institutions, this new group that contributes to HER is not normally expected to act as researchers. Therefore, their research work was unlikely to have been financed by the government. This new sector in the higher education system does not bring only new researchers but also new research topics to the field. Seven journal articles, which are specifically related to the issues about the sub-degree sector, are found in the search. Overall, these findings reveal that the research interests of local researchers on higher education are connected with this round of higher education expansion (Assumption 2).

Increase in Research Collaborations

Figure 8.4 shows that many higher education researchers in Hong Kong conduct their studies alone rather than work in team. In Phase 1, more research outputs (6 out of 11 publications) are solely authored. The situation did not change significantly in Phase 2, as 4 out of 7 articles are solely authored during the period. Given the expansion of the field, both numbers of solely authored and jointly authored or multiauthored publications significantly increased in Phase 3. In addition, researchers seem to welcome teamwork in recent years, as over half (52%) of the research outputs are jointly authored or multiauthored publications, which have outnumbered solely authored work.

To further investigate the nature of research collaboration in the field, this study examines some characteristics of these coauthored publications. At this point, collaboration is classified into three types: local collaboration (those with researchers affiliated with the institutions in Hong Kong), intranational collaboration (those researchers affiliated with institutions in mainland China, Taiwan, or Macau), and transnational collaboration (those researchers affiliated with institutions in foreign countries). As shown in Fig. 8.4, all three types of research collaboration have grown considerably in the last three decades. This reveals the importance and relevance of the development of knowledge networks in HER. Local collaboration is the most common form of collaboration throughout the three phases. However, the data also reveals significant growth in intranational and transnational collaborations. In Phases 1 and 2, only a total of two intranationally collaborative publications were produced. The number increased to 20 in Phase 3. Meanwhile, transnational collaborations have grown more rapidly. No transnationally collaborative publication was observed in Phase 1, and only four items were observed in Phase 2. However, the number increased to 60 in Phase 3. The increase of intranational collaboration partially demonstrates the influence of the rise of China over HER in Hong Kong (Assumption 3), although the trend is rather implicit. In other words, there is a stronger trend in the growth of transnational collaboration (Assumption 4). This strength exhibits a proliferation of transnationalism, which is associated with the result of the emphasis on internationalization in the higher education sector in Hong Kong during the last decade (UGC 2004).

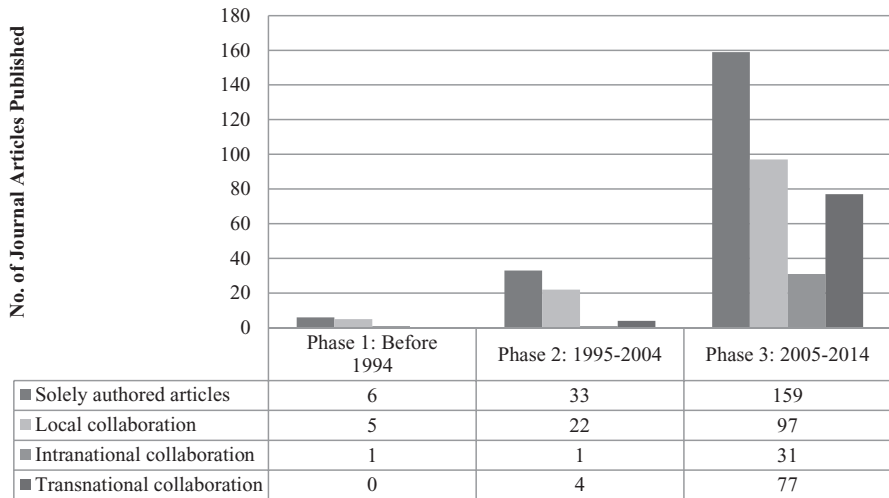


Fig. 8.4 Collaboration patterns of local researchers on higher education (Note: The total number of jointly authored/multi-authored articles were 6 in phase 1, 23 in phase 2, and 187 in phase 3. Local, intranational, and transnational collaborations are not mutually exclusive, as some publications involve researchers from Hong Kong, the intranational region (mainland China, Taiwan, or Macau), and the transnational region (foreign countries) simultaneously)

To further examine the pattern of the cross-border research collaborations, this study analyzes the origins of these higher education researchers. Figure 8.5 illustrates that many local researchers on higher education prefer to work with colleagues from the same institutions. Some of them may have collaborations with researchers from other local institutions. However, researchers from English-speaking countries are popular choices of local researchers for collaborators. As shown in the figure, 82% of transnational collaborations involve researchers from English-speaking countries. On the one hand, the emphasis on English can be seen as a British colonial heritage, which left a competitive advantage for local researchers who are used to and capable of working with researchers from English-speaking countries. On the other hand, this pattern sufficiently responds to the understanding of East Asian internationalization, which considers using English as an effective way of internationalizing higher education (Chan and Lo 2008). In addition, the term “intranational” is used to incorporate research collaborations among four Chinese societies (Hong Kong, mainland China, Taiwan, and Macau). However, collaborations with researchers in Macau did not exist, and those with researchers in Taiwan were rare. Establishing collaborations with researchers in mainland China and English-speaking countries are the major forms of regional and transnational collaborations in the field of HER in Hong Kong.

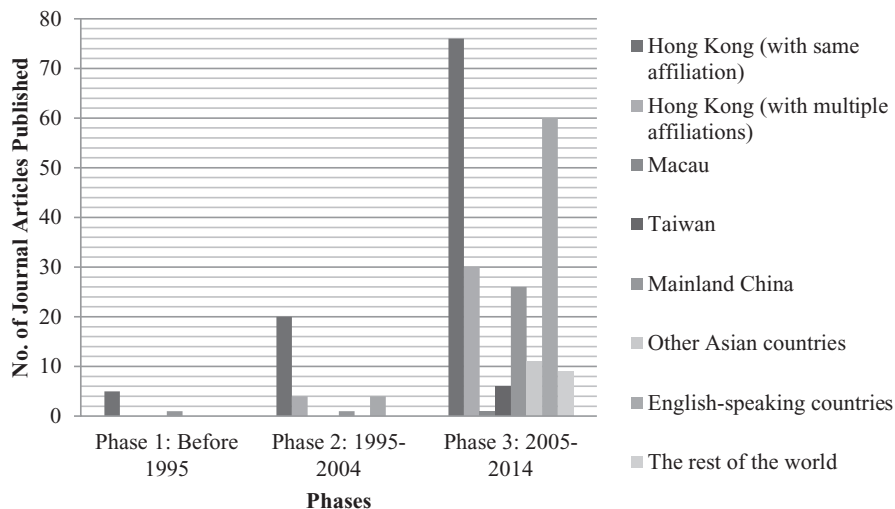


Fig. 8.5 Detailed collaboration patterns of local researchers on higher education (Note: English-speaking countries include Australia, Canada, New Zealand, the UK, and the USA)

The Scope of Higher Education Research

The increase of cross-border collaborations suggests changes in the themes and issues that higher education researchers are interested in. This study therefore categorizes the publications in the dataset into three types: local studies (focusing on higher education issues in Hong Kong), intranational studies (focusing on national issues or comparative issues between Hong Kong, mainland China, Taiwan, and Macau) and transnational studies (focusing on foreign countries or beyond these Chinese societies, although the research still includes them). Figure 8.6 indicates that HER in Hong Kong has experienced a rapid growth in local, intranational, and transnational studies, whereas local studies have been the mainstream research topic over the last three decades. Nevertheless, the situation has slightly changed, as local researchers on higher education have been more willing to conduct intranational and transnational studies. However, as shown in the figure, the proportion of intranational studies still remains at slightly over 26% between Phase 2 and Phase 3, although the actual number has increased. In contrast, the proportion of transnational studies has increased from 1/19 in Phase 2 to over 1/4 in Phase 3. In short, this changing scope of research reflects the cosmopolitan model of knowledge networks in Hong Kong (Postiglione 2013) as well as the degree of transnationality in HER.

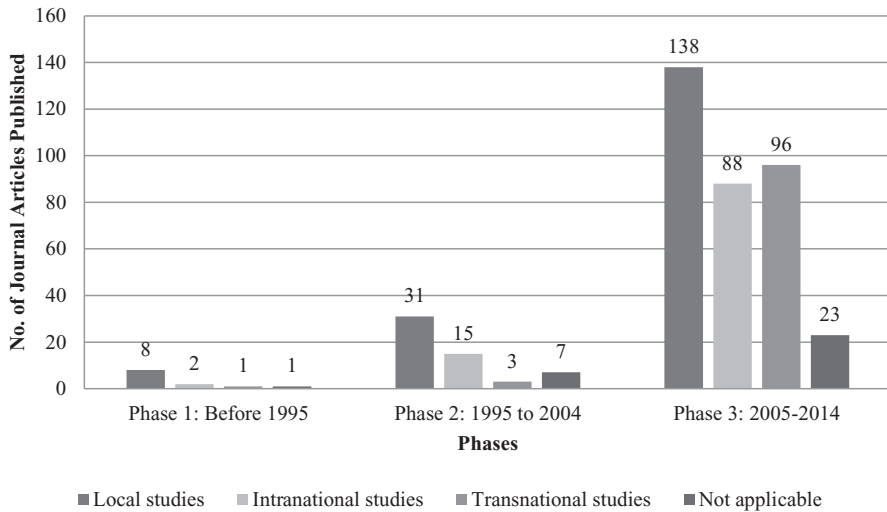


Fig. 8.6 Number of local, intranational, and transnational studies on higher education (Note: “Not applicable” refers to the theoretical or conceptual articles or reviews without a geographical scope and those without indicating the geographical scope of their studies)

Conclusion

This chapter has reported several trends of HER in Hong Kong. First, the findings indicate a growing number of HER publications, which emerged in the context of massification of higher education in Hong Kong. Second, the emergence and expansion of the sub-degree sector generates certain new inputs in terms of players and topics for the field of HER in the territory. Finally, the proliferation of HER has been influenced by the processes of internationalization (within the context of globalization) and intranationalization (within the context of the closer integration with mainland China). However, although the findings indicate a growing number of publications, of which the research scope has gone beyond Hong Kong, local studies remain to be the mainstream research topic in the city.

Apparently, the findings do not show that players in the field of HER have internalized or absorbed (normative) “cosmopolitanism” by developing a cosmopolitan vision or embracing cosmopolitan core values, namely, cultural diversity and cosmopolitan citizenship, in their practices of internationalization (as well as intranationalization). Instead, the limited evidence only reflects some signs of “cosmopolitanization” mainly as an expansion of scope in the field. However, the internationalization initiatives, which consist of expanding the higher education sector, recruiting nonlocal students and academic staff, developing more translocal research networks, and strengthening them by hiring more nonlocal researchers and junior academics, are based more or less on socioeconomic needs and political goals. This belief inevitably encourages or pushes more local players to act translocally.

The findings of this study reveal that HER in Hong Kong is partially able to connect with a larger research community without losing touch with the local community. This “walking on two legs” approach may demonstrate the idea of “anchoring globalization” (Postiglione 2013) and provides a conceptual framework for concurrent engagement at the local, national, and global levels. Importantly, although HER in Hong Kong cannot become fundamentally translocal or transnational in the current phase, the special historical background of the city-state allows it to be more easily relaxed from the state-centric perspective.⁶ This constitutes an argument that a cosmopolitan turn can exist in the dynamics and transformations of the research community on higher education in Hong Kong and in turn develop a cosmopolitan vision in the higher education sector.

Notes

1. According to Tight (2004), two major approaches are used in HER: the policy approach and the teaching and learning approach (also see Horta and Jung 2014).
2. An increasing integration and interdependence of socioeconomic domains is found between Hong Kong and mainland China during the post-1997 era.
3. The authors wish to thank Anatoly Oleksiyenko, Lina Vyas, and Shuangye Chen for the information on the recent developments of HER at their universities.
4. In this study, local researchers on higher education refer to higher education researchers who have affiliations with HEIs or other organizations in Hong Kong.
5. These eight public HEIs, which are funded by the government through the UGC, form the core part of the higher education system in Hong Kong.
6. Beck (2003) noted that cosmopolitanization refers to a transformation process with which all social development would become fundamentally transnational.

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Chapter 9

Higher Education Research in South Korea: Research Themes and Methodologies in National Journals

Jisun Jung

Abstract This chapter explores the development of higher education research in South Korea (Korea, henceforth) from international and national perspectives. It first presents a brief historical background of higher education research in Korea in terms of academic programs, related associations, and specialized journals. The chapter points out the limited international engagement of the higher education research community in Korea and particularly focuses on the analysis of higher education research publications in national journals in terms of research themes, methodologies, and levels of analysis. The results show that higher education research in Korea has been heavily focused on policy studies at the national level and some student issues at the individual level. Moreover, research has mostly been based on quantitative methodological approaches and document analysis. The study suggests that higher education research in Korea needs to be more internationally engaged and more diversified in terms of research themes and methodologies.

Introduction

Higher education research is widely regarded as a subdiscipline of education rather than an independent field of study, and it is object-focused based on a broad range of disciplines (Altbach et al. 2006; Teichler 1996). Higher education research has normally progressed when the system expands (Jones 2012) as it needs more structured information gathering and a broader academic lens to interpret certain phenomena and provide practical advices (Altbach et al. 2006). For this reason, there is a huge difference in the development of higher education research between regions depending on the maturity of their higher education systems. Some countries, such as the USA, have accumulated numerous documents for higher education research at the national and institutional levels, and they also have advanced academic programs at

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the master's and doctoral levels (Altbach et al. 2006). Europe also has a relatively long history of higher education research although its focus is somewhat different from that in the USA (Tight 2008; Teichler 1996).

On the other hand, interest in higher education research in Asia only started very recently. Despite the rapid growth of higher education in Asia (Marginson 2011), its research community has had limited scope and audiences. Although some researchers, including Arimoto (2000) and Chen and Hu (2012), have examined the development of higher education research in Japan and China, these studies were not sufficiently conducted in other Asian higher education systems. Recently, some researchers such as Jung and Horta (2013, 2015) conducted an analysis of higher education research in Asia based on international publications and collaboration patterns, and they found that international publications in the higher education field among Asian authors were very limited and relied on collaboration with authors from English-speaking countries. Their studies are meaningful in that they shed light on the evolution of higher education research in Asia. However, their approach was limited since they only focused on international publications with a lack of understanding of the local context. As Marfarlane and Grant (2012) pointed out, understanding the development of higher education research cannot be done without reference to national systems. In fact, some East Asian countries have a long history in their national higher education research communities.

This chapter explores the development of higher education research in South Korea (Korea, henceforth). The Korean higher education system has grown rapidly during the last 60 years in terms not only of size and scale but also of quality. With the development of higher education, the higher education research also has become specialized and professionalized (Jung 2015). In this context, the chapter first briefly examines the historical background of higher education research in Korea in terms of academic programs, related associations, and specialized journals. The study also points out the limited international engagement of the higher education research community in Korea. The chapter particularly focuses on the analysis of higher education research publications in national journals in terms of research themes, methodologies, and levels of analysis.

From the 1960s to the 2010s

Higher education research in Korea began in the late 1960s, but the research agendas have mostly been driven by the government rather than by the academic community. Jung (2015) presented the initial organizations for higher education research in Korea at the government level, such as the Division of Higher Education Committee supervised by the Educational Policy Department, Ministry of Education (formed in 1968), the Korean Educational Development Institute (KEDI) (formed in 1972), the Korean Council for University Education (KCUE) (formed in 1982), and the Korean Research Institute for Vocational Education and Training (KRIVET) (formed in 1996). These institutes are fully or partially supported by the government in terms

of funding resources, and due to the nature of the sources of funding, they have mostly conducted policy-oriented research and focused on publishing policy reports rather than academic journals. As other higher education systems have already experienced, the main functions of these institutions are to consult and support central and local governments on higher education issues (Chen and Hu 2012). For example, with the 5.31 Education Reform in 1995, the Korean government announced several higher education reform policies including quality assurance and a university evaluation system, an academic promotion system, and the restructuring of several legal issues. Since then, higher education research has been highly active, focusing on the main policy reform issues from an academic perspective. This developmental process is similar to what happened in education research in different contexts. For example, as Hofstetter (2012) pointed out, education research becomes highly active and socially engaged when there is a need to respond to certain social and professional demands.

Higher education research in Korea is relatively new and underdeveloped but an emerging field (Jung 2015). It is difficult to define higher education research as an independent academic field in Korea as it still has a limited number of specialized academic programs and academic appointments. It also has a limited number of national scholarly associations and the emergence of core journals, which are the requirements of a new academic field (Bayer 1983; Blackwell and Blackmore 2003; Jones 2012). First of all, having an academic program matters as a response to demands for specialized knowledge and skills (Jones 2012). Jung and Horta (2013) have already pointed out the challenges to higher education research in East Asia, and these challenges are mostly related to the small number of academic programs specializing only in higher education. Exceptionally, China has 10 PhD and 60 master's higher education programs (Li 2005), and Japan has a few programs, but other countries in Asia have a very limited number of degree programs. Most universities do not have higher education programs at the postgraduate level. Although some colleges of education provide a small number of higher education-related curricula, they are mostly subprograms under the educational administration or lifelong education. Only three university research institutes exist that focus on higher education research in Korea (Rumbley et al. 2014), and other research institutes conduct higher education research partly when they focus on education research in general. Most education issues are related to primary and secondary schools, while higher education has been mostly ignored by researchers in the field of education, as Altbach et al. (2006) pointed out. Despite the small number of academic programs specializing in higher education, it is promising that more academics are specializing in higher education in recent years. A few major research universities in Korea, including Seoul National University, Korea University, Yonsei University, and Sungkyunkwan University, have recruited academics specializing in higher education, and they have been actively engaged in higher education nationally and internationally.

It is believed that having a core journal is essential to build a field of study (Bayer 1983), but there is no academic journal exclusively focusing on higher education research in Korea. Instead, researchers publish their articles in education journals such as *Educational Administration*, the *Journal of Economics and Finance of*

Education, and *Educational Sociology* (Shin et al. 2008; Byun 2009; Kim et al. 2010). Higher education researchers in Korea have a scholarly association, which is called the Korean Society for the Study of Higher Education Policy and was formed in 1988; however, most members in the association overlap with the Korean Educational Administration Society instead of being exclusively affiliated with the higher education association. Moore's (1989) comment, "higher education is a sister field of educational administration," is still employed in the Korean context.

International Perspective

The increased interest in the research community based on a common identity complements the development of higher education itself (Teichler 1996). In this process, engaging an international higher education research community is critical as several higher education systems share similar challenging issues regionally and globally, and they require mutual understanding to resolve issues (Jung and Horta 2013). However, higher education research in Asian countries has been nationally oriented for several decades (Arimoto 2000), and several scholars including Chen and Hu (2012) argue that more efforts are needed to strengthen the Asian higher education research community at the international level.

Higher education research in Korea is particularly less active in the international community. According to Jung and Horta's (2013) research, which compared the number of publication in international higher education journals among Asia countries, Korea is ranked eighth. Authors affiliated with Korean institutions published only 25 articles in higher education-specialized journals from 1980 to 2012. Compared to the scale (i.e., high enrollment rate) of higher education in Korea, this is somewhat disappointing. For example, academics in a small-scale higher education system like Hong Kong produced five times as many articles in international journals during the same period. The results show the underrepresentation of Korean-based authors in international journals, and it is also presents a continuing national focus trend in higher education research in Korea. As Chen and Hu (2012) have already pointed out in the Chinese context, international higher education research in Asia is still limited since it is very much based on individual networks, foreign visitors, translations of classic works, and returning scholars educated overseas.

Jung and Horta (2013) also compared coauthorship patterns of each country to see the collaboration trend of higher education research in Asia. Authors in Korea rely heavily on international coauthorship when they publish articles in international journals. On other hand, the number of articles based on domestic collaboration is very unusual. For example, there have been 12 coauthored articles between Korean authors and international authors, but there have been only 2 articles between Korean authors. Interestingly, those 12 articles were all written with US-based coauthors, which indicates that collaboration with authors from Asian regions or other European countries is very rare. In the following analysis conducted by Jung and Horta (2015), which included a broad range of journals, not only higher

education-specialized journals but also social science journals, the result shows a similar trend. Of the coauthored articles related to higher education, 69% are coauthored by peers based abroad. In addition, Korea is the country with the lowest collaboration with other Asian countries in higher education research; instead, it relies overly on collaboration with US authors on issues that are of interest. Researchers attribute these results to the fact that the majority of academics in social science and education in Korea were trained in the USA for their PhDs, and their influence remains when they return to Korea and conduct their research, in terms not only of individual networks for coauthorship but also of the theoretical and methodological frameworks that they apply.

With these developmental trends, Jung (2015) discusses the challenges in balancing national and international perspectives in higher education research in Korea. Although higher education research in Korea has developed rapidly during the past three decades in terms of diverse themes and methodologies, its drivers have been focused on national peer-reviewed journals, and two academic communities at the national and international level are separately employing different participants and strategies.

Journals: Where Is Higher Education Research Being Published?

To explore the main research themes and methodologies in Korean higher education research, this study selected key national journals in the field of education. Since there is no independent journal specializing only in higher education, the study selected journals that include higher education research most frequently. Although a number of journals include higher education research themes, this study selected 16 journals based on Jung (2015)'s classification. They are all peer-reviewed journals and registered in the Korean National Research Foundation. As Table 9.1 indicates, a number of journals are highly active in publishing articles in the field of education, and the total number of such articles from 1995 to 2012 was 7956. Among these 7956 articles, 1385 articles are related to higher education, with an average of 17.4% of the content of each journal related to higher education. There are differences between journals in terms of the proportion of higher education research. For example, 27.4% of the content of *The Journal of Economics and Finance of Education* is related to *higher education research*, while only 10.2% of the content of *The Journal of Educational Evaluation* concerns higher education-related issues. Despite the differences between journals, it is common that the number of higher education-related articles from all journals has increased in recent years. This study selected four main journals based on a reasonable number of articles for analysis and online accessibility: the *Korean Journal of Educational Administration*, *The Journal of Career Educational Research*, the *Korean Journal of Comparative Education*, and *The Journal of Economics and Finance of Education*.

Table 9.1 Number of articles in higher education

Journal	Total number of articles in 1995–2012	Number of articles with higher education themes	Percent(%) of higher education research in a journal
<i>Korean Journal of Educational Administration</i>	1057	219	20.7
<i>The Journal of Career Educational Research</i>	502	132	26.3
<i>Korean Journal of Comparative Education</i>	490	124	25.3
<i>The Journal of Economics and Finance of Education</i>	420	115	27.4
<i>The Journal of Vocational Education Research</i>	543	103	19.0
<i>Korean Journal of Educational Research</i>	768	96	12.5
<i>The Journal of Korean Education</i>	592	91	15.4
<i>Asian Journal of Education</i>	441	85	19.3
<i>The Journal of Educational Information and Media</i>	419	68	16.2
<i>Journal of Educational Technology</i>	556	60	10.8
<i>The Journal of Law in Education</i>	294	58	19.7
<i>Korean Journal of Sociology of Education</i>	462	55	11.9
<i>The Journal of Educational Evaluation</i>	527	54	10.2
<i>Journal of Vocational Education & Training</i>	255	44	17.3
<i>The Korean Educational Review</i>	330	41	12.4
<i>The Journal of Research in Education</i>	300	40	13.3
Total	7956	1385	17.4

Themes: What Areas of Higher Education Have or Have Not Been Researched?

This study followed Tight's (2004, 2012) eight categories to examine main research themes in higher education and added one new research theme, internationalization. The nine themes are related to the following issues:

- Teaching and learning: student learning, different kinds of students, teaching in higher education, the “how to” genre
- Course design: the higher education curriculum, technologies for learning, student writing, assessment, postgraduate course design

- Student experience: accessing higher education, the on-course experience, success and non-completion, the postgraduate experience, the experience of different student groups, the transition from higher education to work
- Quality: course evaluation, grading and outcomes, national monitoring practices, league tables, system standards
- System policy: the policy context, national policies, comparative policy studies, historical policy studies, funding relationships
- Institutional management: higher education management practice, institutional leadership and governance, institutional development and history, institutional structure, economies of scale and institutional mergers, relations between higher education, industry, and community
- Academics: academic roles, academic development, academic careers, women and minority ethnic academics, the changing nature of academic work, academic work in different countries, nonacademic work
- Knowledge: the nature of research, disciplinarity, forms of knowledge, the nature of the university
- Internationalization

As Table 9.2 shows, research themes are very diverse in higher education although some research themes are much more popular than others. Articles about system policy are the most frequently published in educational journals (32.8%) even if we consider certain differences in the focus of journals. For example, *The Journal of Career Educational Research* is highly specialized in student issues (80.0%), while policy issues are less regarded in general. On the other hand, it is

Table 9.2 Research themes in higher education

	<i>Korean Journal of Educational Administration</i>	<i>The Journal of Career Educational Research</i>	<i>Korean Journal of Comparative Education</i>	<i>The Journal of Economics and Finance of Education</i>	Total
Teaching and learning	5 (2.3)	–	–	–	8 (1.4)
Course design	13 (5.9)	18 (13.8)	18 (14.5)	1 (0.9)	51 (8.6)
Student experience	28 (12.8)	104 (80.0)	5 (4.8)	33 (28.7)	170 (28.8)
Quality	30 (13.7)	2 (1.5)	31 (25.0)	10 (8.7)	73 (12.4)
System policy	83 (37.9)	2 (1.5)	45 (36.3)	64 (55.7)	194 (32.8)
Institutional management	39 (17.8)	2 (1.5)	6 (4.8)	6 (5.2)	53 (9.0)
Academics	17 (7.8)	1 (0.8)	9 (7.3)	–	27 (4.6)
Knowledge	3 (1.4)	1 (0.8)	–	–	4 (0.7)
Internationalization	1 (0.5)	–	9 (7.3)	1 (0.9)	11 (1.9)
Total	219 (100.0)	130 (100.0)	124 (100.0)	115 (100.0)	591 (100.0)

clear that policy issues are the most popular ones in several key journals such as *The Journal of Economics and Finance of Education* (55.7%), the *Korean Journal of Educational Administration*, and the *Korean Journal of Comparative Education* (36.3). Student issues are also frequently published in several journals including the *Journal of Career Educational Research*, *The Journal of Economics and Finance of Education* (28.7%) and the *Korean Journal of Educational Administration* (12.8%). Student issues are less common in the *Korean Journal of Comparative Education* since a comparative perspective is more useful in discussing macro-level issues including policies rather than individual student matters. On the other hand, specific themes such as quality and internationalization (7.3%) are relatively important in the *Korean Journal of Comparative Education* (25%) as the concept itself has been initialized in the global context, and authors have interpreted issues from a comparative education perspective. Topics regarding institutional management are the most frequently published in the *Korean Journal of Educational Administration* (17.8%). Course design topics appear in some journals such as *The Journal of Career Educational Research* (13.8%) and the *Korean Journal of Comparative Education* (14.5%), while they are less regarded in different journals. Other topics such as teaching and learning, academics, and knowledge are not common in selected journals, and they are explored less frequently.

Although the nine research themes well describe in general what has or what has not been researched in higher education, it was difficult to see what specific issues were studied. Therefore, the study elaborated research themes based on subthemes, as Table 9.3 demonstrates. For example, topics regarding teaching and learning deal very little with learning experience, learning community, and teaching and learning competency. On the other hand, there are various other topics regarding course design, and many of them include case studies such as implementations of new courses. Some curriculum issues such as curriculum for freshmen, postgraduate education, teacher education, online learning, and general education are also important in course design. It was expected that there would be a lot of different issues regarding students' experience; however, the results showed that some topics are dominant in student issues. For instance, employment issues such as job search and job performance are regarded as extremely important, and other issues including access, admission, or student loan are also commonly studied. The issue of quality is mostly defined with a few dimensions such as university evaluation, program evaluation, organizational effectiveness, and quality assurance. The system policy theme includes several subtopics, with reform policy, finance, tuition and scholarship, legal action, and marketization being well-developed research areas. In addition, when the government implements new policy programs, several articles are published to analyze the effectiveness of those programs. The theme of institutional management is intensively discussed in the *Korean Journal of Educational Administration*, and several topics have been discussed in the journal such as governance and culture, funding management, autonomy, student recruitment, leadership and presidency, and university social services. Regarding the theme of academics, most articles focus on the human resource management perspective such as recruitment, salary, promotion, evaluation, and related legal issues rather than on academ-

Table 9.3 Research topics in higher education

	<i>Korean Journal of Educational Administration</i>	<i>The Journal of Career Educational Research</i>	<i>Korean Journal of Comparative Education</i>	<i>The Journal of Economics and Finance of Education</i>
Teaching and learning	Learning experience (1)	Learning experience (1)		
	Learning community (1)			
	Learning competency (2)			
	Teaching competency (1)			
Course design	Implementation of new courses (3)	Implementation of new courses (3)	Implementation of new courses (7)	Implementation of new courses (1)
	Teacher education (2)	Programs for freshmen (1)	Teacher education (1)	
	Programs for freshmen (2)	Curriculum design (1)	Programs for freshmen (1)	
	General education (1)	Career development program (13)	General education (5)	
	Postgraduate education (2)		Credit system (1)	
	Credit system (1)		Curriculum design (3)	
	Online learning (1)			
	Course satisfaction (1)			
	Access, enrollment, and dropout (6)	Access, enrollment, and dropout (3)	Self-esteem (1)	Access, enrollment, and dropout (4)
	Student loan (2)	Extracurricular activities (1)	Academic achievement (1)	Student loan (6)
Student experience	Academic achievement (5)	Job search (20)	Admission (2)	Academic achievement (2)
	Extracurricular activities (1)	Job performance (2)	Job search (1)	Extracurricular activities (1)
	Admission (4)	Gender (2)	Diverse background of learner (1)	Private tutoring (9)
	Job search (3)	Career development (74)		Admission (1)
	Job performance (5)	Cognitive development (2)		Job performance (10)
	Graduation requirement (1)			
	Student mobility (1)			

(continued)

Table 9.3 (continued)

	<i>Korean Journal of Educational Administration</i>	<i>The Journal of Career Educational Research</i>	<i>Korean Journal of Comparative Education</i>	<i>The Journal of Economics and Finance of Education</i>
Quality	University evaluation (17) Quality assurance (3) Organizational effectiveness (2)	Program evaluation (1) Quality assurance (1)	University evaluation (19) Quality assurance (10) Organizational effectiveness (1)	University evaluation (1) Quality assurance (2) Organizational effectiveness (5)
System policy	Course evaluation (8) University reform (17) Market (2) Finance (7) Public vs. private university (7) Policy for local university (2) Admission policy (11) Tuition and scholarship (8) New institutions (7) New policy programs (12) Degree awarding system (3) Science and research policy (3) Legal issues (4)	Admission policy (2)	Quality of teaching (1) University reform (24) Market (2) Finance (4) Admission policy (13) Tuition and scholarship (1) New institutions (1)	Program evaluation (2) University reform (1) Market (1) Finance (23) Public vs. private university (6) Policy for local university (2) Community college (3) Admission policy (1) Tuition and scholarship (19) New policy programs (5) Science and research policy (2) Legal issues (1)

Institutional management	Funding management (5)	Student recruitment (1)	Managing new institution (2)	Funding management (4)
	Governance (4)	University-industry collaboration (1)	Institutional autonomy (1)	Student recruitment (2)
	Managing new institution (2)		Student recruitment (1)	
	Institutional autonomy (6)		Program management (2)	
	Program management (2)			
	Student recruitment (2)			
	Administrative staff development (4)			
	University leadership and presidency (6)			
	Alumni (1)			
	Culture (1)			
Environment (2)				
Social service (3)				
University-high school collaboration (1)				
Academics	Academic recruitment (7)	Human resource management (1)	Academic recruitment (4)	
	Evaluation: promotion and tenure (4)		Evaluation: promotion and tenure (1)	
	Research productivity (2)		Salary (1)	
	Teaching activities (1)		Gender (1)	
	Academic freedom (1)		Professional development (1)	
	Patent (1)		Human resource management (1)	
	Legal right (1)			
Knowledge	Research trend (1)	Research trend (1)		
	Academic capitalism (1)			
Internationalization	Mobility program (1)	Foreign students (1)	Foreign students (1)	Internationalization policy (1)
			International exchange program (1)	
			Internationalization policy (7)	

ics' daily activities. There is a lack of research on knowledge issues in general. The internationalization theme focuses on foreign students' experience or government policy for internationalization strategy.

Methodologies: How Has Higher Education Been Researched?

This study also examined the research methodologies that were used in selected publications following Tight's (2004, 2012) classification. Those methodologies are as follows (see Tight 2012 for more details):

- Case study: practices in specific departments or institutions (as described by authors)
- Action research: small-scale, evaluative case studies, which mainly examine the application of innovative practice or policy within a course, department or institution
- Ethnography: the study of people in their natural settings (i.e., examining the lives of academics and students within universities)
- Document analysis: most studies include documentary analysis, but this indicates text analysis no further than a reference to the existing research or policy literature on the topic (i.e., historical studies, literate reviews)
- Interviews: asking people questions and listening to their responses (i.e., structured, semi-structured, unstructured, conversational, depth, individual, group or focus)
- Multivariate: quantitative in nature, based on questionnaires offering multiple-choice answers
- Critical: taking a critical perspective on the issues, seeking solutions
- Conceptual: concerned with ideas and their contested meanings
- Auto-/biographical: qualitative in nature, focusing on individual experience

As Table 9.4 indicates, multivariate studies were the most common analytical method in some journals, in particular, studies about students' careers and the financing of higher education frequently apply quantitative research methods. In other journals such as the *Korean Journal of Educational Administration* and the *Korean Journal of Comparative Education* employ document analysis and conceptual analysis in many studies. The results are consistent with previous studies in different contexts. Volkwein et al. (1988) showed that multivariate studies based on survey or secondary data sources are the most common method of analysis in higher education research, and other methods including descriptive policy critiques and small-scale, evaluative case studies are also common (Hayden and Parry 1997; Tight 2003). Tight (2011) pointed out that there is a lack of diverse methodological approaches to higher education research, and new methods need to be introduced, including auto/biographical and observational studies. For a long time, higher education research in Korea has relied on documentary analysis, and authors have focused on introducing policy documents from government or secondary documents from other countries' cases; however, empirical analysis has been increasing in recent (Jung 2015).

Table 9.4 Research methodologies in higher education

	<i>Korean Journal of Educational Administration</i>	<i>The Journal of Career Educational Research</i>	<i>Korean Journal of Comparative Education</i>	<i>The Journal of Economics and Finance of Education</i>	Total
Action research	11 (5.0)	8 (6.1)	–	3 (2.6)	22 (3.7)
Biography	1 (0.5)	1 (0.8)	–	–	2 (0.3)
Case study	14 (6.4)	–	6 (4.8)	3 (2.6)	23 (3.9)
Conceptual	24 (11.0)	–	1 (0.8)	2 (1.7)	27 (4.6)
Critical	19 (8.7)	–	1 (0.8)	9 (7.8)	29 (4.9)
Documentary	78 (35.6)	10 (7.6)	112 (90.3)	33 (28.7)	233 (39.5)
Ethnography	–	–	–	–	–
Interview	5 (2.3)	4 (3.0)	1 (0.8)	–	10 (1.7)
Multivariate	65 (29.7)	108 (81.8)	3 (2.4)	65 (56.5)	241 (40.8)
Scientometrics/bibliographic	2 (0.9)	1 (0.8)	–	–	3 (0.5)
Total	219 (100.0)	132 (100.0)	124 (100.0)	115 (100.0)	590 (100.0)

Table 9.5 Level of analysis in higher education research

	<i>Korean Journal of Educational Administration</i>	<i>The Journal of Career Educational Research</i>	<i>Korean Journal of Comparative Education</i>	<i>The Journal of Economics and Finance of Education</i>	Total
Individual	45 (20.5)	100 (75.8)	4 (3.2)	32 (27.8)	181 (30.7)
Course	9 (4.1)	20 (15.2)	16 (12.9)	1 (0.9)	46 (7.8)
Department	5 (2.3)	–	2 (1.6)	–	7 (1.2)
Discipline	3 (1.4)	1 (0.8)	–	–	4 (0.7)
Institution	67 (30.6)	9 (6.8)	29 (23.4)	28 (24.3)	133 (22.5)
Policy (program)	20 (9.1)	2 (1.5)	17 (13.7)	18 (15.7)	57 (9.7)
Region	6 (2.7)	–	–	3 (2.6)	9 (1.5)
Nation	61 (27.9)	–	46 (37.1)	32 (27.8)	139 (23.6)
International	3 (1.4)	–	10 (8.1)	1 (0.9)	14 (2.4)
Total	219 (100.0)	132 (100.0)	124 (100.0)	115 (100.0)	590 (100.0)

Research methodologies are also related to the limited levels of analysis. The majority of the analyses focused on either the individual or the national policy level, as shown in Table 9.5. For example, in the *Korean Journal of Educational Administration*, 20.5% of the studies were at the individual level, while 27.9% were at the national level. Studies at the individual level were also common in the *Journal of Career Educational Research* (75.8%) and in the *Journal of Economics and Finance of Education* (27.8%), and they mostly focused on student issues. Studies at the national level were also popular in the *Korean Journal of Comparative Education* (37.1%) and the *Journal of Economics and Finance of Education* (27.8%). The results show the lack of a multilevel approach in higher education research, which suggests the need for research on a variety of issues at different levels such as department and regional levels.

Conclusion: Issues and Challenges

Higher education research in Korea has progressed significantly during the last two or three decades in terms of the number of publications; however, engagement with the international community is still limited. Only a few academics publish their research in international journals, with most academics preferring to publish their research in national journals. Although we note the difficulties that non-English-speaking authors have in publishing their articles in international journals (Kwan 2013), there is value to be had in engaging with the international research community to share research ideas and findings in a global context. As higher education has

become globally important and shares common issues across higher education systems, involvement in the international research community offers new chances for academics to have access to new, international research networks of scholars and to disseminate knowledge in the broader research community. This will eventually contribute to the development of policy and practices that might be locally available (Jones 2012).

As Jones (2000) mentioned, a higher education research community emerges during a time when the system has expanded. Higher education research in Korea has also increased in terms of the number of publications, especially in national journals, in line with the expansion of higher education, and it is important to maintain national roots and engage in a national research dialogue. However, even if many educational journals include higher education topics in national education journals and its coverage has increased, the themes and methodologies are still limited. One main finding of this analysis is that policy issues are dominant themes in journals, and most of them are highly contextualized national agendas such as reform policy, new funding schemes, new legal actions, and admission policies including entrance exam issues. Even if we consider the nature of higher education research with an emphasis on social relevance (Teichler 1996), research themes need to be diversified.

A second finding is that some research themes at the individual level, such as academics and students, are also excessively related to the policy dimension to policy dimensions. For example, research on academics mainly concerns personnel policy such as recruitment, evaluation, salary, or legal issues of adjunct academics, and there is a lack of studies about culture, values, ideas, and practices among academics. Regarding student issues, many articles focus on employment problems or admission policy rather than on students' lives at university. In addition, many studies focus on institutionalization rather than practice (Jung 2015). For example, studies on institutional leadership describe the process and regulations for presidency selection rather than the impact of leadership on university culture or governance. A lot of studies on quality focus on indicators and methodologies for evaluation rather than on what the real changes are caused by these evaluation policies (Jung 2015).

Third, there are also many comparative studies in Korean national journals. In general, comparative research is supposed to involve internationally collaborative articles (Kosmutzky & Krucken 2014). However, in Korea, comparative studies are mainly based on existing document analysis without any collaboration with international academics or field research. In many cases, they are simply translations or summaries of policy reports and literature from secondary documents in other languages. This is consistent with the concerns of Teichler (1996), who stated that comparative study often tends to provide sketchy, incomplete knowledge, with a lack of theoretical and methodological rigor despite the growth of its popularity with more accessible information.

Regarding research methodology, although there have been more empirical studies since 2000, the majority of papers are still prescriptive in nature, providing implications for national policies and their implementation, and many of them are based on reviews of the literature including policy reports.

In conclusion, there is still not enough *critical mass* (Jones 2012, p. 711) in higher education research in Korea. Having critical mass is important for moving the field forward as it requires a larger number of core members working on research and a greater investment in research infrastructure. There also needs to be more integration and collaboration between academics from diverse disciplines, and more attention needs to be paid to graduate education to train higher education experts. The results also suggest that higher education researchers in Korea need to be more engaged in the international academic community, applying their research to international discourses. Having diverse perspectives and various actors in research design and the interpretation of findings is important for higher education research (Teichler 1996).

There is no doubt that higher education research has become important both globally and nationally. Higher education research is expected to have a substantive academic growth, and it is also important to have roots in the research imperative and the dynamics of disciplines (Clark 1996). It is also important to realize “what really matters is whether a piece of research is based on sound methods, has something interesting or useful to say and has been properly peer reviewed before publication” (Macfarlane 2011, p. 127).

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Chapter 10

What It Is Like and What Needs to Be Done: A Status Report on Higher Education in Macau and Its Research

Zhidong Hao

Abstract This paper examines what is happening in higher education in Macau, what has been done in its research, and what more needs to be done in the future. We find that higher education research in and about Macau is resembling its history: short, atomized, dispersed, and sketchy. There are few in-depth studies in the form of well-developed papers and books, and they tend to be in English; most are short introductory papers published in Chinese venues in mainland China. And most researchers are from outside Macau. Nonetheless, available research does point to some very important issues such as the problem of vocationalization, the academic and political roles of the professoriate, the professionalization, or the de- and re-professionalization of faculty, among other things. We believe that future research should deal with not only the above issues, but other issues as well such as the mission of higher education, the role of the government in higher education assessment and quality control, student learning experiences, and the postcolonial mentality in higher education development in Macau especially regarding the pursuit of world-class statuses. Research on such issues is very much lacking. We hope that this paper will shed light on the future development of higher education and its research in Macau.

Macau is situated at the west of the Pearl River estuary opposite of Hong Kong at an hour's boat ride in the southern tip of China, and it has a population of over 600,000. But this mini society has a semicolonial and colonial history of 450 years since 1553 before it was returned to China in 1999. There used to be a Catholic college, the College of St. Paul, established by the missionaries in 1594, but it was closed in 1762 after 168 years. As we will discuss below, attempts to build colleges did not succeed until about 200 years later in the early twentieth century. And the major

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university, the University of East Asia, in Macau was not built until 1981. Right now there are 10 postsecondary schools of different orientations and sizes.

Research on Macau's higher education is comparable to its history: intermittent, spotty, and stumbling, and its research community atomized and dispersed. Nonetheless, available research in higher education in Macau does present many of the issues and problems that are manifest in other geographical areas, such as the mission of higher education, whether it meets the needs of the society where it is located, higher education management, institutional autonomy, public and private divide of the higher educational institutions (HEI), the funding of the institution, the role of the professors in governance, etc. This paper attempts to describe (1) the history of higher education in Macau, (2) the findings from the current research on higher education, and (3) what needs to be done in the future.

A Brief History of Higher Education in Macau

When higher education in Macau is discussed in the literature, researchers will inevitably mention the College of St. Paul (sometimes called the St. Paul University College). Indeed, this is the first HEI in Macau established by the Jesuits shortly after the Portuguese settled in the territory. It was a Catholic school financed by the Portuguese King and the city senate and supplemented by donations from other Catholics and lay people (Li Xiangyu 2001:109). The size of the college was small, usually with fewer than 100 students, and fewer than 10 teachers (Li Xiangyu 2001:137–39). The college did teach languages, including Latin, Japanese and Chinese, theology, philosophy, ethics, and arts. Later they added natural science subjects like physics, astronomy, and medicine (Li Xiangyu 2001:79–87). It was closed in 1762 because the Jesuits were arrested and transported to Portugal as a result of the Rites controversy.

Somehow the Portuguese Macau government did not establish an HEI in the next 200 years. In 1900–1904, Gezhi College, the predecessor of Lingnan University, moved to Macau but it did not last long. And then around the 1950s, some Chinese scholars established Huaqiao (overseas) University (1950), Huanan (South China) University (1950), Yuehai Wen Shang (humanities and business) College (1949), and Zhongshan College of Education (Zhongshan Jiaoyu Xueyuan) (1950). But they did not last long either partly because the Portuguese Macau government did not allow them to register, and apparently there was not enough social support. Students then had to go elsewhere for their college education (Lau Sin Peng 2002; Ma Zaoming 2010a). In 1981, some Hong Kong businessmen were able to convince the Macau government to allow them to establish the University of East Asia (UEA). Although two-thirds of the students were from Hong Kong, at least Macau students now had a choice to go to a local university. But if the College of St. Paul was more of a humanities school featuring theology, UEA was mainly a market-oriented and commercialized business school (Ma Zaoming 2010a: 33).

This did not change until 1988 when the government purchased UEA and later changed its name into the University of Macau (UM). Humanities, science and tech-

nology, and other social sciences were gradually introduced. Meanwhile, other colleges and universities were established. Table 10.1 is a summary of the colleges and universities including the date of their establishment and the size of the HEI regarding students and faculty as of 2012/2013.

Table 10.1 HEIs in Macau as of 2012/2013

	Year established	Number of students as of 2013 (full time unless specified)	Number of faculty as of 2013 (both part time and full time)	Nature of the school
University of Macau (UM)	1981 (UEA)	8481	598	Public
	1991 (UM)			
Macau Polytechnic Institute (MPI)	1991	2961	351	Public
Institute for Tourism Studies (IFT)	1995	1573	109	Public
Macau Security Force Superior School (MSFSS)	1988	73	42	Public
City University of Macau (CityU)	1992 (AIOU) ^b	1296 + 482 (part time) = 1778	109	Private
	2011 (CityU)			
University of St. Joseph (USJ)	1996 (IIUM) ^c	1684	145	Private
	2009 (USJ)			
Kiang Wu Nursing College of Macau (KWNCM)	1999	246 + 59 (part time) = 305	32	Private
Macau University of Science and Technology (MUST)	2000	10,365	466	Private
Macau Institute of Management (MIM)	1984	362 (part time)	38	Private
Macau Millennium College (MMC) ^a	2001	194	26	Private

Sources of data: Mark Bray et al., with Roy Butler, Philip Hui, Ora Kwo & Emily Mang (2002), *Higher Education in Macau*, pp. 19–26; Tertiary Education Services Office of Macau government (2013), *Tertiary Education Services Office Annual Book 2012*. For the table and the discussion of the history of Macau’s higher education, see also Hao 2015a, “In Search of a Professional Identity.”
^aThe Macau Millennium College’s Chinese name is Zhong Xi Chuangxin Xueyuan (Sino-Western Innovation College), under the auspices of SJM (Sociedade de Jogos de Macau, S.A.), a corporation whose main business is gambling.

^bAIOU stands for The Asia International Open University (Macau), the previous name of CityU.

^cIIUM stands for The Inter-University Institute of Macau, a joint initiative by the Catholic University of Portugal and the Diocese of Macau. It is the previous name of USJ.

From the names of the HEIs in Macau, one can see that most of them, MPI, IFT, KWNCM, MSFSS, MIM, and MMC, are focused on vocational training, and few are comprehensive to some extent. That raises the question of the mission of higher education, which we will touch on in the following pages. But before we do that, we will summarize what the current research on higher education finds.

Findings from the Current Research on Higher Education in Macau

There are several characteristics of research on higher education in Macau. First, very few researchers are based in Macau. Most of them are from mainland China universities and a few are also from Hong Kong. There is really no community of scholars or an independent academic field in higher education studies in Macau. The few who are based in Macau have touched on higher education research only as one of their research interests and have not published on higher education consistently. These may include Lau Sin Peng (2002, 2009), Li Xiangyu (2000, 2001), Shan Wen Jing and Jeong Sao Leng (2008), Jinting Wu and Sou Kuan Vong (2015), Hebert Yee (2009), and Zhidong Hao (2014, 2015a, b), among others. Second, most of the research is not by local scholars and is published in Chinese journals based in mainland China rather than in English journals elsewhere, and they tend to be short introductory papers of the history and development of Macau's higher education. These may include among others Zhong Haiyi (2000), Xu Fengshan (2004), Yuan Changqing, and Jiang Jian (2012) (see the bibliography for more examples). Even the few books on Macau's education, which touch on higher education, tend to be introductory in nature (see, e.g., Feng Zengjun and Li Yiming 1999; Ramsey Koo and Ma Qingtang 1994). Third, there are very few in-depth papers and books, and they tend to be comparative studies between Macau, Hong Kong, and/or other places, for example, Yung Man Sing (2002), Hui Kok Fai and Poon Lai Man (2002), Ma Hing Tong (2002), Bill Chou (2012), Zhidong Hao (2014, 2015a, b), Jinting Wu and Sou Kuan Vong (2015), Mark Bray et al. (2002), and Mark Bray and Ramsey Koo (2004), and they tend to be in English.

Fourth, nonetheless, it is fair to say that the available research has pointed out the major issues on higher education research in or about Macau. These major issues include (1) the mission of higher education and its vocationalization, (2) the role of the government and the autonomy of higher education governance, and (3) academic freedom, professionalization, and the role of professors. In the following pages, we will discuss these issues, respectively.

The Mission of Higher Education and Its Vocationalization

As we mentioned earlier, vocationalization of higher education is one major feature in Macau. The University of East Asia was established for profits and featured commercial and business programs in its curriculum (Ma Zaoming 2010a:33). In a way,

it was meant to train professionals, although it began to develop into a comprehensive university after the government bought it in 1988. The Macau Polytechnic Institute (MPI) also emphasizes applied and technical disciplines, supplying Macau with people with practical skills. MPI's website states that it "is a public institution of higher education with an emphasis on applied knowledge and skills."¹ Indeed, MPI has six schools, the names of which indicate their orientations: Languages and Translation, Business, Public Administration, Physical Education and Sports, Arts, and Health Sciences. The Institute for Tourism Studies (IFT) is similar. It "offers degrees and professional programmes in a wide range of tourism-related disciplines such as hospitality, tourism business, heritage, events, retail and marketing, leisure and entertainment, sports and recreation, creative and cultural studies, and culinary arts."² If the nursing school and the security force school are specifically built to train professional and technical workers, then Macau Institute of Management and Macau Millennium College are training only management personnel. In fact, even if the UM, CityU, USJ, and MUST all seem to strive to be comprehensive universities, they have large programs of business administration and other applied disciplines.

The question is then what the mission of a college or university is, and whether it is enough to train only skilled workers and professionals. Do comprehensive universities have enough courses on humanities and social sciences? Should non-comprehensive universities, or polytechnics, also have humanity and social science training for their students? The MUST has a general education program. Should that be a way for other technical schools to deal with this problem? In their study on higher education in Macau, Bray et al. (2002:81–84) discuss in some length about this binary system with universities on one hand and polytechnics on the other. They suggest that the binary system be maintained, and MPI should not be upgraded into a university. But even if that is the case, more humanities and social sciences should be offered in polytechnics so that a university or college graduate is equipped with a well-rounded training to be able to face with life's many challenges.

At any rate, the mission of the college or university and the vocationalization of universities merit researcher's serious attention. This is true not only with polytechnics but with universities as well. General education may be a must in both kinds of institutions. I will also discuss below the issue of corporatization and commercialization, which is related to the mission of the university and the problem of vocationalization.

¹See MPI's website at http://www.ipm.edu.mo/en/general_information.php, last accessed on January 18, 2015.

²See IFT's website at <http://www.ift.edu.mo/EN/information/Home/Index/126>, last accessed on January 18, 2015.

The Role of the Government and Autonomy of University Governance

The government has always played a key role in higher education in Macau. As we mentioned above, the Portuguese government played a big role in the financing of the College of St. Paul. The Portuguese Macau government did not want to register the colleges around the 1950s, which is one of the reasons why they were disbanded (Ma Zaoming 2010a:32). The government bought the University of East Asia partly because it wanted the University to teach Portuguese (Ma Zaoming 2010a:33). Financially the government rules and regulations also constrain how public universities spend their money on purchases and personnel (Xie Anbang and Zhang Hongfeng 2009). The government has not only invested heavily in the public institutions, such as the UM, MPI, and IFT, but private ones as well such as the MUST, CityU, and USJ, although the funding of some private universities is often viewed as favorite treatment of government officials' own political allies (Bill Chou 2012:9; Ng Kuok Cheong 2009:41).

Whatever is the case, there is a lack of studies on the government's rationale in financing some and not others. And there is no study on how the money is spent and whether it is spent wisely. The investment in the new campus of the UM far exceeded its budget, almost double its amount to about 2 billion USD, but no one knows exactly why. And no one knows why so much money was spent but the workmanship was so substandard (Wu Jinting and Vong Sou Kuan 2015). The faculty has no voice in budget planning and its execution.

Other than financial investment and lack of consultation with faculty on how the money is spent, the government has largely left the universities to manage themselves. Quality control is pretty much done with whatever methods the universities themselves want (Ma Zaoming 2010b). There has been, however, discussion as to an overall evaluation system both in terms of academic and administrative affairs, and the government's Tertiary Education Services Office may play a more important role in assisting the evaluation (Ma Zaoming 2009; Zhang Hongfeng 2012; Zhang Yunhong and Feng Zengjun 2011). The University of Macau has also been rewriting its charter to become more independent of the government in the use of government money and other areas of management. But these are all work in progress, and there are no in-depth studies of the rationale and processes of the reform.

Meanwhile, however, some researchers point out that there is a lack of university autonomy and academic freedom. One researcher points out that public universities are constrained by government wills in terms of curricular issues and academic management (Xie Anbang 2010). But this researcher does not give much detail as to how that works. We will examine these issues now.

Academic Freedom, Professionalization, and the Role of Faculty

Although the government role is important, academic freedom and professionalization may have more to do with each and every college and university than with government policies. Zhidong Hao (2015a) studied one university in Macau and found that faculty are largely powerless in terms of curricular planning, recruitment and promotion of faculty, recruitment of academic managers from department chairs up to the deans and rectors, and involvement in the university budgeting, all of which are indicators of academic freedom. In fact, this is not only an issue of a lack of academic freedom, but one of de-professionalization. In other words, faculty are losing their academic calling and professional autonomy, and they are more like alienated workers in the manufacturing industry.

In another paper, Zhidong Hao (2015b) points out that professors play not only academic roles of teaching, research, and service but also political roles of the organic (serving the government, business corporations, and established social movements), professional (keeping a distance to politics), and critical (of the powers that be). Most professors play the organic and professional roles, and few play a critical role. They are encouraged to play the organic role to the government, but their other roles are greatly hampered. When two professors were dismissed in 2014 for allegedly political reasons, that means their critical role is in jeopardy. And if the process of dismissal was lacking in faculty participation, as it was the case with these two professors, their academic freedom is in jeopardy (see Zhidong Hao 2014).

Professors' academic freedom and role playing is hampered by the global trends of corporatization and commercialization (C&C) (Zhidong Hao 2015b). University managers are increasingly seeing themselves as CEOs of a corporation, faculty as increasingly seen as workers, and students as customers. The traditional idea of the university as a community of scholars and relationship between professor and student as partners in learning is being lost. C&C are also infringing on academic freedom and de-professionalizing the faculty.

As Xie Anbang (2010) points out, universities in Macau need to develop a set of principles of academic autonomy and freedom, a culture that can resist the pressures from outside so that professors can do their job in a more relaxed environment. Professor Xie does not elaborate on what he means here, but the implication is obvious. More studies are needed on the issues of academic freedom and professionalization of faculty. We will discuss what needs to be done below.

What Needs to Be Done in the Future

First, researchers have to continue to study how the colleges and universities in Macau define their mission. Policymakers and higher education practitioners need to pay more attention to the trend of vocationalization and the need of at least general education in humanities and social sciences. As David Chan (2008:28, 30) points

out, colleges and universities have to clarify whether the primary mission of the university is to prepare students for jobs or “to prepare well-rounded personalities with critical minds capable of making major contributions to culture, democracy, science, economy and society at large.” They need to be clear about what a “world-class university” means and whether the ruthless pursuit of “world-class university” status dictated by Western standards is serving the local social needs and whether it, in fact, harms faculty morale and performance. Only when they have fulfilled this primary mission of training well-rounded persons can they talk about training professionals for the tourist and casino industries or striving for global rankings.

Second, more studies need to be done to find how professors define and play their roles. What roles are professors playing? Are they playing both academic (teaching, research, and service) and political (organic, professional, and critical) roles? How are they playing them? What are the problems they encounter? How do they solve those problems? Are there faculty organizations? Do they function in terms of faculty benefits, workload, and staff development? How well do they function? Is there any faculty or shared governance? If not, should it be there? How can they develop faculty governance? Can an HEI be of world class if it does not have much faculty governance or academic freedom?

Third, related to the role of faculty and faculty morale, more research is needed in the professionalization, de-professionalization, and re-professionalization of faculty. From Table 10.2, we can see that part-time faculty constitute 50% to 95% of all

Table 10.2 The number of full-time and part-time faculty 2012/2013

	Full time	Part time	% of part-time faculty	% of faculty without a PhD
University of Macau (UM)	524	74	12	30
Macau Polytechnic Institute (MPI)	232	119	34	60
Institute for Tourism Studies (IFT)	73	36	33	71
Macau Security Force Superior School	2	40	95	70
City University of Macau (CityU)	48	61	56	41
University of St. Joseph (USJ)	68	77	53	69
Kiang Wu Nursing College of Macau	21	11	34	66
Macau University of Science and Technology (MUST)	275	191	41	52
Macau Institute of Management	5	33	87	85
Macau Millennium College	5	21	81	35
Total			35 ^a	49 ^b

Source of data: Tertiary Education Services Office of Macau government (2013), *Tertiary Education Services Office Annual Book 2012*, pp. 119. For the table and discussion of the professionalization issue, see also Hao 2015a, “In Search of a Professional Identity.”

^aThe percentages given in the source book are of the number of full-time faculty members. The percentages given here are the results of subtraction of the full-time faculty members from the total percentage.

^bThe percentages given in the source book are the number of faculty members with a PhD degree. These percentages are the results of subtraction of those with a PhD degree from the total percentage.

faculty in five of the ten colleges and universities in Macau, 30–40% in four of them, and only the University of Macau has fewer part-time faculty, but it still has 12% of them. The faculty, administrators, and policymakers all need to realize that college teaching as a profession needs a great deal of academic credentials, academic freedom, autonomy, and above all a calling. How to train graduate students who will be the future teachers in the profession needs to be studied. Once they are on the job, how can they prevent de-professionalization under the influence of corporatization and commercialization? If they are de-professionalized, how can they be re-professionalized? Here is one example.

If we view full-time employment as a greater amount of job security, and a PhD degree as an indication of greater professionalization, more than a third of college and university faculty in Macau have less job security and about a half are not professionalized to a great extent. Does this mean that the part-time faculty and those without a PhD do not enjoy the kind of professional autonomy and academic freedom they are supposed to enjoy? Of course, one can also argue that even full-time faculty do not have job security and do not enjoy a great deal of academic freedom, since there is no tenure system in Macau. This is evidenced when two full-time professors were dismissed in 2014 partly because of their political views and without due process, as I mentioned above (Zhidong Hao 2014). If full-time faculty with PhDs can be dismissed without due process, one can imagine what part-time faculty may experience in terms of the amount of academic freedom and professional autonomy. But these issues of professionalization and academic freedom have to be studied.

Fourth, researchers have to continue to study on how higher education in Macau can maintain its autonomy and find its niches in a globalized world. Bray et al. (2002); Chen Wei (2010); Hu Weiquan and Chen Qinlan (2011); Wu Jinting and Vong Sou Kuan (2015); Yu Rushuang and Chen Xiaohong (2009); Wu Nan, Chen Jian, and Liang Zhenhong (2014); and Yu Yuwen (2013) have all considered the smallness of Macau and how Macau might find its niches in the globalized or globalized world with the geographical, social, and political constraints. On the one hand, Macau is situated in a prosperous part of China, and its economy based on gambling revenues has been largely healthy despite occasional setbacks. It has a history of East-West exchange, especially cultural and religious exchanges, that few places in China can claim. Politically and socially Macau enjoys more freedoms than in mainland China under the “one country, two systems” formula. But on the other hand, the smallness of Macau also makes it vulnerable to external influences. Macau is already facing a serious challenge of mainlandization economically, politically, and socially (see Hebert Yee 2009; Zhidong Hao 2014), and a competition for global rankings (Zhidong Hao 2015a, b).

So the relationship between the government, society, and the university has to be sorted out (Zhang Yunhong and Ma Zaoming 2009). So is the relationship between Macau and mainland China, i.e., the political influence of mainland China on Macau in its academic freedom. Does the mainland constraint on what university professors can say influence the freedom of speech on the part of professors in Macau (see Zhidong Hao and Zhengyang Guo manuscript)? Are student organizations operated

in similar ways as the mainland university student organizations? In what way and to what extent? Studies need to be done on how Macau's higher education can maintain its autonomy so as to not only serve the needs of the society but also build true colleges and universities that do not lose its mission to train students with critical and creative thinking skills.

Fifth, equally important to study are students and their learning experiences. Who goes to college, and what kind of colleges and universities do they go to? What are their studying experiences? Are they equipped with critical and creative thinking skills? There is little study on those issues. For example, is there a stratification of Macau's HEIs? Do students of different socioeconomic backgrounds have the same opportunities to attend the university they want? Li Mei's and Mark Bray's (2006) research on mainland Chinese students in Hong Kong and Macau found that it is virtually impossible for students from workers and peasants families to pay their own costs of education. So those self-paying students tend to come from middle or upper middle class families. What about Macau students? What kind of schools do students from different socioeconomic backgrounds go to? Do they get the kind of training they should get in a university? Lam Fat Iam (2007) criticized some universities for recruiting thousands of MA students without accountability of what they had learned. We do not seem to have any research on these and other issues on students and student learning outcomes.

Sixth, we mentioned de-professionalization above, a related question that is mentioned in the literature but lacks research in is the issue of postcolonialism. A postcolonial mentality can be defined as benchmarking Western universities in managerialism, corporatization, and commercialization, as seen in the pursuit of rankings or world-class universities, even if these concepts have been criticized often by Western scholars. The widespread use of contingent faculty in the USA, who teach more than 50% of the courses in colleges and universities, has been a serious issue in higher education, a key indicator of de-professionalization and marketization. The problem here is that the decolonized peoples may still rely on the colonizers' (in this case colonizers in general, not particularly the Portuguese or the British) policies and philosophies of governance rather than basing those on their own culture and a glocalized vision (see Bill Chou 2012:98; Law 1997; and Mok and Cheung 2011 on colonization issues in Hong Kong; Lin Rongce 2008). Local and indigenous knowledges are marginalized, while professors are de-professionalized. Maybe further decolonization is needed, and higher education needs to strike a balance between local and global knowledges (see also David Chan 2008 and Soudien 2008 on neocolonial and post-colonial perspectives in higher education) and between the management and the faculty.

Conclusion

In this paper, I have first of all briefly described the history of higher education in Macau, and its current status, including the general characteristics of the ten HEIs. In terms of their nature and sizes, we find that six of these institutions are vocational in nature, and four of them each enrolled from 73 to 305 students, while others each enrolled 1573 to 10,365 students as of the year 2012/2013. Regarding the research on higher education in Macau, we find that most researchers are from outside Macau, and most of the research is published in short papers in Chinese. There is a lack of in-depth studies on higher education in Macau. More scholars based in Macau are just beginning to do some in-depth studies now.

Notwithstanding the limitations of the current research on higher education in Macau, scholars do point out a host of interesting issues to study: vocationalization of higher education, a more positive role of the government and more autonomy of higher education governance, the lack of academic freedom, professionalization, and the problems of professors' role playing. What the current research deals with and what it does not deal with all point to the need of future research in the mission of higher education, autonomy of colleges and university and how they may find their niches in glocalization, the academic and political role of professors, (de-, re) professionalization of faculty, student learning experiences, and how higher education can couch their thinking in these issues through the lens of neocolonialism, postcolonialism, and decolonization.

In sum, higher education research in Macau is still a work in progress. Yet the problems it encounters are also problems encountered elsewhere. This paper has examined these problems, and I hope that this analysis will complement other people's research on these important yet understudied issues. I hope that the analysis in this paper will be of some use to both policymakers and higher education practitioners. Colleges and universities are engines of social, economic, and political development of a society, so the studies of how they work and do not work should be of paramount importance and be a serious concern by policymakers and practitioners. It should be a priority item on their research agenda.

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Chapter 11

The Development and Progress of Higher Education Research in Taiwan: Massification Matters

Sheng-Ju Chan and Ting-May Huang

Abstract This paper aims to explore the evolution and characteristics of the higher education research community in Taiwan. In echoing the development of the East Asian region, Taiwan has made substantial progress during the past two decades. The massification of higher education itself has played a major role in promoting the academic differentiation or division of labour, including higher education research area. With the momentum gathered since the 1990s, we have seen the appearance of a professional society and its official journal. A national quality assurance agency and its research arms also promote the deepening of higher education research in Taiwan. Despite more emphases initially on instrumental or management-oriented purposes, higher education research in Taiwan today is moving in diverse and balanced directions, with a variety of themes and methods. However, the lack of a university-level degree program due to constrained graduate employment prospects is inconsistent with the development of massification in higher education. In addition, the incoming large-scale higher education restructuring due to the rapidly declining birth rate has become an unstable factor to the development of this emerging field.

Introduction

Based on the past research conducted in wider academic fields, scholars have come to the conclusion that the scope or nature of academic fields varies substantially according to the dominant methodologies, research foci, knowledge traditions and beliefs, and even key participants. These relevant factors substantially define or

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demarcate the shape, format, content, and even applications of this particular subject. These strong characteristics and features of different academic regimes gradually constitute a unique space and boundary, thereby enabling researchers to conduct their scientific study. In view of the importance of knowledge power and norms, Becher and Trowler (2001) called these phenomena 'academic tribes' with territories, rules, and standards.

Higher education, as a subfield of education or an interdisciplinary topic, has gained wider acceptance among academics across the globe since the 1970s (Clark and Neave 1992). Notable advancements come from several leading scholars in the United States, such as Burton R. Clark, Philip G. Altbach, Clark Kerr, and Martin Trow. Similarly, we have witnessed the prosperous development of higher education research in the European context (Teichler 2013), whereas a wide range of specialized journals and alliances were established. In a similar vein, Asian scholars have paid much more attention to higher education research since the mid-1990s (Jung and Horta 2013). One remarkable case is that of China. Highly connected to the nation-state and communist support, Chinese higher education research has attracted much more attention through the institutionalization of master's level and doctoral programs (Chen and Hu 2012). Some leading scholars from Japan, Korea, Hong Kong, China, and Taiwan sought to establish an Asia Pacific Higher Education Research Association in 2014. All such developments indicate the trend that research in higher education has become an emerging field in the Asian region.

This paper deals with the evolution and characteristics of the higher education research community in Taiwan. The knowledge that gleaned from the empirical findings suggests a rather complicated picture. On one hand, higher education research has increasingly been regarded as an independent academic area in recent years; on the other hand, the lack of a university-level degree program and the limited graduate employment market pose challenges to the formation of a mature subject. Studies were mainly concentrated on policies and systems and institutional management and practices in the initial stage. Such an instrumental approach should be supplemented by the research in teaching, learning, curriculum, course design, etc.

This paper comprises five major parts. First, attention will be devoted to a brief review of the higher education research community. The second section deals with the research methods employed in detailing how data and information are garnered. This is followed by an exploration of the interlinked relationship between massification and higher education research in Taiwan in relation to social, cultural, and economic contexts. The fourth part concentrates on professional societies, journals, and agencies in higher education research. In the fifth part, our analysis extends to the dynamic relationship between the unsuccessful institutionalization of a degree program within the university campus and the constrained graduate labour market. Research themes and methods in Taiwanese higher education research are discussed in the sixth part. After reviewing these main traits and developments, a comprehensive discussion on driving forces, growths, and core issues is presented with a focus on massification.

Higher Education as a Research Community

After more than 100 years of evolution, higher education research has, without a doubt, become a diverse community. According to Harland (2009, 580), this community includes three different groups. First, several persons carry out rigorous research in higher education and regard this as their primary discipline. Most participants in this group, coming from faculties of education or social sciences, devote their academic life to higher education research. The second group tends to consist of part-time researchers, who are typically academics from other disciplines or administrators whose main focus is on teaching and learning in their fields (e.g. designing a chemistry course or program for undergraduate students). The final group within the higher education research community involves those 'who simply have an interest in the field'. The current study focuses on the first group of individuals, who conduct generic higher education research instead of disciplinary higher education research. However, we realize that the higher education community gains support from subgroups and other academic subjects with their own professional journal in higher education. The *Journal of Geography in Higher Education* is an example from the field of geography. Our subsequent investigation into the Taiwanese scenario also echoes this point that other disciplinary researchers somehow expand the scope and content of this emerging field in Taiwan.

In defining higher education research as a community of practice, Tight (2008, 596) asserted that, if a better understanding into this research community is intended, we have to explore 'the topics they study, the methodologies they use, the journals they publish in, their disciplinary backgrounds or some combination of these'. This claim provides a basis for examining the features or characteristics of any research community. Moreover, these distinctive configurations with respect to topics, methodologies, journals, and disciplinary backgrounds present indispensable ingredients to form the topic's identity or recognition from academic peers. Similarly, while discussing the nature of a discipline, Becher and Trowler (2001, 41) argued that the emergence of the international community, professional associations and specialist journals, and differentiated departments/programs are important indicators for assessing the development of this particular field. In this study, we adopt the conceptual frameworks proposed by Tight (2008) and Becher and Trowler (2001) by exploring professional associations, specialized journals, differentiated program, research themes and topics, disciplinary backgrounds, etc.

As previously outlined, higher education research could have diverse natures and complex academic origins or backgrounds. A brief summary about the main themes or topics from three different periods of time can serve to illuminate the changing content of this young research community. Traditionally, major international works before the 1970s focused on the philosophical and historic analysis of the university and their relationship with the wider society, as Cardinal Newman did. However, the main components of themes indexed by Clark and Neave (1992) changed dramatically, including national systems of higher education, higher education and society, the institutional fabric of the higher education system, governance, administration

and finance, faculty and students, teaching, learning and research, disciplinary perspectives on higher education, and academic disciplines. Almost 10 years later, Tight (2003) proposed a classification with respect to research issues in higher education. Eight categories cover teaching and learning, course design, student experience, quality, system policy, institutional management, academic work, and knowledge. Along with the increasing progression of internationalization/globalization, David (2011) identified three major topics in the globalized context: social stratification and mobility in relation to the labour market, widening access and participation in global higher education, and finally social transformation of global higher education. These topics point to the fact that the internationalization of higher education should become another critical issue in the higher education community. In this study, we employ some of Tight's (2003) categories in our subsequent analysis of journal articles.

Research Methods

In order to explore the entire spectrum of the higher education research community in Taiwan, three research methods are adopted to examine this academic field: document analysis, database analysis, and interview. Document analysis is useful for providing relevant information and materials for the current research. In general, the main sources of documents include public records, published materials, meeting minutes, websites, and even regulations/rules (Bryman 2012). In this case, we reviewed academic publications (books and articles) and relevant organizations' websites and content to understand the real outcomes and features of the higher education research community over the past two decades. As professional higher education associations and journals were established in the early 2000s, their institutional missions, activities, and publications are under review as well. In particular, we did a rather thorough analysis of the leading domestic journals with respect to the articles' themes or topics. The in-depth information gleaned from these articles provides insightful perspectives on the focus and development of higher education research in Taiwan.

On top of the document analysis, a major local Chinese database, *Airiti Library* (華藝線上圖書館, <http://www.airitilibrary.com/>), is used as the main source for analysing the research topics/theme and methods of higher education. This online library is one of the most comprehensive databases garnering all types of academic and professional Chinese journals including social sciences and education in general. We used 'higher education' as keyword to do search in November 2015 and obtained 989 papers in total between 1990 and 2015. The collected articles from this survey can provide diverse information with respect to the general development of higher education research in Taiwan for the past two decades. Our focus here is directed on the total publication volume, research themes, and methods.

In addition to the document analysis and database analysis, three key persons were interviewed in 2013 in order to broaden the information sources of this study.

The three interviewees were the *JHE* editor-in-chief (Interviewee A), Taiwan Higher Education Society's (THES) secretary general (Interviewee B), and the director of the Office of Research and Development, Higher Education Evaluation and Accreditation Council of Taiwan (HEEACT) (Interviewee C). All interviews were conducted in January 2013. The interviewees are experienced academics in this field and have comprehensive knowledge about the higher education research in Taiwan because of their professional positions. During the 1-hour interview, they were asked to identify the wider backdrops and incentives for the emergence of the higher education research community; the establishment of specialized academic associations, organizations, and journals; the mainstream research topics and themes; and the provision of higher education programs. Such information is critical in terms of answering research questions.

Massification and Higher Education Research

According to the reviewed documents and interviewees, the increasingly prominent role that higher education research has played since the 1990s is highly related to social, educational, political, and economic transformation. We can even argue that a strong sense of instrumental purpose in problem-solving exists in the higher education community. The most frequently mentioned driver inspiring the emergence of higher education research community is the process of the massification of higher education itself and the relevant issues involved (Interviewees A and B). Since the 1980s, the Taiwanese higher education system has expanded its scope and size by allowing the establishment of more new colleges and universities (mainly private ones) and admitting more secondary school leavers (Wang 2003). This transition from an elite system to a massified system was driven by a series of factors. Economically, as one member of the 'four little dragons', Taiwan's industries had been going through structural transformation from an agriculturally and manually oriented entity to a more technology-, capital-, or even knowledge-oriented economy. Based on the crucial need to provide a more skilled workforce at the tertiary level, the higher education system was encouraged to enlarge so as to cultivate more graduates for the then-emerging labour market. The developments taking place in Taiwan created a more diverse and larger higher education system in a short period of time (Chou and Wang 2012).

Around the same time, the political democratization movement set the major landscape at the societal level. Some politicians and scholars urged all of society to become further democratized by removing inappropriate and illegal regulations and engaging diverse stakeholders in participatory decision-making during the political procedure. Universities in Taiwan were formerly part of governmental organizations and under direct bureaucratic control. The spirit of democratization provoked a general belief that higher education should be liberalized in pursuit of academic freedom and autonomy without governmental intervention (Chan 2010). Based on such objectives, the Education Reform Committee, a high-level advisory board to

the Executive Yuan (行政院), was created in 1995 and advised that the higher education sector should be free from political constraints. The relationship between higher education and government was thus redefined, and universities were granted more decision-making rights and autonomy. A wide range of relevant issues require academic inputs and professional judgments, thereby creating a positive atmosphere for higher education research.

In addition to the economic and political factors in reforming the higher education sector, educational rationale was responsible for providing the required incentives for the formation of the higher education research community. The ‘universal establishment of university and senior high school’ (廣設高中大學), endorsed by the Civil Educational Reform Movement in 1994, was a major appeal in order to cater to the demands for wider access to higher education. In principle, this reform agenda was adopted and transformed into policy by the then (and subsequent) governments, which resulted in a rapid expansion of higher education with respect to the growth in net enrolment rate from 20.98% in 1991 to 68.27% in 2011 (Ministry of Education 2014). The parallel effect on the higher education research community, due to such massification, is the prevalence of academic department/programs in the education field, including centres for teacher education. More undergraduate and postgraduate programs have been established and in turn recruited more academic staff (Interviewee A). These increased academic populations paved the path for new educational research, including higher education. As a matter of fact, we have witnessed new buds appearing during the same period, such as educational administration and policy, curriculum and instruction, and educational technology and learning. Therefore, further academic specialization and differentiation, in response to the diverse needs of social and economic development, have become common during the massification of higher education.

The discussion thus far highlights the critical impact of higher education massification upon the formation of new research areas. Reviewing academic publications and archives, few scholarly higher education works were found in Taiwan before the 1990s. Among them, some publications dealt with reforms in the admission system with an eye to easing the pressure of access to higher education. Interestingly, these works are highly related to the comparative education fields, as these scholars were keen to borrow foreign systems for local implementation. This linkage has led to a lasting impact upon the subsequent overlapping of key participants in higher education and comparative education. Moreover, other active authors in higher education came from other specialized disciplines, such as law, sociology, or economics. For example, in order to attract public support for democratizing the higher education system in 1994, law school professor De-fen Ho (賀德芬) published the book *The Rebirth of University* (大學之再生). James Hsueh (薛承泰), a sociologist focusing on population and education, reviewed the education reform movement in 1994 by publishing the comprehensive book *Ten-Year Education Reforms for Whose Dream?* (十年教改 為誰築夢?). The disciplinary approach points out that higher education research can be diverse, with multiple orientations and purposes. However, it was clear that, prior to the 1990s, no scholar in Taiwan claimed that he or she specializes exclusively in the higher education field. Along

with the increasing internationalization or globalization, more local researchers and faculty members aware of the worldwide concerns in higher education also paid attention to this field. Interviewee B asserted that the growing exchange with Mainland China inspired greater involvement of the Taiwanese side in this emerging field. Some well-known scholars specializing in higher education research in China, such as Maoyuan Pan (潘懋元) at Xiamen University, inspired the Taiwanese interests in developing this embryonic area. The further occurrence of cross-border higher education cooperation and activities also brought about new incentives for engaging in relevant research (Interviewee C). Therefore, after two decades of accumulation and development, the new identity and recognition steadily formed and attracted different stakeholders to this field. In the next section, we turn to the accumulative achievements with respect to the professional association, journal, and agency examined herein.

Taking Shape: The Emergence of a Specialized Society, Journal, and Agency

As we mentioned earlier, wider social backdrops in the 1990s provided the necessary foundation for higher education research. The concrete outcomes began to take shape in the mid-2000s. If we define community as a sort of institutional cooperation, then we see the formation of THES and its publication of *JHE*, both in 2006, as excellent examples. With the financial support of the Ministry of Education (MOE), HEEACT also started operations in 2005. Through the investigation into these two organizations and the relevant research publication platform (journals), we can gain an in-depth understanding of the evolution and characteristics of this field in recent years.

When it comes to the establishment of specialized associations for higher education research, some discussions started in the late 1990s (Interviewee A and B). Due to the expanded higher education sector and the complicated governance and management issues involved, a small group of scholars, led by Professor Yuan-tsun Liu (劉源俊), a private university president, sought to form a professional higher education society in about 1998. However, this attempt was not successful for several reasons. Following this, Tamkang University (淡江大學), another private university in Taiwan, introduced a Higher Education Research Forum (高等教育研究論壇) with about one dozen members who presented, discussed, and even published research findings through this platform. This forum was later transformed into the Centre for Higher Education Research in 2002, the first such centre in Taiwan, with missions to engage in literature collection, host conferences, publish proceedings, carry out research projects, and provide advisory services (Tamkang University, n.d.). This pioneer experiment aimed to ‘strengthen the capacity to do research on policy and governance so as to improve the university practice in a scientific manner’ (Interviewee C). Although it had not existed for a long time, this centre quickly became the main basis of THES.

In 2006, THES was established with comprehensive support from Tamkang University. If we examine the constituents of directors and the supervisors, many representatives from this institution were responsible for daily operations (THES n.d.). In order to effectively expand the society's outreach, influence, and participation in policy formation, key persons from THES came from diverse backgrounds such as the university president, MOE officials (current and former), managers of relevant university agencies, and higher education researchers. This diversified component of the society's representative conveys an important message that this newly established society was attempting to engage in the policymaking arena, internal university governance and management, and the enhancement of research capacity. This policy- and management-oriented strategy can have direct links with policymakers and the institutional manager by providing professional services to different higher education segments. The configuration of THES, therefore, aims to fulfil the mandated mission of 'providing advices to higher education policy' (THES n.d.). In enhancing the power of higher education experts and debating critical issues in higher education reforms, the *JHE*—the official publication of THES—began its biannual publication in 2006. This journal is academically oriented, with an editorial board composed exclusively of (higher) education researchers. In other words, the positioning of this journal does not target primarily university practitioners or managers. The key participants of THES and contributors to *JHE* come from academic backgrounds of sociology, comparative education, educational administration and policy, etc. Such experts tend to be concerned with macro forces and issues at the systemic or institutional level and ignore meso- or even micro topics. These main actors in higher education research have a direct influence on the choices of mainstream themes/topics to be investigated later.

In addition to THES, a new agency that deserves our attention is HEEACT, established in 2005 with financial support from MOE and constituent domestic colleges and universities. HEEACT aims to enhance the quality of higher education through a variety of activities, including research. Its main task is to implement the external evaluation and accreditation of colleges and universities so as to install quality assurance mechanisms nationwide. Therefore, the nature of this organization focuses great attention on institutional evaluation, accountability measurement, quality enhancement, or even university ranking with respect to teaching, research, and industry–academic cooperation (HEEACT 2013a). This semi-autonomous entity established the Office of Research and Development, which is responsible for a series of research projects and book publications focusing on higher education evaluation and quality assurance in major countries. As far as publication is concerned, the main topics include quality assurance systems in different countries or regions, ranking and research evaluation, student learning outcomes assessment, internationalization, and faculty development (HEEACT 2014). These works tend to focus on institutions/systems, policies, management, and teaching and learning. These traits are actually consistent with the expertise of the previously identified key participants in the higher education community. With an eye to constructing a new higher education evaluation system in Taiwan, major efforts (including research/publication) have been included in the appropriate regime and management.

In addition to setting up a new evaluation system, HEEACT contributed to the higher education research community by supporting an all-English journal entitled *Higher Education Evaluation and Development (HEED)*. Positioning itself as an international platform for worldwide audiences, *HEED* is a scholarly refereed journal aimed at ‘encouraging research in higher education evaluation and development, raising standards of evaluation research, and sharing outcomes of evaluation and higher education worldwide’ (HEED 2013). Unlike *JHE* supported by THES, *HEED* is international, and its contributors are mainly abroad, discussing comprehensive topics related to higher education, evaluation, and development. According to one of the interviewees, its internationalized character reflects a strong belief that ‘we have to understand other countries due to greater internationalization’ (Interviewee C). However, this internationally oriented journal does not present domestic features or characteristics in Taiwan. Another publication warranting attention, also supported by HEEACT, is *Evaluation Bimonthly*. This professional newsletter has many readers online and focuses ‘on the latest evaluation knowledge, newest trends, in hopes of creating a platform for sharing evaluation knowledge with the aim of allowing the public to understand the importance of evaluation’ (HEEACT 2013b).

We can argue that the establishment of the professional association, journals, and quality assurance agency rapidly crystalized the fundamental configuration of the higher education research community in Taiwan. After obvious massification of higher education, these institutionalized organizations and academic journals attracted the participation of policymakers, institutional managers, and researchers. The main functions of these organizations and journals are mainly twofold: to provide professional advice or assistance to practical issues in the higher education sector and to raise the research capacity. Their main concerns, echoing Clark and Neave’s (1992) and Tight’s (2003) classifications, concentrate on national policies, governance, institutional management, and even quality assurance, while the internationalization of higher education has become an emergent issue to be addressed (David 2011).

Dynamics of the Constrained Labour Market and Its Impact on Degree Programs

For any disciplinary development, the institutionalization of the formal degree program at a university would constitute an important indicator for judging its success, influence, and maturity (Becher and Trowler 2001). Despite the successful experiences in forming research organizations and journals, the pursuit of such development has proved a failure. Several attempts have been made to build master’s level programs at different universities, but most cases have failed. The main challenge, as suggested, could relate to the limited labour market for graduates of such programs.

In the early 2000s, some universities expressed an interest in establishing higher education programs at the master's degree level. Tamkang University, the most active institution in this academic field, realized the vision and established its Graduate Institute of Higher Education in 2006 to 'cultivate talent on higher education planning and management' (Tamkang n.d.). Unfortunately, this master's degree program was short lived and ended with a merger with the Graduate Institute of Education Policy and Leadership in 2008. As a result, the higher education master's degree program was no longer an independent unit but a division of educational policy and administration. The short-term existence of this program was attributed to the limited source of students and the pressure of program evaluations (Interviewee B). In fact, all three interviewees stressed that the main negative factor was the very limited employment prospects for graduates. Graduates of programs who specialize in many aspects of higher education naturally would expect to work in the university sector. However, those employed in this sector are actually qualified civil servants working at a public university in Taiwan, meaning they would need to pass the official national examination rather than specialize in higher education. Similarly, private universities have their own policies for recruiting personnel. Instead of emphasizing the professional skills of higher education management, these private institutions tend to select employees from larger pools with certain qualifications/thresholds, such as computers skills, English proficiency, and other professional licences. This misalignment prevents students from enrolling in higher education degree programs and applying professional skills and knowledge in the real world. Many higher education programs exist in Mainland China, and most of their graduates become university staff who help complete educational projects, institutional planning, and even management (Chen and Hu 2012). If their professional knowledge and skills are not valued by universities, the employment opportunities are substantially limited at other industries.

After the closure of this program at Tamkang University, a new spark was lit at National Taichung University of Education in 2012. The Master of Higher Education Management was created to explore 'theories and emerging issues on higher education management, higher education institutions and policies in developed countries, and problems faced in Taiwanese higher education' (National Taichung University of Education n.d.). Program graduates are expected to become the 'critical workforce of higher education institution management'. This mission statement shows the strong intention of combining higher education theories, policies, management, and practices in order to strengthen the effective governance at the institutional level. If examined closely, we can discover that this program's objective is consistent with Tamkang University's. This similarity is not coincidental and highlights two important points. First, Taiwanese colleges and universities really require a professional workforce to raise management effectiveness and efficiency in a systematic way. This is true, at least, in the eyes of higher education researchers or scholars. Second, as we have already argued, the higher education research community in Taiwan has an instrumental or practical feature, as evident in these two programs devoted to improving policymaking and enhancing higher education management.

In addition to the limited employment prospect, another minor factor in relation to academic differentiation prevents the appearance of programs of higher education. Most Taiwanese researchers in education seem to regard higher education as a subfield of educational administration and policy studies. If this is the case, the higher education research community will not have an independent identity. Moreover, this confusion also relates to the overemphasis on the linkage with the policymaking arena and application to management practices. This intertwined disciplinary development between educational administration and higher education deserves further investigation.

Research Themes and Methods: Towards Diversification

In this section, we decipher the main themes and methods in the Taiwanese higher education community. To this end, we use two methods: interview results and database analyses (journal article). The first perspective we have is from the interviewees' responses. Their answers are similar to each other. They point out that policy studies, institutional research, and higher education reforms are mainstream themes. Interviewee A even stressed that higher education evaluation and rankings could be the current focus, while enterprise theory and practices are used to explore leadership and management at universities. In addition to echoing Interviewee A, our second respondent added that internationalization/globalization, marketization, and world-class universities have been popular topics. In recent years, quality assurance, evaluation, and governance have also gained attention. Our final interviewee claimed that comparative or foreign studies constitute another major thread, as most of the key participants in higher education have academic backgrounds in comparative education (Interviewee C). This concise exploration of the main themes leads to the conclusion that higher education research tends to concentrate on national policies, institutional management, and conceptual topics such as globalization. We also sense a strong preference for issues like quality assurance, rankings, and evaluation. From these preliminary results, we can infer that research focuses are highly related to the missions of THES and HEEACT.

Turning to other major source of research orientations, 989 journal articles collected from the database provide slightly different scenarios in terms of research methods and themes. In echoing the process of massification of higher education, Fig. 11.1 indicates a growing trend of published articles from 1990. During the 1990s, the figure is entirely below 10 including zero in 1991, 1992, 1993, and 1997. Except 2004 and 2008, we have seen continuous growth every year in the first decade of twenty-first century. In 2014, there were even more than one hundred papers in higher education field, ten times more than in 1990s. We can argue that the formation of higher education research is emerging dramatically after 2000. This might also relate to the establishments of professional associations, journals, and evaluation agency in higher education as indicated previously.

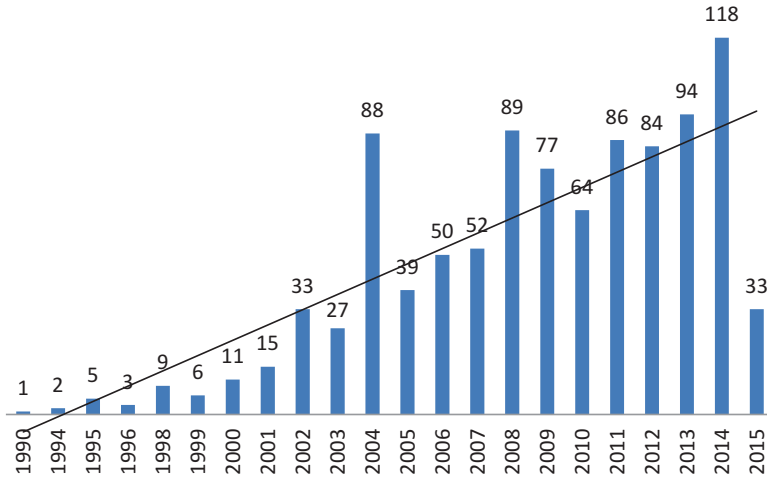


Fig. 11.1 The publication volume in higher education field from 1990 to 2015

Along with the obvious progress in higher education research, research methods employed is the essential issue to be investigated. Surprisingly, among the 989 papers reviewed, up to 86% are based on qualitative approach while only 14% is conducted by quantitative methods. The qualitative approach in this study covers case study, content analysis, interview, comparative education method, literature/document analyses, historical review, action research and ethnography, etc. Such tendency towards qualitative approach, on one hand, might point to the unique nature and needs of higher education research. On the other hand, this also reflects the difficulties of mobilizing statistical and quantitative analyses in Taiwan. For example, the response rate is generally low (about 10% to 20% in general) while distributing questionnaire and survey. The absence of large-scale official database and survey further plagues the adoption of quantitative research. In hope of bridging this gap, the recent launch of Taiwan Institutional Research Association in 2016 may provide systematic dataset for statistical examination so as to tackle the problems of decision-making at the university level.

Finally, we aim to decipher the main themes explored in these 989 articles. Based on previous literature, we synthesize the different categories from Clark and Neave (1992), Tight (2003), and David (2011). There are nine themes including teaching, curriculum design, student experiences, quality/evaluation, system/policy, institutional management, academic work, knowledge, and internationalization. The major proportion of research themes explored in Fig. 11.2, as previous interviews have revealed, focused on system/policy (33%) and quality/evaluation (16%). They are followed by curriculum design (11%), student experiences (9%), teaching (9%), and academic work (9%). This distribution highlights that management-oriented research to some extent dominates the field. However, it is noted that teaching and learning is another major area as indicated by Horta and Jung (2014) across Asia. Some emerging themes such as academic work (9%) and internationalization (5%) attract greater attention and diversify the higher education research themes in Taiwan.

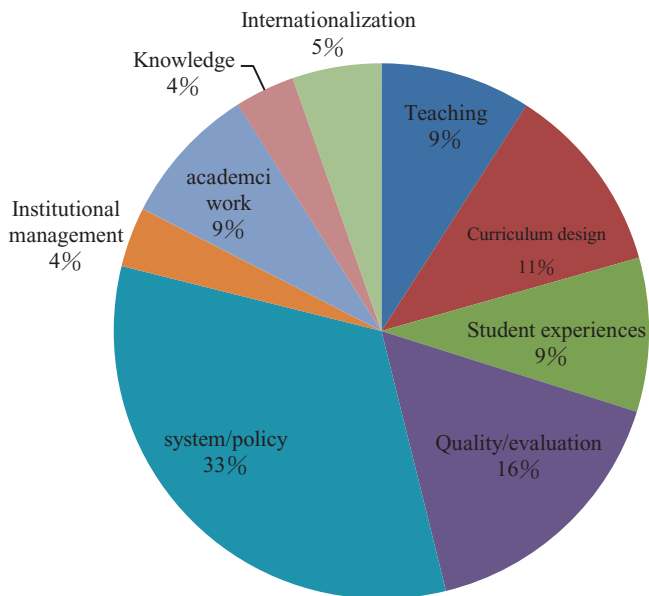


Fig. 11.2 Research themes

Discussions of the Driving Forces, Growth, and Core Issues

The overall development of the higher education research community has been highly related to the process of massification since the 1990s. The evolution and characteristics of this community can be summarized with four layers, as shown in Fig. 11.3. In this section, we explain their dynamic relationships among different layers.

The drivers for forming a research community can vary significantly. For example, China’s higher education research is strongly linked to the nation-state or even communist party (Chen and Hu 2012). The nation plays a major role in assisting the formation of the Chinese higher education community. Alternatively, the appearance of new knowledge production and methodology typically inspires the creation of new research fields or even disciplines. Our previous analysis highlighted that massification, as shown in the top layer of Fig. 11.3, plays a major role and tends to be the stimulus for greater ‘academic differentiation’. More specialized, differentiated, and professional fields or areas gradually develop from an expanded higher education sector based on the notion of labour division (Becher and Trowler 2001). In addition to higher education research, we also found a similar proliferation of research areas in the education field, including educational administration and policy, curriculum and teaching, and sociology of education, throughout the 1990s and 2000s in Taiwan. Indeed, massification fundamentally paves the basis for the formation of a higher education research community by providing a ‘critical mass’ of institutionalized agencies, self-identified researchers, and relevant issues and topics. These new elements help define this emerging research field. Thus, massification

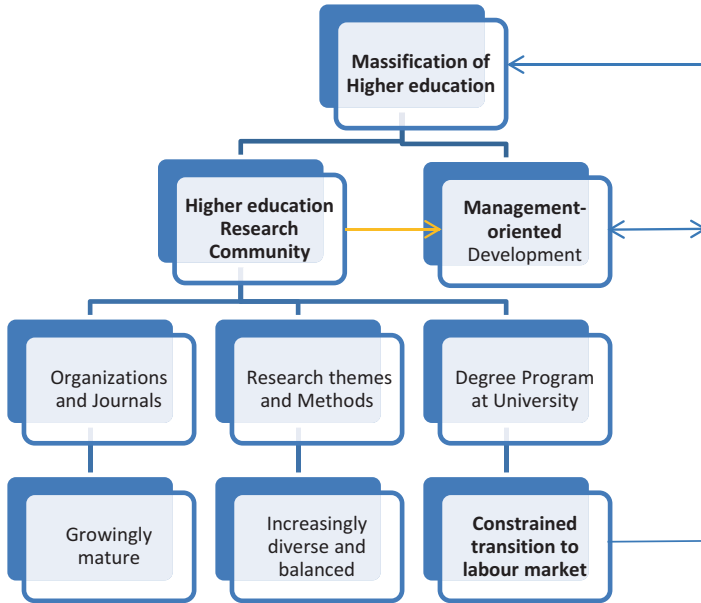


Fig. 11.3 Evolution and characteristics of a higher education research community

has been a major driving force in Taiwan to differentiate the higher education community from the larger educational studies.

With an expanded, differentiated, and diverse higher education sector, Taiwan indeed has faced a wide range of challenges and issues at the national and institutional levels. Higher education research community in Taiwan, as demonstrated earlier, initially concentrated on instrumental or management-oriented functions (see the second layer of Fig. 11.3) to meet the needs of rapid systematic transformation and restructuring nationwide. In other words, the research emphasis on the national policies, management, and governance, as previously revealed, was directly affected by the process of massification as well because the expanded and more complicated higher education sector required better management, good governance, and novel initiatives and policies to achieve new social and economic objectives. Further massification and the management-oriented research reinforce each other and constitute an interlinked cycle. The recent establishment of Taiwan Institutional Research Association in 2016, aiming to use big data and information to facilitate institutional decision-making and management, further confirms such dynamic relationship.

The maturity of higher education research community is mainly composed of specialized associations, journals, expanding research themes, and degree programs at universities. The third layer of Fig. 11.3 has demonstrated some signs of these elements. We have seen the establishment of professional organizations and their corresponding research arms, such as academic journals and the research and development office of the HEEAC. The development of the research production and knowledge application has grown increasingly mature during the past two decades.

Using Tight's (2003) classification of higher education research themes as the benchmark, Taiwanese higher education research themes and methods are gradually diversifying and developing rather balanced coverage as a whole. More attention is being paid to student learning, university teaching, academic work, institutional management and knowledge, etc. The publication of the English-language journal *HEED*, sponsored by HEEACT, even symbolizes the immersion of higher education research into internationalization, as David suggested (2011). This research theme has attracted more and more attention in recent years.

The only inconsistent development between the massification process in Taiwan and the formation of a high education community, as shown in the bottom layer of Fig. 11.3, is the unsuccessful institutionalization of degree programs at universities. This is mainly due to the limited employment prospects in the labour market because graduates cannot easily find positions at higher education institutions. Indeed, if these graduates can apply their expertise and professional knowledge in running or even managing higher education institutions, then management-oriented function research can be valued and supported. Moreover, their presence within the higher education sector can offer professional assistance in addressing challenging issues in a massified system like Taiwan. Therefore, as Fig. 11.3 indicates, a higher education degree program is closely related to the development of management-oriented research as well as higher education massification. Unfortunately, the degree program might be the missing link in this mutually reinforced system.

Conclusions and Prospects

In considering the changes in the higher education research community in Taiwan, we are left with a positive impression of the rapid development over the past two decades. Using professional or specialized associations and journals as criteria to judge the formation of this research field, the higher education community has achieved some domestic visibility, credibility, and even recognition from a wide variety of stakeholders, such as policymakers, university managers, and scholarly researchers. This achievement, as we have argued, is based on the massification process since the 1990s. This period also dealt with certain political (democratization and institutional autonomy), economic (industry upgrading and structural transformation), and educational (greater participation and equal access) agendas. With such differentiated demands, the higher education research community concentrated its major efforts on dealing with policymaking, institutional management, and learning foreign systems. This problem-solving or management-oriented approach is effective for responding to social changes and challenges (Teichler 1996).

The Taiwanese higher education research community is facing a critical moment. Based on past achievements, this field has been expanding and thriving, but it has encountered a lack of institutionalized academic programs within universities. This has significant implications for the research community, policymakers, and institutional managers. In addition, the emphasis on an instrumental approach has to be

supplemented with studies at the meso- or micro levels, such as teaching and student learning, which should become the main themes for a massified higher education system like in Taiwan (Shin and Teichler 2014). The current achievements and accomplishments of Taiwan's higher education research community have been supported by the continuous massification process. The declining birth rate and insufficient student recruitment in recent years, resulting in possible comprehensive institutional mergers or closures, has posed a potential threat to this newly emerging field. If the 'de-massification' of higher education is gradually taking place, the potential impacts on this research field warrant further study.

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Chapter 12

Higher Education Research in Mongolia During the Transition Period of Development

Nyamjav Sumberzul and Shagdarsuren Oyunbileg

Abstract The first higher education institution (HEI) in Mongolia was established in 1942. During the transition period from a centralized economy to a market economy, which began in the early 1990s, there was a marked increase in the number of HEIs. Mining, construction, transport, and communication have become the fastest-growing sectors; they have potential absorptive capacity for the younger population and demand technical, vocational, and engineering skills. The changing socioeconomic context has introduced progress and innovation in higher education; however, we have also faced some emerging problems and challenges. This has stimulated increased demand for higher educational research, and we here outline the current landscape of higher education as a research field in Mongolia on the basis of the quantity and themes of published journal articles and monographs.

We reviewed the Mongolian Foundation for Science and Technology (MFST) database, which was established in 1993, as well as some academic journals that publish peer-reviewed, research-based, discipline-specific articles. The journals do not focus specifically on higher education, but they occasionally include articles related to higher education research. State-owned universities play a key role in such research; therefore, the summary of annual academic publications by faculty members and researchers of those universities is a reasonable source of information to find relevant articles. We reviewed 380 publications, most of which were related to common problems of higher education in Mongolia, such as educational policy, capacity building, faculty development, etc. In their conclusions and recommendations, the authors of the studies primarily stated that education management and human resource development, training methods, and content must be improved.

We concluded that higher education research is in its initial stage of development and that its role as a field of science, in planning for future actions, in evaluating the results and outcomes of interventions and changes in higher education, and in providing policy developers and decision-makers with scientific evidence, is increasing.

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Formation, Expansion, and Composition of the Field

Mongolia is a landlocked country in central Asia and has a population of 3 million. The first higher education institution (HEI) in the country, the National University of Mongolia (NUM), was established in 1942 with three faculties: physics and mathematics, veterinary medicine, and medicine. Since then, the development of HEIs has increased, and the faculties of agriculture and medicine have been separated from the NUM and have become independent institutes (Batbaatar and Lkhagvasuren 2012; Mongolian State University of Life Science [MSULS] 2015). As Mongolia transitioned from a centralized socialist economy to a market economy in the early 1990s, the demand for higher skills in the labor market has increased and has led to a marked expansion of HEIs (World Bank [WB] 2010). Since 1990 the number of HEIs increased significantly, initially it was eight in 1990, peaking at 185 in 2002, and then decreased to 101 HEIs; concurrently, the number of enrolled students rose from 17,338 in 1990 to 178,295 in 2014 (Ministry of Education, Culture and Science [MECS] 2015) (Fig. 12.1).

This increase is not surprising, given that people aged 20–24 years represented the largest group in the population (in 2013); the demand for whom, particularly those who have completed high school, is also the highest. Some of this high demand was met by foreign HEIs during the socialist era; thousands of Mongolian students studied in the former Soviet Union and Eastern European countries, such as Hungary, East Germany, Czechoslovakia, and Bulgaria. However, since the transition, a comparatively low number of students have studied abroad, for example, in Germany and in Asian countries, such as China, Korea, Japan, and Singapore, due to a significant reduction in the state grant and in people’s capacity to pay the tuition fees for foreign education. As a result, the expansion of higher education in Mongolia was largely centralized in the capital, because almost all HEIs are situated in Ulaanbaatar, and a significant part of it was expansion of private HEIs (WB 2010).

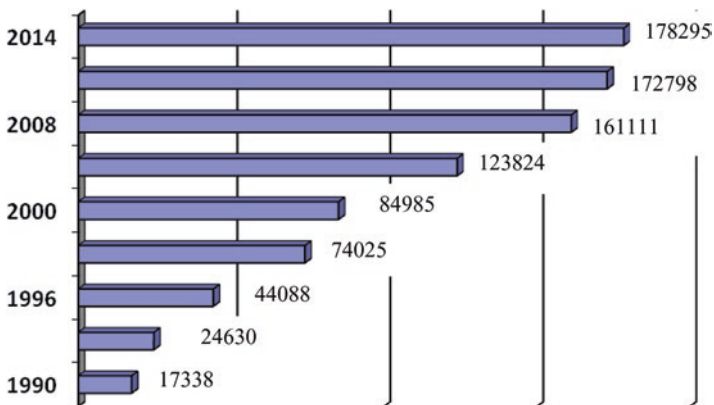


Fig. 12.1 Number of students in higher education institutions in Mongolia (Source: Ministry of Education, Culture, and Science, 2015; <http://www.meds.gov.mn/highereducation>)

According to the 2014 statistics from the Ministry of Education, Culture, and Science (MECS), 103,650 students were studying in 16 state-owned HEIs, 74,233 students were in 80 private HEIs, and 412 students were studying in branch colleges of foreign HEIs. The management of private and international joint universities has received relatively less attention than state-owned HEIs within the higher education research areas.

Higher education has been very sensitive to market demand, as it is believed that Mongolia’s competitiveness will improve if it produces qualified professional and technical human resources to meet the needs of the economy and improves the equity of access and the level of efficiency of public resources use.

Data from the Living Standard Measurement Study undertaken by the World Bank show that mining is the fastest-growing sector; in the 25–34 years age group, employment in this industry increased by 671% between 1998 and 2007. It is followed by the construction sector, in which the growth rate was 368%, and then transport and communication, with 110% growth in this age group, during the same period. This suggests that the labor market has potential absorptive capacity for the younger population, and it demands technical, vocational, and engineering skills (WB 2010). In comparison, the distribution of students in HEIs between 2007 and 2014 shows that the percentage of those studying in the engineering, manufacturing, and construction fields continuously increased from 15.9 to 18.6% and in health and welfare from 8.2 to 11.6% (Fig. 12.2). According to the health statistics of the Ministry of Health and Sport, almost 80% of health facilities were state-owned in 1995, but this dramatically changed during the transition period, such that 68.3% of health facilities belonged to the private sector by the end of 2013 (Ministry of Health and Sport 2014). Consequently, there is a need for highly skilled health professionals to address market competition in healthcare and service delivery. Tuul (2010)

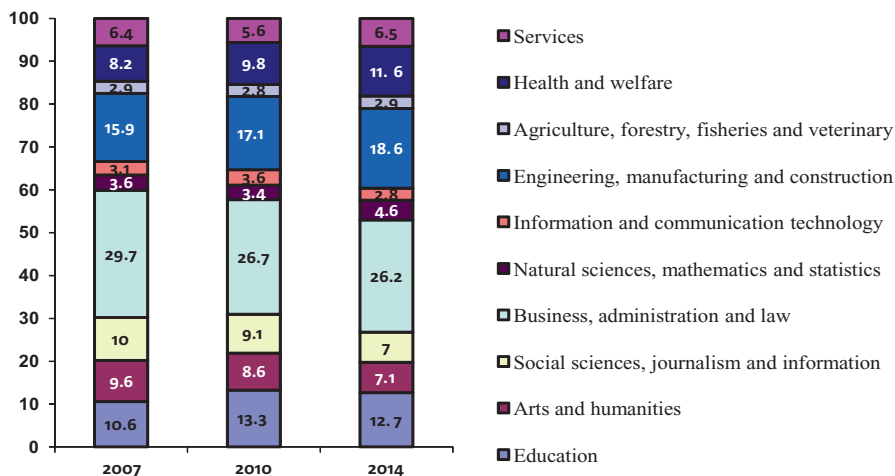


Fig. 12.2 Distribution of students in higher education institutions by the International Standard Classification of Education (ISCED), 2013 (Source: MECS 2015; <http://www.meds.gov.mn/highereducation>)

reported that studies related to higher educational management and curriculum development have dominated since 1990.

Challenges to the Current Landscape and Research Level of Higher Education

The new context of socioeconomic development and the rapid growth of the higher education sector have introduced progress in, and challenges for, higher education. This has resulted in innovation in the training curriculum, the use of the Bologna system of higher education instead of the Soviet model, institutional and program accreditations, unification of similar programs in public universities, and the credit transfer system. With advanced information technology (IT), higher education development, particularly the carrying out of distance and online training, was changed. In comparison with other sectors of the economy, IT is rapidly developing in Mongolia.

However, it has also been associated with some emerging problems, such as low-cost, low-quality education, a mismatch between demand and supply of skills, and inequitable opportunities of access between urban and rural areas and rich and poor. The increased involvement of the private sector in the higher educational service has meant that curriculum development, administration, financial management, quality assurance, capacity building, and human resource strengthening in private HEIs have become urgent problems that must be addressed by appropriate and evidence-based decisions. The financing of HEIs changed during the transition period; the government budget sharply decreased, and tuition fees became their primary financial source. Indeed, HEIs in Mongolia now receive over 90% of their income from tuition fees. Therefore, the MECS developed a strategy to transform HEIs into research-oriented and entrepreneurial universities, which have multiple sources of financing, such as results-based grants, development funds, research and innovation projects, and start-up companies (MECS 2013).

Higher Education Research in Mongolia: Who Conducts This Research?

In return, these changes have stimulated an increased demand for higher educational research and have been involved in shaping which faculty members in the HEIs have played a significant role. Higher educational research was primarily carried out by researchers, faculty members of state-owned HEIs, and the Institute of Education under the MECS. The Institute of Education has a sector for vocational and higher education research, in which there are six researchers. During the transition period, the basic legal environment of higher education in the new market economy context was established. The Great Khural (the parliament) and the government of Mongolia

passed the state policy of education (1995), and the law of higher education (2002), as well as related legislative documents, and these legislations not only focus on higher education but also on technical and vocational education and training. In addition, several professional educational associations, such as the Mongolian Medical Education Association (MMEA), the Mongolian Association for Higher Education Research, the Center for International Higher Education, etc., were established. One of the biggest achievements in higher education was the introduction of the United Nations Educational, Scientific and Cultural Organization (UNESCO) International Standard Classification of Education (ISCED 2013) in 2014.

Nowadays, all HEIs in Mongolia conduct bachelor's degree training through 181 educational programs; this number has been reduced from 817 professional programs in accordance with an order from the MECS, because the previous tendency to differentiate HEIs on the basis of narrow, professional training programs, has been changing to a direction of unified, basic, broad educational programs. These programs have great significance for HEIs, because they have a unified policy and common terminology and offer a convenient environment for credit transfer; flexible programs; graduates with common competencies; comparability with international HEIs; mutual recognition of diplomas; common requirements for the development of educational programs; interrelationships; continuity of education through undergraduate, graduate, and postgraduate training; etc. As such, the number of HEIs is decreasing, due to mergers and acquisitions, in order to become more powerful, multi-professional, and research-oriented institutions.

In association with the new context of socioeconomic development in Mongolia, educational purpose, content, methodology, and requirements were newly determined; the subjects of educational research, including higher education, were expanded. For example, history, philosophy, legislation, management, and psychology of education were developed as new directions of study, and research on a development model of Mongolian education was initiated.

Higher Education Research in Mongolia: What Publications Does It Have?

Here, we outline the current landscape of higher education as a research field in Mongolia, on the basis of the quantity and themes of published journal articles and monographs. Several articles and monographs were published during transition period, such as "Education in Mongolia" (1996) and "Theoretical and methodological issues of Education" (1996) by Begz, "Theory and methodology of student centered training" (1996) by Vanchigsuren, "Certain issues of educational philosophy" (1996) by Bujidmaa and Begz, "Philosophy of education" (1997) by Khavkh, "Management and standardization of modern higher education" (1999) by Munkhdalai (Mongolian Academy of Science, 2000), and "Medical Education" (2001) by Sumberzul and Oyunbileg. Research articles evaluating Mongolian

higher educational management and its most important problems, such as “Current context of legal coordination of higher educational innovation” by Gonchigdorj, “Psycho-social basics of education management” by Begz and Badarch, “Innovation of lecturer and student’s responsibility and rights” by Batrinchin and Baterdene, “Priority problems of higher education content and technology” by Vanchigsuren, “New integration model of education and research in field of agriculture” by Tumurjav, and “Current situation and future trends of Mongolian private HEIs” by Dashnyam, were published in 1995.

In Mongolia, several academic journals that include peer-reviewed, research-based, discipline-specific articles, not focused specifically on higher education, are published every year. In the journals articles on higher education are occasionally included, except the journal of Medical Education. Innovation in higher education in Mongolia, led by state-owned universities, particularly the Mongolian University of Science and Technology (MUST), has resulted in numerous changes in management, curriculum development, methods, and evaluation of training in HEIs. Therefore, the annual academic publications summary of the faculty members and researchers of the MUST constitutes a reasonable source of information in which to find research articles that are related to higher education. We currently do not have a journal that specifically focuses on higher education research; the Mongolian Association for Higher Education Research is trying to create peer-reviewed scientific journal on it.

The Research Focus of Higher Education

Classification of educational studies, in which educational management, theory and history, philosophy, and sociology were included, has been approved by the MECS (MECS, 2010). Since 2014, the ISCED (2013) has been introduced, and research has been divided into educational studies, education management, education technology, and didactic methods (MECS, 2014). The Mongolian Foundation for Science and Technology (MFST) was established in 1993 and created a database of Mongolian researchers’ achievements, dissertations, publications, and articles in science and technology. By the end of 2014, 5015 scientific publications (including dissertations) were included in this database (MFST, 2015). Upon reviewing dissertations in the MFST database using the keywords “higher education” and “higher education research,” we identified 81 dissertations related to higher education research from a total of 1742. We divided the research topics and objectives into history, philosophy, management, curriculum development, methodology, and evaluation of higher education in Mongolia. Looking at these categories, the majority referred to higher educational management and administration (24 dissertations) and didactic methods and technology (24 dissertations), along with some other popular topics, such as curriculum development (12 dissertations) and training evaluation (10). In categorizing according to professional field, publications related to general higher education (36), philology (12), and medical education (11) were common.

The education research conducted by the Institute of Education under the MECS encompassed a broad area of education management, history, philosophy, sociology, curriculum, and faculty development and primarily focused on primary and secondary level education. The Institute of Education has been publishing the peer-reviewed journal *Education* since 2002, in a total of 108 volumes. We reviewed 988 research articles from 99 volumes, of which 109 articles were associated with higher education, including 44 on higher educational management and organization, 18 on the history of higher education in Mongolia, and 16 articles on training evaluation (Table 12.1).

As previously mentioned, the MUST, led by Professor Badarch, was one of the leading universities in higher education innovation, particularly with regard to introducing a credit system, curriculum development, and a university management information system. We revealed that higher education studies conducted in the MUST primarily addressed the priority issues of university and education management and listed these in the annual academic publication summary. Our selected annual summaries, between 2000 and 2010, listed 1185 publications, of which 62 were on the topic of higher education research.

The journal *Lavai* is published by the Mongolian National University of Education (MNUE), which is the only state-owned university in the field of education. We reviewed 252 articles, published in 10 volumes of the journal; 16 of these were related to higher education, and by area of education study, six of them were on the management of higher education.

The MMEA, led by Professor Lkhagvasuren, was established in 1994 and encompasses state and private HEIs in the field of health. The Mongolian National

Table 12.1 Publications related to higher education research from the selected database, by their topics

No	Areas of higher education study	Dissertation database at Mongolian Foundation for Science and Technology	Journal of <i>Education</i>	Summary of academic publications at Mongolian University of Science and Technology	Journal of <i>Lavai</i>	Journal of <i>Medical Education</i>	Total
1	History	4	18	3	1	–	26
2	Philosophy	4	3	1	–	–	8
3	Legislation	2	9	–	2	–	13
4	Management	24	44	33	6	46	153
5	Financing	1	4	2	–	–	7
6	Curriculum development	12	8	8	2	36	66
7	Didactic methods	24	7	9	2	8	50
8	Evaluation	10	16	6	3	22	57
	Total	81	109	62	16	112	380

University of Medical Sciences (MNUMS) plays a leading role in the association, as it introduced the block integrated undergraduate medical curriculum (from Groningen University, Netherlands, through the Tempus/Tacis project of the European Union in 2000), which became a turning point of medical education research in Mongolia. Since 2007, the association has been publishing its own biannual journal, *Medical Education*, which includes research articles related to medical education (112 articles in 5 volumes), with the majority of the articles being on curriculum development and educational management.

Of all 380 publications related to higher education research mentioned above, 197 articles examined the common problems of higher education, such as educational policy, capacity building, faculty development, learning methods, and environment regarding the subject matter. Outstanding topics are more specific, for example, 61 articles were on medical education, 33 were on technical education, 20 were on social science, and 14 articles were on utilization of information technology.

State-owned universities play a key role in higher education research; written dissertations were primarily reviewed, discussed, and approved by the academic board of the MNUE, the MUST, the MNUMS, the NUM, and the Mongolian University of the Humanities. In order to study in depth, 73 dissertations out of 81 in the MFST database, related to higher education research, were analyzed, because 8 dissertations were written based on foreign data. Among 73 dissertations reviewed, 87% were conducted in the abovementioned universities. Two research designs were used in these studies: pre-experimental and true experimental designs (Tuckman, 1999). The majority of studies (54.3%) used the pre-experimental design, which includes the one-shot case study and one-group pretest-posttest designs. The true experimental design, which includes a posttest-only control group and a pretest-posttest control group, was used in 35.6% of studies. Row data collection methods were divided into quantitative, qualitative, and mixed. Quantitative and qualitative methods were separately used for data collection in 34.1% of studies, but the majority (65.8%) used both methods together. In their conclusions and recommendations, the study authors primarily stated the need to improve education management and human resource development (35.5%), training methods (31.5%), and content (19.7%).

Conclusion

Higher education research is currently in its initial stage of development. Its role as a field of science, in planning for future actions, in evaluating results and outcomes of interventions and changes in higher education, and in providing policy developers and decision-makers with scientific evidence, is increasing. Reforms and innovations in higher education are becoming more quality than quantity oriented, and further studies would help to illustrate the link between, and effects of, higher education reform and quality of education. Some themes and topics (e.g., management of private and international joint universities, analysis of demand and supply of some

attractive professions, such as business administration and law, and financial management of HEIs) have been studied relatively less than others, and research capacity building through the establishment of a research unit is required and should be considered for future funding and support.

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Shagdarsuren Oyunbileg was born in Ulaanbaatar, Mongolia, and graduated from Mongolian National University of Medical Sciences as a pediatrician in 1989. She got her PhD degree from the National Taiwan University (2009) and MA in health management planning and policy from Nuffield Institute for Health, University of Leeds (2000). She is highly motivated and passionate about making changes and is a result-driven specialist who has over 20 years of experience in health management and public health and 7 years in project management. She is skilled in numerous fields – M&E, HR, maternal and child health, etc. She published several research articles in internationally recognized scientific journals such as the Journal of Women's Health, Occupational and Environmental Medicine, the International Journal of Occupational and Environmental Health, and the American Journal of Industrial Medicine.

Part III
Southeast Asia

Chapter 13

Researching Higher Education in “Asia’s Global Education Hub”: Major Themes in Singapore

Michael H. Lee

Abstract Higher education studies as a field of academic research have become more developed and important in Singapore since the 1980s when the city-state placed more emphasis on reforming and restructuring its higher education sector to achieve the status of “Asia’s global education hub”. The past few decades witnessed a more significant growth of the research work and literature on higher education in Singapore, which have covered several trends of development and major issues arising from changes facing the higher education system in Singapore. With reference to the research of higher education studies in Singapore over the past three decades, this chapter probes into major characteristics, trends and issues closely related to higher education development in Singapore, which are most appropriately represented by such themes as “centralized decentralization”, entrepreneurialization, globalization, internationalization, marketization and massification. It also examines the factors affecting the development of higher education in Singapore. It is believed that important lessons can be drawn from Singapore’s experience of higher education development for other countries, no matter they are small or large, developing or developed, to develop their higher education systems in order to strive for survival in a highly competitive global market.

Introduction

One of the most important achievements accomplished by Singapore over the past 50 years since her independence in 1965, as what this city-state’s first Prime Minister Lee Kuan Yew claimed, is its successful transformation from being a Third World ex-British colony to a First World independent nation in Asia (Lee 2000). With manpower as the only resource which Singapore can rely on for long-term

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sustainable development, higher education is perceived as a crucial and strategic policy instrument facilitating the Singapore government to fulfil its goals of nation-building and economic development by improving the quality of human resources and also ensuring a stable supply of well-educated upper-level workforce, comprising professionals, managers and technicians to keep this Asia's global city growing and moving on.

The mentality of "developmentalism" and the developmental state model adopted by the ruling party, the People's Action Party, which has enjoyed political hegemony over the past five decades, can explain the strong role of the state in Singapore's system of higher education. It is because the state's intervention in economic policies and various social institutions, such as education, social security and housing, is justified for the sake of maximizing national and economic interests (Castells 1988, 1992; Chua 1995; Gopinathan 2007; Low 2001). Some scholars argue that Singapore is more aptly understood as "government made" (Low 1998). Moreover, the Singapore government's strong emphasis on higher education also reflects its belief in both meritocracy and elitism as higher education institutions, especially universities, are playing an important role to identify and nurture social elites and future leaders, who are merit based and subject to individuals' academic performance in a highly competitive system (Barr and Skrbis 2008; Tan 2008; Tan and Ng 2007). Therefore, higher education is indispensable for the nation-building of Singapore.

The past few decades witnessed the emergence of major themes of higher education research in Singapore, ranging from the origins and historical development of higher education system of Singapore to the most recent concerns about the impacts of globalization with special reference to the transformation of Singapore as a global education hub in Asia. Assembling major research literature on Singapore's higher education, major trends and issues shaping the development of the higher education system can be revealed and synthesized. It is common for scholars to highlight the close relationship between higher education and the state, which used to rely on strong interventionist policy and implementation strategy to ensure the higher education system to serve the national and economic interests of the young nation of Singapore (Goh and Tan 2008; Gopinathan 1984, 1989; Selvaratnam 1994; Tan 2006). In this sense, higher education is not totally independent from the state system as it must work with the government in order to achieve goals of national development. Since the mid-1980s, when Singapore experienced the first economic recession since independence, the Singapore government's policy on expanding the higher education system for upgrading the quality of labour force to prepare for economic restructuring. This denotes the transition from elite to mass higher education in Singapore as similar as other Western developed countries (Trow 1973). It changed the landscape of higher education development in Singapore even though elitism remains a core ideology for the Singapore government.

Moreover, the research focus in recent years has been turned from quantitative expansion to qualitative enhancement with questions posed on how to achieve and maintain academic excellence in face of challenges arising from massification and globalization, which has brought about fundamental changes in higher education policymaking that adheres to such notions as marketization (Lee and Tan 2002; Mok 2000; Mok and Tan 2004; Tan 1998) and internationalization (Daquila 2013;

Lee and Gopinathan 2007; Mok 2008; Olds 2007; Olds and Thrift 2005; Sidhu 2006, 2009a, 2009b; Sidhu et al. 2011, 2014; Tan 2006; Toh 2012; Waring 2014; Ziguras 2003). Focusing on the issues related to higher education governance in Singapore, there were studies on the trend moving towards “centralized decentralization” (Lee and Gopinathan 2003) or “decentralized centralism” (Tan and Ng 2007) with the state playing its role as a “market accelerator” (Mok 2011). More recently, there were also research works on the entrepreneurialization of higher education with reference to the linkages between higher education and industrial development (Ho et al. 2010; Mok 2015; Wong et al. 2007).

The main thrust of this chapter is to document and analyse the changes that have appeared in the themes and orientations of higher education research in Singapore. It is argued that the changing focuses of higher education research are not only linked to the prominent trends prevailing in the international academic community, but they are also tightly linked to the changing higher education policies of the Singapore government. It also examines the factors affecting the development of higher education in Singapore. It is believed that important lessons can be drawn from Singapore’s experience of higher education development for other countries, no matter they are small or large, developing or developed, to develop their higher education systems in order to strive for survival in a highly competitive global market. Apart from this introductory section, there are five sections in the remaining of this chapter. Firstly, it gives a brief overview of the research community of higher education in Singapore. Secondly, it highlights the factors affecting the development of higher education in Singapore. Thirdly, it provides a review of major themes of Singapore’s higher education system with reference to the existing research literature. Fourthly, it turns to discuss lessons to be learnt from Singapore’s experience of developing and reforming higher education. Finally, it concludes with some observations about implications for the future research agenda of higher education in Singapore.

Higher Education Research Community in Singapore

The growing importance of higher education in Singapore has drawn more attention among government policymakers and academic researchers of higher education studies especially since the 1980s when there have been more frequent and significant policy changes in higher education in line with the ever-changing local, regional and global contexts. In Singapore, rather than being treated as an independent academic field, higher education is considered as one of the education policy research areas undertaken by researchers from a range of disciplines like business administration, economics, education, geography, history, international relations, public management and policy and sociology. Among these scholars, for instance, S. Gopinathan and Jason Tan of the National Institute of Education have been working consistently over the years on education policy research, including higher education, which covers a wide range of topics such as the impacts of major policy changes in Singapore initiated by the government with reference to the development

of a global schoolhouse or education hub, a strong emphasis on research and development, the integration of skill formations into higher education and also some other issues like higher education quality assurance and ethnic inequality of higher education in Singapore.

Referring to the significant role played by the government in directing the development of higher education, the research on higher education in Singapore is related to both national policy issues and international trends. Although there is not any research institute, academic degree programme, nor academic journal specialized in higher education in Singapore specifically for higher education studies, there is a non-government policy think-tank dedicated to this research area in Singapore. The Head Foundation, together with S. Gopinathan, who serves as Academic Director of the think-tank, has been engaging actively in higher education research in and out of Singapore over the past few years. It has organized seminars and workshops on higher education in Asia and forged research collaborations with internationally renowned scholars in the field of higher education studies such as Philip Altbach and overseas institutions such as Boston College's Centre for International Higher Education, East-West Centre's Asia Pacific Higher Education Research Partnership and the UCL Institute of Education. In addition, a new publication *Higher Education in Southeast Asia and Beyond* was launched in 2016 to provide a venue for Singapore and overseas higher education studies researchers to share their research and provide insights on higher education developments in Southeast Asia, including Singapore (Gopinathan 2016). Meanwhile, at the regional level, Regional Centre for Higher Education and Development (RIHED) of Southeast Asian Ministers of Education Organization (SEAMEO) specializes in regional higher education development in Southeast Asia, including Singapore.

Moreover, higher education policy research in Singapore has also been undertaken by the government. In order to enable smooth policy implementation, the Singapore government used to conduct policy research and reviews on higher education concerning university governance and financial accountability (Ministry of Education 2000), institutional autonomy of the state universities (Ministry of Education 2005), further expansion of the university sector (Ministry of Education 2008) and diversification of higher education pathways (Ministry of Education 2012). In addition, the Singapore government has turned to pay more attention on how to forge a close link between higher education and skills formation and upgrading so as to better equip the workforce for promoting lifelong learning and sustaining long-term economic growth in Singapore with the introduction of the SkillsFuture policy in 2015 (Shanmugaratnam 2015). Therefore, higher education research is considered instrumental for the government to plan for the long-term development of higher education policies which are supposed to serve the needs of the national and economic developments in Singapore.

Being an independent academic field in Singapore, there has been a growing interest among academics, think-tanks and even the government to engage in higher education research in recent years. International collaborations have also been forged between Singapore and international scholars and research institutions for researching other countries' higher education policy and reform experiences to be learnt and adopted in Singapore, together with spreading out Singapore's experi-

ence in developing higher education to other developing countries, especially those in South and Southeast Asia and also the Middle East.

Developmental State, Globalization and Higher Education

From a historical perspective, the state has played an irreplaceable role in directing the development of higher education in Singapore after 1965. Therefore, the state factor should be taken into account. The People’s Action Party-led Singapore government since the late 1950s has concerned how to make this island state without any natural resources but a strategic location in the international trade network in Southeast Asia to survive. Economic growth, social stability, political hegemony, racial harmony and educational excellence are policy goals prioritized by the ruling party in Singapore through a self-government in 1959, a merger with Malaysia in 1963 and eventually an independent nation in 1965. In fact, “striving for survival” is not conceived as a mere political slogan for the Singapore government, but it is a crucial theme for mobilizing popular support for implementing domestic and foreign policies and also for winning and strengthening the ruling party’s political legitimacy to rule and govern the nascent nation-state of Singapore (Chan 1971). The government’s ability to maintain a stable socio-political environment in Singapore very much depended on whether it could bring about a strong economy for ensuring full employment and provide quality social infrastructures like education, housing and health care for the populace.

Developmental State and Higher Education in Singapore

Between the 1950s and the mid-1970s, Singapore experienced the transformation from being a fragile state to a strong state for the state was not only aimed for striving for survival but also determined not to let the nascent independent nation-state to fail. The Singapore state built its political legitimacy, which is largely based on its past performance, on the basis of fostering racial harmony and vibrant economic development as well as delivering on its promises (Chan 1971; Chua 1995). As a consequence, social control and state intervention in every aspect of lives are justified with the developmental state’s strong ability to generate and implement plans for continued economic growth to boost productivity without facing strong political opposition. Until nowadays, the state in Singapore and its control over the economy and society remains strong. This reflects the Singapore model of state-led development which is characterized by high public tolerance for interventionist policies by the state in the economic and social spheres (Gopinathan 1997). Education also serves to facilitate economic growth and development as it is a key driver for improving the educational qualifications and skill levels of the workforce to enable Singapore to compete in the highly competitive global market. Likewise, higher education is used instrumentally as a tool of economic development as the Singapore

government decided to put more emphasis on high value-added industrial and service sectors after the economic recession in the mid-1980s (The Economic Committee 1986). This reveals the fact that how higher education should be developed in Singapore is largely subject to the state's policies to serve the interests of both national and economic developments.

Since the mid-1990s, the government has constantly demonstrated its strong determination to develop the publicly funded higher education institutions, especially universities into ones whose academic standards, research quality and managerial efficiency can be up to the level attained by world-class universities. This aim coincides with the government's goal and commitment to develop Singapore into a global education hub in Asia which is capable to pull in foreign students and academics and also make them to stay in Singapore. Nevertheless, the expansion of higher education institutions should be carried out without sacrificing the quality of education and compromising the academic standards of university students. Therefore, the expansion of higher education has to be carried out by the state in a more cautious manner in order to avoid the negative impacts of unlimited expansion of higher education like oversupply of university places and non-employability of university graduates to occur as in other universal higher education systems in certain developed and newly developed countries (Gopinathan and Lee 2011).

Challenges from Globalization on Higher Education in Singapore

While the state factor is crucial, it is also noticeable that coping with challenges arising from globalization is always deemed as the strongest reason for reforming and restructuring the existing higher education system. Globalization refers to global practices of quality assurance and audit systems and also stronger emphasis on international rankings, both of which induce pressure on higher education institutions for greater accountability for their own performance and resource allocation (Gopinathan and Morriss 1997). This was reflected in the policy of "corporatizing" the existing state universities as publicly funded autonomous universities in 2005 with greater flexibility and autonomy in managing financial and human resources (Lee and Gopinathan 2008).

On the other hand, globalization points to global war for talents that it is even more critical for Singapore where there are very limited human resources (Brown and Lauder 2001; Ng 2013). In order to make up the "brain-drain" problem and the trend towards an ageing society with very low birth rate, the policies of internationalizing higher education and making Singapore an education hub in Asia are not only for the sake of enhancing the international standing of local higher education institutions but also for recruiting more non-local and international students to study and eventually stay and work in Singapore. The call for foreign talents through the means of building an education hub also serves the needs of population and immigration policy to get more foreign talents into Singapore for they are considered capable to generate new knowledge in creative and innovative ways.

Globalization also implies more direct economic challenges facing Singapore from other less developed or newly developed economies, such as Brazil, Russia, India and China, which are also known as BRIC economies. In view of these new challenges, Singapore’s higher education system has to engage more in research to contribute to the existing manufacturing and financial service sectors and explore new niches such as biomedical research and info-communication technology to be further developed in order to maintain Singapore’s competitive advantage in the global market by upholding its leading position in those economic sectors in order to remain attractive as an investment destination from multinational corporations, which have long been a major source of foreign direct investment in Singapore since the 1960s when the city-state embarked on its process of industrialization (Gopinathan and Lee 2011).

What Singapore has done is not to be challenged by globalization but instead to co-opt globalization in order to keep the nation moving with new directions of economic growth and development being identified. It is clear that higher education has to play a significant role to create new knowledge through R&D, which is heavily financed by the Singapore government, to favour the commercialization of scientific research outcomes into new technologies, products and services following the model of Silicon Valley. Furthermore, without sacrificing the quality of higher education, the Singapore government insists on pulling in world-class universities to the city-state and forging a number of alliances and partnerships between local higher educations, including universities and polytechnics, and those world-class universities to improve the international rankings and prestige of universities in Singapore. Apart from consistently increasing financial input into the higher education sector and R&D, such strategic alliances and partnerships are proved to be highly instrumental to make Singapore as a global education hub within a rather short period of time since the World-Class Universities programme and the Global Schoolhouse initiative managed by the Economic Development Board were launched between the late 1990s and the early 2000s. The collaboration with world-class universities overseas is vital for newly established and young universities like Singapore Management University and Singapore University of Technology and Design for they are capable to compete for the best students, faculty and resources with other established higher education institutions in and out of Singapore. In this sense, strategic alliances and partnerships between local and overseas higher education institutions are definitely a core element of the emerging “Singapore model of higher education”.

As what has been discussed in this section, it is clear that both the developmental state and globalization factors are the most important factors determining the ways higher education has to be developed in Singapore especially since the 1990s. The Singapore state has long been emphasizing the role of higher education in propelling national and economic developments over the past five decades since 1965. This is to justify the interventionist state in Singapore’s higher education for the state leaders are the ones who are best qualified to find the ways out for the nascent nation’s progress and development in the long run. The state is therefore not only a major financier of higher education but also a regulator, provider, promoter and

facilitator of international collaborations and partnerships. The state-centred approach of higher education development is obviously found in Singapore. Globalization, on the other hand, has never weakened the role of the state in Singapore's higher education, but it is sophisticatedly manipulated by the government to reorient its influence and control over higher education institutions. The developmental state and globalization factors are intertwined and continue to have profound impacts on the development of higher education in Singapore.

Main Research Themes in Singapore Higher Education

Reviewing major themes of higher education studies in Singapore, it is most appropriate to begin with the relationship between higher education and the state in Singapore, which is a developmental state which consistently plays a significant role in boosting economic growth, facilitating export-led industrialization, regulating market competition, propelling social progress and strengthening racial harmony since its independence in 1965 (Castells 1992; Johnson 1982; White and Wade 1988). For Singapore, education is perceived as a key driver of strengthening human capital in order to maintain the competitive edge of the Singapore economy in a highly competitive global market. Likewise, from the Singapore government's perspective, heavy investment in the higher education system is deemed necessary for it has contributed well to economic growth (Gopinathan and Lee 2011). The higher education system has a definite role to play to achieve national development priorities so that it has to be placed under direct policy guidance from the state's administration rather than leave a free hand to academics to govern higher education institutions themselves (Selavaratnam 1994).

Centralized Decentralization

For the sake of national interests, the state retains its control over higher education institutions and universities in Singapore (Lee 2003). In the 1960s, shortly after Singapore's independence, there were signs, such as the appointment of a cabinet minister as the University of Singapore's Vice-Chancellor and the prohibition of forming trade unions of academic staff, showing a departure of Singapore's higher education system from a British model and tradition, which modelled along classical principles of university autonomy and academic freedom into one in which government influence and control became the norm (Goh and Tan 2008; Gopinathan 1989; Khoo 2005; Mukherjee and Wong 2011). The state intervention in higher education can also be demonstrated in the case of closing down the private Chinese-medium Nanyang University in 1980, when it was merged with the English-medium University of Singapore into the National University of Singapore, for it could not survive without enrolling sufficient quality students and recruiting sufficient quality academics. That university was discontinued for it lacked economic viability in Singapore where

English has been adopted as the lingua franca instead of Chinese despite of a majority of the Chinese population there (Gopinathan 1989). Moreover, it might also be related to political reasons for the government to close down the Chinese-medium university for it was once the political hotbed in the 1960s; a number of political and student activists were affiliated with the Chinese-medium university which the government under the ruling party, the People’s Action Party, would like to tackle the problem of having a very much politicized Chinese-medium university and eventually to close it down not purely because of economic reasons (Wong 2000, 2002).

It was not until the early 2000s when the Singapore government proposed to grant greater autonomy to higher education institutions in the management of financial and human resources that the state control over higher education was relaxed in order to pave the ways for corporatizing higher education institutions (Lee 2003; Ministry of Education 2000, 2005). Nevertheless, the policy of corporatization should not be interpreted as means for the state to divest its influence over those institutions (Tan 2006). Greater autonomy being granted to higher education institutions is not without precondition, which simultaneously requires those institutions to adhere to the principle of public and financial accountability. It is through the institutionalization of quality assurance and audit systems that the performance of institutions is also subject to external scrutiny. Meanwhile, the prominent role of the state in higher education is not only confined to scrutinizing institutional performance, but also it is the most important financier for the higher education system, in which the Singapore government still provides heavy financial subsidies to higher education institutions. Lee and Gopinathan (2003) refer to such change of university governance as “centralized decentralization”, which demonstrates the combination of centralization and decentralization strategies for reforming and restructuring higher education. This concept refers to the devolution of mainly financial and human resource control which is matched by the centralization of policy and decision-making power and strategic command in top management of higher education institutions with the state authority steering the sector from a distance. As a strategy for higher education reform, the concept of centralized decentralization has three implications. First, it brings about changes in the role of the state in higher education as it is a service purchaser instead of a provider. Second, decentralization does not necessarily mean a sharing of decision-making and managerial powers among academics, but they are more centralized with the top management. Third, there is a reorientation of higher education institutions which are more likely run as corporate enterprise-like public service institutions (p. 128).

Massification

Apart from addressing the prominent role of the state, most researchers note the impacts of massification on Singapore’s higher education system. The policy of higher education expansion, which came after the first economic recession in Singapore in the mid-1980s, was considered viable means to upgrade the skills and quality of workforce so as to facilitate economic restructuring (The Economic

Committee 1986). The participation rate of higher education, including the university and polytechnic sectors, has increased significantly since then. For the university sector, the ratio increased from a mere 5 per cent in 1980 to 21 per cent in 2001, 25 per cent in 2010 and 30 per cent in 2020 (Singapore Department of Statistics 2002; Ministry of Education 2008, 2012). This massification of higher education is marked not only by a significant rise of student population but also a steady growth of higher education institutions, including both universities and polytechnics, and funding for higher education and research and development (R&D). By the year 2015, Singapore's higher education system was comprised of five publicly funded autonomous universities, namely, National University of Singapore, Nanyang Technological University, Singapore Management University, Singapore University of Technology and Design and Singapore Institute of Technology; privately funded SIM University (which became publicly-funded and was renamed as Singapore University of Social Sciences in 2017); as well as five diploma-awarding polytechnics, including Singapore Polytechnic, Ngee Ann Polytechnic, Nanyang Polytechnic, Temasek Polytechnic and Republic Polytechnic. It is noteworthy that the five polytechnics have enrolled over 40 per cent of the age cohort since the beginning of the twenty-first century (Ministry of Education 2014).

Quality and Excellence

Most studies in higher education research are concerned about how to strike a right balance between expansion and excellence amidst the process of massification. In Singapore, as what mentioned earlier, it has witnessed a significant expansion of higher education; the quality of higher education is maintained through imposing strict admission criteria together with a highly competitive system for the selection of students. Tan (2005) highlights the government's decision in the year 2000 to reform the university admission system to make it not only relying on the GCE A-level examination but also the SAT I reasoning test, project work and participation in co-curricular activities. The change was considered to be in line with the education reform initiatives of "Thinking Schools, Learning Nation" (Goh 1997) to better equip students with the essential skills for national survival in a knowledge-based economy. However, the inclusion of SAT I test results as a criterion for university admission aroused widespread concerns and controversies over whether the test is really effective in improving the existing admission system or instead putting more pressures on students to prepare for the SAT I test on top of the existing A-level examination. Subsequently, in 2004, the SAT I test was removed as a mandatory admission requirement for the universities in Singapore partly in response to the revision of the A-level curriculum to incorporate greater thinking skill components as well as the reforms of the senior secondary school and junior college system and curriculum (Ministry of Education 2002). This reveals that even though the higher education system has been expanded, the government's elitist belief largely remains unchanged for universities are seen to be reserved for quality students without compromising admission standards and quality of students.

Not only the quality of students but also the recruitment and retention of talented and outstanding academics are always a core concern for Singapore’s higher education system to enhance quality. Stringent academic recruitment policy is adopted to ensure that local and international academics with high professional and academic standards are engaged in order to strengthen the academic leadership and scholarship in Singapore’s higher education institutions. A highly stringent tenure policy is imposed with only 40 per cent of the academic staff is tenured. A local academic staff needs to fulfil two 3-year contracts, show teaching and research capabilities and publish in international journals in particular, in order to be tenured (Selavaratnam 1994). It is therefore understandable that junior academics are under much greater pressure to do research and publish in top international journals on top of their heavy teaching duties in order to attain tenure term and promotion (Lee 2003). Beside academic recruitment, the quality of teaching, research and services provided by academics is also regularly assessed with quality assurance mechanisms as stipulated in the Quality Assurance Framework for Universities, which aims to enhance the quality of universities through a systematic process involving institutional self-learning and external review. External reviews will be appointed to conduct evaluation of individual universities’ self-assessment report and make recommendations for improvement. The first quality audit was conducted in 2003 and it is conducted every 5 years (Ministry of Education 2013 – External Audits of NUS, NTU and SMU – Parliamentary Replies, 14 January).

Globalization

Another major theme which has been widely covered and delved into by researchers in Singapore’s higher education studies over the past two decades especially from the mid-1990s onwards is concerned about how globalization would affect the development of higher education in the city-state. Globalization presents Singapore with certain policy challenges. Has globalization weakened Singapore’s developmental state’s strategies? What strategies are needed to transform an industrial era economy to a post-industrial one? What roles do the higher education and other knowledge-using and knowledge-producing centres have? It is certain that globalization has profound impacts on Singapore’s higher education strategy, which has to cope with economic challenges the young nation faces. For Singapore where its economy is largely based on multinational corporation-led and export-led industrialization alongside the more vibrant manufacturing and service sectors, a workforce being capable of generating and using new knowledge in creative and innovative ways deems to be essential for the future success of the Singapore economy in the context of globalization. Therefore, the higher education sector has to be more engaged in research, which is reflected in various indexes of research citations, impact factors and university rankings to see how well higher education institutions can perform. Whether Singapore would be able to preserve its competitive and comparative advantages in the global market, universities have definitely a clear role to

play in not only producing highly skilled labour but also, more importantly, new knowledge and ideas for the future of Singapore economy to build on the Silicon Valley experience to provide the critical mass of advanced knowledge sources, including universities, advanced public and corporate research laboratories, venture capital, entrepreneurial talents, knowledge workers, specialized professional services and sophisticated end users (Gopinathan and Lee 2011; Wong 2007).

Marketization

In this globalization context, market and competition are major elements to be taken in consideration to plan for the future development of higher education. The concept of “marketization” aptly illustrates the situation facing most higher education institutions (Lee and Tan 2002; Mok 2000; Mok and Tan 2004; Tan 1998). More emphasis is placed on the importance of market relevance when higher education institutions have to develop their curriculum and pedagogy. Widespread attention is given to the employability of graduates and how much they earn for they have become important indicators to demonstrate how well higher education institutions perform and whether they are responsive to market needs. With more resources pledged by the Singapore government to fund R&D activities and scientific research projects, it is expected that higher education institutions have to play a highly strategic role in reinventing the Singapore economy towards the goals of becoming more research-intensive, innovative and entrepreneurial. Meanwhile, the Singapore government, which plays a market accelerationist role, makes use of market forces to stimulate competition between local and foreign universities not to cure the financial stringency problem, which is non-existent in the city-state, but improve managerial efficiency and cost-effectiveness in higher education institutions. This comes with the diversification of higher education finance to explore alternative or non-government sources of funding before financial stringency occurs (Lee 2002; Mok 2011; Mok and Tan 2004).

Internationalization

Closely related to the trend of marketization, Singapore’s higher education has been profoundly affected by another trend of internationalization as noted by scholars like Daquila (2013), Lee and Gopinathan (2007), Mok (2008), Sidhu (2006, 2009a, b), Olds (2007), Olds and Thrift (2005), Sidhu et al. (2011, 2014), Tan (2006), Toh (2012), Waring (2014) and Ziguras (2003). These scholars’ research focuses on the “Global Schoolhouse” initiative of the Singapore government’s Economic Development Board, which launched the World-Class Universities programme in 1998 with an aim to attract at least ten world-class universities, most of which are research-intensive American institutions (Sidhu et al. 2011), to Singapore by the

year 2008. This initiative was based on the Singapore government’s intention to turn Singapore into the “Boston of the East” modelling after Harvard University and the Massachusetts Institute of Technology. The Global Schoolhouse, which is not only an education policy but also a population and immigration policy to draw in foreign talents and students (Ng 2013; Tan 2006), has an implication to transform education, in particular higher education, as an export service industry to boost the reputation of Singapore as a global education hub in Asia and to generate national incomes for the city-state. Through various forms of linkages and partnerships formed between local publicly funded bedrock universities and branding world-class universities from overseas, it was expected that Singapore could be developed as a “global knowledge hub” dedicated to new knowledge production and innovation, R&D activities and also university-industry linkages (Olds 2007), even though the Global Schoolhouse project is not without setbacks as seen from both failed alliances with Johns Hopkins University from the United States and also the University of New South Wales from Australia (Sidhu 2009a), together with the relocation of the Chicago Business School’s Asia campus from Singapore to Hong Kong since 2014.

Entrepreneurialization

More recently, higher education research has focused more on the entrepreneurialization, which is interpreted as the ways higher education institutions add a more entrepreneurial aspect to their research and educational activities such as the commercialization of knowledge and research and the cultivation of entrepreneurial spirit among graduates (Ho et al. 2010). Another perspective concerns about university-industry linkage as well as university-enterprise cooperation in Singapore. As Mok (2015) observes, higher education is the main driving force to promote the development of knowledge economy. As a consequence, the interaction between the state, universities and industries would be strengthened further. In Singapore, the government as a major financier of R&D and scientific research, as what has been mentioned earlier, plays a leading role in facilitating cooperation between universities and enterprises. The development of an “entrepreneurial university model” is aimed to make higher education institutions to shoulder more responsibilities and make more contributions to the local economy with the government’s proactive role in providing infrastructure and financial resources as well as forging strategic cooperation and alliances between local higher education institutions and multinational corporations. In this sense, higher education is more closely affiliated with the policy of economic development and technological innovation as a vital component for the ongoing economic restructuring policy, which has been complemented by knowledge innovation and commercialization and the recruitment of more foreign talents (Wong et al. 2007).

In summary, this section has provided a review of major higher education research literature since the mid-1980s, from which a few themes and issues related to the development of higher education in Singapore have been synthesized. These

trends and issues concern the changing relationship between the state and higher education, the dilemma between expansion and quality and the impacts of globalization on higher education development with special reference to three closely related issues, including marketization, internationalization and entrepreneurialization, all of which aptly illustrate changes and challenges facing Singapore's higher education system. In the following section, it delves into the three most important factors affecting higher education in Singapore.

Lessons from Singapore's Experience

Is there any lessons can be learnt from Singapore's experience of higher education development as what scholars have been researching over the past few decades? Unlike other First World countries, higher education in Singapore remains to be elitist although the participation rate of local universities reached 25 per cent in 2015. A majority of students are studying in polytechnics and Institute of Technical Education for postsecondary education in Singapore. Universities mainly cater for the best students, and those with outstanding performance would be awarded different kinds of bonded scholarships offered by the government or its affiliated institutions like the Public Service Commission and Singapore Armed Forces to study in top universities overseas (Lee 2011). This reflects the generosity of the state to offer a certain quantity of scholarships for students every year as a means to retain local talents and also recruit as many as foreign talents as possible. Universities, which include the ones in Singapore and top universities overseas, are not surprisingly considered as elitist institutions to nurture future leaders and elites in Singapore.

Meanwhile, higher education is well resourced for it is substantially financed by the state and public money. Instead of facing the critical problem of financial stringency as those developed countries have experience in recent years, the Singapore government has consistently allocated more funding to the higher education system although the city-state was also severely affected by the global economic downturns and fluctuations as similar as other developed countries. This reveals an extraordinarily strong commitment of the state to develop higher education within a relatively short period of time. This is because higher education is regarded as an investment for Singapore, where there is no natural resources but only manpower. Higher education is clearly aligned to the needs of the local and global economy. Apart from financing higher education, the state also commits itself to support R&D with heavy investment of public funding in this area. More emphasis has been placed on improving Singapore's international competitiveness in science and technology and enhancing its research and development capability to match with the other developed and newly developed countries. In view of the need to strengthen Singapore's R&D, higher education institutions are asked to nurture skilled personnel in key technologies who should be developed with innovative and creative skills (Tan 2006). For Singapore, the strong state's commitment and its significant financial input are indispensable to a relatively rapid growth and development of higher

education. Nonetheless, it should also be noted that, besides substantial financial inputs, which are considered as investment instead of expenses, it is necessary to have clear policy goals as well as swift and effective policy implementation strategy to enable such a rapid growth and improvement of higher education as what is shown in the case of Singapore during the time when many higher education institutions around the world have suffered from financial stringency. (Selavaratnam 1994; Tan 2006).

Strong emphasis on internationalization, which largely reflects on the strategy of forging international collaborations with top universities overseas, is a means adopted by the Singapore government to raise the international standing of the city-state’s higher education system to develop Singapore as a global education hub in Asia for retaining local talents and attracting foreign talents. Most foreign talents are coming from emerging economies like the People’s Republic of China, India and certain Southeast Asian countries like Indonesia, Malaysia, the Philippines and Vietnam. However, it can be foreseen that with the growth of global education market in the years to come, there will be more competitors to join the race as Singapore’s higher education institutions will also have to face much greater pressure to deliver excellent and outstanding performance to among the top rankings in Asia and the world so as to maintain its competitiveness. Meanwhile, it is doubtful to see Singapore’s universities can be in a position like those top and prestigious universities to attract enough world-class academics and researchers as well as best students from other First World countries outside Asia to move to Singapore.

In spite of these achievements, it is important to note some unresolved issues to be tackled in Singapore’s higher education system. There is always a question whether the state’s highly interventionist approach to govern higher education institutions would be able to deliver a genuinely entrepreneurial and innovative environment for academics, researchers and students to be cultivated with the entrepreneurial and innovative spirit. Closely related to the state’s interventionist approach in higher education governance, it should not be surprising to foresee questions and debates on such matters as academic freedom and institutional autonomy, both of which are more likely to be considered by top universities overseas to determine if Singapore will be a suitable point for them to expand their presence in Asia. In addition, Tan (2006) draws our attention to the problem of ethnic disparities in educational attainments with reference to the enrolment figures of higher education institutions, especially universities, where Malays and Indians are found to be disadvantaged. This will pose a challenge to the Singapore government for higher education opportunities are unevenly distributed as it may probably result in the widened differences between ethnicities in terms of their socio-economic status. These are the unresolved issues that the Singapore government must note and tackle more cautiously, and both of them should deserve further research and detailed analysis in the future.

Conclusion

This chapter has provided a review of the existing research literature of higher education studies in Singapore. Synthesizing from these research works, a few major themes and issues on higher education in Singapore have been identified. Firstly, it is about the relationship between the developmental state and higher education and the role of government in higher education development. In the case of Singapore, the strong state, together with its strong commitment in financing higher education and R&D, is instrumental for a more rapid growth of higher education without compromising its academic standards and quality. Secondly, the trend of massification was also widely researched by scholars to see how Singapore would not follow the footsteps of other countries which experienced the same trend that the quality of higher education would not be sacrificed. Admission criteria for Singapore's universities have become more stringent to maintain their elitist character. In the meantime, institutional performance is subject to the scrutiny of quality assurance systems, which comprise self-assessments and external reviews. Thirdly, the landscape of higher education development in Singapore has been altered by globalization, which is closely related to the trends of marketization, internationalization and entrepreneurialization.

It is observable from the existing research works that the development of higher education in Singapore is largely determined by the state and globalization factors. The developmental state in Singapore, whose political legitimacy is based on its past achievements and performance, has been playing an irreplaceable role in governing higher education for the interests of both national and economic developments. The state's involvement in higher education is not confined to setting major policy directions but also providing substantial financial resources for higher education institutions to expand and provide a pool of skilled labours and researchers who can cope with the needs of economic restructuring since the 1980s. When the process of globalization has gained its momentum in the 1990s, there has been a changing focus on such global practices like quality assurance and audit systems and international rankings especially for universities. Particularly for Singapore, globalization denotes a global war for talents to make up the existing "brain-drain" problem, which can only be solved with retaining local talents and attracting foreign talents simultaneously. It also points to how higher education institutions contribute to the future of the Singapore economy by creating new niches in high value-added industries and economic sectors to maintain Singapore's competitive advantages. These reveal the fact that higher education is more likely seen as an economic instrument from the Singapore state's perspective.

Some lessons can be drawn from Singapore's experience of developing higher education being diagnosed in this chapter. It is undeniable that the strong role of the state makes it possible for Singapore's higher education system to experience a more rapid and sustainable growth and expansion. Singapore's higher education is claimed to benefit from the strong state's commitment in the sector. Other higher education institutions worldwide should envy their counterparts in Singapore whose funding would not be affected by global economic crises in recent years. R&D is

also an area that is strongly committed by the Singapore government, which tends to take a proactive role in forging international collaborations for higher education institutions. Nevertheless, it is not known if those institutions in Singapore can directly compete with top universities overseas to get enough world-class researchers and students out from Asia. Being top in Asia should not be enough for Singapore to develop as a genuinely global education hub in Asia in face of keen competition in the emerging global market of higher education. There are also some unresolved issues facing Singapore’s higher education system in the coming years: How to promote innovation and entrepreneurial spirit in higher education institutions, which are still bounded by the heavy presence of the state? How to solve the dilemma between strong state intervention in higher education and the core academic values of academic freedom and institutional autonomy? How to rectify the existing ethnic disparities in higher education institutions, particularly in universities? These questions can be included in the future research agenda for higher education studies in Singapore.

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Chapter 14

Higher Education as a Field of Study in Malaysia: Towards an Epistemic Community of Practice

Norzaini Azman and Morshidi Sirat

Abstract Interest in the field of higher education in Malaysia rose dramatically at the beginning of the twentieth century as the higher education sector grew rapidly. At the same time, scholarly interest in higher education increased as the result of the reforms and transformations that occurred at both systemic and institutional levels. Based on a review of policies, graduate programme documents and data on HE research from the Ministry of Higher Education, this chapter provides a general introduction to some salient features of the evolution and current state of higher education as a field of study in Malaysia. It reviews the emerging nature of higher education as a field of study and the political and social forces that have shaped and contributed to its development. It also highlights certain characteristics, issues and developing trends which would provide a better understanding of both the present stage of development and the line of progress expected to emerge in the future. The chapter concludes that greater emphasis needs to be placed on research infrastructure, especially mechanisms for funding, storing and sharing research reports and materials.

Introduction

Research in higher education in Malaysia is relatively new compared to studies on primary and secondary education. Prior to 1996, most of the education development and research projects focused on primary or secondary schooling. Higher education was only a subset of studies on education, with its main emphasis on teaching methodology, which was often borrowed from school pedagogy. Mature higher education fields in developed countries have research, academic programmes and

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professional associations to prepare and train scholars and professionals. By comparison, the higher education field in Malaysia is considered still very young, as is true for most of the developing countries around the world.

Higher education as a field of study in Malaysia effectively gained momentum between 2000 and 2010, possibly as a consequence of the reforms in 1996 and 1997. However, it did not flourish until after 2004 with the establishment of the Ministry of Higher Education (MoHE). Within a mere decade, the emergent field began to be considered seriously by higher education institutions and policymakers. This was in response to the practical and scholarly needs to study the increasingly complex issues of a booming higher education sector in Malaysia, particularly the private higher education sector. The development of the field coincided with the rapid expansion and transformation of higher education as outlined in the National Higher Education Strategic Plan (2007–2020) (NHESP). Thus, to a considerable extent, the expansion and reforms in the Malaysian higher education system brought out the essence and importance of higher education study and determined not only its orientation but also its contents and priorities. As such, in the field's formative years, a handful of researchers were preoccupied with the immediate policy and practical issues in the expansion and transformation of Malaysian higher education, in areas such as of governance, funding and graduate employability.

As the study of higher education research in Malaysia is relatively new, no study related to the antecedents and consolidation of higher education research in the country is available. Neither has any study been reported concerning higher education that would indicate its current status and validity as a field of study. According to many scholars (Chen and Hu 2012; Altbach et al. 2006; Tight 2004; Jones 2012), as fields of study emerge and develop, they often gain recognition or acceptance through a number of means. One is the offering of courses of degree programmes in these emerging fields by numerous graduate departments. The fields are also represented by professional societies or associations, their legitimate areas of concern are discussed through scholarly journals, and extensive bibliographies identify other publications in the area. Recognition is also gained, quite often, by virtue of the sheer numbers of persons interested in, and departments devoted to the area (Chen and Hu 2012; Altbach et al. 2006; Tight 2004; Jones 2012). Using these indicators, could higher education be recognized as a valid field of study in Malaysia? It is important to reiterate though that there is yet no research analysing the history of the field of higher education in Malaysia.

In order to ascertain and demonstrate the status of research and the availability of graduate programmes in higher education, the authors carried out a simple analysis of written documents from the education faculties through their websites, and data on research from the Ministry of Higher Education. The aim was to examine the course offerings and programme structure of the masters and doctoral programmes in the field of higher education in Malaysian public universities. To identify the research areas, the authors examined data on the research projects approved and funded by the MoHE through its Institution of Higher Education Excellence Planning Division (*BPKI*). The key features and themes of funded research were analysed to provide a basic view of the current contours of higher education research

field, including key areas or topics of inquiry. Due to the unsystematic and not up-to-date national databank on research (only a list), the authors admit and are cautious of the fact that there may be other research on higher education topics, particularly on institutional research, that have been or are being funded by individual institutions. Following the brief review of postgraduate programmes and research documents, important higher education policy documents and the authors' reflective analysis as scholars in higher education, this chapter then outlines the evolution of the field, issues and trends observed, as well as the initiatives taken to strengthen higher education as a field in Malaysia.

This chapter begins with a general introduction to some salient features of the evolution and current state of higher education as a field of study in Malaysia. It reviews the emerging nature of higher education as a field of study, and the political and social forces that have shaped and contributed to its development. An overview of the status of higher education training and research that is taking place follows, highlighting certain characteristics, issues and trends that would enhance understanding of both the present stage of development and the line of progress expected to emerge in the future.

Evolution of the Field

Interest in the field of higher education in Malaysia upsurged in response to the rapid growth of higher education following several reforms in the higher education system introducing regulatory and supervisory frameworks for both public and private higher education in 1996. In addition, a continuum from primary to tertiary education had also been made explicit in terms of policy connection. Since the late 1990s, the Malaysian higher education system has gone through the following major developments: expansion of the higher education system, expansion of enrolment, emergence of private higher education, restructuring of curriculum and programmes, development of community colleges, reform of governance and administrative systems, diversification of higher education institutions and quality assurance mechanisms (Azman et al. 2011, 2014). Interest in higher education research and studies grew with the changing landscape and the changing context of higher education.

Higher education needs to be studied by scholars and practitioners to inform theoretical foundations, long-term development and strategic plans and management strategies to implement comprehensive reforms of universities and colleges. This became particularly compelling after the NSHEP in 2007 with its accompanying action plans; both scholars and competent academic leaders were much needed to administer and manage the higher education sector. The Higher Education Leadership Academy (*AKePT*), established by the Ministry of Higher Education, also included a research arm mandated to carry out research into higher education leadership and governance, including teaching and learning. This resonates with Altbach's (2001, 2014) assertion of an increasing interest in higher education, and

an expansion of research, service and training programmes geared towards serving higher education systems and institutions. Higher education is not only a new area of research; it is a new area of policy.

Higher education consequently became a major policy concern in Malaysia, leading to the establishment of the Ministry of Higher Education (MoHE) in 2004. Since then, Malaysia has undertaken a series of comprehensive reforms in higher education, which have implications for teaching and learning, and governance of higher education institutions. Subsequently, all these reforms were encapsulated in the strategic plan for higher education with implementation schedules. The development of higher education became a priority in the policy agenda of the NSHEP 2007–2020.

The landmark for the beginning of higher education as a field of study in Malaysia was the establishment of the National Higher Education Research Institute (*IPPTN*). *IPPTN* is a research institution established by the National Council of Higher Education in 1997 to serve as a consulting organization in policy research for the Council and the Department of Higher Education. However, it was only 7 years later that the institute took on a leadership role in higher education policy research. At that time, the issue of unemployment among university graduates was becoming increasingly serious, especially with high rates of unemployment among graduates of certain disciplines and ethnic groups. The institute undertook a study on graduate employability which moved it into a bigger and more prominent role in the development of higher education policy research. The establishment of MoHE in 2004 and the launch of the strategic plan for higher education in 2007 provided the right platform for *IPPTN* to assert its role in the national and, later, regional higher education landscape. However, from 1997 to 2007, research activity and compilation of literature in higher education by the institute were limited and sporadic. This was attributed to the lack of talent and competencies in studying and analysing higher education. After 2007, more academics showed interest in higher education, most of whom were affiliated to *IPPTN*. Furthermore, funding for higher education policy research was rather generous with ample time granted to complete each study. However, since 2013, when the MoHE merged with the MoE, *IPPTN* has been mandated to conduct and coordinate only research deemed important by the MoE. It is important to note that in July 2015, the MoHE was reinstated as a specific government entity for higher education.

In August 2013, another organization, an entity essential to the development of higher education, named the Commonwealth Tertiary Education Facility (CTEF), was established by the MoE and the Commonwealth Secretariat, London. For Malaysia, CTEF is critical for the field, as it creates a network of communities of researchers and practitioners throughout the Commonwealth countries (see www.CTEF.com.my). The Commonwealth comprises 53 member countries in Africa, Asia, the Americas, Europe and the Pacific, all former colonies of Britain. CTEF will hold periodic meetings and workshops that bring together their members and often others with related interests, throughout the Commonwealth countries. Malaysia now has two centres focusing on the field of higher education supported by the MoHE.

The new Malaysian Education Blueprint- Higher Education (2015-2025) MEB-HE (2015-2025), launched in April 2015, put forward another fundamental transformation for the higher education system and higher learning institutions in terms of access, quality, equity, unity and efficiency. It has been postulated that with this latest reform, studies in higher education may not be as popular as they have been as no prescriptive strategies are needed at the central level. However, we argue that it is both necessary and possible, based on the achievements in the previous era, to consolidate and deepen higher education research in a planned manner. Both reform and development need theories and best practices for guidance and evaluation. From a long-term perspective, the prospects for higher education research in Malaysia are still bright.

To ensure that higher education thrives and succeeds in establishing itself as a discipline in its own right, its roots need to spread and be strengthened by developing graduate programmes, growing expertise in theoretical research and disseminating knowledge via publications, while cultivating a community of practice that will sustain and continue developing the discipline. The following subsections will discuss critically each of these aspects and point out what needs to be done to further establish higher education as a field of study.

Graduate Programmes in Higher Education

The foundation of any academic discipline or profession begins with a set of core beliefs and practices (Dill and Morrison 1985; Sadlak and Altbach 1997). Once adopted, those core principles provide the source from which the group transfers knowledge to its members. Hence, as the study of higher education evolves into an academic area of scholarship, certain taught and research courses and programmes should be developed by educators to provide some form of cohesion to the higher education discipline (Altbach 1997; Jones 2012).

The creation of graduate programmes of study in higher education, particularly at the doctoral level, represents a major step in the direction of developing the needed understanding and expertise (World Bank 1994; Altbach 1997, 2002; Jones 2012; Kehm 2015). Unfortunately, the growth of higher education research opportunities in Malaysia has not spurred the growth of higher education graduate programmes that would have led to opening up the field of higher education studies. There is hardly any master's programme that provides an opportunity to study the complexity of higher education in terms of how it impacts, and is shaped by, the social, political and economic environment. Clearly, in Malaysia, professional development of higher education policy, leadership and management capacity as well as academic interest in higher education has been largely absent or, at best, fragmented. There is no tradition of and subsequently no structure for educating and training higher education policymakers and leaders/managers, or for studying higher education. Even in top selected education faculties, training and research in higher education is fragmented, with a number of small units and programmes

conducting research and teaching in higher education with little reference to one another.

Although the precise number of Malaysian universities offering master's and doctoral programmes in higher education has not been ascertained by a proper evaluation, a document analysis carried out by the authors indicates that, thus far, there seems to be only one specialized doctoral programme (EdD) in higher education established in one of the public universities in Malaysia. Another new initiative is being carried out at the Department of Policy and Leadership Education, Faculty of Education, Universiti Kebangsaan Malaysia (UKM), to set up a taught master's course in higher education. No other course work is offered regularly in the other public universities for the purpose of providing professional preparation to graduates who would be entering careers in institutions of higher education. Suffice it to say that the development of graduate programmes in higher education is constrained by the lack of professionally trained leaders and scholars in the higher education field as well as by the lack of understanding of the importance of the field as an area of study or scholarly work.

Started in 2014, the UKM EdD programme is managed by the Faculty of Education and the Academic Professional Development Centre of UKM. It was established in the first place to meet the growing demand for academic and administrative staff at universities. As such, it follows a generic EdD curriculum, available as a part-time study option with four phases (pre-practicum/thesis) amounting to 40 units of modules, while phase 5 involves a practicum (6 units) and phase 6 is for research (40 units) (see <http://www.ukm.my/professional-ukm/wp-content/uploads/2014/09/senarai-kursus-berkredit-EdD.pdf>). Presently, 25 students are enrolled in the EdD programme. However, based on our review of the programme documents, we argue that there are major weaknesses in the EdD curriculum, particularly in the course content. Most of the courses only describe general observations and focus on minor matters relating to current practices in higher education. The courses do not appear to present a consistent framework or a consistent set of theoretical presuppositions, nor is there a blend of research, theory and practice. Moreover, the courses are conducted by academics with neither in-depth knowledge of epistemology and theories nor vast experience in research into higher education. The majority of the faculty members teaching the EdD courses have been trained in other disciplines, with experience in secondary and primary education. In part, this may reflect the dismal lack of experts in higher education as indicated by the lack of key higher education literature listed in the course synopsis. As argued by Skolnik (1991), having such a small number of core faculty working in higher education programmes simply cannot create the critical mass necessary to move the field forward. It is therefore doubtful that the programme can make an important contribution to the professionalization of the field.

In Malaysia, higher education seems to have naturally developed as part of education studies that are frequently located at the teacher education faculties or at least close to them. A document analysis on the types of PhD in education by research carried out by the 12 education faculties in the public universities showed that higher education is explicitly included as one of the subtopics for full research in

education in only three of the faculties (in these universities, Universiti Kebangsaan Malaysia (UKM), Universiti Sains Malaysia (USM) and Universiti Teknologi MARA (UiTM)). The normal situation in most of the graduate education programmes in Malaysia is to have a higher education line or topic included in the programme, with some academics teaching a general topic on higher education and directing dissertations on higher education themes, but awarding a final degree in education, educational sciences or pedagogy, not in higher education. Teacher education is unsurprisingly considered a prominent theme. Hence, higher education has not been the strongest area in the education faculties. The very few academics that are involved in important research efforts and participating actively in the field remain a minority in their institutions. Undoubtedly, the existence of so few masters and doctoral programmes in higher education is a weak point in the development of the field in Malaysia.

Thus, it is generally recognized that despite the rapid expansion and development of higher education in Malaysia, the shortage of trained professionals in the field of higher education has hampered efforts to implement the policies and manage the institutions. In response to the urgent need for leaders and scholars in the field of higher education, some universities are in the midst of establishing doctoral programmes in the field. However, these institutions are introducing doctoral programmes in higher education with inadequately prepared staff, and inadequate instruction. As the courses are new and some are being developed, it is not known if the curricula and experts can support the mission of these doctoral and master's programmes. It has to be stressed that in the preparation of higher education graduate programmes, it is essential for the providers to build the subject up as a genuine discipline of considerable breadth and depth rather than to merely offer one or two very general courses about higher education.

Admittedly, higher education studies borrow heavily from the various disciplines to examine and explain phenomena related to the field (Kehm 2015; Teichler 2003, 2005). A discipline has been described as a community of individuals who share a specialized area of study, a tradition, a method of inquiry, a language and a conceptual structure (Huber and Morreale 2002; Altbach 2001; Jones 2012). The curricular offerings of a higher education doctoral programme should undoubtedly include courses on the financing of higher education (economics), the models of higher education (history), student development (psychology), organization and governance (political science), philosophy of education (philosophy) and others that have a particular disciplinary focus. As a field of study that relies heavily on other disciplines, it is not surprising that it is often pulled in different directions; as a result, students are challenged to find the appropriate lens with which to frame their research work. Wright (2007) and Dressel and Mayhew (1974) acknowledged similar concerns about the higher education field lacking a general body of knowledge, a unique vocabulary, specific techniques for theory testing, a standard methodology for research and practices. However, Wright (2007) felt that borrowing from the other social science disciplines helped move the field closer towards meeting the criteria of a specialized field of study.

Evidently, the emerging field of postgraduate study in higher education faces many different types of problems. One problem is limited research on postgraduate programmes due to their relative newness in higher education. Another is that the few available programmes in higher education have not developed a conceptual framework for analysing and describing their course offerings. Hence, the nature and structure of doctoral programmes in higher education in Malaysian universities remain unknown and therefore undefined. Finally, the knowledge, expertise and skills needed for building capacity in higher education and for developing the capacity to study higher education are also still inadequate.

Research

Research is the basis for developing higher education as a field of study, for teaching programmes that have relevant content and for informing decision-makers. The best, but not exclusive, way of understanding what higher education research is being done in Malaysia is to map research output in terms of publication. Nevertheless, this is an impossible task as there is no database available for higher education research or expertise. The only resource centre that has a specialist collection on higher education research is *IPPTN* which has been steadily building up its collection over the past 8 years.

With regard to the development of higher education research, we argue that it has achieved impressive progress in the last one decade. This is attributed to the increasing government funding for research towards improving the higher education system, which is considered as the main factor for the development of higher education as a field of specialty worldwide (Altbach 2001, 2006). The Malaysian government requires national data and research for the purpose of informing higher education policy and strategic planning with the new transformation plan. Not surprisingly, we tend to see that with the MoHE and MoE as the main funders for higher education research, the bulk of the research tends to be more closely related to government policymaking. Within such an environment, where the research does not contribute much to the corpus of knowledge, the building of a systematic, programmatic knowledge base in the field of higher education remains unlikely to materialize.

Consequently, theory development and underpinning are found to be among the most underdeveloped dimensions of the Malaysian higher education policy research output. Only a couple of fragmented theories, or rather theoretical elements, are uncovered from the empirical research projects. Few researchers employ any theories to undergird their studies, and as researchers come from all fields, researchers with an intention to develop or enhance theories are even fewer, particularly when the aim is to recommend strategic policies. This is further compounded by the fact that a section on 'theory' in the design of the many policy studies tends to take second place, and even when it is available, it lacks meaningful analysis and synthesis. Consequently, the field in Malaysia has what Jones (2012, p.714) describes as

‘a pond-like quality’ which comprises a diverse body of interdisciplinary scholarship encompassing a broad territory, but with little depth in treatment.

In reality, there is no real planning for higher educational research at the national level. Nationally, educational research is planned and coordinated by the Institution of Higher Education Excellence Planning Division, under the Department of Higher Education, MoHE (*Bahagian Perancangan Kecemerlangan Institusi—BPKI*) which vets proposals and provides funding for higher education policy research. Priority is given to projects that have strategic importance for national higher education development with potentially extended social and political benefits. The selection of proposals depends largely on the understanding of the evaluation panel committee of the day with little input from higher education scholars. In many instances, the minister’s office and the top administration of the ministry have some control over what projects are legitimate and worthwhile funding.

Content analysis of the four-year research projects (2011–2014) approved by *BPKI* indicates that the topics approved for funding are dominated by issues relating to governance reforms, transition in national higher education systems and graduate employability, all of which account for slightly more than 50 per cent (of 104 projects). Other topics approved include audit and quality measures, access and equity, and issues around globalization and regionalization (internationalization and student mobility). However, the chief weakness in the studies is the glaring lack of meta-analysis. The 104 studies are contextualized at the national or subnational level, such as those concerning teaching systems, and the labour market. Research projects of international scope comparing Malaysia with several countries are hardly funded. Similarly, studies on the philosophy of higher education (i.e. society/state-centred philosophy) and studies on the relationship between higher education, economic and social developments do not get any aid from the top-down policy research fund. This means that comparative, historical and philosophically dialectical studies in higher education do not have a place in the policy research agenda. It is also quite difficult to get a research project in this field financed by the Fundamental Research Grant Scheme (a national research public fund scheme under MoHE) as evaluators do not see higher education as a fundamental topic. It is likely that the infrastructure of higher education research will be further weakened under the increasingly tightened government budget.

Evidently, the majority of the research topics are concerned with practical issues in higher education, which suggests that higher education research in Malaysia is, for the most part, an applied area of study. Frequently, theoretical paradigms are either inadequate or absent. Instead, these paradigms seem to be replaced by the government’s policy statements. This has been criticized or even condemned as the ‘politicization’ of higher education research (Anderson and Johnson 1998; Sawyer 1996; Tight 2004). It appears that most government-funded Malaysian higher education studies result in research reports on practical issues that tend to be loosely structured and unsystematically analysed, with few clear strategic policy conclusions. It could be said then that studies in higher education in Malaysia tend to treat a given topic from theory to practice, which may appear to be more systematic, but has limited and superficial scholarly appeal. As argued by Conrad (1988) and

Conrad and Gunter (2000), some higher education research projects have produced narrow, fragmented and straightforward products that fail to provide compelling impressions of the higher education landscape. They argued that inadequate training of new researchers leads to what Colbeck (2000) describes as the unintelligible nature of higher education research.

We argue that in the first five years after the first national higher education transformation plan, much funding was allocated to research on higher education with some side-effects associated with this positive movement. Firstly, repetition of projects was commonplace; and secondly, most of the studies are of low quality with little contribution to sound policy and new theory. Realistically, some of the side-effects were inevitable, given the lack of expertise, new tradition and the research situation of higher education in Malaysia. In addition, we argue that the MoHE, through its various organizations, tends to commission a proliferation of ad hoc studies produced by teams of researchers that form and reform in order to bid for one competitive grant after another. Ultimately, the criticism levelled against the higher education policy research projects was that they did not seem to do much to advance the field and the policy and practice.

While the document analysis of approved research projects does not provide useful descriptions and analyses of the research project processes and outcomes, we argue that a number of issues in higher education policy research funded by the MoHE are prevalent. These include lack of theory building, inadequate methodology, divorce of theory from practice, repetition of projects and few quality outputs in terms of publications. In sum, higher education research is still heavily embedded in policy and practice questions, being more concerned with the external factors of higher education research that have influenced and shaped the field. The implication of having studies in higher education predominantly oriented heavily towards policy will mean that little is on theory building and methodology.

Publication

As in the case of the number of graduate programmes, significant discrepancies are found among specialized journals on higher education. Many of the education journals address school teachers' issues and tend to specialize in educational research. As domestic readership has not reached a critical mass, there are not many journals in the field of higher education research or policy in Malaysia except for two journals, namely, the *Asian Journal of University Education (AJUE)* and the *ASEAN Journal of Teaching and Learning in Higher Education (AJTLHE)*. The AJUE is published twice a year by the Asian Centre for Research on University Learning and Teaching (ACRULeT), Universiti Teknologi MARA (UiTM). The journal which started in 2005 publishes research and discussion on all aspects of university education such as internationalization of higher education, teaching methodology, learning styles, assessment, curriculum development, educational leadership, educational management and administration, leadership, gender issues and quality assurance in

higher education. The *ASEAN Journal of Teaching and Learning in Higher Education (AJTLHE)* which started in 2009 is published by the Centre of Academic Development, UKM. It is a web-based journal devoted to the dissemination of information on teaching and learning in higher education contexts. It therefore concentrates on the teaching and learning aspects of higher education. Despite both journals being open access and thus easier to locate, they are locally indexed and therefore have little impact beyond the sponsoring university. The journals are therefore less recognized and not visible in the higher education field. Hence, we argue that these journals have not had any significant influence on research trends or practice-policy debates in the field of higher education in Malaysia.

In short, periodical literature is sparse on the specifics of higher education as a field of study. Likewise, there is very little writing concerning the centres and institutes for the study of higher education (such as the ACRULeT in UiTM). This institution, however, like *IPPTN*, is such a recent establishment that more could hardly be expected at this time.

IPPTN as the centre for research in higher education policy has published a few reviews and reports on higher education in Malaysia and in countries of the region. There are also reports on a variety of developmental projects which are related to the impact of on-going reforms on systems and universities. At the same time, academic research papers and publications by a few higher education researchers have started to appear more frequently in international journals. This is evident from the report on comparative higher education research output by 11 countries in Asia by Jung and Horta in 2013. The performance of Malaysian researchers' publications on the topic of higher education research in 38 specialized higher education journals from 1980 to 2012 is encouraging as Malaysia is ranked third in the production of articles after Hong Kong and Japan (Jung and Horta 2013).

Although the *IPPTN* has succeeded in publishing many books on higher education since 2007, an analysis of these books, however, shows that work on the ontology and epistemology of higher education is lacking. Many of the books are collections of papers that share views, experience and practice pertaining to various areas of higher education. Many of the edited books lack an overarching conceptual framework. Beyond its descriptive 'portraits' of case studies, many of the edited books add relatively little to theory and knowledge and understanding of higher education development. Even though the books are most likely to appeal to those interested in particular case studies and practices in higher education, arguably, some of the books could have been more cohesive and in-depth if the work had been situated within a more evident conceptual framework.

Overall, the higher education field as reflected in the analysis of selected research projects and publications would appear to be in the early stages of technical development; or it could be that the selected research and publications have given very general descriptions and analyses of the field and therefore contain few denotative facts, theories, methodologies and variables. To a large extent, research on higher education in Malaysia with its small community of researchers has been carried out largely in isolation, without referring to the theoretical and methodological developments made in other countries. Although the outside world knows a little

more about the current state of higher education research in Malaysia, there is still little dialogue between the Malaysian and international higher education research communities in the current literature. This, we argue, is a severe obstacle to the advancement of the field.

The next section describes an initiative to develop a community of practice as a means of advancing the field, followed by a discussion of issues identified as impediments to its advance, with sound suggestions for addressing them.

Community of Practice in Higher Education

In essence, following Wenger (2000:229), communities of practice are the basic building blocks of a social learning system because they are the social ‘containers’ of the competencies that make up such a system. A community of practice (CoP) is a group of people who share a craft and/or a profession and share common interest in a particular domain or area. It is through the process of sharing information and experiences with the group that the members learn from each other and have an opportunity to develop themselves personally and professionally (Wenger 2000). Wenger further purported that the establishment of such a community requires a combination of three elements of competencies. First, members are bound together by their collectively developed understanding of what their community is about, and they hold each other accountable to this sense of joint enterprise. To be competent is to understand the enterprise well enough to be able to contribute to it. Second, members build their community through mutual engagement. They interact with one another, establishing norms and relationships of mutuality that reflect these interactions. To be competent is to be able to engage with the community and be trusted as a partner in these interactions. Third, communities of practice have produced a shared repertoire of communal resources—language, routines, sensibilities, artefacts, tools, stories, styles, etc. To be competent is to have access to this repertoire and to be able to use it appropriately (Wenger 2000 p. 229).

The emergence of a community of practice in higher education (*PenDaPaT*) in Malaysia is a planned move to seriously develop higher education as a field of study and research. This initiative started in early 2014 when a group of ten university academics and researchers in various fields were recruited to undergo specifically tailored training in Research on Higher Education, Development and Innovation (RHEDI) Executive Leadership Programme in Durban, South Africa, conducted by the LH Martin Leadership Institute, University of Melbourne, Australia. From Malaysia’s perspective, this programme met its objective of creating a pool of policy-relevant researchers with adequate academic understanding of what higher education as a field of study/research is about. On their return to Malaysia, it was decided to capitalize on their knowledge and skills to create an awareness of higher education as a field of study, and for this a plan was put in place to establish a Malaysian society of higher education researchers. A sponsoring committee was

formed among these returnees to lay the groundwork for the establishment of such an organization.

Subsequently, a pro tem committee was elected with a mandate to establish a Malaysian association for research and higher education policy development tentatively named the Malaysian Society for Higher Education Policy and Research Development (MySHEPaRD). This initial work culminated in the establishment of a Malaysian Society for Research and Higher Education Policy Development or, in Malay, *Pertubuhan Pembangunan Penyelidikan dan Dasar Pendidikan Tinggi Malaysia (PenDaPaT)* in early 2015 (see <http://www.pendapat-malaysia.org/>). *PenDaPaT* comprises a group of people who share a concern or a passion for matters relating to higher education and learn how to comprehend fast-changing developments in Malaysian higher education as they interact regularly. Arguably, in the case of Malaysia, by participating in *PenDaPaT*, we can then define and determine the competencies of members to contribute to higher education as a field of study/research for national development. In short, *PenDaPaT* is expected to play a significant role in the consolidation of the field and in the reform of Malaysian higher education.

HE as a Discipline: Issues and Implications

After unprecedented developments in the late 2000s, Malaysian higher education research has entered the age of emergence. In spite of the somewhat positive development, there are a plethora of issues and challenges facing Malaysian higher education as a field of study as highlighted before. We have further identified and summarized those issues into four main areas with regard to the study of higher education in Malaysia.

Short-Term Projects, Funding and Infrastructure

Firstly, many research projects have been short-term, funded un-programmatic projects dependent heavily on government-funding agencies. In most cases, there is a mismatch of timescale between the funder and the researchers. Understandably, the funders face time and political pressure as well as unexpected shift in priorities. Nevertheless, good scientific research requires ample time to collect and present evidence. Compounding this problem, higher education research, which is mostly funded by the MoHE, is all too often driven by political motives or the funder's agenda. Another sign of the overt influence of politics is the fact that higher education studies have been used to justify the ideas of political leaders and predetermined government policies. Thus, between the latest transformation initiative of government (MEB-HE (2015-2025)), and the associated sudden interest in specific issues such as employability and funding, research often becomes little more than

consultancy, and is merely another competing voice in the transformation agenda. Within such an environment, the building of a systematic, programmatic knowledge base in the field of higher education remains unlikely. The sustainability and knowledge building in higher education are thus undermined by constantly shifting interests and funding patterns.

These structural issues need to be addressed if Malaysian higher education as a field of study is to make steady progress. More financial support should be given to worthwhile research topics and long-term research projects. This is not an easy issue to resolve as the proportion of funding from the government (MoHE) for higher education as a whole has been decreasing. Therefore, diversification of funding channels is an increasing necessity. In addition, greater attention needs to be paid to research infrastructure, especially mechanisms for storing and sharing research reports and materials emerging from increasingly diverse research topics. Also, a more systematic, research-informed knowledge base about higher education needs to be in place to avoid duplication and repetition of research. As suggested by Teichler (2005), it would be fruitful to strive for a generally accepted map or themes of higher education research for this would facilitate the establishment of consistent information systems and the provision of overviews on the state of knowledge in the field.

Theory Development and Methodology

Theory development and methodology are two aspects that have been perceived as the weakest areas in Malaysian higher education inquiry. It is acknowledged that higher education in Malaysia, as in other countries, is not a discipline, but an interdisciplinary, applied field without commonly accepted methodologies, or even general agreement on what counts as knowledge (Brennan and Teichler 2008; Kehm 2015). If the 'interdisciplinary approach' is worthwhile maintaining, it requires that those involved in it revisit their original fields from time to time to draw further strength within a 'disciplinary perspective' to contribute better to the 'interdisciplinary perspective'. It is important to clarify that even when theoretical elements have been drawn from different disciplines, they are not contradictory; they come from different disciplinary territories, but they are neighbouring or adjacent epistemologically (Kezar 2000; Neave 2000).

Theoretical thinking is needed to reach beyond the specific phenomenon and form to grasp the nature and the inherent laws of higher education through induction, deduction, abstraction and conceptualization, achieving the goals of interpretation and prediction. Empirical research requires a fundamental change of attitude on the part of Malaysian higher educationists and a major shift of the academic culture from the logico-deductive tradition to the empirical paradigm (Kaneko 2000). However, it is important to note that studies in higher education have several tiers, with each assuming a different function—basic research, applied research and development research (Zhou and Cheng 1997). This differentiation of functions is

not only useful but also necessary in the Malaysian context. The relative independence of scholarly activities in higher education from policies, practice and administrative organizations should always be maintained.

There is also a need to promote empirical research, especially research with theoretical underpinnings. Theory building means revealing and clarifying the research issues, the epistemological origins of the concepts discussed and their appearances and applications (Tight 2004). The way academics teach in higher education programmes will be driven primarily by their beliefs or, even more importantly, by the commonly agreed consensus within an academic discipline about what constitutes valid knowledge in the subject area (Tight 2013, 2014, 2015). But, we argue that there are very few Malaysian scholars who have been genuinely preoccupied with the issues. The 'patting-on-the-head' mode of doing scholarship, and the overt political influence and interference, has constrained the field's progress. The state of the art of higher education research in other countries remains largely unfamiliar to Malaysian higher education researchers. The absence of methodological and theoretical paradigms at the field/disciplinary level and the vital influence of ideology and politics on methodology all suggest that there is still a long way to go towards building the scientific mechanism into the Malaysian higher education inquiry.

Critical Mass of Scholars

It is acknowledged, however, that strengthening and building the field of higher education requires far more than research funding (Jones 2012). In order for the field to flourish, it needs adequately trained researchers who can advance higher education as a field of study and also bring about greater coordination in knowledge production, transfer and dissemination. The researchers must also be able to facilitate better links/interactions with international higher education researchers and domestic policymakers, institutional leaders, policymakers and other HE stakeholders. Moving the field forward requires a larger number of core faculty working within higher education programmes and a higher capacity in research.

The situation regarding the number of scholars dedicated to educational research is unclear. It is difficult to get the specific numbers of those who work in higher education research except those who have been appointed by *IPPTN* as research associates. Even then, there is no doubt that the scholars are academics with multi-disciplinary backgrounds, and this characteristic is applicable to the epistemic community. There are also a growing number of people who are primarily in charge of administrative and service functions in higher education institutions, but are interested in conducting research in higher education, and have actually succeeded. While this is considered a healthy development in increasing capacity, we caution that while the occasional researcher-practitioners or partial researchers contribute to the application of existing concepts on information gathering in a pragmatic manner, little is relevant to an improvement of the theory and concept of higher education research. The limited number of core professors, and the fact that most of the

academic programmes in the field have only one or two faculty, means that higher education as a field of scholarship in Malaysia still lacks the critical mass necessary to make great improvements for advancing the field.

Furthermore, what is seriously lacking is the knowledge, expertise and skills needed for building policy, for developing leadership and management capacity in higher education at all relevant levels and for developing the capacity to study higher education. In North America, Europe, Japan and China, a number of higher education graduate programmes and research centres established over the last 30 to 40 years (Kehm 2015; Tight 2004; Kaneko 2000; Zhou and Cheng 1997) have laid the foundation for the professionalization of institutional management and leadership, and the steady development of the field of higher education studies. In contrast, Malaysia's efforts to professionally develop policy, leadership and management capacity are, at best, fragmented if not largely absent. This also applies to academic interest in higher education as a field of study. Clearly, the barriers to further development of the field are the lack of a critical mass of core faculty in higher education programmes.

Evidently, the subspecialization of knowledge in higher education is also a current reality. It now seems difficult to accept proficiency in higher education in general without specifying a particular theme-focused area of research. Malaysian higher education researchers need to identify themselves with focus research areas or subfields of higher education so as to legitimize research theories, methods and field knowledge in the claimed subfields in order to become genuine experts.

Academic Community and Internationalization

With the internationalization of higher education as a field of scholarship, higher education scholars should be prioritized for funding and encouraged to access new, international research networks of scholars working in related subspecializations within the field. Scholars also need new opportunities to participate in scholarly conferences and learn about research advances in other countries, and to be given opportunities to engage in international/comparative scholarship. Malaysian higher education researchers need to be associated with transnational scientific networks or epistemic communities which normally comprise those engaged in interpreting, legitimating and advocating shared and often specialized forms of knowledge and expertise. Besides, the creation and active engagement in knowledge networks and means of sharing information are central to the establishment of any scientific field (Altbach 2014).

Recently, there have been strict budgetary regulations that effectively limit the ability of higher education researchers to travel outside Malaysia. Thus, it is expected that even fewer higher education researchers would be able to attend international higher education research conferences and meetings.

Important adjuncts in the field of higher education are centres and institutes for the study of higher education, of which there are still too few in Malaysia. These

organizations are essential for the field, as they create a community of researchers and practitioners, are hubs of communication and often sponsor journals, books, research and other reports. These important organizational units must therefore build their strength through research and service and be able to attract significant sums of research grants from other institutions, including the government, in order to have the autonomy to pursue more comprehensive research agendas.

In addition, national organizations such as *IPPTN* and *PenDaPaT* can be change agents working at the system level to assist in building bridges between researchers, practitioners and policymakers. This effort requires the institute and the association to become more familiar with researchers in higher education and to use their annual conferences and publications to make practitioners aware of the importance of research in informing their practice and policy development. The change of status of *IPPTN* from a research arm of MoHE to a centre of excellence, an entity endorsed by the USM senate, will hopefully not only give the institute greater autonomy to undertake research based on its research agenda but also enable it to offer post-graduate programmes. As an academic entity, it will also help to resolve the issues relating to lack of theory and methodology in its work.

Finally, higher education research as a specialized field is still struggling for recognition. Malaysian research reports on higher education do not attract a lot of attention in the academic world nor from the public. Most often, the media and the public are more interested in the Programme for International Student Assessment (PISA) research reports which have little to do with higher education except in the preparation of teachers. In the last 10 years, there has been a growing interest in university rankings, which is generally limited to the same question of why so few of the public universities are ranked in the top 100 institutions. There is certainly a need to improve public appreciation of science and how research in higher education can benefit the institution, the government and the society. The key question is how to make higher education research findings newsworthy to the higher education stakeholders and to the public. Research findings in higher education in Malaysia need to be more broadly accessible (in terms of both language and visibility) to institutional managers, policymakers and the public. *IPPTN* and *PenDaPaT* should articulate ideas and research findings on policy and practice as well as interpret a holistic array of issues from varying perspectives to the media and the public to disseminate knowledge about higher education. Both organizations must continue to conduct workshops, seminars, conferences and other outreach opportunities, and publish more actively, to create environments for the formation and sustenance of an epistemic community in higher education.

Concluding Remarks/Epilogue

Within a matter of one decade and a half, higher education research in Malaysia has achieved impressive progress and has grown steadily. However, many issues have yet to be addressed; many challenges need to be met, both from the field's internal

pressure to develop into a respectable and independent area of scholarly study and from its external accountability. Metaphorically, with another new transformation plan accompanying many other national blueprints, Malaysian higher education research is again at a crossroad. Clearly, the emergence and development of higher education as a field of study have taken on many of the features associated with the political movements in the Malaysian context.

Despite the shortcomings, the small number of Malaysian higher educationists has made impressive efforts at building higher education into a respectful discipline in academia and has claimed it to be a ‘new’ or ‘emerging’ discipline. However, whether such efforts will be successful depends, to a large extent, on the progress of the study rather than the enthusiasm and expectations on the part of the higher educationists. It is hoped that higher education research in Malaysia will eventually develop into a full-fledged discipline that will enjoy the respect and status of other established social sciences such as economics and sociology. For this to happen, and for the field to develop in a healthy manner, both the internal and external conditions need to be improved.

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Chapter 15

Higher Education Research in Thailand: Current Trends and Development

Nopraenu Sajjarax Dhirathiti

Abstract To understand the current trends and development of higher education research in Thailand, it is vital to examine the role of higher education in promoting teaching, learning and research in higher education institutions as well as the government policy in steering research directions of the country. On the one hand, research on higher education in Thailand, by itself, is a product of the courses and programmes provided by HEIs. On the other hand, the trends of higher education research itself are seen to be navigated by the national government and funding agencies in the country which have played parts in promoting the research in this area. In this chapter, apart from assessing the trends and development of higher education research through the lens of teaching courses and programmes, the national policy framework on education and higher education research, the current fields of research interests in higher education and the nature of higher education publication in Thailand are also examined.

The Role of Higher Education in Promoting Teaching, Learning and Research

The re-engineering of Higher Education provision and services, in accordance with the 1999 Education Act in Thailand, has impacted the restructuring of higher education institutions (HEIs). This re-engineering has also refined the aim of Higher Education provision and services to focus on promoting academic and research excellence (OHEC 2008a). The Bureau of Cooperation and Promotion, which falls under the purview of the Office of Higher Education Commission (OHEC), is the unit directly responsible for research financing and the development of innovation and for knowledge transfer. The other organisation that is deemed by its role to support, enhance and assure the quality of Higher Education is the Bureau of Standards and Quality. The OHEC is presumably the main policy engine that provides

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guidelines and measures for HEI governance. This governance includes research and development, as well as teaching and learning through the development of mechanisms such as the Thailand Qualification Framework and Thailand as well as ASEAN Citation Index.¹ Within the scope and mandate of the OHEC, the focus of the national organisation therefore lies within the issue of managing HEIs rather than incubating knowledge in Higher Education through research.² Following the reform of Higher Education in 1999, the current Higher Education system and its policy have been based on the national economic and social development plans and shifted towards more autonomy among HEIs. Operating under the OHEC, HEIs are managing their core businesses with more independence and flexibility through major higher education policies and mechanisms. This is particularly visible in teaching and research, human resource management, budgeting as well as quality assurance.³

As a result of the Autonomous University Acts that do not allow newly established universities to obtain the status of “governmental organisation” and that encourage the existing HEIs to transform themselves into “autonomous universities”, one might consider the case of Thailand as more peculiar than others within the region as the level of autonomy of Thai HEIs is extremely high. While central agencies such as the OHEC monitor higher education policy and regulations, the role of HEIs in enhancing and stimulating research in the sector is more prominent. That is to say, within the context of high autonomy, HEIs in Thailand enjoy relatively higher levels of academic freedom in designing their own courses in terms of research emphases and directions (Dhirathiti 2012).

Currently, the Higher Education landscape in Thailand is clearly distinguished by the differentiation between teaching-intensive HEIs and research-intensive HEIs. Therefore, the sense of division of labour in teaching and learning vis-à-vis research is clear. The former (also known as *Rajabhat* universities) will be providing most of the educational services to the public via teaching. The latter HEIs provide educational services either through teaching or research. Some of the latter HEIs have been chosen by the OHEC as national research-intensive universities (NRUs) and are expected to prioritise their core academic activities in research (OHEC 2008b).

¹The full implementation handbook of Thailand Qualification Framework was developed by OHEC in 2006, and together with the King Mongkut’s Institute of Technology (KMUTT), National Research Council of Thailand and

Thailand Research Fund, OHEC has been the major supporter for the development of Thailand Citation Index Centre and ASEAN Citation Index database (OHEC 2006 and http://www.kmutt.ac.th/jif/public_html/history.html).

²The role and mandates of the Office of Higher Education Commission (Thailand) include the following provisions: (1) the guidance for driving higher education policy and cultivating international networking; (2) the coordination and the development of educational human resource and student academic activities; (3) the research coordination for national development; (4) the guidance on the establishing, merging or terminating HEIs or community colleges; (5) the monitoring and assessing quality of HEIs as well as developing a database for HEIs; and (6) the secretariat role for the OHEC.

³The Secretariat of the House of Representatives (n.d.)

Higher Education is the area where both types of HEIs share the mutual responsibility of promoting courses and programmes as well as strengthening research capacities. However, following the 1999 Education Reform in Thailand, teaching colleges or those institutes formerly focused on training education personnel have been transformed into full-fledged comprehensive universities. Their academic visions and missions have been altered to suit the competing landscape of the massification of Higher Education by expanding services to cover areas larger than education. These areas include the Sciences or Social Sciences in some institutes. The transformation of the former teaching colleges to *Rajabhat* universities has, in a way, redirected the former teaching colleges to compete and excel in new areas of the playing field. On the one hand, it may help Thailand in addressing the problem of access and equity by instating another 40 comprehensive universities in Thailand. On the other hand, their previous strengths in offering courses and programmes in Curriculum and Instruction Development, Pedagogy or Subject-based Teaching with the aim to produce graduates who would continue their careers as teachers or educators have also somewhat diminished. The upgrade of *Rajabhat* universities was also perceived as the expansion of higher education at the expense of education quality (Lao 2015). As will be discussed later in section “[Current status of programmes offered in the area of education and higher education](#)”, courses and programmes offered in the area of education in many *Rajabhat* universities have become rather limited, even at the level of bachelor’s degree programmes, not to mention the lack of tangible courses and programmes at the postgraduate level in these institutions.

The prospect of strengthening Higher Education as a discipline in Thailand is more evident among research-intensive or traditional public HEIs. Teaching and research usually go hand in hand in leading HEIs through the Faculty of Education. Examples of these HEIs include Chulalongkorn University, Srinakharinwirot University, Khon Khaen University, Prince of Songkla University and Chiang Mai University. Education research has emerged in these universities based on a large pool of subjects, areas of concentration, teaching courses, learning courses and programmes in these universities. Popular areas of research include Instruction and Curriculum Development, Educational Research and Educational Psychology, Educational Policy and Management, Education Technology, Adult Learning and Subject-based Education. The aforementioned freedom enjoyed by HEIs in Thailand, aided by a situation where the OHEC has not included education as one of the areas of research excellence for centres of excellence (CoEs), has resulted in a situation where the future and prospects of education teaching and learning, as well as research, lie very much in the hands of individual institutions. As described in Table 15.1, the main distinctions between the two types of HEIs, *Rajabhat* universities and research-intensive universities, are as follows.

Table 15.1 Main distinctions between *Rajabhat universities and research-intensive universities*

Policies towards Higher Education research	Rajabhat universities	Research-intensive universities
Courses and programmes	* Subject-based, especially for Primary Education	* In accordance with the institutional missions
Research	* Focuses on Pedagogy, Education or School Management	* Wide range of research on Education and Higher Education
Indicators in Higher Education research	* Limited Higher Education research	* Robust research on Higher Education including such areas as Educational Management, as well as Teaching and Learning
	* Limited publication on Higher Education*	* Higher Education is offered as postgraduate degrees * Publication on Higher Education is noted
Types of Higher Education research	* Mainstream research including Pedagogy, Curriculum and Instruction Development especially in Basic Education	* Higher Education research is evident especially in the area of Pedagogy, Curriculum and Instruction Development, Comparative Studies on Different Systems of Education and Higher Education Policy

Thailand's Policy on Higher Education Research

Thailand's education policy through the main national agency, the OHEC, is focusing on the access to and equality of higher education. In the area of Higher Education, as a discipline, emphasis is placed on Instruction and Curriculum Development and Quality Assurance. Therefore, the OHEC's key mission has been the promotion of research. Examples of these areas of research that are promoted by the OHEC are the development of Qualification Framework, Higher Education Reform and Curriculum Development (OHEC 2008a). More concrete plans to promote Education or Higher Education research as a national policy agenda, however, are still nowhere to be seen with the exception of the NRU project mentioned in section "The role of higher education in promoting teaching, learning and research". In addition, the key characteristic of the OHEC's policy towards strengthening the country's research in higher education is to boost the research capacity of the country through the selection of "winners" among HEIs and CoEs. In a way, the policy helped strengthen research in research-intensive universities, especially those selected as national research universities. However, the ability of some other public and *Rajabhat* universities in promoting research without the support from the OHEC remains in question.

Thailand's OHEC came up with the national policy to boost research efforts in HEIs in the country in the year 2000. This effort was jointly undertaken with the Science and Technology Postgraduate Education and Research Development Office (PERDO) and was repeated in 2012 under the NRU projects. The idea was to select

areas of research excellence and designate each particular research-intensive university to strengthen their research and innovation in specific areas through the financial support from the national government research budget. Currently, there are ten CoEs that focus on Chemicals, Chemical Management, Toxic Waste Management, Petroleum, Energy and Environment, Agriculture and Biotechnology, Mathematics, Physics, Biodiversity and Harvesting. In September 2015, a seminar to reify the third strategic plan for the development of the centre of excellence will be held in order to ensure the smooth operation of the promotion of scientific and research excellence in the country.⁴

Although the OHEC does not choose to directly support the areas of Education or Higher Education, the policy and research infrastructure webbed through the establishment of networking, especially international networking, for HEIs are evident in the country. These units, such as Thailand Cyber University or UniNet, as well as those regional organisations based in Thailand such as the SEAMEO Regional Centre for Higher Education and Development (SEAMEO RIHED), the Association of Southeast Asian Institutions of Higher Learning (ASAIHL-Thailand) and the ASEAN University Network (AUN), are financed partially by the OHEC while having obtained the status of regional organisation. Their missions, apart from promoting cooperation among HEIs in general, are promoting research as one of the main areas of academic activities in the form of international networking. However, research in Education or Higher Education is still not considered a priority in Thailand. The scenario is coupled with the fact that the trend of student admissions into universities in the country has been leaning towards Science-based subjects. This is due to both higher scores required for admission and popularity of Science-based subjects among secondary students.⁵ Accordingly, Thailand's National Research Policy through the Central Agency could be seen as placing more emphasis on the Sciences rather than on the Social Sciences or on Education. In practice, by promoting the autonomy among HEIs, the OHEC leaves the issue of teaching and learning as well as research under the jurisdiction of each institution. Whether or not Education and Higher Education would be promoted as a flagship discipline apparently depends on the consideration of each HEI.

In a nutshell, the Higher Education Research Policy in Thailand is not a stand-alone policy, but has been webbed through the establishment of CoEs. The role of the Central Higher Education Agency in terms of research stimulation is limited when compared to research funding agencies like the Thailand Research Fund (TRF) or the National Research Council of Thailand (NRCT). This limitation of Higher Education research in Thailand could be derived from the following factors. Firstly, with limited funding from the OHEC, the targeted research areas are mostly Science and Technology based. Higher Education seems not to be in the mainstream of research in the country. Secondly, the existing Higher Education research in Thailand is somewhat multidisciplinary, especially the mixture of Higher Education and Management or Public Policy (this will be discussed in more detail in section

⁴PERDO, (n.d.). http://www.perdo.or.th/centres_of_excellence_thai.aspx

⁵The Central University Admission System, OHEC (<http://admission.cuas.or.th/adm57mxmn/>)

“Trends in higher education research in Thailand” on the trends of Higher Education research in Thailand). Thirdly, and probably most importantly, Higher Education is offered as a degree, especially in the form of postgraduate degrees only in a few higher education institutions, such as in Chulalongkorn University and Srinakharinwirot University. This has inevitably led to a smaller volume and number of research projects focusing on Higher Education as an area of study in the country.

Current Status of Programmes Offered in the Area of Education and Higher Education

Education and Higher Education as disciplines have been recognised as fields of study in Thai HEIs for more than a century⁶. This fact is traceable through the examination of courses and programmes available in Thai HEIs. In the past, Education was a discipline or a field of study that focused on teacher training. This was most clearly seen in the establishment of teaching colleges or *wittayalai krue* since the late nineteenth century. These teaching colleges were later conferred the status of a university as a result of the reform of Higher Education in Thailand in 1999. These teaching colleges were renamed “Rajabhat University” and began to offer more courses and programmes that are not limited to teaching or Education. However, the culture of integrating Education as one of the leading disciplines in the institutions of higher learning known as “Rajabhat University” is still apparent. This has made Education an important area of concentration in such institutions.

Upon closer inspection by reviewing curriculum and programmes structure in leading public and autonomous HEIs in Thailand including six public/autonomous and three Rajabhat universities using information available on the institution’s websites, there are approximately 50 HEIs offering courses and programmes related to Education under the actual affiliation of “Faculty” or “College” at present in Thailand. These faculties and colleges usually offer courses and programmes at the bachelor’s degree through to doctoral degree levels in various subfields of education. As demonstrated in Table 15.2, six out of nine research-intensive universities in Thailand offer a wide range of bachelor’s degree courses in education including Curriculum and Instruction Development Education; Arts, Music and Theatrical Arts; Research and Educational Psychology; Education Policy and Educational Management/Leadership; Education Technology; Lifelong Learning/Adult

⁶Details could be found in the philosophy and principles of the establishment of the Faculty of Education or College of Education throughout Thailand. The first teaching institute to produce teachers for Thai education system can be dated back to the early twentieth century during the reign of King Rama V. Under the Civil Servant School (or known in Thai as *Rongrian Karachakarn Polarouen*), a teaching division was established and has been transformed into the Faculty of Education under Chulalongkorn University in 1957.

Table 15.2 Courses and programmes offered at bachelor's degree level in HEIs by institutions and subareas

Department/courses and programmes	Research-intensive HEIs						Rajabhat universities		
	CU	SWU	KKU	KU	PSU	CMU	CMRU	CRRU	SDRU
<i>Curriculum and Instruction Development</i>									
Curriculum and Instruction Development	x								
Early Childhood Education	x	x			x	x		x	X
Primary Education	x	x							X
Secondary Education	x								
Health or Physical Education	x		x	x	x	x		x	
Special Education								x	X
<i>Arts, Music and Theatrical Arts</i>									
Arts Education	x		x		x	x		x	
Music Education	x								
<i>Educational Research and Educational Psychology</i>									
Educational Psychology and Counselling	x	x			x		x		
Educational Evaluation	x	x			x			x	
<i>Education Policy and Educational Management/Leadership</i>									
Business Education (including Home Economics Education)	x			x		x		x	
Industrial Education						x			
<i>Education Technology</i>									
Computer/ Information Education			x	x	x			x	
<i>Lifelong Learning/Adult Education/Alternative Education</i>									
Non-formal and Informal Education	x								
<i>Subject-based Teaching/Education</i>									
Linguistics and Language Education ^a (Language Teaching)			x		x	x		x	
Social Science Education (Social Science Teaching)			x	x		x			
Agricultural Education (Agricultural Teaching)						x			
Math/Science Education (Science Teaching)			x	x	x	x		x	

^aLinguistics and Language Education covers various courses providing linguistic studies, including English, Japanese, Chinese, Thai and so on. Each HEI has different focuses in providing courses relating to languages

Education/Alternative Education; Linguistics and Language Education⁷ (Language Teaching); Social Science Education (Social Science Teaching); Agricultural Education (Agricultural Teaching); and Math/Science Education (Science Teaching). Higher Education research, as a separate discipline, is not present at the level of bachelor's degree programmes. Among HEIs offering programmes in Education are Chulalongkorn University and Chiang Mai University. Both are research-intensive universities offering a large number of programmes covering almost all areas of Education. Primary Education, Health and Physical Education, Arts Education and Math/Science Education seem to be the most popular areas of teaching and learning at the level of bachelor's degree at these universities.

It is interesting to see that at the level of bachelor's degree, programmes that specialise in Higher Education are virtually non-existent. Fundamentally, HEIs in Thailand focus more on either Early Childhood Education or Primary Education. In other words, the country seems to be emphasising more on Basic Education as a discipline of studies and also on developing contents as well as teaching techniques and evaluation in Languages, Science, Social Sciences and Arts. This seems to be the case because the majority of students in the national pipeline are still at the level of Basic Education rather than Higher Education. In the past 20 years, the number of students from Basic Education going through to Higher Education has accounted for about 35 percent of the whole student population in the country.⁸ Compared to other developing and developed countries, the needs for developing Basic Education still outweigh those of Higher Education. The provision of programmes and courses in Basic Education in HEIs in Thailand, therefore, corresponds to the demand of the students and the overall population as a whole. Another explanation is that Education has been a discipline that originated in Thailand from teaching colleges and not HEIs. As mentioned earlier in the introductory part of this chapter, teaching colleges played a greater role in forming the body of knowledge. It is, in essence, the epitome of the current design of programmes and courses in many HEIs in Thailand.

At the postgraduate level, especially at the level of master's degree, the courses and programmes offered in Thai HEIs are not much different from those offered for bachelor's degree students. Higher Education, as a separate course of study, is still nowhere to be seen. The majority of courses still focus on Basic Education. This includes Curriculum and Instruction Development, Early Childhood Education, Primary Education, Vocational Education, Health or Physical Education and Special Education. The courses and programmes offered in the areas of Educational Research and Psychology, Educational Policy and Management and Education Technology have also been popular, especially among research-intensive universities. *Rajabhat* universities rarely offer courses at the postgraduate levels. This may be due to the inadequacy of resources.

⁷Linguistics and Language Education cover various courses providing linguistic studies, including English, Japanese, Chinese, Thai and so on. Each HEI has different focuses in providing courses relating to languages.

⁸The 11th Higher Education Development Plan (http://www.mua.go.th/~bpp/developplan/download/higher_edu_plan/PlanHEdu11_2555-2559.pdf)

Among major research universities, popular areas are still in Curriculum and Instruction, specifically in the areas of Curriculum and Instruction Development, and Health and Physical Education. Moreover, other programmes and courses offered in the research-intensive universities are in the areas of Educational Research and Educational Psychology, such as Educational Psychology and Counselling, Educational Research and Methodology and Educational Evaluation. Another popular area is Education Policy and Management. The most popular area is in Educational Management, which usually focuses on the development of management skills and leadership of educational personnel. Computer and Information Education, as part of the development of teaching and learning materials and tools, is also another area of interest that guarantees high enrolment. Contrary to the programmes and courses offered at the bachelor's degree level, Subject-based Teaching/Education at the master's level are available in some research-intensive universities, especially Math and Science Education, Social Science Education and Language Education.

At the level of doctoral degree, courses and programmes provided by non-research-intensive HEIs are very limited. Even among research-intensive HEIs, courses and programmes in Education are not as abundant as those available at the bachelor's degree level. Areas of courses and programmes offered are centred on the area of Curriculum and Instruction, especially in Curriculum and Instruction Development. Other key areas of courses and programmes offered include Educational Research Methodology, Education Management and Computer and Information Technology for Education. Interestingly, Higher Education is being offered as a doctoral degree programme at Chulalongkorn University with the focus on Critical Analysis in Education and Sustainable Development, Principles of Higher Education, College Student Development, Curriculum and Instruction in Higher Education, Management and Leadership in Higher Education, Academic Administration in Higher Education, Problems of Professionals in Higher Education and Educational Research Methodology.⁹

In terms of courses and programmes offered in leading HEIs, Chulalongkorn University, Khon Kaen University and Srinakharinwirot University are the key universities in Thailand with almost all-inclusive areas of studies in Education. Chulalongkorn University is the leading university that offers programmes and courses in every area and at all levels, from bachelor's degree through to doctoral degree programmes. Prince of Songkla University and Chiang Mai University are also extremely active in offering courses and programmes at the level of bachelor's degree, especially in the area of Subject-based Teaching/Education. Khon Kaen University and Kasetsart University are also the leading institutions offering courses and programmes at master's degree programme. While Khon Kaen University is specialised in the area of Curriculum and Instruction Development, Kasetsart University focuses on Subject-based Teaching and Education at this level. At the level of doctoral degree programmes, Chulalongkorn University and Khon Kaen University are the leading institutions offering programmes and courses in almost all areas including Curriculum and Instruction, Educational Research and Educational

⁹<http://portal.edu.chula.ac.th/edu58/>

Psychology, Education Policy and Management, Education Technology and Lifelong Learning and Alternative Education. It is also important to note that areas of studies offered from bachelor's through to doctoral degree are Curriculum and Instruction Development, Primary Education, Health and Physical Education, Arts Education, Educational Psychology and Counselling, Educational Evaluation, Computer and Information Education, Non-formal and Informal Education and Subject-based Teaching/Education in the area of Math and Science Education. These areas have gained attention from the demand and supply sides, both Higher Education providers and students, because Thailand's main focus on education is still very much on the level of Primary Education. This is because it was not until 2007 that Thailand promulgated the law to set up a higher provision for formal education up to 15 years of age or up to the level of Secondary Education (Tables 15.3 and 15.4).

Table 15.3 Courses and programmes offered at master's degree in HEIs by institutions and subareas

Department/courses and programmes	Research-intensive HEIs						Rajabhat universities		
	CU	SWU	KKU	KU	PSU	CMU	CMRU	CRRU	SDRU
<i>Curriculum and Instruction Development</i>									
Curriculum and Instruction Development			x	x	x	x	x	x	
Early Childhood Education	x			x					
Primary Education	x					x			
Secondary Education									
Vocational Development Education				x		x			
Health/Physical Education or Recreation Education	x			x		x	x		
Special Education			x	x					
<i>Arts, Music and Theatrical Arts</i>									
Arts Education	x								
Music Education	x								
<i>Educational Research and Educational Psychology</i>									
Educational Psychology and Counselling	x		x	x	x				
Educational Research Methodology	x	x			x			x	
Educational Evaluation	x		x	x					

(continued)

Table 15.3 (continued)

Department/courses and programmes	Research-intensive HEIs						Rajabhat universities		
	CU	SWU	KKU	KU	PSU	CMU	CMRU	CRRU	SDRU
Educational Statistics	x								
<i>Education Policy and Educational Management/Leadership</i>									
Education/Learning and Human Resource Development	x	x							
Education Management	x	x	x	x	x	x	x	x	
Supervision and Curriculum Development	x								
Business Education (including Home Economics Education)				x					
<i>Education Technology</i>									
Computer/Information Education	x	x	x	x	x	x			
<i>Lifelong Learning/Adult Education/Alternative Education</i>									
Non-formal and Informal Education	x			x	x				
<i>Subject-based Teaching/Education</i>									
Linguistics and Language Education ^a (Language Teaching)	x								
Social Science Education (Social Science Teaching)	x		x			x			
Environment Education (Environmental Teaching)			x						
Math/Science Education (Science Teaching)	x		x	x		x			

^aLinguistics and Language Education covers various courses providing linguistic studies, including English, Japanese, Chinese, Thai and so on. Each HEI has different focuses in providing courses relating to languages

Table 15.4 Courses and programmes offered at doctoral degree in HEIs by institutions and subareas

Department/courses and programmes	Research-intensive HEIs						Rajabhat universities		
	CU	SWU	KKU	KU	PSU	CMU	CMRU	CRRU	SDRU
<i>Curriculum and Instruction Development</i>									
Curriculum and Instruction Development	x		x	x		x			
Primary Education	x								
Vocational Development Education				x					
Higher Education	x								
Health/Physical Education or Recreation Education	x			x					
<i>Arts, Music and Theatrical Arts</i>									
Arts Education	x								
<i>Educational Research and Educational Psychology</i>									
Educational Research Methodology	x	x		x		x			
Educational Evaluation	x		x	x					
<i>Education Policy and Educational Management/Leadership</i>									
Education/Learning and Human Resource Development	x	x				x	x		
Education and Social Development								X	
Education Management	x	x	x	x	x				
Leadership in Education					x				
<i>Education Technology</i>									
Computer/Information Education	x	x	x	x					
<i>Lifelong Learning/Adult Education/Alternative Education</i>									
Non-formal and Informal Education	x			x					
<i>Subject-based Teaching/Education</i>									
Math/Science Education (Science Teaching)			x	x					

Trends in Higher Education Research in Thailand

Interestingly, while programmes and courses offered in Higher Education as a separate discipline can be considered as fewer than any other type of educational programme, research in Higher Education is fairly abundant. The types of research are varied, ranging from graduation thesis, individual research by scholars in the field and research commissioned by leading funding agencies such as the Thailand Research Fund (TRF) and the National Research Council of Thailand (NRCT). Some of the research in Higher Education is also directly funded for specific purposes, such as to find best practices in Higher Education Management or with the aim for capacity building of HEIs through governmental agencies (for instance, the Office of Higher Education Commission, Thailand (OHEC), and the Office of the National Education Commission, Thailand (ONEC)). Therefore, it could be asserted that Higher Education research is an area of interest along with other education-related research in Thailand.

The compilation of approximately 1500 research items in Higher Education between 1995 and 2015 through the database of leading HEIs, the TRF and NRCT both in book form and in a research report, shows that areas of research interests relating to the Higher Education sector in Thailand can be divided into many subareas.¹⁰ The data were collected through the data available in the library and institutions' websites of the above-mentioned research institutes and HEIs. The data were sorted in groups by dividing into subareas of Higher Education research including Theory and Policy in Higher Education, Higher Education Governance and Management, Comparative Higher Education Policy, Human Resource Development in Higher Education, Higher Education Reforms and Course and Curriculum Development in Higher Education.

The first area of research, Theory and Policy in Higher Education, focuses on the issue of the philosophy of Thai Higher Education in different time periods. Such research keeps track of the philosophical development of Thai Higher Education using different techniques. These different techniques include the historical approach, case studies and also the critical approach in discussing theoretical and philosophical premises of Thai Higher Education. Examples of such research can be seen through the titles of works such as "Postmodernism and Higher Education", "King Rama the IX's Higher Education Philosophy", "Critiques of Thai Higher Education" and "The New Paradigm of Thai Higher Education" (Prachyapruit 2011; Ruanglertboon 2003; Sinlarat 1999, 2003, 2005). Examples of case studies, particularly those addressing contemporary issues of higher education, can also be found in issues such as the impact of GATS and the liberalisation of Higher Education service, the globalisation of Thai Higher Education or the implication of decentralisa-

¹⁰From around 1500 research items collected, theories and policy in Higher Education consists of 21 items, Higher Education Governance and Management consists of 334 items, Comparative Higher Education Policy consists of 15 items, Higher Education Development consists of 96 items, Higher Education Reform consists of 11 items, Teaching and Learning and Curriculum Development consists of 289 items and other miscellaneous issues consist of 135 items.

tion in Thailand and the governance of Thai Higher Education (Chandrasuta 2006; Metkarunjit 2010). In later years, research that directly addresses the needs and strategic improvement for Higher Education research in private HEIs, critical issues in Thai Higher Education, philosophy and teaching and learning process for specific areas such as non-formal education in HEIs are also highlighted by funding agencies (Jai-ngam 2004; Kamdit 1988; Sangmahachai 2002).

The second area of research in Higher Education in Thailand is concerned with Higher Education Governance and Management. It could be argued that this area of Higher Education Management has gained most research interest among scholars, students and Higher Education practitioners. The reason being is the research in this area is based on Higher Education Management programmes offered in Thai HEIs. In addition, the national policy in encouraging public HEIs to transform themselves to autonomous institutions has also alleviated the interests among scholars and practitioners in the areas of university management. Within the scope of Higher Education Governance and Management, issues for research range from general to more specific techniques in managing universities. The general tone of research would include topics on the recruitment and role of the top executives in Thai HEIs, governance and management in Thai HEIs, ethics among HEI administrators, the marketing and commercial strategies for public and private HEIs, good governance in HEIs or the implication of national regulations such as the qualification framework and the management of HEIs (Pearntunyakorn 1988; Wannapairo 2012). More specific areas of research relating to Higher Education Governance and Management are those in Higher Education Laws and Regulations as a result of the promulgation of the Autonomous University Act, Quality Assurance and Frameworks, Procurement in HEIs, Financial and Budget Management in HEIs, Student and Community Relations and Management of HEIs, Management of Communication Channels in HEIs, Human Resource Management and Compensation Scaling, Accreditation Process and Adjustment (Chaichan 2011; Chusit 2012; Dhirathiti 2012). This area of Higher Education research has gained much attention from national research funding agencies as the number of grants awarded for those conducting research relating to this area has amounted to almost 300 projects in the past decade. This number is higher than any other area funded by the TRF.

Among those subtopics mentioned previously, the issue on quality assurance has been one that dominates the research landscape of Higher Education Research on Management and Governance in Thailand. This has been the case since the start of the reform of the Higher Education sector in 1999 during which issues such as quality, autonomy and internationalisation of Higher Education have come to the fore (Sookvaree 2011). Issues on Student and Community Relations have also become one of the main highlights in Higher Education research in Thailand, especially when they relate to behaviours and attitudes of students in Higher Education settings (OHEC 2005). The research on the role of HEIs and the community, or sometimes known as University Social Responsibility (USR), has also been on the rise. Some examples can be found in the research focusing on the compatible role of universities, schools and communities (Tritilanunt 2006).

Additionally, trends of recent research on university governance have also taken into account the shift of Education, including Higher Education, from a public to a commercialised commodity. Therefore, the strategies in offering the educational services are tilted towards the demand rather than supply side. Research in such areas as Customer Relationship Management (CRM) for improving efficiency in HEIs, Student Satisfaction Improvement or Organisational Communication and the increase of enrolment has increasingly attracted the attention of national funding agencies (Deeprasert 2008; Patanasitubol 2010). Other areas that have gained attention among researchers and also among HEI administrators are the areas of Organisation Culture, Organisational Commitment and Engagement, Quality of Life and Work Morale in HEIs (Kan-asa 2007; Noichun 2007). These research topics have spread widely through several layers of Higher Education research, from in-house research within HEIs conducted in the format of Routine to Research (R2R) by HEI supporting staff, governmental organisations relating to Higher Education, undertaken as pure academic research under degree programmers or as designated by funding agencies.

The third category of Higher Education research in Thailand is Comparative Higher Education Policy. This subarea of research has gained attention, not only among scholars in higher education policy but also practitioners and administrators in the governmental Higher Education sector. This occurred specifically during the latter half of the 1990s, because it was during this time period that the movement to reform the Higher Education sector occurred. Therefore, most of the research in this area had been mainly comparative cases and lessons learned from conducting studies in several Higher Education systems in countries like Japan, Australia, New Zealand, Finland, Hong Kong, the UK, Singapore, Malaysia and some other countries in the European Union (Krongkaew 2005). It might be important to note that in this time period when research on comparative Higher Education flourished, the main funding agency was the ONEC as its main function was to offer recommendations for possible reform of the Higher Education sector in Thailand.

Another source of funding for comparative research on Higher Education in Thailand is development agencies such as the World Bank, the Asian Development Bank or a regional Higher Education organisations like SEAMEO RIHED, where published research monographs and edited volumes could be found in areas such as Higher Education Governance in Asia or the comparative cases on career development of Higher Education personnel or the lessons learned from the harmonisation of Higher Education for Southeast Asia (UNESCO 2006). It is worth mentioning that comparative research in Higher Education in Thailand is still very limited and has not gained much interest among either domestic research funding agencies or individual scholars.

The fourth group of research topics focuses on Human Resource Development in Higher Education. This area of research interest is the most popular among practitioners as Higher Education in the country has undergone tremendous change through the 1999 reform and the changing status of the Higher Education sector to a more autonomous style of management. Under the new autonomous governance system, Higher Education personnel in Thailand, both academics and general staff, are sub-

ject to a new performance appraisal and competency evaluation schemes with tougher and more articulated standards. In other words, their changing status from government officials to university employees requires them to improve their skills and work competencies. Accordingly, research on skill development and improvement among Higher Education personnel has become one of the main areas of research after the Higher Education Reform of the previous decade (Suthammanon 2014).

Research to strengthen human resource skills at the level of academics and staff is not the only focal point of contemporary work on Human Resource Development in Higher Education. Studies relating to the preferable traits and managerial outcomes of higher education administrators and executive, as well as University Council members or members of the Board of Trustees, have also been on the rise in the last decade (Suthakavatin 2005). Several studies have been conducted to reveal strategies to improve the performances of HEI administrators and executives. Some scholars have also put effort in addressing the human resource management issues relating to those serving HEIs. Examples of this include Knowledge Management Techniques, Quality of Life or Life-Work Balance of HEI Personnel, Learning Organisations and finally Organisational Engagement. The latter issue on Organisational Engagement has become one of the popular issues in Higher Education research as many HEIs in Thailand are faced with the dilemma of brain drain and talent management. Many have agreed that recruiting and retaining talents require entirely different management techniques. Against the backdrop of the liberalisation of Higher Education and the autonomous universities, both academics and general staff talents could be moving elsewhere at an unprecedented rate. Therefore, research in areas such as Organisational Engagement and Commitment as well as Job Satisfaction among both academics and non-academic staff has been on the rise in recent years (Sirisunhirun and Dhirathiti 2015).

The fifth area of Higher Education research in Thailand centres on the issue of Higher Education Reform. This is especially true during the reform period prior to the second Higher Education sector reform in 1999. The majority of the research was funded by governmental agencies such as the OHEC and the ONEC. This is simply the case because these two national agencies were tasked with overseeing the overall strategies of Higher Education Reform in the nation. The common characteristics of research in this area focus on the preparation of the Higher Education sector and personnel with skills for the twenty-first century, governance as well as teaching and learning strategies for HEIs and the lessons learned from Higher Education globally. The latter was specifically funded by the ONEC in a series of comparative studies by examining the issues of Higher Education Reform, governance systems and teaching and learning mechanisms from various nations, including several models in the UK, Japan, Australia, New Zealand and the USA (World Bank 2013). Unlike other areas of Higher Education research in Thailand, research on Higher Education Reform was rarely academic or the focus of graduation thesis research. Research on Higher Education Reform was more often categorised as commissioned or consultancy research by government agencies.

The final category of Higher Education research in Thailand is on Teaching, Learning and Curricular Development. It is perhaps the largest pool of resources

both in the form of commissioned and academic research. The reason being is that most of the leading HEIs that are offering degrees in Education are all opening courses and programmes in this particular area. As mentioned in section “[Current status of programmes offered in the area of education and higher education](#)”, research topics in this area usually include Classroom Teaching and Learning Evaluation, Teaching and Learning Resource Management, Web-based Teaching and Learning Instructions, Information Technology and Teaching, Ethics in Teaching and Learning and Teaching Strategies in various disciplines that cover a range of Languages, Arts, Sciences and Social Sciences (Anantasate 2001; Laohacharassang 2002; Osathanugrah 2006; Phuwiphadawat 2006). Recently, apart from research on Classroom Teaching and Learning Evaluation, which is the mainstream of Higher Education research in Thailand, research and studies on Curricular Development and the Qualification Framework has also been on the rise due to the shifting policy of the OHEC in tightening quality assurance measures in HEIs (Sinlarat 2009, 2011).

Trends and strategies in teaching and learning are also another area of research interest among students and scholars, especially when these topics are related to Teaching and Learning for different cohorts of students in HEIs. This kind of research reflects the emphasis of Higher Education research in Thailand on the development of techniques of teaching and learning and in founding an environment that is conducive to effective learning among students as a result of the quality assurance measures and Thailand’s qualification framework.

Publication in Higher Education Research

In order to examine the journals in the area of higher education research, the database available in the Thailand Citation Index (TCI) was thoroughly checked in terms of scopes and titles of the journals relating to education. When examining a vast array of publications referenced in the TCI database, journals being published by HEIs and other research institutes in the area of Education is presently enormous (TCI 2015). However, journals focusing only on Higher Education are probably nowhere to be found. The features of journals in the area of Education can be summed up as follows. Firstly, most of the journals in Education are published by HEIs where there is a Faculty of Education present. Examples of such universities are Khon Kaen University, Silpakorn University, Chulalongkorn University and Chiang Mai University. Some of the journals are limited to subareas, such as Research Methodology, Education and Communication Technology and Teaching and Learning. These subareas are seen in the *Journal of Research Methodology* (Chulalongkorn University), the *Education and Communication Technology Journal* (Sukhothai Thammathirat University) and *Journal of Rangsit University: Teaching and Learning* (Rangsit University), respectively. Other journals have set their objectives and named their titles in a broader scope and style to offer more room for publication.

Secondly, Education is an area of study that is strongly associated with the Social Sciences. Therefore, journals with the objective of including all fields of the Social Sciences basically take Education as one of the publishable areas of studies. Examples of this include the *Humanities and Social Sciences Journal* (Khon Kaen University) and the *Journal of Interdisciplinary Studies* (Mahidol University). Finally, journals published by organisations other than HEIs also offer venues for Higher Education research, such as *ASAIHL-Thailand Journal* (published by ASAIHL) or the *Journal of the Association of Researchers*. As summarised in Table 15.5, examples of journals that publish research on Higher Education and Education in general are abundant and published by many HEIs.

Table 15.5 List of journals publishing research and articles on Education

Journals	Publishing Institutions
<i>Journal of Education Graduate Studies Research</i>	Khon Kaen University
<i>Journal of Cognitive Technology</i>	
<i>Journal of Educational Administration</i>	
<i>Humanities and Social Sciences Journal</i>	
<i>SWU Educational Administration Journal</i>	Srinakharinwirot University
<i>STOU Education Journal</i>	Sukhothai Thammathirat University
<i>Education and Technology Journal</i>	
<i>KKU Journal of Education</i>	Kasetsart University
<i>Journal of Education</i>	
<i>Journal of Education</i>	Naresuan University
<i>Journal of Educational Measurement</i>	Mahasarakham University
<i>Journal of Education</i>	
<i>Journal of Education</i>	Silpakorn University
<i>Journal of Education</i>	Prince Songkla University
<i>Journal of Education</i>	Burapha University
<i>Kasetsart Educational Review</i>	Kasetsart University
<i>Chulalongkorn Educational Review</i>	Chulalongkorn University
<i>Journal of Education Studies</i>	
<i>Journal of Research Methodology</i>	
<i>Chiang Mai University Journal of Social Sciences and Humanities</i>	Chiang Mai University
<i>Journal of Education</i>	Rajabhat Mahasarakham
<i>Journal of Education</i>	Rajabhat Bansomdejchaopraya
<i>Journal of Rangsit University: Teaching and Learning</i>	Rangsit University
<i>Journal of Interdisciplinary Studies</i>	Mahidol University
<i>SDU Research Journal Social Sciences and Humanities</i>	Rajabhat Suan Dusit
<i>ASAIHL-Thailand Journal</i>	ASAIHL

Conclusion

The current status of and trends in Higher Education research in Thailand must be assessed in parallel with the trends of teaching and learning or programmes offered in HEIs as well as the grant schemes funded by leading national research agencies. In terms of the national policy, the OHEC is the key player in promoting Higher Education research, but the emphasis has been more or less on the promotion of research excellence in specific areas, especially in the Sciences and not in Higher Education per se. The launching of the policies such as the establishment of the CoEs or NRUs has also been attempted to elevate the profile of HEIs in acting as the key engine for the country's research and development promotion. Higher Education research in and of itself has never been on the agenda at the national level. Despite this, it gained attention from national research funding agencies.

Courses offered in HEIs include, but are limited to, Course and Curriculum Instruction, Education Management, Education Technology and Subject-based Education. Leading public universities usually offer courses covering almost all areas including Higher Education at the postgraduate level. Therefore, research in the form of theses and dissertations typically correspond to the programmes and courses provided in each HEI.

Research funded by national agencies differs widely and includes Theory and Policies of Higher Education, Governance and Management of Higher Education, Comparative Higher Education Policy, Educational Personnel and Human Resource Development, Higher Education Reform and Teaching and Curriculum Development. These areas would still be the future trends of teaching, learning and research in many HEIs, especially in the field of Instruction and Curriculum Development and Educational Management. In terms of research in Higher Education, research in the area of Higher Education Governance and Management as well as Instruction and Curriculum Development will be the main areas of interest. Other areas, especially in Special Education or Lifelong Learning, might be seen as less popular fields of research and studies in Thailand.

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Chapter 16

Higher Education Research in the Philippines: Policies and Prospects

Christian Bryan S. Bustamante

Abstract This chapter is about higher education research in the Philippines. It provides an overview about the status and challenges of Philippine higher education research. The focus of the discussion is on the policies of the Philippines' Commission on Higher Education (CHED) on improving higher education research in the country. The chapter starts with a discussion on the status of the scientific research in the Philippines 67 years ago. It is followed by a discussion on the status of higher education research and on the current policies initiated by the CHED as well as the research trends and prospects in order to develop the culture of research and the quality of research output in Philippine higher education.

Research in higher education becomes a key priority because of its vital importance to development and innovation. Its significance in “supporting technological innovation” is growing (The World Bank 2012, p. 30). That is why its critical objective is not only to produce graduates who are proficient and innovative (The World Bank 2012, P. 30) but also to deliver quality research. Higher education research has evolved to a concept that is “equated with publication” (Blake et al. 1998, p. 67). It is a research that is “recognized by peers and that pushes back the frontiers of knowledge as well as can be measured and communicated” (Altbach 2004, p. 2).

Research is also one of the indicators used in measuring the quality of higher education. “World-class universities” are recognized because of their superior outputs: well-qualified graduates, leading-edge research published in top scientific journals, and contribution to technical innovations through patents and licenses (Salmi 2009, p. 17). Following the path of “world-class universities,” higher education institutions are exerting effort to attract, recruit, and retain competent and leading academics and to source out abundant and sustainable funds in order to produce quality research output (Altbach and Salmi 2011, pp. 326, 329, 331). Integrating

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research in undergraduate programs becomes a key requirement in order to produce quality research (Altbach and Salmi 2011, p. 335).

This chapter is about higher education research in the Philippines. It provides an overview about the status and challenges of Philippine higher education research. The focus of the discussion is on the policies of the Philippines' Commission on Higher Education (CHED) on improving higher education research in the country. The chapter starts with a discussion on the status of the scientific research in the Philippines 67 years ago. It is followed by a discussion on the status of higher education research and on the current policies initiated by the CHED as well as the research trends and prospects in order to develop the culture of research and the quality of research output in Philippine higher education.

Higher Education Research: A Glimpse of the Past

What is the status of research in Philippine higher education?

In his paper, *The Present Status of Scientific Research in the Philippines*, published in 1949, Dean L.B. Uichanco of the College of Agriculture, University of the Philippines, describes scientific research in the Philippines in these words, "there is every reason to expect an assured growth and development of scientific work in the Philippines" (1949, p. 2). His optimistic statement about the future of scientific research in the Philippines was inspired by the support of the government and people of the United States of America to the Philippines in terms of publications, valuable scientific equipment and supplies, sharing of expertise and knowledge transfer, and scholarship to study in American universities (Uichanco 1949, p. 2). Such support was important not only for the development of scientific research but more so for the economic and general well-being of the Philippine society and of the Filipino people ravaged by the World War II.

Uichanco had optimistic words about the future of scientific research in the Philippines but such changed when he described the realities of research during his time. He laments about the lack of consciousness about the vital importance of science in the life of the country and the great responsibility of scientists in that regard (Uichanco 1949, pp. 2–3). This lack of consciousness on the "vital importance" of scientific research in nation building was translated into government policy of "relatively meagre and uncertain support" to scientific institutions which resulted to small funding and salaries. The inadequacy of resources and support made it difficult to Filipino scientists to keep scientific research activities "attuned to the progress of the world" (Uichanco 1949, p. 3). Scientific research also became less attractive to "superior young men and women with adequate preparation and ability" (Uichanco 1949, p. 3). Such situation obstructed the development of research.

He describes such reality of scientific research as "unwholesome situation" – a situation that "will work to the great detriment" of the Philippine society (Uichanco

1949, p. 3). Hence, there was a need to solve the situation for the reason that scientific research is essential to the growth and development of a post-World War II Philippines. It is an instrument that could make the Philippines competitive in the modern world by having “strong scientific units and utilize to the fullest extent all available resources of science” (Uichanco 1949, p. 3). However, due to the “unwholesome situation” brought about by lack of support from the government, local scientific output was insufficient. The Philippine society borrowed research findings from foreign countries and adapted them for local use. It has made the Philippines parasitic to foreign research findings (Uichanco 1949, p. 3).

Research activities became personal for Filipino researchers. Researches were conducted due to the interest and initiative of the researcher as well as through private funding (Uichanco 1949, p. 3). These research activities, however, were limited only to educational purposes such as writing master’s thesis and doctoral dissertation. But most of these theses and dissertations and other researches were never been read and heard, because these were never published. The “job of writing in many cases is fully as hard as or harder than the actual conduct of research” (Uichanco 1949, p. 5).

That was the situation of research in Philippine higher education 67 years ago in the eyes of Uichanco. There was lack of funding that resulted to poor research activity in terms of quality and quantity. Beyond the issue of funding was a more serious problem of lack of consciousness about the importance of research to national building. That research should not be confined within the walls of academic institutions and should not be seen only as an academic exercise and activity. Research provides new knowledge that could be used to solve the problems of the Philippine society and new knowledge that could be utilized for growth and development. Because of this lack of consciousness, another more serious problem has occurred – the parasitic attitude. It is an attitude of borrowing of foreign research findings to be applied locally.

The Present Status of Higher Education Research

After 67 years, research in Philippine higher education is still “at its infancy age” (see Licuanan 2014, p. 6). This is a challenging reality that led Philippine higher education to give emphasis on research. Research has become one of the three integral missions that define a higher education institution (Licuanan 2014, p. 6). The other two are instruction and community extension. The integration of research to instruction and community extension means that doing research in higher education is building the research capacities of the young Filipinos through classroom instruction and community extension (Licuanan 2014, p. 6). On the other hand, it also means that research produces knowledge that enhances the quality of classroom instruction and knowledge that can improve the well-being of stakeholders outside the campus and of the larger Philippine society (Licuanan 2014, p. 6).

Higher education is defined as “prime units for knowledge advancement and generation, production and transmission” (Juanillo 2014, p. 23). It must contribute to the advancement, generation, and reuse of knowledge and to the translation of accurate and tested knowledge (Juanillo 2014, p. 23). Hence, higher education is the “cradle of Philippine research” (Licuanan 2014, p. 7). As such, it must “step up to the challenge of building the capacity of the young to seek and solve problems, think critically and analytically, conduct independent research and innovate, and mold the future of Philippine research” (Licuanan 2014, p. 7).

With the goal of increasing the quantity and upgrading the quality of research, the Philippine government through the CHED increased the budget on research. In 2012, it reached 840 million and 278 million for the years 2013 and 2014, that is, for a total of 1.1 billion in less than 5 years (Licuanan 2014, p. 6). Such amount was three times the total spend by the government on research during the entire 10 years (Licuanan 2014, p. 6). Despite of the increase in research funding, it remains as a continuing challenge. The Philippines has the lowest research and development expenditure in 2014 (0.1%) compared to its ASEAN neighbors (see the Human Development Report 2014, cited in Commission on Higher Education 2014b).

The additional budget for research was intended to improve the capacity of higher educational institutions to do research and to increase their research output. The Philippines has the lowest research output (see Thompson Reuters, cited in Pascual 2013) and impact (Juanillo 2014, p. 32) compared to its ASEAN neighbors. That is why the number of publication as well as its impact are some of the challenges that Philippine higher education needs to overcome.

To promote research and to develop the culture and environment of research in higher education, the CHED published the *Education Research Journal* (see Garcia 2001). So far, the journal has two issues. The first one was in 2001 and the latest was in 2006. These two issues published the researches funded by the CHED. These journals are not only years apart. Their themes are also extremely different. The articles published in the 2001 issue are on education. Articles discuss about support structures for education program, teaching expertise in higher education, university-industry linkage, supply and demands for graduates, and practices of centers of excellence. The 2006 issue published articles on marine protected areas in the Visayas Islands, Philippines. These articles discuss about the “biophysical assessment and monitoring and social profiling of local communities and stakeholders who are dependent on coastal and marine resources and are responsible for the protection and management of these resources in the Visayas” (see Alcala 2006).

It is very clear that in the span of 5 years, there is a change in research themes, from education to marine science (i.e., marine protected areas). The change in the themes is due to the shift in the research thrust in higher education, that is, to high-light research as an integral component of national development. That is why the CHED would like to give emphasis on agriculture, natural resources, industry, environment, and social issues. This shift is also geared toward addressing the problems of poverty, food security, and the impact of climate change. The CHED defines now a good research in higher education as that contributes not only to existing knowledge and classroom instruction but also to the developmental needs of the society.

The shift in the thrust of research as integral component of national development led to the organization of the 2014 National Research Conference organized by the Commission on Higher Education – Higher Education Regional Research Center (CHED-HERRC). The topics presented are on food security and fisheries, economic and livelihood, agriculture, energy, health, biodiversity, environment, education, social sciences, and sociocultural. The CHED is also working closely with state universities and colleges (SUCs) in “generating research and developing new technologies in agriculture and fisheries that address food security issues in the face of climate change” (Office of Planning Research and Knowledge Management 2014). It “has supported several SUCs in conducting inter-university collaborative research, development and extension program/s projects on climate change resiliency that directly impact on the country’s food security, protect the livelihood of farmers and fishermen, alleviate poverty among the country’s poorest sectors, and foster inclusive growth” (Office of Planning Research and Knowledge Management 2014).

Policy Reforms and Research Direction

The shift in the research thrust is extensively articulated in the National Higher Education Research Agenda 2 (NHERA 2) 2009–2018. It defines higher education institution as a “major agent of economic growth” (see Angeles 2009). It is a “Research and Development laboratory and a mechanism through which the nation builds its human capital to enable it to actively participate in the global economy” (Angeles 2009). Hence, higher education is expected to produce quality research that will “advance learning and national development, as well as international comparability of the Philippine higher education system” (Angeles 2009).

It is stated in the NHERA 2 document that the main function of higher education is research (Angeles 2009, p. 1). Higher education is “expected to lead in the conduct of discipline-based, policy-oriented, technology-directed and innovative/creative researches that are locally responsive and globally competitive” (Angeles 2009, p. 1). To be globally competitive, the research capability of higher education needs to be improved by providing funds to support graduate scholarships and fellowships. It is also equally important to enhance research productivity by providing funds, by recognizing outstanding researchers and outstanding research programs and outputs, and by adopting a system of accreditation of research journals (Angeles 2009, pp. 2–4). To be locally responsive, it identifies the priority areas for research grants. These are biodiversity and environmental management; human resource development; agriculture and agri-based micro-, small-, and medium-scale enterprises; tourism; and ICT-related concerns (Angeles 2009, p. 4). It also prioritizes research that “aimed at developing innovative programs in cutting edge higher education fields” such as nanotechnology, biotechnology, information and communications technology, and material science (Angeles 2009, p. 4). Based on these priority areas, the following are identified as priority discipline clusters in research: science and mathematics, education, health, information and communication technology,

engineering, maritime, architecture, agriculture, environmental science, humanities, and social sciences (Angeles 2009, p. 8). It clearly shows that the direction of higher education research is to conduct research that will boost the Philippine economy and address the perennial problem of poverty. The focus of research is on disciplines that can contribute to the country's growth and development such as the sciences, information technology, agriculture, and environment.

In line with NHERA 2's agendum of making higher education research competitive and credible, the CHED prescribed a mechanism through which a national standard for peer review and journal refereeing system can be implemented uniformly for all printed and online journals of researches published by Philippine colleges and universities (Commission on Higher Education 2009a, b, 2012). This mechanism is known as the Journal Accreditation Service (JAS) where colleges and universities submit their respective journals for accreditation. Journals that passed the evaluation process are given corresponding CHED Journal Codes (CJC) to signify compliance with the nationally accepted standards and practices of refereeing and peer review.

Thirty-four research journals from colleges and universities were accredited by the CHED in 2010. These research journals published articles in the field of medical science, natural science, life science, veterinary medicine, agriculture, fisheries and rice research, breeding and genetics, education, political science, social science, history, humanities, business management, public administration and economics, and ecosystem (Commission on Higher Education 2010a). It was followed by accreditation of 11 research journals in 2014 that published articles in the humanities as well as in science, technology, and engineering (Commission on Higher Education 2014a).

The CHED identified research priority areas in the social sciences (Commission on Higher Education 2010c) as well as in the natural sciences (Commission on Higher Education 2010b). This is to provide direction in research that has economic and social impact. In the social sciences, the priority areas are the following:

- Drivers, processes, and consequence of community transitions, labor migration, and changing family structure
- Evolution of social institutions in response to changes in family and community structures
- Alignment of human capital development goals in school, in communities, and in Philippine society
- Social processes and factors that shape educational policies and process at the national, community, school, and individual levels
- Efficacy of educational processes in the development of quality human capital
- Social processes and dimensions of educational reforms and institutions
- Social antecedents of disaster and social determinants of vulnerability to disaster, social response to disaster mitigation and adaptation, and social processes in relief and developmental responses to disaster
- Short-term and long-term consequences on well-being of individual and communities in disaster-stricken and vulnerable areas

- Description and analysis of changes in social institutions; social dimensions of adoption and utilization of ICT in individuals, organizations, and communities; and social analysis of virtual communities and interactions

On the other hand, the priority areas in natural sciences are:

- Physical oceanography, marine coastal geology
- Engineering geology, volcanology, hydrology, seismology
- Vulnerability of biodiversity, persistent organic pollutants, heavy metals, mariculture-derived pollution
- Instrumentation, materials science
- Systems biology, genetics, biodiversity, and three-domain scheme
- Intelligent systems, molecular simulation/modeling, natural products, materials research, greener technologies for minerals, coal, geothermal, petroleum
- Bioassays, diagnostics, drug/cure discovery, biosensors
- Biochemistry, biotechnology, molecular biology

In its revised policy for the grants-in-aid funds for research and development, the CHED identifies critical and urgent challenges in higher education research (Commission on Higher Education 2015). These challenges are improving research capability; increasing research productivity; upgrading quality and impact; stepping up linkages with community, business, and industry; using products of research as inputs to policy initiatives and reforms; and building up a steady pipeline of young talented researchers (Commission on Higher Education 2015). In order to address these challenges, the CHED explains the deeper purpose of higher education and that is “to contribute to the development of a strong research culture and innovative ecosystem that enables researchers and scientists in colleges and universities to explore new frontiers that may lead to a new technological innovations and better ways to solve economic and social issues in partnership with a wide range of stakeholders” (Commission on Higher Education 2015). It also identifies priority areas that will be given grants-in-aid funds. These are food production and security, environment, disaster prevention, climate change and energy, biodiversity and conservation, smart analytics and engineering innovation, health systems, and education (Commission on Higher Education 2015). Researches on these areas must be guided by the principles of collaboration, multidisciplinary, gender sensitivity and gender balance, and training ground for young researchers (Commission on Higher Education 2015).

These policy changes provide direction for higher education research. As an academic undertaking, higher education must be able to produce research outputs that will make Philippine colleges and universities globally competitive. These are the types of research that do not only contribute to the development of a particular discipline or discover new knowledge but also engage scholars in the different parts of the world in a meaningful discourse. These changes also set the tone of research which is to address local and global problems such as poverty, food security, and climate change.

Conclusion

Based on the current policies discussed, the Philippine government has seen the importance of research in improving the quality of higher education institutions and international standing of Philippine higher education. Furthermore, the government has realized the significance of research in addressing the problems and issues of the society. These paved the way for the formulation of policies that will improve the conduct of research in higher education and the identification of priority areas in research. The prioritization of research in the areas of agriculture, fisheries, technology and engineering, health, environment, ecology, economy, and livelihood does not only address the challenge of improving the quantity and quality of scientific research in the country but will also address the pressing social problems brought about by poverty, unemployment, and climate change.

The prospects of higher education research in the country will take time to be realized. It needs to be strengthened by sustaining the support provided by the government to higher education institutions in terms of developing young researchers as well as providing resources needed in the conduct of quality research. Higher education institutions cannot do it alone. They need to be given proper support by the government. At the end of the day, the success of higher education research depends on the political will of the government to allocate funding as well as to provide the appropriate environment for the development of research in higher education. It is high time for the Philippine government to recognize the reality that world-class universities in Asia achieved their level of international status because of the support provided by their own government.

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Part IV
South/West Asia

Chapter 17

Education Research and Emergence of Higher Education as a Field of Study in India

N.V. Varghese

Abstract The expansion and massification of the higher education made the sector a large and complex organization requiring professional expertise and specialized knowledge for managing it. This resulted in many countries in the emergence of higher education as a separate field of study producing new knowledge and developing academic study programmes leading to award of degrees in higher education. Although India has the second largest higher education system in the world, research and study programmes on higher education are not very common. The education departments of universities in India offer a large number of study programmes in education which are essentially oriented to prepare students to teach at post-primary levels of education. The university departments rarely address issues related to higher education in their teaching and research programmes. Research on higher education is carried out mostly by social science departments in the universities and research institutions. In the absence of study programmes and research on higher education, the paper argues that higher education has not yet emerged as a separate field of study in India.

Introduction

For centuries higher education remained a small and elite sector peripheral to economic and social development of nations. From the mid-twentieth century onwards, public interest and public funding to the sector increased. While economic rationality helped continued public support for higher education in the developed countries, the thrust on self-reliance defined the rationality to invest in higher education in the newly independent developing countries. By the 1980s, it was realized that investing in knowledge is economically rewarding and higher education emerged as a major institution playing a crucial role in promoting economic growth in the

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knowledge economies. The higher education sector expanded and became massified systems in most countries.

The expansion and massification made the higher education sector a huge enterprise. Universities and academic systems became complex organizations requiring professional expertise and specialized knowledge for managing their administration, student services, research, finances and governance. Although higher education was traditionally a well-developed field of study in some of the countries, notably in the USA, the massification of the sector necessitated higher education to emerge as a separate field of study in many other countries. However, teaching and research on higher education remained limited in volume in some of the large higher education systems such as India.

India has the second largest higher education system in the world. This paper shows that despite its large size and continued expansion, higher education has not yet emerged as a separate field of study in India. It further argues that given limited volume of research and study programmes, emergence of the sector as a field of study may remain a distant dream in India. The share of research on higher education in total research output and relative absence of study programmes leading to a degree in higher education in India are reflections of constraints to evolve higher education as a separate field of study in India. Indian universities offer a large number of study programmes in education which are essentially oriented to prepare students to teach at post-primary levels of education.

The plan of the paper is as follows. The next section discusses the emergence of higher education as a field of study in other countries. Section 3 deals with higher education as a field of study in India followed by discussions on programmes of studies in higher education institutions in section 4 and a discussion on institutional framework and research in education in India in section 5. Section 6 discusses some trends in research in education and higher education by highlighting some features of research carried out by education departments and by social scientists. The final section draws some conclusions.

The Origins of Higher Education as a Field of Study

Universities in the early twentieth century were small entities peripheral to social life with very little impact on economic growth and social development. They had simple organizational structures, small budgets and served mostly the elite sections of society. Over the decades, especially after the World War II period, the higher education system expanded in developed as well as in developing countries. In the recent decades, the emergence of knowledge economy gave a premium for knowledge in production, and hence knowledge production and institutions producing knowledge became dear to public policy and for corporate investments.

Given the role of universities in knowledge production, research by higher education institutions and demand for higher education graduates increased fuelling worldwide expansion of higher education. At present most countries in the world

have a massified system of higher education. In fact, the developed countries have universalized higher education, middle income countries are in a stage of massification of the system and it is a fast-growing segment in the less-developed countries. In other words, over a period of time, higher education sector has become a massive enterprise consisting of thousands of institutions, enrolling millions of students, employing millions of people and investing billions of dollars.

The higher education sector has become complex organizations engaged in producing knowledge, training minds and remaining relevant as public good institutions (Altbach 2014). The massification of higher education and heavy public investment in the sector necessitated more evidence-based decision-making in higher education. In the context of massification, higher education systems have become more complex and higher education policy more difficult. This necessitated the study of higher education as a separate field or domain of specialization. Higher education emerged as a field of study even in those countries where the size of the sector was relatively small.

What are the distinguishing features of any area to claim as a separate field of study? Any field of study should have the capacity to produce knowledge in the area and develop academic programmes leading to award of degrees. It is expected that the research studies produce new knowledge to justify the domain to remain as a separate field and study programmes provide the basis for providing academic leadership for the domain.

According to Dressel and Mayhew (1974), the criteria for any specific academic discipline are: (a) a general body of knowledge, which has logical taxonomy and sequentially ordered knowledge areas; (b) a clearly defined and stable outer limits that help define the scholarship of the discipline; and (c) a commonly understood methodology of inquiry, a specialized vocabulary, a generally accepted basic literature and a body of theory and knowledge.

It is doubted whether or not higher education has a set characteristics to meet these criteria. The authors (Dressel and Mayhew 1974) argued that higher education does not possess sequentially ordered knowledge areas, but it provides, instead, knowledge of the opinions of writers. Similarly, higher education as an emerging field does not have a clear boundary defining issues to be studied which makes it difficult to define the focus of the curriculum and knowledge structure in higher education. From this perspective it is difficult to categorize higher education as a separate field of study. Therefore, it is not surprising to find academics who believe that higher education is not a separate field of study like many other fields of studies. 'Clearly, higher education is not a scholarly or scientific discipline; it has no central and accepted methodology nor does it have a set of concerns for research study. Rather, it is a field that uses the disciplinary insights of other fields, mainly in social sciences, to inform research themes that often require inter-disciplinary insights' (Altbach 2014 pp. 1319).

Despite these inherent limitations, higher education as a field of study has a long tradition of over a century in the USA when the first graduate course on higher education was offered by the Clark University in 1893. However, it flourished as a field of study in the USA in the 1950s and 1960s (Fairweather 2000), and it emerged as

a field of study in many other countries in the post-World War II period. In fact, higher education emerged as a field of study in Europe in the 1980s (Kehm 2015). Even today, one may find a larger number of professors and study programmes (Master's level) on higher education in the USA than in Europe. Further, unlike in the USA, the institutional basis of higher education research is fragmented in Europe (Kehm and Musselin 2013).

In Canada, the origins of higher education as a field of study emerged in the 1960s with the appointment of several professors of higher education at the University of Toronto (Jones 2012). By the early 1970s, the field of higher education and research had acquired all the characteristics associated with an academic discipline with broadly defined territorial boundaries. There were academic appointments, graduate study programmes, research institutions, associations and academic journals in the area of higher education. Higher education in the 1970s became more than an area of research, and it had assumed the attributes of a recognized interdisciplinary field of scholarship.

Several universities in many countries started offering courses in higher education (Altbach 2014), and the number has been increasing in the recent decades. A recent survey shows that as of 2014, there exists around 274 study programmes in higher education spread over 28 countries (Rumbley et al. 2014). The inventory of higher education (Rumbley et al. 2014) identified 217 centres/institutes located in 48 countries focussing on research in higher education. Of this the USA accounts for 50 institutes, China 45, the UK 18 and Japan 11. In other words, more than half (52%) of the higher education research institutions and centres are located in the three countries of the USA, China and the UK. In terms of academic programmes offered, the USA has a predominant presence. There exist a total of 277 academic programmes on higher education in 29 countries, and 70% of these academic programmes are in the USA.

Scott (2000) notes that the European model of higher education and research has a strong policy focus and the American model has a much stronger focus on practice – improving institutions and academic practices – leading to large-scale academic programmes at the Master's and postgraduate levels. Research on higher education in Europe are carried out by different groups of experts with varying levels of expertise in theory, methodology, field of knowledge and application. Some groups do not identify themselves as higher education researchers but as economists, sociologists, political scientists, etc. Their aim is to develop reputation within their parent discipline and devote limited time to higher education. They are more concerned with conceptual and theoretical developments and less concerned about the practical relevance of their work. The second group of people are those whose exclusive area of research is higher education. However, they need not necessarily be based in higher education departments. The third group are based in higher education research institutions and departments.

Most of the centres of higher education focus on their research on comparative or international studies (42.9%), administration and management (41.9%), economics and financing (33.6%), globalization or internationalization (31.8%) and quality assurance, accreditation and assessment (25.8) (Rumbley et al. 2014). Teaching and

learning is also a growing area which is accounted by 20.7% of the centres and institutions. Many of the institutions provide technical support for teaching in the institutions affiliated to them. However, a smaller number of institutions are also engaged in research in teaching and learning with the objective of expanding the scholarship of teaching and learning.

The focus of programmes of study in the USA is heavily loaded in favour of administration and management (99.5% of the programmes) and student identity, diversity and multiculturalism (67.7% of the programmes). While the former is common among study programmes in other countries, the focus on student affairs is relatively weak in other countries. It seems there are 280 journals and publications in higher education in 35 languages. Of this 190 are in English followed by 27 in Chinese, 26 in Japanese and 15 in Spanish. Nearly 101 journals are published from the USA followed by the UK (34) and 27 each in China and Japan.

Overall, the USA, China, the UK and Japan dominate the scene in terms of hosting higher education research centres, offering study programmes and bringing out higher education journals and publications. In other words, higher education and research remain a domain dominated by the developed countries with limited contribution from developing countries. The unfortunate part is also that higher education as a field of study is relatively underdeveloped in developing countries with large systems of higher education (Rumbley et al. 2014).

Education Research and Emergence of Higher Education as a Field of Study in India

With more than 750 universities, nearly 40,000 colleges, 1.6 million teachers and 34 million students, India has the second largest higher education system in the world. With a gross enrolment ratio of only 23.6%, it is still at an early stage of massification (MHRD 2015), and its potential to grow further is higher than that in many other countries. While state funding and expansion through public institutions characterized the strategy of development of higher education in the previous century, private institutions and household funding characterize the fast growth and expansion of the sector in the present century (Varghese 2015). The fast expansion of higher education accompanied by different forms of diversities and persisting inequalities poses challenges to govern the system. In fact, these complexities warrant in-depth analysis and deeper understanding of the sector to govern it effectively.

India emphasized on the development of higher education and research. The first major committee appointed by the newly independent country in 1948 was on higher education. The Indian higher education sector at that point of time was very small catering to the elites only. The Committees and Commissions on higher education in India implicitly wanted to maintain the elite character of higher education. Very often than not, their focus was more on quality of research and teaching than on expanding access (Mathew 2016). More importantly, the Committees and

Commissions repeatedly expressed their fear of deterioration of quality if the system is expanded. In other words, the Committees preferred a high-quality higher education sector with limited access to a poor-quality system with expanded access to promote equity.

The Commissions were focussing more on research and teaching in higher education institutions rather than teaching and research on higher education. They made a clear division of labour between research and teaching. The Committees considered that a major share of the postgraduate studies (Master's onwards) and research should be carried out in the university departments and research centres and that the colleges need to focus more on teaching than research. In fact, the Education Commission of 1964–1966 recommended that nearly 80% of the postgraduate study programmes and research should be the responsibility of university departments rather than the colleges (NCERT 1971).

The Committees argued that teaching and research needs autonomy and freedom from regimentation of ideas. Higher education is not organized under one regulatory body or under one examination board and did not favour any text books, uniform syllabus and any one set of text books for all students following similar study programmes in different universities. Further, the Committees and Commissions found dependence on textbooks in higher education as disturbing since the textbooks prevents the students from developing their own judgements (Mathew 2016). The Committees and Commissions were not in favour of an engagement on what to teach, how to teach and evaluate what has been taught in higher education the way they were measured and evaluated in school education. They talked about the 'crippling effect' of external examinations in higher education and argued in favour of replacing them with internal and continuous assessment (NCERT 1971).

All these recommendations taken together meant that teaching and learning in higher education should be an autonomous process, and therefore, the pedagogy and evaluation procedures need to depend upon the teacher. Under such circumstances, it was very difficult to develop a common framework for teaching, research into teaching-learning processes and evaluation systems which are common in a typical school system. In my view this understanding of higher education was not very conducive to develop studies on higher education focusing on pedagogical aspects and classroom practices.

Higher education as a field of study has yet to emerge in India, although there are research studies on higher education. An attempt is made in the following paragraphs to analyse development or nondevelopment of higher education as a field of study in India based on two criteria, namely, study programmes and research on higher education.

Study Programmes in Education

The first instance of starting a study programme in education followed the recommendation of the Calcutta University Commission of 1917–1919 for establishing a department of education in the University of Calcutta. Later, Bombay University

Table 17.1 Degree and above level programmes in education in 2015

Degrees	Number of colleges offering	Per cent
MA (Education)	277	25.3
MBA (Education)	11	1.0
M. Ed	773	70.6
M. Ed (Special Education)	24	2.2
M. Sc (Extension Education)	10	0.9
Total	1095	100.0

Source: compiled from the courses from institutions MHRD 2015

started a postgraduate course titled as M. Ed (Masters in Education) for a duration of 1 year. The first doctoral degree in education was awarded by Bombay University in 1943 for a thesis titled ‘Factor Analysis of Arithmetic Ability’ (Rani et al. 2012). These were beginnings of emergence of education as a field of study.

Over a period of time, there were proliferation of universities offering courses and study programmes leading to degrees in education. At present more than 150 universities and nearly 1100 colleges in India offer study programmes in education (Table 17.1). Nearly 73% of the study programmes are M. Ed which are mostly of 1-year duration, while 25% are Master’s degree programmes (Master of Arts in Education) which are of 2-year duration. The education study programmes enrol nearly 1.29 million students accounting for 5.4% of the total enrolment in higher education (UGC 2014). In 2013 the universities in India awarded a total of 1570 research degrees in education.

It can be seen that the study programmes in education proliferated over a period of time. The study programmes were essentially for preparation of teachers for the school sector and for education departments in the colleges and universities. The study programmes leading to undergraduate or graduate degrees in higher education are almost absent in India.

Educational Research in India

The educational research takes place in India through universities, specialized research institutions, private bodies and governmental and non-governmental organizations. A good share of educational research, especially higher education research, takes place through social science research (SSR) institutions. India is strong in terms of institutional framework for SSR and education sector is a beneficiary of SSR efforts in India.

India has a stronger research tradition in education and social sciences than other countries in South Asia. While other countries in the region were not only late to enter the field of research but also that they relied on external funding or NGO support for social science and education research, India, on the other hand, relied mainly on public institutions and government funding for SSR and education research. No wonder, nearly 75–80% of social science research institutions in South Asia are located in India (Krishna and Krishna 2010).

In the beginnings of the planned development, the Planning Commission of India set up a Research Programmes Committee in 1953 to carry out research in social sciences to promote national development. This Committee eventually established the Indian Council of Social Science Research (ICSSR) in 1969 to promote research in social sciences. The ICSSR established 27 public-funded regional institutes to carry out research in social sciences including education. This laid a strong foundation for social science research including higher education research in India.

From the decade of 1990s, the role of NGOs, private trusts and foreign bodies in funding social science and educational research increased in India. The external funding favoured studies on poverty, employment, education and health. This period also experienced a proliferation of research projects in education. The externally funded education programmes such as the district primary education programme (DPEP) provided sufficient funding and government support for policy-relevant education research in India (Varghese 1996). A good share of these research projects were carried out by social science research institutions in India.

Institutional Arrangements for Education Research in India

India also developed institutional arrangements for research in education ever since educational research in India began in the 1940s. The universities and research institutions played an important role in promoting research in education in India. As noted earlier, an education department was opened in the University of Calcutta in the early decades of the twentieth century. Bombay University started courses in education in the 1930s and awarded the first research degree in education in 1943. Over a period of time, several universities started offering study programmes in education. At present 150 universities are offering nearly 1100 study programmes in education (Table 17.1) in India.

The research institutions play an important role in facilitating educational research. The establishment of Central Institute of Education (CIE) in 1947 was one of the first efforts to provide an institutional basis for education research in India. In the 1950s another six institutions were established to promote educational research and programmes. These include Central Bureau of Textbook Research, Central Bureau of Educational and Vocational Guidance, National Fundamental Education Centre, National Institute of Basic Education and National Institute of Audio-Visual Education.

In 1961 the National Council of Educational Research and Training (NCERT) was established as an autonomous premier research institution in education. The NCERT gradually established State Councils of Educational Research and Training (SCERT) and State Institutes of Education (SIE). Several other national institutions such as National Institute of Education, Pune, and Centre of Advanced Studies in Education (CASE), Baroda, were created to promote educational research. Most of these institutions were actively engaged in research and training activities in

education, and the focus was mainly on issues related to school education. Higher education has only a peripheral reference in their research and training activities.

Another development which helped research on higher education was special research programmes and funding support extended by different ministries and their agencies. The National Policy on Education 1986 and the Programme of Action recommended for providing special assistance schemes to departments for promoting research. The education departments in some of the universities were provided special assistance under three different categories, namely, Department Research Support, Department of Special Assistance and Centre of Advanced Studies. Further, the University Grants Commission sets up interdisciplinary research centres for Sociology of Education and Economics of Education in Bombay University. The institutional expansion was further supported by ICSSR when it sponsored research programmes at the Institute of Social and Economic Change, Bangalore; Madras Institute of Developmental Studies; the Centre of Social Studies, Surat; Sardar Patel Institute of Economic and Social Research, Ahmedabad; and AN Sinha Institute of Social Studies, Patna. These interventions helped in expanding research base in education and in higher education in India.

A major share of the research in the education departments of universities focussed on pedagogical dimensions and that too at the school level. It can be argued that education departments of the universities devoted a major share of time and effort on issues related to teacher development at the school level – mostly secondary level of education. The research carried out in these departments was also pedagogical and practice based in nature. These departments seldom focussed on research on issues related to higher education. The research in the research institutions, very often, focussed on higher education. Needless to add, the emphasis was not on pedagogical issues but on higher education in its relation to social and economic development.

Another dimension of educational research in India was the development of research capacities – academic competencies and research training. Since education researchers were limited in number and education was not an attractive area except for teacher training programmes, provisions for higher studies and research degrees in education were rather limited. From the 1950s several agencies, notably the British Council, provided scholarships and financial support to many Indian scholars to pursue their studies in education in the universities of the UK. On their return, many of these scholars joined teaching profession, and they formed the leading groups in teaching and research in education in India. This gave a strong research basis too education departments and an intellectual basis for educational research in India.

The expansion of research facilities and the number of research activities carried out by institutions in India are impressive. At present more than 150 universities and several research institutions are engaged in educational research, and they together produced more than 80,000 theses and project reports (Rani et al. 2012). According to the UGC sources (UGC 2014), the universities in India awarded 757 research degrees (M. Phil) and 813 advanced research degrees – doctoral degrees (Ph. D) in 2013. These do not imply that research on higher education was a major focus of the

studies and programmes of research in India. Needless to add research on higher education benefitted more from research undertaken in departments and institutions other than department of education in the universities.

Trends in Educational Research in India

Most of the research in education continues to be empirical in nature and quantitative in orientation. The empirical character of education research seems to characterize bulk of educational research in India (Mitra 1987). This trend continued even in the recent decades. The decade of 1990s saw a large number of studies in education in India partly due to external aid flow especially to primary education under the district primary education programme (Varghese 1996). Most of the studies under these programmes were not only empirical in nature but also were making assessments of impacts of interventions to scale up the interventions in bringing children to schools or enhancing their levels of learning.

Ever since pedagogy became a full subject of study, teacher training and teaching-learning process continue to be the main thrust of all research activities in education in India (Buch and Govinda 1987). This is also because it was strongly believed that educational research aims at obtaining experimental methods, knowledge and educational practices and processes which could be used for reconstructing educational programmes in our country (Buch and Yadav 1974).

An analysis of an educational research in India indicates that most of the research has primarily been of academic nature and rarely attempts have been carrying out studies having policy implications. Input for the formulation of educational policy in India has mainly come from the reports of the Commissions and Committees, Five-Year Plans, All India Educational Surveys, etc. (Khaparde 2002). This was primarily because a major share of education research was carried out in the education departments of universities, and the preoccupation of these departments was on issues related to pedagogy, curriculum and teacher training.

The major shift one notices in education research is the increase in research contributions by departments other than education. This increase in research output by other departments was reflected in terms of doctoral studies and dissertations, research projects, articles in journals and books and other research publications. The research orientation and focus of the departments other than education was different from that of the education departments. While educational departments of universities mostly focussed on issues related to teacher, curriculum, teaching-learning and use of technology in education, the social sciences departments engaged in education research focussed on interface of education with society, economy and individuals. In fact, the social scientist from other departments relied on tools and methodology borrowed from their parent disciplines and expanding knowledge base of their parent disciplines rather than enriching the domain of knowledge generation in education.

Three domains of social sciences which made a difference in educational research in India are psychology, sociology and economics. The areas such as personality development, motivation, tests and measurements, guidance and counselling were mostly done by the psychologists in research institutions and psychology departments of the universities. The psychologists, very often, worked in close collaboration with education departments since their focus on learning theories, personality theories, measurements, etc. was closer to the concerns of the education departments. Psychology has also helped education departments in their research efforts with tools for quantitative analysis and inspired education researchers for precision, hypothesis formulation and testing and statistical analysis.

Other two social science disciplines which exercised good influence on higher education research in India, namely, sociology of education and economics of education, were dominant and more visible in project studies than in doctoral studies. This is partly because the project studies were less bound by disciplinary boundaries, whereas doctoral theses were more bound by disciplinary orientation (Varghese 1992). Broadening the concerns of education and research was a contribution made by social scientists to education research in India. Their interactions with education departments have been less frequent than the interactions psychologists had with education departments. In general terms, the sociologists have made contributions by broadening the base of educational research on issues related to equity, diversity and social change. Economics of education was more concerned with public expenditure, investments and rate of returns from investments in education.

The social scientists got into education research following an understanding that education is a potent instrument for effecting socio-economic change and development. They do not see school as an isolated institution and see them in relation with other social institutions and in the social context. The issue of inequalities and the effect of education to promote or reduce inequalities was an area which attracted social scientists abroad and in India. The sociologists' interest in education research increased with Coleman Report (Coleman et al. 1966) which analysed the educational provisions and concluded that the variations in student achievement can be better explained (or a major share of the explanation) by socio-economic variables than school variables.

This meant that learner achievement is influenced by factors outside the classrooms and schools and on socio-economic factors. This finding, in a sense, questioned the reliance entirely on pedagogical explanations for poor student performance. The findings implied that improving pedagogical practices alone will not help improve student learning. It has to do more with changing the student composition in schools. The follow-up study by Jenks et al. (1972) further reconfirmed the idea that schools' success is also related to the socio-economic background of students.

The economists' concern in education grew out of human capital revolution in economic thought postulated by Schultz (1961). The main concern for economists was to justify public spending on education. The Education Commission report in India linked education with national development. In the 1980s, it was realized that

lack of education acts as a constraint to achieve targets of other sectoral programmes. Investment in education is seen as a means to achieve targets of other sectors. Therefore, education is no longer the monopoly domain of the educationists and education departments alone.

In later years the education for all (EFA) programmes brought to light several social and economic issues related to education access. The focus of education research by social scientists shifted more to equity, student diversity, discrimination, governance and management and innovative financing. Similarly, studies leading to right to education were done more by social scientists than educationists.

A recent global survey of inventory of research on higher education (Rumbley et al. 2014) while identifying 217 centres/institutes included three Indian institutions from India. They are Centre for Higher Education in Tata Institute of Social Sciences, Mumbai; Centre for Policy Research Higher Education (CPRHE) in National University of Educational Planning and Administration (NUEPA), New Delhi; and Zakir Husain Centre for Educational Studies (ZHCES) in Jawaharlal Nehru University (JNU), New Delhi. Another institution devoted to education and higher education research is the National University of Educational Planning and Administration (NUEPA). The research priorities of these institutions confirm the belief that higher education research in India is carried out by researchers working in departments and discipline other than education.

To sum up, the trends and focus of educational research by education departments and by social science departments varied. Educational research by education departments in India focussed on what is happening in the classrooms. The external influences of what is happening in the classroom were not a major concern for educational research and not a focus of their investigations. The social scientists, on the other hand, tried to analyse educational processes from a larger political, social and economic context. There has been a substantial difference between the way educational issues were seen by researchers of education departments and social scientists interested in educational research in India. Their mutual interests were marginal and interactions were rare. Educational researchers did not step out of classrooms and social scientists did not step into the classrooms (Varghese 1992).

Education is one of the powerful instruments in legitimizing the status quo. The pedagogy dominated, and classroom-based research did not question the status quoist and legitimizing role of education. It can be argued that their focus on pedagogical issues indirectly supported the legitimizing role of education. The orientation of psychologists also supported the legitimizing role of education. However, economists and sociologists questioned the potent role of education in legitimizing the existing social inequalities. For the social scientists, the questions such as what is taught and why it is taught are equally important as how it is taught.

Concluding Observations

The study programmes and research in education proliferated over a period of time in India. While universities offered study programmes in education, research in education was undertaken by education departments, social science departments and social science research institutions. At present more than 150 universities offer nearly 1100 study programmes. In 2013, the universities in India awarded 813 doctoral degrees in education. This looks very impressive.

The focus of research in education departments of universities varied from those in the social science departments and research institutions. The research in education departments of the universities focusses mostly on pedagogical issues, and their major concern has been to improve teaching-learning processes and classroom practices. Most of these research focuses on classroom and school level issues with limited volume of research on issues related to higher education.

The social science departments of universities became interested in educational research. They along with research institutions carry out a good share of research on higher education in India. The psychology, sociology and economics departments are engaged more in educational research than other social science departments. Their research concerns are more related to the social context of education and are broader in perspective than classroom-focussed research carried out by education departments and are more engaged in research on higher education.

With the expansion of research institutions, the research concerns moved from universities to research institutions and the research concerns not only moved to the social realm but also to the policy issues. At times a distinction is made between academic research and policy-relevant research in education. While universities are engaged in academic research, research institutions are engaged in research to provide policy support. At times policy support is interpreted by governments as supporting the policies of the present day government.

The review of research shows that study programmes and research on higher education are limited in India. This is partly because of the approach to development of education research and teaching in India and partly due to the response of the departments of education of the existing universities. Several committees and commissions emphasized on teachers and teaching profession with limited attention to pedagogical training to teach in higher education. The education departments in the universities rarely addressed issues related to higher education in their teaching and research. The almost singular focus of teaching and research in education departments is issues related to post-primary levels of school education. They rarely addressed issues related to teacher development, teaching-learning process and development of study programmes in higher education.

Education is a recognized field of study and research in India, while higher education has not yet reached a level of prominence primarily due to the low priority accorded to study programmes and research on higher education in education departments of universities in India. Research on higher education is increasing, thanks to the contributions by social science departments in the universities and

social science research institutions. Although there is better awareness and increased emphasis on the need for research on higher education, courses or study programmes on higher education are almost absent in India. Therefore, it can be argued that higher education has not yet emerged as a separate field of study in India.

There are active proposals to establish strong foundations of teacher development and pedagogical training in higher education. The efforts by the Ministry of Human Resource Development to establish national resource centre and higher education academy under the new scheme of Pandit Madan Mohan Malviya National Mission focusing on teacher support and orientation on pedagogical aspects and efforts to establish schools of education focusing on research in teaching-learning and pedagogical aspects of higher education are reflections of the felt need for more emphasis in research on teaching and learning in higher education. These are indications of possibilities of higher education evolving as a separate field of study in India in the future.

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Chapter 18

Higher Education Research in Iran: Quantitative Development and Qualitative Challenges

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Abstract Over the last two decades of the twentieth century, Iran, like many societies, witnessed the expansion of higher education. During this period, governmental, nongovernmental, and private universities were established, and the number of faculty members and students increased drastically. With the start of the new millennium, the government's policy in higher education was changed from emphasis on training to research. As a result, in 2012 Iran gained the world's 17th rank in science production and fixed its top position in the region of Middle East, above Turkey. Despite the overall progress, Iran's higher education research is faced with challenges. The present paper has five sections. The first section is an overview of higher education in Iran. The second part explains the quantitative growth of higher education in the past three decades (1984–2014). The third part demonstrates the qualitative development of Iran's higher education research with more detail. The fourth section indicates some of the most important challenges of higher education research in contemporary Iran. Article ends with a discussion and conclusions.

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Introduction

In 1981 because of political problems and turmoil, Iran's Islamic government closed all the universities for 3 years. Then, in 1984 the Cultural Revolution Committee reopens them while many former professors and students had been expelled. Fifty-three universities, colleges, and other higher education institutions were reformed in four groups: engineering and technical sciences, literature and humanities, art, and business and administrative sciences (MSRT 2009a). Governance of higher education in Iran is dispersed among state-run, private (Azad), and distance-learning universities. At state-run universities, students must pass a centralized exam and are accepted according to their exam rank and special privileges; it is free for all and very competitive. At private universities, students must pass a centralized exam and also pay tuition for full- or part-time programs (MSRT 2009b). Admission requires a secondary school diploma and a passing score on the national university entrance exam (Konkooor) (Rasian 2009). Iran's higher education, based on financial resources and administration, are divided into two main categories: public and private (non-profit) institutions. In public higher education, the two ministries responsible for postsecondary education are the Ministry of Science, Research and Technology and Ministry of Health and Medical Education (Mehralizadeh et al. 2007). **Iran's university population** swelled from 180,000 in 1979 to more than 4 million in 2013; 64% of its students are women and 40,000 are PhD students (Ameri Ameri 2013). Despite the Iran poor political relationship with the USA and some other western countries, during the last two decades, Iran's scientific community remains productive, even while **economic sanctions** make it difficult for universities to buy equipment or to send faculty members to the western countries to attend scientific meetings (Mohebbi and Mohebbi 2006). The Comprehensive Scientific Plan has been devised based on about 51,000 pages of documents and includes 224 scientific projects that must be implemented by the year 2025 (Etemad and Sobouti 2008; Shamsipur 2008). However, **Iran** has made considerable advances in science and technology during the last two decades, and its scientific progress is reported to be the fastest in the world (Dehqani 2016). The main objective of this paper is to explain the growing trend of research in higher education in Iran. Our approach in this paper is historical and comparative. In fact, social policies and educational practices strongly depend on history and the development of the societies in which they are embedded. To capture this, we follow a historical approach in presenting state policies on higher education research in Iran. We first briefly reviewed higher education in Iran. In the next two steps, we will explain quantitative development and qualitative dimension of higher education. The next section of paper focused on higher education research challenges. The paper ends with conclusions.

A Historical Glance on Higher Education

Higher education in Iran commenced when the Sassanid founded the Gondēshāpūr University in 250 AD in southwestern Iran as the center for higher learning. After the rise of Islam in the seventh century and under the Islamic teaching for centuries, Iran was the center of excellence with such prominent figures as Sībawayh (733–793), Khwarizmi (780–850), Razi (865–925), Avicenna (980–11,037), and Al-Ghazali (1058–1111). Modern higher education in Iran, however, initiated when students were awarded scholarships to pursue their studies abroad. In 1851, Amir Kabir, the wise minister of Qajarides, founded Dar-al-Fonoon (house of techniques) in Tehran. A number of teacher training and medical schools were subsequently founded. Eventually, in 1934 the establishment of the University of Tehran marked the onset of university education, in the modern sense of the word. Shortly after, colleges and universities were added to the educational institutions of the country so that by the 1979 they added up to 26 universities, 87 colleges, and 226 higher education institutions, admitting over 180,000 students. Upon the victory of the Islamic revolution in 1979, the need for higher education was felt more than ever in that the country had staged a path toward self-sufficiency (IRPHE 2012). From 1980 to 1988, Iran was preoccupied with eight-year war with Iraq and much of the country's oil revenues were spent on it. By the end of the war, government tried to answer social demand for higher education through establishment of new universities and institutes. While demand for university entrance was adjusting through a very difficult national exam, very little attention was given to the research. For nearly two decades, various states in Iran tended to maintain quantitative expansion of higher education. In fact, since the mid-1990s, the state's attention was turned to the research and promotion of Iran's position among the Middle East countries.

Quantitative Growth

Since the early years of the Islamic revolution, there has been an attempt to [expand and propagate](#) higher education in Iran. From 1988, President [Hashemi Rafsanjani](#) had unveiled plans for establishing a new university called Islamic Azad (free) University with branches in all parts of the county, including villages. Islamic Azad University, the third-largest university by enrollment in the world and, according to its website, with over 400 branches in Iran, was founded with this goal in mind. In 1988, the [Payame Noor University](#) was also founded and offered distant learning and half-time education. In its early years, it mostly enrolled government employees and professionals. Eventually, it opened its doors to other types of students and also, for the first time, enrolled undergraduate students without asking them to take the university entrance examination. At present among the total Iran population of 75 million are 4 million university students taught by about 70,000 faculty members (Ameri 2013). However, in the early 2000s, Khatami's state emphasized that the

quality and the quantity of education should be compatible with one another in Iranian academia. To achieve this, various policies were considered. In the first step, writing articles and publishing books was considered as a basic condition for promoting of faculty members. For the degree of associate professorship and professorship, lecturer prowling fell sharply. In fact, the main reason to research trends among universities members was an increase in their salary. The second policy for increasing the Iran's research position was establishment of postgraduate courses in many universities. The third policy was to emphasize on increasing the number of research journals, scientific associations, science parks, and research centers. As a result, the latest statistics indicated that in 2015–2016 school year, Iran has more than 4.3 million students and 68,552 faculty members who are working at about 100 state universities, 350 nongovernmental universities, and 740 research centers. Madhuoshi and Niazi (2010) in their article entitled "Review and Explaining Status of Iran's Higher Education in the World" compared Iran's situation with 31 countries in various indicators such as student-teacher ratio, the number of researchers per million people, and the cost of higher education to GDP based on UNESCO information (2008–2007) and concluded that the Iran situation in higher education is same as developing countries and higher than Middle East countries.

Qualitative Progress

The [Islamic Republic's 20-Year National Vision](#) foresees Iran ascending to the top tier "in the areas of economy, science and technology in the western South Asia region (which includes Central Asia, Kyrgyz regions, the Middle East and neighboring countries)" (Pargoo 2016). Supreme leader of Iran, Mr. Khamenei, has called for the advancement of a [knowledge-based economy](#) and, in this vein, support for higher education research. Indeed, in order to strengthen Iran's position in the field of research, the Ministry of Science, Research and Technology has carried out various actions over the past decade. This section of the paper refers to some of these measures:

Establishing of Centers, Units, and Research Groups

According to the Institute for Research and Planning in Higher Education (IRPHE) in 2011, the council of higher education of the Ministry of Science, Research and Technology has issued 613 licenses for establishing new research units. Of these, 207 permit licenses belong to nongovernmental centers, units, and research and 406 belong to government. Moreover, the number of scientific associations from 159 in 2005 has increased to 259 in 2011 and has grown by 2.4%. A very important policy developed for higher education that was carried out in 2011 was the establishment of centers of excellence in the universities across the nation. IRPHE report showed that these centers amounted to 132 (IRPHE 2012).

Technology Parks

As of 2012, Iran had officially 31 science and [technology parks](#) nationwide. Furthermore, as of 2014, 36 science and technology parks hosting more than 3650 companies were operating in Iran. These firms have directly employed more than 24,000 people (Pargoo [2016](#)). According to the Iran Entrepreneurship Association, there are totally 99 parks of science and technology, which operate without official permits (Coghlan [2011](#)). As of 2014, Iran had also 930 industrial parks and zones, of which 731 are ready to be [ceded to the private sector](#).

Scientific Periodicals

According to the statistics, Iran produced 34,155 articles in 2012, which gained the country the world's 17th rank in science production and fixed its top position in the region, above Turkey (Akhondzadeh [2013](#)). Scientific progress over the past few years was the result of the country's recent policies and programs to develop knowledge and facilitate researchers' access to the world's top academic resources. Iran has the world's fastest-growing scientific output, measured by the number of peer-reviewed papers published in international journals. In addition, Iran ranked first in scientific growth in the world in 2011 ([Ibid](#): 1). In 2000, the Islamic Republic of Iran ranked 53rd in the world in terms of highly cited medical articles but improved to the 23rd rank in 2011. According to the Institute for Scientific Information (ISI), Iranian researchers and scientists published a total of 60,979 scientific articles in major international journals from 1999 to 2008. It is being said that scientific growth in Iran has been fastest in the world, even more than China (Mirrazavi [2012](#)). Iran with a science and technology yearly growth rate of 25% is doubling its total output every 3 years and at this rate will reach the level of Canadian annual output in 2017. Because of these progresses, Head of the Islamic World Science Citation Center (ISC) Mohammad Javad Dehqani announced that Iran is ascending on the steps of scientific growth at a high speed despite being pressured by sanctions. He also said that based on the information released in Scopus website (the largest abstract and citation database of peer-reviewed literature), Iran has produced 1.5% of the world's science in 2011–2014, adding that the country's share of science production since the start of 2015 has been 1.7% (Dehqani [2015](#)).

Development of Infrastructure

Through a short review on science growth over the past 35 years, Kharabaf and Abdollahi ([2012](#)) believed that scientific growth of Iran is mainly related to the thoughts of policy makers in paying more attention to science and technology and

allocating more budgets to developing human resources and infrastructure. In the essay published in *European Science Editing* in 2006 (Habibzadeh 2006 as cited in Kharabaf and Abdollahi 2012), the author related the growth of science in Iran to several reasons such as larger allocation of budget to scientific research sector, increase in the number of graduates and assistant professors over the recent years, and the requirement of students to complete their study with publication or patenting or creating a product. In addition Kharabaf and Abdollahi (2012) investigated that most of Iranian journals are now managed by expert editors who know the procedures of improving the quality of publications such as indexing, online journal management systems, peer review, etc., and many of Iranian journals are covered by Scopus, MedLine/PubMed, and Web of Science. Meanwhile, the number of Iranian editors who have become member of the Committee on Publication Ethics (COPE), World Association of Medical Editors (WAME), and European Association of Science Editors (EASE) has increased dramatically. In addition, some of them are managing the mentioned committees at higher stages. Iranian researchers have gained international reputations since the 1990s, and some of them are listed among 1% top scientists of the world as reported by ESI. Highly expensive instruments especially for high-technology researches have been provided in Iranian universities during the past two decades.

International Scientific Cooperation

Iran annually hosts international science festivals. In 1987, the leading [Iranian Research Organization for Science and Technology \(IROST\)](#), affiliated to the Ministry of Science, Research and Technology, decided to institute an award which acknowledges the Iranian outstanding achievements in the field of science and technology. [IROST](#) proposed the creation of the Khwarizmi Award in memory of Abu Jafar Mohammad Ibn Mousa Al-Khwarizmi, the great Iranian mathematician and astronomer (770–840 C.E) ([KIA 2016](#)). In addition, the annual Razi Medical Sciences Research Festival promotes original research in science, technology, and medicine in Iran ([RAZI 2016](#)). There is also an ongoing [R&D](#) collaboration between [large state-owned companies](#) and the [universities in Iran](#). Iranians welcome scientists from all over the world to Iran for a visit and participation in seminars, scientific associations, or collaborations. Many Nobel laureates and influential scientists such as [Bruce Alberts](#) (American biochemist), [F. Sherwood Rowland](#) (American professor of chemistry), [Kurt Wüthrich](#) (Swiss chemist/biophysicist), [Stephen Hawking](#) (English theoretical physicist), and [Pierre-Gilles de Gennes](#) (French physicist) visited Iran after the Iranian revolution. Some universities also hosted American and European scientists as guest lecturers during recent decades. Iran is also an active member of [COMSTECH](#) (a Ministerial Standing Committee on Scientific and Technological Cooperation established by the Third Summit Islamic of OIC – Organization of Islamic Cooperation – held at Makkah) and collaborates in its international projects ([COMSTECH 2016](#)).

Challenges of Higher Education Research in Iran

Despite improvements in quantity and quality of higher education and research, Iran still faces many challenges. At first and with a time interval, both Sayyari (1994) and Rasian (2009) emphasized that Iranian professors are not paid high salaries, they are not often hired for their talent or knowledge, promotions are often not based on talent, and some faculty member are under-qualified with out-of-date knowledge and skills. From management dimension, there exists a stifling combination of overcentralized, bureaucratic administration with few fixed rules and regulations. Managers are reluctant to act and do not effectively plan for the future; yet, there exist many stakeholder organizations which do not necessarily coordinate their work, such as the Ministry of Science, Research and Technology; the Ministry of Health and Medical Education; the Ministry of Education; the Planning and Budget Organization; the Religious Education Center; the Cultural Revolution Supreme Council; the Expediency Discernment Council; and the Parliament of the Islamic Republic of Iran. This proliferation of authority reduces transparency and puts managers and faculty members under extra stress and doubt (Arasteh 2001; Soltani 2008). In this situation, one of most important challenges of higher education research in Iran is university-society gap. In fact, many research projects are repetitive, devoid of any practical benefit to society, and stored in the corner of universities and research centers. This problem is quite normal. On the one hand, university teachers – especially in the field of humanities – are more likely to avoid research on real problems of society. Social and political barriers usually do not permit to deeply research on problems of society, because many research findings suggest change and reform in culture and politics (Farasatkhah et al. 2008; Hamdhaidari et al. 2008; Mehran 2003, 2009). Accordingly, humanities and social sciences are in a sorry state in Iran. New elected president Hasan Rouhani believes that political “red lines” that prevent both the students and faculties from expressing their opinions candidly are the reason behind this problem (Adib 2014). On the other hand, about 70 percent of industry is state-run, with the private sector so undeveloped and weak to invest on research. The state-run sector fulfills its needs by purchasing technical information from developed countries with its oil profits. In such a situation, there is no need for R&D as all needs can be met from outside sources (Rasian 2009). So as Asefzadeh et al. (2013:33) have pointed out, studies in selected oil-producing and non-oil-producing countries show that the relation between the average number of scientific articles and HDI is reverse. This inverse outcome proves that the rise of human development in these countries might not be due to, or associated with, the growth of indexed scientific articles. For example, in the United Arab Emirates, Qatar, and Kuwait, despite the high HDI, the number of indexed scientific articles is low, while in Brazil, with more number of articles, a lower HDI could be witnessed.

Other common challenge is quantity-oriented thinking on academic environments. Ritzer (2011) in his book with interesting title “The McDonalidization of Society-” says “The ‘publish or perish’ pressure on academicians in many colleges

and universities leads to greater attention to the quantity of their publications than to the quality. In hiring and promotion decisions, a resume with a long list of articles and books is generally preferred to one with a short list” (p. 85). In Iran, based on the rule and regulations of the [Ministry of Sciences, Research and Technology](#), faculty members and students are required to produce and publish scientific and research articles. Prior to the new regulations, master’s degree students’ dissertations were graded not to 20 (total allotted points on the Iranian grading system) but to 18; up to two more possible points were allocated based on the students’ research and scientific articles. Also, a notable portion of the credits that each student needs to be accepted into a PhD program comes from the student’s science and research articles. Therefore, Iranian science and research journals have resorted to charging a fee for publishing articles written by students and professors. As the result, students and professors publish articles with the aim of receiving credit and not because they believe that the society has any need for what they are publishing. Indeed, universities’ drifting away from industry and the everyday needs of society indicate that the growth in the quantity of the universities has been in exchange for a decrease in their quality (Adib 2014). Another problem of higher education research in Iran is unity in law for promotion of faculty members in all disciplines. For example, to change the status from assistantship to associate position, the main criterion is publishing papers in ISI journals regardless of the field of study – humanities or pure sciences. That’s why most Iran’s research papers are published in pure sciences such as chemistry, while there is an intense dissatisfaction among humanities professors. It appears that in Iran, higher education and publishing articles have become a matter of gaining prestige and earning credits.

Conclusion

Many national and international news agencies and journal papers acknowledged that Iran has experienced growth in scientific indexes in recent years. In fact, after the revolution in the late 1970s, for a decade, Iran was plagued by political turmoil and the war with Iraq. During the next 20 years (beginning of new millennium), all efforts of Iranian politicians were focused on establishment and development of universities and institutes, expansion of educational facilities, and recruitment of teachers. During the past decade, social demand’s pressure for admission to the universities has declined sharply. Hence from quantitative dimension, today’s Iran higher education system is facing a shortage of students for undergraduate degrees. In his recent paper, Habibi (2015:1) describes this problem as an “Iran’s Overeducation Crisis.” Indeed, university graduates in many fields are suffering from high unemployment rates. The unemployment rate for university graduates, which was only 0.44 percent in 1976, had risen to 19.4 percent in 2011. In May 2014, the Ministry of Labour and Social Affairs warned that about 4.5 million university graduates would enter the labor market in the next few years (Ibid: 1–4). However, by reduction in the number of candidates for undergraduate, universities’

policy turned to the establishment of master's and PhD courses. It has gone so far that the president of Iran, Hassan Rouhani, in a rather critical tone said: "I will be very happy to hear that we have 40,000 Ph.D. students in Iran. However, let's look at the famous universities in the world and see how many Ph.D. students each of them have" (Adib 2014). The overeducation crisis had created many social problems, but one of its worst consequences is brain drain. Iran's former Minister of Science, Research and Technology [Reza Faraji Dana](#) said, "Every year, about 150,000 highly talented people emigrate from Iran, equaling an annual loss of \$150 billion to the economy." Though the monetary value may be inaccurate (the World Bank put the economic cost of Iran's brain drain at \$50 billion in 2010), the fact is that Iran has experienced one of the highest levels of brain drain over the past decades. According to the International Monetary Fund, Iran has the highest brain drain rate in the world. An estimated 25% of all Iranians with postsecondary education now live in "developed" countries of the [OECD](#) ([Khajehpour 2014](#)). On the other side, it must be admitted that the increase in the number of master's and doctoral students provided a golden opportunity to do more research. At the same time, economic incentives (increase of salary) combined with high rate of inflation – due to political sanctions against Iran – encourage many faculty members to try their best to publish more articles and books. A report by present Ministry of Sciences, Research and Technology reveals that Iran ranked fourth in terms of growth rate in science in the world. The report also stated that Iran experienced 2% growth in the field of production of scientific articles and 6% growth in the field of production of world science (IRNA 2016).

Despite these quantitative progresses, we referred to a number of major challenges of higher education research in Iran. Indeed, one component of the faculty member's quality of work life is interaction, communication, and collaborative activities among them ([Suchan 2008](#)). This can be manifested in the participation of faculty members in academic networks such as scientific communities, board of editors, and research group projects. [Nourshahi and Samii \(2011\)](#) reveal that among 693 faculty members of governmental universities in Iran, the largest number of respondents indicated a moderate level of activities. Another finding of the research shows that half of the faculty members feel their academic freedom as average. Interestingly, faculty members indicated self-censorship as a master of the obstacles to their academic freedom. In fact, self-censorship is a system of automatic defense against the onslaught of attacks that is more common among faculties of human sciences. In a general conclusion, we believe that in Iran the prospects for higher education research in the next decade can be positive and represents a growing trend. There are several reasons for this optimism. First, there is sufficiency on research budget due to improvement of economic conditions of the country – because of recent political agreement between Iran and western countries. Second, there is a decreasing trend in the number of students and therefor sufficient time of scientific staffs for performing research duties. Third, there are new reforms on aims and policies of higher education research, and finally, there are increasing team spirit and research group activities among faculty members because of development of interdisciplinary subjects.

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Chapter 19

The Regeneration Aspects for Higher Education Research in the Kingdom of Saudi Arabia

Abdulrahman M. Abouammoh

Abstract The higher education in Saudi Arabia has been one of the fastest growing education systems in the world over the past decade. A rapid expansion on a geographical and quantitative level has provoked many challenges in Saudi higher education. Government and education planners have exerted various efforts to overcome the major challenges it faces. Research by postgraduate students and professional researchers at specialised institutions has grown rapidly in this area. This chapter reviews the main characteristics of the Saudi higher education system. It also presents the key challenges facing the system, in particular, challenges associated with the fast growth in development taking place in the country. The processes required to overcome the various hurdles and obstacles in Saudi higher education, in turn, made the system very fertile ground for research and investigation. This chapter also analyses the foremost issues published in higher education research, and in particular emphasises the regenerative aspects of this field of research. It also indicates the possible wide range of research needed to explore the Saudi higher education system in more detail and to discover alternative solutions to the challenges it faces and propose possible recommendations. Towards the end of this chapter, some main platforms of the Saudi research community in higher education are pointed out, and their major activities are briefly reviewed.

Introduction

The government of the Kingdom of Saudi Arabia (Saudi Arabia) has realised that higher education has an indispensable role to play in social development, economic prosperity, knowledge production and sustainable development (Abouammoh et al.

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2015). Furthermore, higher education is becoming extremely important throughout the world, as a main requirement in the job market, and the public demand for higher education is increasing exponentially. For further information, look at UNESCO's World Declaration on Higher Education for the Twenty-First Century, for example (1998).

The positive role of higher education includes feasible public investment, better public health, improved individual and social prosperity, a higher employment rate, the enhancement of national identity, the creation of knowledge and innovation and support for regional development and intercultural understanding (UNESCO 1995; OECD 2000; 2003; Palvin 2012; Abouammoh et al. 2015).

Saudi Arabia has fully appreciated the important role of universities in regional development, through reports and discussion groups, and seminars held at the Centre for Higher Education Research and Studies (CHERS) in Riyadh. These activities were based on the findings by many researchers (UNESCO 1991; Porter 2007; Goddard and Kempton 2011; Schmuecker and Cook 2012). In fact, almost all new Saudi universities are located in small regions or municipalities.

Prior to the introduction of higher education in Saudi Arabia, the government sent 14 students to study for a bachelor's degree in Egypt in 1926. In 1949, the first university college of Islamic law was established in Makkah. Then in 1957, university education began with the inauguration of King Saud University, and in the same year, a group of Saudi students was sent to study at a university in Texas in the United States.

It is apparent that the higher education sector in Saudi Arabia has gone through a very rapid development over the past decade. An enormous expansion on a geographical and quantitative level has occurred over the last 15 years. For instance, there were six universities in 1975, and this number increased to 11 in 2005 and to 38 universities in 2014, including ten smaller, private universities. Furthermore, a similar increase in the number of students and staff has occurred. For example, the total number of students and staff has increased from 27,964 and 636,445, respectively, in 2005 to 73,817 and 1,496,730 in 2014 (HESC 2015). A slight improvement in the staff student ratio, from 22.8% to 20.3%, can be seen during these years. However, the number of female students enrolled in HE institutions between 2005 and 2014 declined from 57.88% to 48.57%. This change is mainly due to the fewer number of female students in the King Abdullah Scholarship Program (KASP) and other scholarship programmes, compared to male students, where they form 25% of the number of students studying abroad.

At present, higher education institutions enrol about 1.5 million students, and university education is available to citizens in about 75 cities and towns in Saudi Arabia. In addition, KASP, which started in 2005 with about 2500 students, enrolled about 160,000 students towards the end of 2014, studying in more than 28 countries. About 80,000 students are studying in US universities (Higher Education Statistics Centre 2015). The development of higher education in Saudi Arabia has become a priority, and the government has stated in its strategic plan that HE has to be a leading strategic sector in the movement of the Saudi economy, from being heavily dependent on oil revenues to a multi-resourced economy, including industrial and

knowledge economies. In fact, the Ninth Five-Year Development Plan (2010–2014) states that 50.6 percent of the budget goes to human resource development, including education and training.

The financing of higher education is heavily dependent on the government. It seems that without the huge support and funding to students through loans and scholarships, most private universities and colleges would not be able to pursue their mission properly. Public universities are completely funded by annual government budgets. In the past few years, some old public universities, such as King Saud University, King Abdulaziz University, King Fahd University of Petroleum and Minerals and Umm Al-Qura University, have initiated endowment funds and introduced research chairs, which are mainly funded by private donors and endowers. Furthermore, the Saudi Council of Ministers has approved initiation of techno-valleys associated to these universities in partnership with Saudi and foreign private sector. Institutes for studies and consultation have also been established in some Saudi universities to provide paid services to the public and private sectors, in order to make additional funds available for items that are not listed on the government university budget.

There are usually, in average, more, in number, academic units, such as colleges, departments, supporting deanships, in Saudi universities than many other similar in size European or US universities. For instance, in 2014, there were 23 academic colleges at King Saud University and 25 at King Abdulaziz University, as well as 12 and 9 supporting deanships, respectively. It is worth noting that departments and colleges at Saudi universities might have weekly to bimonthly meetings, but with little or no terminal decisions taken on their academic and administration affairs (HECUL 1994).

The council of any public university is somewhat large, since all vice-rectors, academic deans and supporting unit deans are members of the council. For instance, each council at King Saud University and King Abdulaziz University has more than 40 academic administrators.

In the past few years, the Ministry of Higher Education (currently the Ministry of Education since January 2015) and Saudi universities have engaged in the issue of quality from two important angles. The first one deals with raising the internal efficiency of universities, by ensuring the quality of university education. This was accomplished with the establishment of the National Center for Assessment in Higher Education (NCAHE) in 2001. The second angle looked to improve the external efficiency of universities and colleges by regulating the internal processes and their outputs. This was achieved by standardising and authenticating the quality of academic and institutional accreditations given to universities. The National Commission for Assessment and Academic Accreditation (NCAAA), established in 2004, sets this goal.

From 1975 to January 2015, Saudi higher education was centrally managed by the Council of Higher Education, which is chaired by the king. Its members include ministers of Higher Education, Education, the National Economy and Planning, Labour and the Civil Service and all public university presidents. At present, this council has been abolished, and its authority has been given to the Council of

Economy and Development, comprising of ministers and headed by the deputy crown prince. It seems though that the government has realised that such an arrangement, to have a supreme university governing body, might not be the best way forward, at a time where many decision makers and academics support more autonomy for universities.

There are many ideas and proposals for more development, with additional autonomy, transparency and fairness regarding various concerns and participation of all stakeholders. Academics are enthusiastic about a flexible law that fits all types and sizes of Saudi universities and encompasses items and policies that support mission differentiation and room for competition and excellence in every institution.

At present, there aren't any foreign university campuses in Saudi Arabia. On the other hand, the General Authority for Technical and Vocational Training has made agreement with some foreign technical institutions to establish institutes and two-year colleges. This has happened in the past 3 years, and one cannot, yet, see how successful this joint multinational, technical and vocational institution, even so, Saudi Arabia has been considering since long the provision for allowing foreign higher education. It has participated through the ministry of higher education in three meetings of OECD and the UNESCO that has come up with a document entitled "Guidelines for Quality Provision in Cross-border Higher Education"; see UNESCO (2005). In February 2016, the Minister of Education has announced, to Saudi press, that the government intention is to allow foreign higher education to operate in Saudi Arabia. It seems the form and the structure of the intended foreign higher education are not yet decided. It is known that foreign higher education can be of independent foreign institutions, American University of Cairo, Egypt, and American University of Beirut, Lebanon. It can be a site allocated for foreign schools as in the education city as in Qatar or campuses or branches of foreign universities as in the United Arab Emirates model. Also, foreign education can be the result of joint or partnerships of national or international programs among institutions; see Abouammoh and Mazi (2010) and Abouamoh (2013). Various models of foreign education in Saudi Arabia are expected to face financial, cultural and governance challenges under the present transition period of higher education system. Taking into account the strong funding support of Saudi Arabia to its private, for profit and non-profit making higher will lead to an excruciating competition in front of foreign higher education in Saudi Arabia. The Saudi Arabia's Vision 2030 (2016) indicates explicitly to various policies, strategies and in particular in the national transformation plan that more liberal trend towards is strongly adopted in privatisation of many sectors including general and higher education. Also, it was announced that the government is looking into building an environment through appropriate regulation that make it possible for foreign higher institution to participate in the Saudi higher education system.

These and other activities of the vision in the education sector are done through meeting, educational activities, research and discussion groups of academicians and education decision and policy makers. This direction has motivated many experts involved to make various groups of researchers to investigate different aspects of the forthcoming 2030 vision and 2020 national transformation plan. These groups of

researchers have produced many reports, for example, alternative funding of higher education, internationalisation and globalisation of Saudi higher education, review and assessment of King Abdullah Scholarship Program (KASP), integration of Saudi public universities and enhancing women higher education in Saudi Arabia. These groups are considered some of the main Saudi research communities into the field of higher education.

Main Features of the System

Some major achievements and the main challenges facing the higher education system in Saudi Arabia have been discussed in many written articles. For instance, Mazi and Abouammoh (2009) presented the trends and strategies for the development of the higher education system prior to the AAFAQ (2011). It was found that most of the newly established universities are off-city or off-region campuses of older universities. For example, the following is a list of newly established universities affiliated to an older university and in brackets the year of their establishment: Khalid University (1999), the University of Qassim (2004), the University of Aljouf (2005), Prince Sattam University (2009), the University of Shagraa (2009) and the University of Majmaa (2009) are all affiliates of King Saud University (1957). Similarly, King Abdulaziz University (1960) has five regenerations, and Imam Mohamed Ben Saud University (1975) has three regenerations. It seems that the process of growing the number of universities is expected to be put on hold, possibly for a few years to come, for various economic, political and policy reasons. In fact, higher education in Saudi Arabia should not only address the national development plan and respond to the growing demands of its students, but it has to stress the humanitarian role it has on coexistence, cooperation and integration with the whole world. It also has to follow international standards in preparing students with skills and be visible on international classifications and rankings of universities (Abouammoh 2009).

A synopsis of the development and growth of Saudi HE was given by Alamri (2011), where he listed a few strengths and weaknesses of the system. KASP students studying abroad are recruited with high gender equity. Furthermore, Saudi female students in this and other scholarship programmes are required to be accompanied, “mahram”, by an immediate family member, whose living and education expenses are covered by a government grant. Saudi Arabia, due to the impact of KASP, has become one of the top states regarding the international mobility of its students. It is expected that foreign-educated Saudi students will enhance the cultural, educational and socio-political diversity in the country. This will certainly motivate society to give more autonomy to HE institutions and additional support to the activities of non-government organisations (NGOs) in Saudi Arabia. On the other hand, the Saudi HE system is centrally managed, and it has two distinct categories of staff, Saudi and non-Saudi. The dissimilarities between Saudi and non-Saudi staff include the type of contract, allowances, incentives and the holding of

administrative and academic positions. This aspect weakens the selection and compensation of achievers and distinguished professors. In a report by Abouammoh et al. (2015), it has been noted that almost all Saudi public universities are almost comprehensive, i.e. they offer many academic programs in different disciplines, and there is no clear mission differentiations between universities in disciplines, level of education and in academic or technical programs.

There is no recognised credit transfer system for students and very little coordination among various disciplines, in order to build common learning or professional skills. Sometimes, universities have more than one college teaching the same discipline, such as science, engineering or medical allied sciences at a short distance from each other. In fact, the National Qualification Framework for Higher Education in Saudi Arabia, published by the NCAAA (2009), mainly formulated the common practices implemented in most Gulf Cooperation Council (GCC) universities, or rather in most Arab university frameworks. This drawback has limited national educational mobility. Integration among Saudi universities is minimal, in spite of the centralised high management. One would expect that integration among universities is the only policy motivated and might be supported by an appropriate mobility programme, similar to the Erasmus programme in the European Union.

Before the abolition of the Ministry of Higher Education (MoHE) in early 2015, there had been a few interesting programmes that had helped improve the Saudi HE system (HEDI 2011). There have been many collaboration agreements, memoranda of understanding (MoU) and partnership policies, but most MoU are signed for the benefit of public relations and have never been implemented. Old Saudi universities, namely, King Saud University, King Abdulaziz University and King Fahd University of Petroleum and Minerals, have made various arrangements to attract distinguished scholars and academic professors, through various programmes such as centres of excellence, funded by the MoHE, research chairs and the private sector. King Fahd University of Petroleum and Minerals established an international advisory board in 2007, comprised of very distinguished scholars in higher education and the CEOs of the two biggest oil companies in the world, namely, ARAMCO and SABIC. The present advisory board consists of 13 international figures and is chaired by Martin Jischke, President Emeritus of Purdue University in Indiana in the United States (KFUPM 2015). Other regional universities, such as the University of Tabuk, formed national advisory boards, consisting of eight Saudi experts, professors of higher education and legislators. This has stemmed from a national call for decision sharing on university management and the need for external and international experts' participation in university management and planning.

Financing of higher education almost totally comes from public funds, through the state's annual budgets. In 2011, King Saud University, King Fahd University and King Abdulaziz University started their own endowments. The establishment of endowments in Saudi universities is recent and varies from one institution to another, as are the rules for investment and governance of these endowments. The main common objectives of the endowments are to support the university's financial capability and sustain the funding of university activities. Most of the endowment revenue is expected to be directed to research and educational development and to support

the interaction between the university and its local community. In addition, it is used to attract and provide incentives to high quality researchers and to support them to excel in their careers. Some academics feel that endowment revenues can be used more efficiently than their current provision in the government budget, to initiate and sustain the competitiveness of Saudi universities on an international platform.

The additional finance given to research and technology programmes over the past few years has had a very clear impact on the classification of Saudi universities on the Academic Ranking of World Universities (ARWU) and the Times Higher Education World University Rankings (THEWUR). Some universities made arrangements with internationally renowned professors to be part-time members or be partially affiliated to their institutions. Part of the requirement of these professors might also be for them to spend a few weeks at the Saudi university every year. These arrangements and other research funds through research chairs have greatly increased the status of King Saud University, King Abdulaziz University and King Fahd University of Petroleum and Minerals, pushing them into the top 300 in the rankings. In fact, King Saud University was the first Saudi university or even Arab university to be included in the top 500 universities in the world by the ARWU. In 2010, King Saud University was ranked among the world's top 400 universities, while King Fahd University of Petroleum and Minerals was among the top 500 universities. King Saud University has advanced in the ARWU from 401-500 to 301-400 and then to 201-300 and 151-200 in the 2009, 2010, 2011 and 2014 rankings. Similarly, King Abdulaziz University advanced from 301-400 to 151-200 in the ARWU in 2010 (MoHE 2013).

These high positions and speedy advancement in the ranking positions in the ARWU, the QS World University Ranking, Times Higher Education Index, US News and World Report and Webometrics and Scimago Institutional Ranking have raised questions. Local and international articles have been written about the transparency and the proper research support that might be utilised to advance the ranking position of the institution, whereas little or no importance is given to other aims of research activities. It was even claimed that "Saudi universities offer cash in exchange for academic prestige" by (Bhattacharjee 2011). In spite of the bad impact of this article and the different reactions from different universities, it has helped all stakeholders at Saudi universities to put more efforts into directing research towards internal institutions and postgraduate study and to actual local research.

Furthermore, the council of ministers has approved four university companies, namely, Riyadh Techno-Valley, Jeddah Techno-Valley and Dhahran Techno-Valley, to operate at King Saud University, King Abdulaziz University and King Fahd University of Petroleum and Minerals, respectively, and techno-valley at Umm Al-Qura University. These initiatives are considered as important tools for the universities to build partnerships with the public and private sectors in the area of knowledge economics, innovation and industry.

The intended strategy of these techno-valleys is to develop industrial partnerships and initiate science parks in the three universities. Furthermore, all endowment research chairs are privately funded and last for either 3 or 5 years, to support research in disciplines the sponsors feel are important to them. These chairs are

evaluated annually, and an extension to their mandate depends solely on their corresponding sponsors, based on their performance and the availability of funds. The research outcomes of these chairs contribute significantly to university research. For example, at King Saud University, there are 112 research chairs, 17 in engineering, 26 in humanities, 27 in basic science and 42 in medical and health sciences. One other characteristic of Saudi higher education is that almost all universities enrol male and female students, but they are taught in segregated classes or campuses. The only all-male universities are King Fahd University of Petroleum and Minerals and the Islamic University of Madinah, and the only all-female university is Princess Nora bint Abdul Rahman University (PNU). In recent years, King Abdullah University for Science and Technology (KAUST), founded in 2006 and located near Jeddah, has been developed as a state-of-the-art graduate research institution.

Pavan (2013) briefly summarised the impact of the Saudi government and the foresight of the planners and decision makers to invest a generous portion of the government budget in education and training. She stated that the development of higher education in Saudi Arabia through changes in different stages has provoked heated debate among Saudi academics. Now, a lot of effort has been directed into building a Saudi Arabian knowledge society to diversify state resources and enhance the country's international competitiveness. Academics from other countries have been invited to learn about higher education in Saudi Arabia through various programmes, such as the former annual International Exhibition and Conference on Higher Education (IECHE), held in the second quarter of every Gregorian year. Many international universities exhibited their programmes and recruited students, and Saudi universities likewise exhibited their programmes and their achievements to the many local and international visitors. International and Saudi experts at this conference delivered many lectures. The last sixth IECHE was held on 13–18 April 2015. The fate of the next conference is not yet clear, after higher education became the responsibility of the Ministry of Education, after 40 years of it being a separate department.

Many researchers have investigated KASP; see Pavan (2013), Hilal and Denman (2013, 2015) and Abouammoh et al. (2014b). The impact of KASP programme on international peace and its impact on the development of the socio-economic and socio-structural of Saudi Arabia has been investigated and shown to imply various positive aspects.

It is worth noting that the establishment of the Centre for Higher Education Research and Studies (CHERS) in 2000 has expressed the Saudi higher education awareness of the importance of research in higher education. At CHERS higher education, policy and decision makers have placed almost every new policy or arising challenge to academic investigation, discussion and research. CHERS has formed the think-tank and the research main arm for Saudi higher education system. The role of CHERS has boosted research and studies and other academic activities for higher education as a research discipline.

Also, the Saudi Journal of Higher Education (SJHE) is introducing in its biannual issues very many aspects of academic research in Saudi higher education. The

SJHE has recently published its 14th issue which contains papers in both Arabic and English languages. One of the growing research bodies in the Saudi higher research community is the Academic Leadership Center (ALC). The ALC has started its activity in 2008, and it is expanding its activities in discussion of special interest group, workshop, training courses, seminars and webinars.

Challenges Facing Women in Saudi Higher Education

This separate section is mainly devoted to the various challenges facing female students in Saudi higher education. The growth in Saudi female higher education is tremendous compared to the development of male higher education in the kingdom. The first group of Saudi female students to enrol in higher education goes back to the 1970s. At present, female students comprise almost 42.5% of students in higher education and about 58% of university students. Furthermore, despite the modest ambitions of local women and the occasional external criticism of the structure and the distribution of female students in disciplines in higher education and of the slow empowerment process, the number of female graduates and the female voice and role in all sectors of life is growing. Female students' issues in higher education are also covered in the previous sections and in the coming sections as well, since they are part of other activities in Saudi higher education.

Al-Issa et al. (2013) investigated, in a report, some policies to enhance higher education for women in Saudi Arabia. Their proposed policies are intended to overcome challenges related to the limited available academic programmes for women, pathetic infrastructures and educational environments. In another report for CHERS, Abouamoh (2013) pointed out that GCC states have similar scholarship programmes for female citizens, but they have different policies and management procedures. Even so, the GCC programmes are different in their motivation, the obligations they place on students and in their assessment compared to scholarship programmes in other developed or developing countries.

It is notable that the female staff ratio in Saudi universities has increased from 33% in 2005/2006 to 40.5% in 2013/2014. In reality, the number of female staff has surprisingly increased by about 240% during the same period.

AbdulCader and Anthony (2014) investigated various factors that affect the motivation of universities in Saudi Arabia through surveys, using a sample of different nationalities, ranks and institutions. They indicated a lack of motivation to participate in programme development. In spite of the limitation of the sample, the study included useful and alarming results that can be of help to lawmakers in drafting new by-laws for Saudi HE.

Profanter (2014) considered the educational challenges facing women and stated that the Saudi Arabia of the twenty-first century is almost completely different from the Saudi Arabia of a century ago. However, the country is conservative and the female role is limited in almost all aspects of life. For instance, the unemployment ratio for women is 21.7%, whereas for men it is only 7.6%. Women have tradition-

ally enjoyed an equal role and a similar share of the market in preuniversity public education. Now, a growing number of Saudi women are studying medicine and medical allied sciences. Saudi women need an improvement in the transition from school education to empower them and qualify them in other fields in the work force. In order to implement the concept of gender equity and Saudisation efficiently, the role of schools and university education has to consider this challenge (Profanter 2014). Despite the equity for both genders in enrolling for KASP programmes, women account for about 25% of the scholarship holders studying abroad. This is perhaps due to “mahram” requirements, which require the agreement of a male relative to accompany female students. It is not easy sometimes to find an available “mahram” to accompany the student, and in some countries, there is no legal status for the accompanying person to stay in a foreign country for the period of study, which might last for 1 year for a master’s programme and up to 7 years for a medical residency programme and fellowships. In some cases, women have to accept a place at a less prestigious university, in order to live in the mahram’s university town, if the mahram chooses to pursue his studies. Other problems are handled by Saudi Cultural attaches abroad to deal with family conflicts between female students and her mahram, as well as the separation of couples or in cases where the student completes her intended programme before her mahram.

In a recent paper, Elamin and Omair (2010) studied male attitudes towards females in the working environment. Jamjoom and Kelly (2013) reviewed different aspects of women’s achievements and challenges in higher education in Saudi Arabia, whereas Omair (2015) reviewed and discussed the literature related to the importance of developing female leadership capacities and effectiveness in Saudi higher education. In the same context, Abdallam (2015) reviewed and investigated the prospects of GCC women being or becoming leaders. These authors quoted many international articles investigating the barrier for the advancement of women in leadership roles in higher education. They also critically analysed similar articles in the context of Saudi higher education. It has been pointed out that these studies deal with the advancement of major external and internal issues created by university cultures, gender social practices and attitudes towards female leadership. These factors have caused the underrepresentation of women in leadership roles in the higher education system. It is worth noting that similar barriers due to social and cultural aspects and attitudes towards the empowerment of women in higher education systems arise in most of the Gulf Cooperation Council (GCC) states and other states in the Middle East. It may be surprising to note that job appointments in state leadership positions in some GCC states are based on family networks, rather than on qualifications and experience (Metcalf 2007).

For example, job appointments in GCC states might be based on individual and family networks rather than on qualifications and competencies (Metcalf 2007). The family idea of the role of men and women is viewed differently in the Middle East and is sometimes viewed as an extended form of sex discrimination in education and in the labour market. In fact, the University of Kuwait, which is co-educational, for example, had its first female president in 1993, whereas the first female president of the female-only Princess Nora bint Abdul Rahman University in

Saudi Arabia was installed in 2006. Later, King Saud University in Riyadh founded the post of vice-president for female students in 2010. This may go in line with Hamdan's (2005) argument that women can excel more in a female-only environment. In fact, in segregated, co-educational institutions, female under representation on management and decision-making levels is notable. It is not socially accepted in these institutions that women can be deans of academic colleges or sometimes cannot be chairs of academic departments. The usual position for females in these institutions is that of vice-chairman for the female section in a department or vice-dean for female students. In an interesting survey, conducted by Al-Ahmadi (2011), it was shown that leadership challenges, such as structural, cultural and personal challenges, a lack of empowerment and a lack of resources are the main barriers towards the advancement of women in Saudi Arabia. It has always been argued that women are less experienced than their male colleagues, even if they have a higher academic rank. This argument can only be proved wrong if women are given equal opportunities and the same responsibilities and confidence as their male colleagues.

Nursing in Saudi hospitals is mainly a female-dominated sector. Until a decade ago, very few Saudi women chose nursing as a profession, whereas, for many years, there has been a lot of competition for university places in medicine and dentistry among Saudi women. Recently, the Ministry of Health has had to upgrade its former nursing qualification, which was equivalent to a two-year post high school diploma to a bachelor's degree. It did so by offering bridging courses to improve its services and to comply with the World Health Organization (WHO), which requires people to have a bachelor's degree as the entry requirement for working in most hospital professions. Lamadah and Sayed (2014), as well as Gazzaz (2009) among others considered the challenges facing nursing education in Saudi Arabia. They presented some international experience in preparing nurses to dome health systems. Nurses are mainly trained rather than educated, and thus some of their qualification programmes are hospital based. The nursing profession and training and practices are, for the most part, controlled by medicine. Senior Saudi nurses either have little or no command of the English language. The transportation from and to the hospital is always an issue in a country where women are not allowed to drive. All nursing colleges use to be training institutes governed by the Ministry of Health; it has only been in the last 5 years that they have been affiliated to the nearest university. The academic university set-up is not always appropriate for practical or technical colleges that link education strongly with training. Their bridging programmes and in-service training are difficult for working mothers, who need childcare almost at any time of the day and night, which is not easily available in Saudi Arabia.

To be fair to the political leadership in Saudi Arabia, there are no rules or by-laws that limit the development of women in higher education. On the contrary, most firm initiatives for women's participation have come from the government. These initiatives included the appointment of a female deputy to the education minister, reserving one-third of the seats in the Majlis Ash-Shura (appointed Saudi Parliament) for women, encouraging the full participation of women in elections and their membership of municipality elections and growing their representation in government high committees and in Saudi delegations in the international arena.

Challenges for Saudi Higher Education

The previous sections have given an overall idea of the size and the main characteristics of Saudi higher education, which has more recently become a university education. The Saudi system of higher education has been facing some challenges due to its local features, fast growth and due to new trends and the international competitiveness of institutions. Many stakeholders and decision makers in Saudi higher education have acknowledged these challenges.

It has been pointed out that Saudis have a lot to do to improve education mobility and institutional integration. On the other hand, there are many voices in the Arab states calling for Arab Space in Higher Education (UNESCO 2009).

Issa and Siddiek (2012) studied the labour market challenges to higher education. They stressed that university education is used elsewhere for the measure of growth of one nation or another. Furthermore, higher education has to lead to national development in every country. The most old Arab universities are founded in the twentieth century, for example, Syrian, currently University of Damascus, founded in 1923; Egyptian Government University, currently University of Cairo founded in 1925; and next Farouk the First, currently University of Alexandria, founded in 1942. Later on in the second half of the twentieth century, many universities had been established in almost every Arab state capital and major city. Even so, there are common challenges to all Arab universities, including those in Saudi Arabia. One of the major challenges is the coordination with the labour market, in terms of quantity, quality and specialisations. The main challenges in this area are the quality of education, the working skills, funding and the participation of stakeholders and civil societies in laying down long-term policies.

In a review for health sciences education in Saudi Arabia, Telmesani et al. (2011) admitted that it is undergoing a phase of reform and expansion, and they urge that health educators implement accreditation and quality assurance. It has been noted that one of the potential challenges is the systematic planning of health education and the health sector and that it has to have more recognition internationally.

On the other hand, Iqbq and Enchenkov (2014) investigated the problems facing university-business collaborations in Saudi Arabia. They pointed to the strong correlation between university-business and industry collaboration and the innovation performance of industry and the development of the higher education sector. This paper has also explored the differences and agreements on the perceptions of employers and academics regarding the skills and competencies needed or acquired by university graduates. This interesting study has shown that universities have to ensure students gain soft skills and that it is strongly advisable to expose students to in service-learning programmes. These processes would give a better chance to proper interaction between business and university education. In another context, Alfantookh and Bakry (2013) explored the role of creativity and innovation in development and their contribution to job creation and the prosperity of society. It has been stated that creativity implies knowledge and innovation is the tool to employ knowledge, in order to gain economic value. They also stressed that the 38

public and private universities can play a crucial role in transforming Saudi Arabia into a knowledge-based economy.

E-learning has expanded in many Saudi universities, and it is considered as an alternative to the old system of “entisab” or distance learning through mail correspondence that was practised by some Saudi universities. Saudi universities have recognised the role and the advantages of e-learning in increasing the capacity of university education and improving many aspects of quality measures. Nowadays, there are many e-learning and e-education programmes at many Saudi universities. Until now, the practised mode has been blended e-learning, where 25% of the learning load is delivered through instruction on campus and almost all exams are done physically. The Saudi higher education authority, the Saudi Electronic University (SEU), does not recognise foreign e-learning degrees. Founded in 2012, it is growing fast and introducing new programmes almost every academic year. Consequently, this has discouraged other Saudi higher education authorities to expand significantly in e-learning. It has been formally agreed that other higher education programmes conducting e-learning have to be limited or left to the SEU only. Aljabre (2012) reviewed the challenges facing this type of higher education in Saudi Arabia and noted that there is a lot of public demand for e-learning despite various challenges. He anticipated that university policy makers needed to address the growing demand and expand in this mode of education. The SEU noted that there is a significant number of dropouts and withdrawals from some masters’ programmes, which might be due to unrealistic expectations by some students that e-learning is a softer option than traditional education. In fact, the vast size of Saudi Arabia and the long distances between towns and cities would make e-learning a good choice to spread education in rural areas.

Research funding is one of the major issues in Saudi higher education. Fifteen years ago, King Abdulaziz City for Science and Technology (KACST) used to be the main source of research funding, other than the limited, itemised research fund in the university budget. In the past few years, the former Ministry of Higher Education has played a role in creating or encouraging other sources of research funding in the public and private sectors. In 2011, research funding in Saudi Arabia reached around 1% of the state’s GDP, with the government contribution being about 70%, while the rest came from various non-government sectors (MoHE 2013). The spending on research, including research chairs and KASP, has almost doubled during the period 2010–2013; even its ratio to the GDP has fallen, since government oil revenues have increased dramatically. This spending ratio to GDP on research in Saudi Arabia is less than that of the United States, the United Kingdom, Japan and the Russian Federation, but it is higher than South Africa or Mexico (MoHE 2013).

The main challenges to private higher education are quality, funding and accessibility. The government of Saudi Arabia encouraged non-profit, for-profit higher education at a time where there was a shortage of places in Saudi public higher education. Two years ago, in 2013, the Ministry of Higher Education admitted that there were tens of thousands of available places in many of the newly established universities. Even so, private higher education grew rapidly between 2005 and

2015, due to the demand for higher education in this period. Students studying in private higher education colleges and universities were also financially supported through soft loans and generous scholarships. The history of non-profit private higher education in Saudi Arabia goes back to 1967, when a second university, namely, King Abdulaziz University, was founded as a private university. A few years later, it was taken over by the state upon a request from its private founders. In her PhD thesis, Jamjoom (2012) gave a full account of most of the factors, which motivated the emergence of private higher education in the 15 years up until 2012. She explored the perceptions of private higher education among various stakeholders, in comparison to their counterparts in public higher education. There are many reasonable private higher education colleges and universities, but the Ministry of Higher Education has had to close some weak institutions and transfer their students to public universities. Jamjoom also presented other challenges and opportunities for private higher education in Saudi Arabia (Jamjoom 2012).

In an earlier PhD thesis, Alqasimi (2005) reviewed private higher education in GCC countries. She concluded that private higher education has a greater share of the higher education market in these countries. In fact, it is notable that in 2014 about 5% of Saudi higher education students are in private institutions. Furthermore, due to a decrease in oil revenues it is expected that the Saudi government might follow a more stringent policy for funding students and institutions in private higher education. Such a move might force many private colleges and universities to change the way they operate, especially the for-profit ones.

Most Saudi universities face problems in training and in the professional development of teaching staff, as well as in recruiting excellent, expatriate academics and researchers. There are different pay scales and incentive packages for Saudi and non-Saudi staff. There is fierce competition to recruit excellent academics due to the expansion of higher education in Saudi Arabia and other GCC states. It is believed that endowments in some universities and private funding through research chairs might make things relatively easier for university management.

It was mentioned earlier that, at present, there are more than 160 000 Saudi students studying in different parts of the world. These students are living in different environments. Some of these students are getting on fine with their cultural and academic lives, although it is expected that many, especially female students, might experience problems with acculturation. By acculturation, we mean adjusting properly to a foreign culture with no problems or few troubles that interfere with their studies. For instance, Abouammoh (2012) investigated the problems of acculturation facing Saudi KASP students in Britain using quality analysis and indicated that because there is a large group of Saudi students studying in Britain there is a need for this study model in other parts of the world. It was pointed out that improper acculturation might, in some situations, force students to terminate their courses or it may have a negative impact on students' performance (Al-Sheikhly 2012 and Abouammoh and Smith 2013).

Heyn (2013) conducted another interesting, qualitative study on male Saudi students studying at Western Michigan University. The study looks at the many challenges facing Saudi students and their experiences in dealing with them.

In fact, most of the selected applicants for KASP are excellent or very good students. Conversely, most Saudi students who gained or were given KASP grants, after joining international schools at their own expense, form more than 50% of KASP programme holders and are either weak or less than average.

There are many benefits of KASP for Saudi Arabia, such as gaining access to leading academics, exposure to state-of-the-art facilities, mastering foreign languages and reducing the negative perceptions held by some foreigners about Saudi, Arab and Muslim cultures. Saudi students studying abroad can enhance some important work values and social behaviours, such as discipline, punctuality, teamwork, commitment to work and quality and perseverance. Abouammoh et al. (2014a, b) indicated that the pros far outweigh the cons in their review of Saudi scholarships to North American higher education institutions.

There is some criticism of KASP students in that a large portion of them who pursue graduate degrees might be overqualified to take up certain vacancies in the job market. Many of them are studying a master's or a doctorate in business or other allied disciplines, which is often a very different discipline to the one they studied for their bachelor's degree (HEO 2014). There is a high requirement to become university teaching staff. It is necessary, at the very least, to have very good grade on the first university degree, and all qualifications have to be in the same or a very closely linked discipline. Furthermore, qualifications have to be gained from well-recognised schools. These conditions make it difficult for many KASP graduates to join the teaching profession at Saudi universities (HECUL 1994).

On the other hand, students studying abroad, mostly women, might have problems readapting and readjusting to their own culture after coming back to Saudi Arabia (Alandejani 2013). The acculturation problem is an issue for almost all international students studying abroad (Almotery 2009; Mahmood 2014). This PhD thesis was done in a US non-metropolitan university, but the problem of acculturation can easily be extended to other education environments and other nationalities.

The internationalisation of Saudi higher education is another issue to be investigated. In fact, international students at Saudi higher education institutions increased from 2.2% in 2005/2006 to 4.8% in 2013/2014. This is less than the ratio of international students in many higher education systems in advanced countries and in many world-class universities, which is between 10% and 15% of the student population. Conversely, the ratio of expatriate or international staff in Saudi higher education institutions has slightly decreased from 42.9% in 2005/2006 to 42.5% in 2013/2014 (HESC 2015). Actually, the number of non-Saudi teaching and research staff has experienced an increase of 161% during the same period. The concept of having an all-Saudi university staff is not the objective of almost all higher education stakeholders, but the high ratio of non-Saudi staff indicates the need to introduce more effective programmes to address the growing need for Saudi staff at old and newly established universities.

One other challenge facing higher education in Saudi Arabia is the teaching and learning of English. At present, medicine, dentistry, engineering, most medical and basic sciences are taught in English at most Saudi universities. Furthermore, many of the KASP students, the majority of whom are studying in English speaking

countries, face problems learning the language. KASP students who are graduates from international high schools or some of the few excellent public high schools in Saudi Arabia may not need more than a semester of learning English to join university. On the other hand, many students may take up to 21 months or more to be able to acquire sufficient English to pursue their university education. Few might find that the English language is a very big obstacle to overcome, which may even continue to be a problem after graduation. This problem has been tackled in many postgraduate theses and research papers published in international journals. Learning English in Saudi Arabia or studying it abroad, for about 2 years in some cases, costs students a lot of time and money. Mahib ur Rahman and Alhaisoni (2013) pointed out some of the main problems associated with learning English in Saudi Arabia, such as the proficiency of teachers and the lack of books, exposures, practice skills and assessment methods (Grami 2010). Orth (2015) recently considered other issues associated with acculturation and the experiences of Saudi students at an Australian university in a PhD thesis. In fact, even the change for Saudi students from a single gender environment in Saudi Arabia to a mixed gender environment abroad, and the issues related to this, can be an interesting field of research (Alhazmi and Nyland 2015).

In recent years some Saudi writers, academicians and intellectuals have published articles and books about Saudi education in general and higher education in particular. All of those books are published in Arabic language. They have given critical analysis of the development of Saudi higher education in its competitiveness, conservatism and identity. Here, we state four of these titles, namely, "Reform of Saudi Education: Absence of Vision and Policy, Suspicious of Religious Culture and the Enable Education Administration by Al-Esa (2009)", "Saudi Higher Education: Search Journey for Identity" by Al-Esa (2010), "Infiltration of the Ivory Tower: Reading of Geopolitical Transformation and Ideological Impact on the Structure and Policy of Saudi Higher Education" and "Higher Education in Saudi Arabia: Traditionalism with Interest in Technology and Business" by Othman (2015). In spite of the harsh criticisms, as reflected as well in their titles, to Saudi higher education system, they have proposed, in addition to some controversial judgments, many issues of concern that make significant research topics in the future development of Saudi higher education. Callous self-criticisms of education systems by nationals of education and academic community are noted in many countries, including developed ones, in the world. One may note that untraditional ideas and proposal are mostly controversial, but they bring interest and motivate further discussion and assessment of education policies. On the contrary, various characteristics of Saudi higher education have been eulogised by many authors, for instance, Pavan (2013, 2015), Pavan and Alfahadi (2014), Hilal and Denman (2013, 2015) among many others.

CHERS in Saudi Higher Education

Notwithstanding the fact that half a century has passed since the establishment of the first Saudi university and the higher education system has experienced quantitative and geographical expansions along with a reasonable qualitative development, the research in higher education has started, somewhat late. The establishment of the Centre for Higher Education Research and Studies, known by CHERS goes to the year 2000. CHERS has created awareness and emphasises the importance of higher education research as a discipline in higher education. CHERS has aimed since its beginning to form an academic platform for discussion of various issues, challenges and problems facing achieving objectives or development of Saudi higher education. The major roles of CHERS are:

1. Building excellent research environment to study higher education issues
2. Provide policy initiatives and analysis for Saudi higher education
3. Enhance the capacity of Ministry of Higher Education, at present Ministry of Education, in research
4. Participate in improving and developing the international competitiveness of Saudi higher education
5. To be a think-tank in studying higher education challenges
6. To provide reliable source for information on higher education trends and developments
7. Building partnership and collaboration with other similar international research institutions

CHERS has adopted various activities to perform research activities through the following means:

1. Issuing a "Readings in Higher Education" monthly publication of recent international research outputs and initiatives in higher education
2. Publishing the "Saudi Journal of Higher Education"
3. Holding an electronic database for all statistics and research work related to Saudi higher education
4. Supporting writing books in various aspects of Saudi higher education
5. Translating selected books in higher education in collaboration with UNESCO, OECD and CHEPS in the Netherlands
6. Organizing group discussions, workshops, seminars and conferences
7. Supporting research projects on challenges, possible development or policy assessment of Saudi higher education, carried out mostly by Saudi academicians

CHERS is fully supported by the Saudi government through the Ministry of Higher Education in the past 14 years and the Ministry of Education since about 2 years ago. CHERS is not a big unit where it employs consultants, all of them academician on full time who are on leave from Saudi universities. The number of consultants has varied, in the past, from 4 to 12 according to tasks and availability of

interested staff, but other researches are done by collaborative researcher on contract or part-time basis from Saudi universities.

Therefore one can state that CHERS has boosted, significantly, research activities in higher education in Saudi Arabia; see CHERS (2014, 2015).

Due to initiatives of CHERS, the following present indispensable institutions of Saudi higher education have been established:

1. The National Commission for Academic Accreditation and Assessment (NCAAA) in higher education. It assesses and accredits programs and institutions.
2. The Saudi National Centre for Assessment in Higher Education (NCAHE). It organises various tests for enrolment in higher education and its graduates.
3. The National Centre for E-Learning in higher education. It develops material and provides training for Saudi e-learning staff and technicians.

Recently CHERS has proposed, through its study teams, the need for establishing:

1. National Academic Recognition and Information Centre (NARIC) for providing information about Saudi higher education institution laws and regulations and provides policy and procedures for recognising foreign qualification based on reliable information
2. The National Teaching and Learning Centre (NTLC) for building excellent teaching and learning environment through training programs

The needs for these and other coordinating bodies in funding, national qualification framework, quality assurance and integration among institutions are becoming indispensable at present day of the history of Saudi higher education. The recent merger of both Ministry of Higher Education and Ministry of Education in one administration department has made the new department as the largest central administration body in the Saudi government. This huge administration body might have motivated two consecutive ministers of education to consider granting all Saudi universities much wider autonomy. Saudi research communities in higher education are, at present, facing abundance of new challenges and opportunity at time to align with the Saudi Arabia's Vision 2030 (2016) which is forming the whole development process including the structure, policies and the management of Saudi higher education.

SJHE in Saudi Higher Education

The *Saudi Journal of Higher Education* (SJHE) forms a very specialized stage for the Saudi higher education researchers; see SJHE (2016). The SJHE has recently published its 14th issue of its biannual issues. The SJHE has appeared for the first time in 2005 and continued for 2 years, but it was not published for few years later until 2012 when it has started to appear regularly in the past 5 years. This journal is

peer-reviewed and publishes original research articles in addition to book reviews and PhD thesis abstracts related to Saudi higher education.

The journal has discussed many issues related to the challenges and development of Saudi higher education. In fact, the academic freedom in the light of the Saudi higher education regulations, the perception of students for aptitude tests of NCAHE, the women leadership in higher education, the alternative financing venues for Saudi higher education, the role of community colleges in Saudi higher education, the pros and cons of the prep year in Saudi university education and the impact of King Abdullah Scholarship Program (KASP) on Saudi higher education are some of the area topics that received more attention in research. These and other related topics have been discussed in papers published at the SJHE. The Arabic language articles published in SJHE complement the article published in a monthly four-page issue entitled “Selected Readings in Higher Education”, published by CHERS as well, targeting the non-English speaking in the Saudi higher education research community.

The ALC in Saudi Higher Education

The Academic Leadership Center (ALC) is considered, at present, the main stage for the Saudi higher education research and leadership community in Saudi Arabia; see Al-Swailem and Elliott (2013) and ALC (2016). The Ministry of Higher Education at that time, now Ministry of Education, has established this centre in 2009 in recognition for the need of building and enhancing leadership capacity in higher education. Also, ALC existence acknowledges the significant role and feasible impact of learned and well-trained leadership on quality and successful management of higher education institutions. The centre has stated its mission as “To provide developmental programs and assistance in leadership for higher education institutions, administrators, and leaders enabling them to be more successful and effective”. The ALC main goals are to develop leadership culture, enhance effective leadership and network leaders and institutions with good practices at locally and globally. The ALC is growing slowly but firmly and expanding its activities to include more issues of higher education and additional spectrum of various levels of leadership in Saudi public universities. The ALC arranged several developmental activities to address the need of Saudi higher decision makers and educators. The ALC has used various means to achieve its goals including conducting workshops for Saudi university presidents, vice-presidents, academic deans, department chairs and promising future leaders. The ALC is also conducting training on various levels of higher education leadership skills as well as running training-the-trainers programme to increase its impact through growing number of its associates and fellows. Moreover, the ALC is involved in other activities such as conferences, symposia, mentorship programs, consultation, specialized interest group meetings, seminars and webinars.

In addition, the ALC emphasises that one of its services is running research and studies to quantify good practices and investigate new trends in various higher education systems and their proper implementation in the Saudi higher education set-up. The ALC is the only body of its kind in the Arab world, and its services are likely to be needed and might be extended to the Cooperation Council for the Arab States of the Gulf (GCC). These six states, of the GCC, namely, Bahrain, Kuwait, Oman, Qatar, Saudi Arabia and United Arab Emirates, have very similar higher education systems and have other joint regional institutions and centres in education.

The ALC is expected to be leading higher education community in research in the field of higher education in Saudi Arabia. In particular, the Saudi system of higher education, at present, is on the verge of major changes in its governance, public policies, privatisation, management and funding. These new sets of challenges and opportunities are attributed to the new Saudi Arabia's Vision 2030 and the 2020 National Transformation Plan which introduces new growth approaches for all development sectors of Saudi Arabia; see Saudi Arabia's Vision 2030 (2016).

Conclusion

This chapter is restricted to the main, very significant challenges facing Saudi higher education, which make it a very fertile field of research. It is also worth mentioning that there are other aspects, related to challenges that have been discussed in different master and doctoral research projects in Saudi Arabia and in different universities around the world.

It is worth noting that the higher education system in Saudi Arabia is in the process of changing its mission, vision, structure and governance. The merge of both department of pre-university and higher education was one of the recent aspects. The introduction of the Saudi Education Evaluation Commission (EEC), on 7 May, 2016, headed by a state minister and reports to the prime minister is another aspect of changes and of the priority of higher education role in the state developments. The new commission has included the NCAAA, the NCAHE and other evaluation and assessment sections of the public education in the Kingdom.

The field of Saudi higher education research is considered relatively young, compared to other higher education systems in developed and many developing countries. The first university in the kingdom, namely, King Saud University in Riyadh, will reach its 60th anniversary in 2017. The fast growth in the number of universities, students and staff and the emergence of private higher education and the pioneering King Abdullah Scholarship Program (KASP) have given rise to many challenges and controversial issues. Furthermore, internationalisation and globalisation, quality assurance, visibility on research classification podiums and non-sustainable funding are putting additional external stress on the higher education system. The impact of this programme on Saudi society and the gained knowledge

and learning and research skills of Saudi students abroad and their acculturation with other societies is a multidimensional field of research.

There are also many issues to be investigated in the field of self-governance of universities, integration of the Saudi higher education system and increasing the ratio of Saudi teaching staff, as well as international students.

Foreign higher education introduction in the Saudi system of higher education was a very controversial issue and might face much social, language, financial and religious challenges. Reasonable governance for the provision of foreign higher education that take into account most concerns of all stakeholders would need a lot of research, discussion and new policies. Saudi Arabia, see Saudi Arabia's Vision 2030 (2016), and its National Transformation Plan have dealt with many challenges that foreign higher education and private higher education might face.

Stakeholders in the Saudi higher education system and Saudi academics have realised the volume of issues that the Saudi higher education system has, requiring additional or deeper research and investigation.

To assist researchers and research students, the Centre for Higher Education Research and studies (CHERS) was founded in 2001, and King Saud Chair for Higher Education Studies, based at the Imam Mohammed bin Saud University in Riyadh, was founded in 2015. The purpose of CHERS and the research chair is to support researchers and graduate students in their investigations into the various features and characteristics of Saudi higher education and the many challenges it faces. In fact, there are research centres in colleges of education in almost every Saudi university. This might be due to the historical background of some of these universities, which started life as colleges of education.

Research appears in the Saudi Journal of Higher Education, which has been published biannually since 2004. It has revealed the wide range of topics that have been of concern to various stakeholders in Saudi higher education. The last issue of the journal was published online only. Example of issues; of concern to the research community in Saudi Arabia, mission differentiation of institutions, parallel higher education i.e. formal degree programme offered in the evening, alternative funding, private for-profit higher education, internationalisation and globalisation of Saudi higher education, roles of community colleges and appropriate governance of universities along wider autonomy.

The Academic Leadership Center (ALC) has also participated considerably in building effective ambience for wider higher education research community in Saudi Arabia. Bringing leaders, at various levels of university management, and enhancing their leadership skills and inspire them to discuss challenges and experiences along with some distinguished international experts are one of the key ALC's programmes and objectives. Thus, different activities of the ALC form an important Saudi research and learning community into the field of higher education.

The Saudi Higher Education Observatory at the Ministry of Education provides information about the status of international higher education to decision makers. The observatory also regularly publishes indicators of the status of Saudi higher education and compares it with its international counterparts. Analysis of these indi-

cators by quantitative and qualitative studies on many variables is very important to the Saudi higher education system.

We have researched a few of the many master's and PhD theses and the very many research papers in specialised academic journals that have considered vital issues concerning Saudi higher education. There are many challenging issues, such as a women's role in higher education, acculturation of KASP students in more than 28 countries and the readaptation of students in their native culture. There are also issues concerning the financing of higher education, gender equity, quality and new governance, which require further investigation and discussion.

The transition and regenerative aspects and research activity in Saudi higher education motivated many international institutions to consider it as a field of research through either collaborative research papers of Saudi and non-Saudi authors or the yearly conference of higher education in Riyadh with participation of all Saudi university and many foreign universities. Almost all major activities and projects of CHERS and ALC and other university conferences, seminars and workshops in higher education issues have some selected experts in higher education from international leading institutes in the world. In the past few years, many research theses have been written in the United Kingdom, the United States and Australian universities that reflect interest of international research communities as well in the Saudi higher education.

Based on previous discussions, it is strongly recommended that research into the challenges, potential and future trends of Saudi higher education have to be the priority of the Ministry of Education. Higher education or university research centres on policy studies, in particular, is urgently needed. One may also look into various aspects of Saudi university development programmes for the physical, human resources, governance and funding and put them to research and critical analysis. This approach will provide solutions to existing problems, alternative avenues to face challenges and proper management to attain the objectives of higher education, as well as enhancing the learning process.

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Part V

Conclusion

Chapter 20

Higher Education Research in Asia: History, Development and Challenges

Jisun Jung, Hugo Horta, and Akiyoshi Yonezawa

Abstract The book demonstrates the rapid evolution of higher education research in most Asian countries, particularly in East Asia, in terms of both the number of researchers and publications and the diversity of research themes and methodologies. However, higher education research in some countries in Asia is comparatively underdeveloped, underlying an inequality in terms of development of higher education research communities. This seems to be related to the stage of development of the higher education systems themselves as well as to traditional thinking about the organisation of fields of knowledge and science. This chapter summarises main findings of this book and answers to questions regarding identification of higher education research in Asian countries in terms of researchers, research institutes, academic programmes, national journals and relationship with government. It also summarises what topics are being studied and what methodologies have been applied in Asian higher education research. The book finally suggests challenges of Asian higher education research and emphasizes on international outlook of community.

The field of higher education research is gaining legitimacy in most parts of the world, and its importance is increasingly recognised by academics and policy makers in national, regional and international settings (Altbach et al. 2006). However, little is still known about higher education research in Asia. There is no doubt that both the scale and the visibility of higher education in Asia are increasing, and numerous directions for research have been suggested by this growth. Nevertheless, higher education research in Asia has a relatively short history in international scholarship (Horta and Jung 2014; Jung and Horta 2013), and the understanding that higher education researchers and other practitioners based elsewhere in the

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world have of national higher education research communities in Asia is limited. This is not surprising, as even in continents that have developed, stable and thriving higher education, research communities with a long history of international participation and engagement work as ‘silos’ with much less interaction and knowledge exchange of ideas than would be anticipated (Tight 2014). If an international higher education research community is to grow and develop, it is critical not only that researchers from all over the world participate in it (currently, mainly higher education researchers from North America, Europe and Oceania participate; see Jung and Horta 2015) but also that there is some knowledge of national higher education communities, their challenges, their history and development and their prospects for the future.

The aim of this book was to explore the evolution of higher education research in Asia from a comparative perspective. It is important to compare nations when investigating higher education research due to differences between countries in the number of active, productive and skilled researchers (among other issues; see Teichler 2014) but also to understand the importance placed on international journal publications in English and the influence of institutional and governmental priorities on research (Atkinson 2013; Slaughter 2001). The crucial issue is to balance the view of the higher education research communities between their national evolution, the organisation that they have, who constitutes them and how they are providing new knowledge to local and national universities, students and other stakeholders, including policy implications for developing and improving policies and their contribution and visibility to the international community. This balance relates, to a large extent, to issues of training, learning and formation that allow higher education researchers to have the flexibility and ability (or lack thereof) of the domain of language (publishing in English internationally and in the national language(s) nationally), of writing styles and research standards – because developing research and writing to a national journal is not the same as writing for an international journal – and of scope and impact, as the topics that are of key relevance for national audiences may require an approach, focus and level of depth that may not be appropriate for an international audience (which the editors of the international journals will be quick on pointing out).

The book demonstrates the rapid evolution of higher education research in most Asian countries, particularly in East Asia, in terms of both the number of researchers and publications and the diversity of research themes and methodologies. However, higher education research in some countries in Asia is comparatively underdeveloped, underlying an inequality in terms of development of higher education research communities. This seems to be related to the stage of development of the higher education systems themselves as well as to traditional thinking about the organisation of fields of knowledge and science. Indeed, higher education research has no fixed identity or conceptualisation in some Asian countries; and even when the importance of the field is acknowledged, sufficient resources and support may not be available. (This relates to the irony identified by Dennison in 1992, that

higher education research is considered increasingly important but not important enough apparently to be funded as it deserves to be.) The major question likely relates to the very existence of a higher education research community in Asia, as it was identified in the literature that studies in the Asian context – and published internationally – have been produced by only a few individual scholars on a very small number of institutions (Jung and Horta 2013). Through theoretical, historical and empirical exploration, this book has uncovered the development as well as the challenges faced by higher education research in Asia. In light of these findings, some strategies are suggested for broadening Asia's higher education research community.

Is Higher Education an Independent Academic Field in National Contexts Across Asia?

The book commenced with a simple question regarding the recognition of higher education as an independent academic field in Asia. Based on the contributions of this book, it was concluded that higher education has received insufficient attention to make it an independent field of research in most Asian countries. This is unsurprising given the multidisciplinary nature of higher education research (Teichler 1996) and its consequent openness to researchers from different fields (Macfarlane and Grant 2012). In many Asian countries, higher education research is a relatively young and emerging field. As amply illustrated by the Mongolian case study in this book, higher education research is often regarded as a means of planning future policy directions, evaluating policy outcomes and outlining policy implications, rather than as an independent intellectual discipline. In addition, as indicated by the Thailand case study, the main research areas targeted in Asian contexts are science- and technology-based rather than related to higher education, due to governments' policy priorities. In operational terms, higher education research in Asia is still associated with only a limited number of specialised academic programmes, academic appointments, national scholarly associations and core journals, as evidenced by most of the country case studies detailed in this book. The Chinese context is somewhat different: higher education has received more recognition as a legitimate independent academic field, as it has been officially approved by China's Ministry of Education and the Academic Degrees Committee of the State Council. Nevertheless, the author of the Chinese case study in this book noted that higher education research in China still lacks the status enjoyed by other social science disciplines.

Is There a Community of Higher Education Researchers in Asian Countries?

Rather than defining higher education research as a field, Tight (2004) described higher education ‘communities of practice’ comprising ‘groups or networks which help guide, regulate and make meaning of our lives, both in work and outside’ (p. 398). The growth of these communities is reflected by an increase in specialised academic programmes and academic appointments and the emergence of national scholarly societies and core journals (Altbach et al. 2006; Blackwell and Blackmore 2003; Jones 2012). Some countries in Asia, such as Japan and China, have long boasted national communities of higher education researchers. However, Asia’s higher education community of practice is still vulnerable. Further academic specialisation and differentiation are needed to build up a community of Asian higher education scholars.

Researchers

To identify an academic community, it is important to determine the key national and international groups of researchers. In China and Japan, for example, the higher education research community has become more visible (since the 1990s in Japan and the 2000s in China) due to an increase in the number of professional higher education researchers and the volume of higher education policy research. This, in turn, arose from the establishment of specialised postgraduate programmes on higher education and the return of Chinese students enrolled on higher education courses overseas. In Korea, some major research universities have very recently recruited academics who specialise in higher education, and their research visibility is increasing. However, in many countries, the ‘critical mass’ of specialists (Jones 2012) required for the development of higher education research is lacking, as researchers are from very diverse academic backgrounds. In some places, specialists in higher education are almost non-existent. In Macau, for example, there are very few local higher education researchers; most of the research in this field is conducted by scholars from universities in mainland China and some from Hong Kong. They tend to write short introductory papers on the history and development of Macau’s higher education or to conduct comparative studies of Macau, Hong Kong and/or other places. In Mongolia, higher education research is carried out almost exclusively by students and faculty members at state-owned higher education institutions and members of the National Institute for Educational Research under the Ministry of Education.

Research Institutes

In many Asian countries, numerous institutes, centres and academic units have been established to facilitate higher education research, which is often initiated by government-driven institutes. For example, the National Higher Education Research Institute in Malaysia conducts policy research commissioned by the Department of Higher Education. However, higher education research units are lacking in Asian universities. Even in Korea, which has the highest university enrolment of all of the Organisation for Economic Co-operation and Development countries, only three university research institutes focus on higher education research (Rumbley et al. 2014). Elsewhere in Korea, research in this field is carried out as part of education research in general. China and Japan have some higher education research institutions with a long history, such as those at Xiamen University and Hiroshima University, but these institutes are also responsible for providing consultancy and supporting governments and university authorities, as demonstrated by the Chinese case studies in this book. There are some benefits that can arise from combining research and practice in these institutes, and the resulting synergies can bring findings of great interest to the research field and also to policymaking, but only if resources – human, financial and time – are not overly concentrated in mostly one of these activities. On the other hand, the recent launch of higher education research institutes in some Asian countries is quite promising. For example, the Centre for Higher Education Research and Studies was founded in Saudi Arabia in 2001, and the King Saud Chair for Higher Education Studies was founded in 2015 by the Imam Mohammad ibn Saud University in Riyadh to train higher education researchers and conduct higher education research. The establishment of these research institutes focusing on higher education research can illuminate issues concerning the characterisation and development of higher education in Middle Eastern countries that still remain largely unknown to other Asian, but also to worldwide audiences.

Academic Programmes

The number of higher education academic programmes varies significantly between countries. For example, 18 institutions in China are authorised to grant Ph.D. degrees in higher education, and students enrolled on 15 EdD programmes receive professional doctoral degrees. In addition, 91 higher education programmes and 96 education economics and management programmes that address economic and administrative aspects of higher education have been established at the master's level. Japan also has a few such programmes. However, very few higher education academic programmes are available in other countries in Asia. As illustrated in the case study of Korea, most Korean universities do not offer higher education

programmes at the postgraduate level, although some colleges of education provide a few higher education-related curricula.

The situation is similar in many Southeast Asian countries. There are few master's programmes focusing on higher education in Malaysia and only one specialised doctoral programme (an EdD in higher education) offered by one of the country's public universities. In Thailand, as revealed in the case study in this book, higher education is not yet offered as an independent course. Leading public universities offer courses covering higher education issues, but these belong to other general education subjects, such as course and curriculum instruction, education management, education technology and subject-based education. The authors of the Taiwanese case study identified the reasons for the lack of academic programmes in higher education in Taiwan. Several attempts have been made to establish master's-level programmes at various universities, but most have failed due to the limited job prospects for graduates. Although graduates of higher education programmes generally have expertise in university management, they find it difficult to acquire jobs in Asia's higher education sector because university employees in many Asian public universities have civil-servant status and are thus required to take a national exam rather than majoring in higher education at the postgraduate level. In Japan, higher education postgraduate scholars tend to work full time in the higher education sector or even for the government and thus find it difficult to secure enough time and energy to pursue research leading to high-quality publications.

National Journals

Few national journals in Asia focus exclusively on higher education. To ensure its recognition as an independent area of enquiry, higher education requires an established core of journals (Bayer 1983). In China and Japan, there are a few domestic academic associations specialising in higher education that issue journals on higher education research in Chinese and Japanese, respectively. Approximately 400 journals devoted to higher education are published in China, but only half a dozen are published nationally, while all the others are bounded by individual universities and seldom circulated outside their sponsoring institutions (Altbach et al. 2006). However, higher education issues in Asia are usually dealt with in other general educational journals. As evident from the Korean and Taiwanese case studies, higher education issues are often published in journals in the fields of educational administration and policy, curriculum and instruction and educational technology and learning. In some cases, a specific field of knowledge leads higher education research. For example, Mongolia's *Journal of Medical Education* publishes many innovative teaching issues. However, there are reasons to expect some change regarding the emergence of national publications focused on higher education research: the *Saudi Journal of Higher Education* has been published biannually since 2004, and the Saudi Higher Education Observatory at the Ministry of

Education provides decision makers with information on the status of international higher education.

Strong Link with Government

One of the distinctive features of higher education research in Asia is its strong link with government policymaking. In Singapore, for example, as evident from the case study, the development of higher education is largely determined by the government, as well as by factors relating to globalisation, because the government is responsible not only for setting major policy directions but also for providing financial resources. In Malaysia, higher education has become a key policy concern, leading to the establishment of the Ministry of Higher Education in 2004. Research agendas in this field have since tended to follow the main directions for reform (Kim et al., 2015). The situation is similar in Thailand and Mongolia, as demonstrated in their respective case studies in this book. The Chinese case analysis revealed that since 2011, more than half of the articles on major publication databases in China have been supported by the state as part of various research funding projects. The fact that the higher education research communities in these Asian countries engage in research topics that result from responding to government needs for the assessment of policies and challenges can be very positive, in the sense that governments are using the national communities – and their expertise – to inform policies and impact national higher education stakeholders. The drawback, however, relates to a possible over-reliance on these projects – including the resources that they provide – that can undermine academic freedom, autonomy and critical thinking of past and current government policies (see Rostan 2010; Savelsberg et al. 2002).

What Topics Are Being Studied and What Methodologies Have Been Applied in Asian Higher Education Research?

The policy-driven nature of higher education research in Asia is reflected in the main themes under study and methodologies applied. In many countries, the main research themes are government-level policy issues. In China, the majority of articles published on higher education investigate practical issues, and articles on system policy are the most frequently published in educational journals in Korea. In Taiwan, policy directions, institutional activities and higher education reform are mainstream themes, with a current focus on higher education evaluation and rankings, internationalisation/globalisation, marketisation and world-class universities. In Singapore, the major research themes are related to decentralisation, massification, quality and excellence, globalisation, marketisation, internationalisation and entrepreneurialisation. As illustrated in the related case study, the major themes of

higher education research in Singapore are directly related to policy guidance in line with national development priorities. This follows the trend in the international higher education literature, where many of the publications are country cases – isolated or in comparison – that in a way are expected to be used as benchmarks that other countries can assess and use (Kuzhabekova et al. 2015).

However, in many other countries, the themes of higher education research are wide-ranging and dispersed. A range of areas of higher education are addressed, such as management, history, philosophy, sociology, curriculum and faculty development and teaching and curriculum development, as demonstrated in the case studies of Mongolia and Thailand. Such research is only intermittently conducted and published, which tends to point to the strong participation of ‘part-time’ researchers (Harland 2012) who contribute to the knowledge in higher education but are not effectively part of the higher education research community. They do not frequently publish on higher education topics; sometimes they do not even publish in higher education research journals, and most of the time, they publish a single article due to having data or came across a case in their main field of teaching or professional experience that led to a publication in the higher education research literature (Horta and Jung 2014).

In terms of methodology, the Korean case study illustrated the tendency to base higher education research on policy documents produced by the government or secondary data obtained in other countries. Promisingly, however, the volume of quantitative, qualitative and mixed-methods empirical research is increasing, particularly in the East Asian and Southeast Asian research communities. This use of a variety of methods allows for a more inclusive set of perspectives on the challenges and issues, which will add value in terms of offering a richer and more nuanced understanding of the reasons such challenges exist in the first place and then for devising possible solutions for them to be tackled. This multitude of methodological designs can drive Asian indigenous higher education research to develop new conceptual models that can better explain higher education systems in Asia but also avoid the trend in higher education (particularly in North America) to overly rely upon quantitative methodologies (Wells et al. 2015).

What Are the Challenges to and Future Directions of Higher Education Research in Asia?

Identity of ‘Asian’ Higher Education Research and International Outlook

It is difficult to identify clear trends in the aims, theories and practices of higher education research across Asia. The research contexts of Asian countries have extremely heterogeneous origins due to differences in colonial influence, geographic boundaries, language, developmental stage and policy priorities. Similarly,

the ‘Asian identity’ of higher education research is difficult to define. In Chap. 3 of this book, Rui Yang pointed out that Western higher education research has long been regarded as standard practice, whereas Asian approaches to conducting higher education research differ (often based on national values rather than regional values, particularly in China and Japan). There are differences not only in the conceptualisation of higher education development across Asia, but in the ways in which scholarly communities produce knowledge. It is also difficult for higher education scholars in Asia to integrate Asian values and traditions with Western scholarly norms. In Chap. 4, Jae Park argued that higher education research in Asian contexts ‘should be able to portray, explain, and ease the numerous and manifold problems’ afflicting higher education in Asia. The issue seems to relate somewhat to the fact that many Asian countries continue to be developing higher education research communities at the national level (which, in itself, is positive), but this development may be done in a way in which such communities become too locally rooted and lack the resources required to attract substantial regional and international attention and to provide an input to the international higher education literature.

Regional collaboration between Asian higher education researchers, as Hugo Horta pointed out in his Chap. 2, needs to be fostered as a way for the research and visibility of Asian-based higher education researchers to gain further visibility and legitimacy. Until recently, the higher education research communities neither collaborated much nor shared their findings, and country case studies in comparative projects were led by non-Asian-based academics or international organisations. This presents a concern that others non-native to Asia may provide a vision and understanding of Asia higher education biased by their own cultural, social and economic views and understandings of the world. Indigenous eyes and minds are needed to identify, understand and explain critical but subtle characteristics and nuances of Asian higher education systems to the world. To do this, the national higher education communities have to bring these views to researchers based elsewhere, and doing so requires much greater engagement with the global higher education research communities, publishing in the English language and in international and specialised peer-reviewed higher education journals, because it is through them that research gains visibility and global understanding. If Asian-based researchers do not do this – and do not do this in the international literature – others will do it for them, with the risk of conveying distorted or ‘colonial’ views when doing so. In engaging in these activities, balancing between publishing nationally and internationally becomes the crux of the problem, but in the mix, there are also challenges related to the changing socialisation, training and sets of incentives that the current and future generations of higher education researchers need to undergo.

Echoing Roger Chao’s Chap. 5, this conclusion of the book argues for the need to raise awareness, establish an identity for the Asian higher education community and increase efforts to target an international audience. It also argues that the creation of

this identity requires more regional collaboration that has the potential to influence regional policymaking on higher education in Asia. Recently, there has been an increase in international exchange and collaboration between practitioners of higher education in areas such as quality assurance and capacity development. Regional student exchange and quality assurance initiatives are now particularly prominent in Asia, with subregional programmes established between the Association of Southeast Asian Nations and Middle Eastern countries (Yonezawa et al. 2014). However, very few of these interactions have yet led to high-quality research publications, with the exception of initiatives conducted in Hong Kong and Singapore. Hong Kong holds a particularly strong position in the global higher education research community in terms of its international publication record, as noted by Jung and Horta (2013), while working as a bridge between East Asia – especially China – and the rest of the world (Postiglione 2015). Both Singapore and Hong Kong have strong university education and research sectors with diversified and cosmopolitan academic institutes, host numerous academic conferences on (higher) education and boast rich resources and a strong tradition of academic freedom (also part of these two cities' drive to be recognised as regional knowledge hubs: see Lee 2014). However, these two cities are more of an exception than the rule, and more needs to be done.

The creation of a regional higher education association, in the likes of the Consortium for Higher Education Researchers (CHER) in Europe, with a strong geographical foundation associated with an inclusive community that debates higher education issues from around the world and interacts with higher education communities based elsewhere in the world (Kehm and Musselin 2013), is one potential way to lay the foundation for the development of a higher education research community in Asia. The creation of the Higher Education Research Association in Asia (HERA), which has held a conference in South Korea, Japan, Taiwan, Hong Kong and Mainland China and it will hold its next conference in Malaysia, seems to be following the path towards the creation of such a community with a strong regional identity linked to a global outlook. This conclusion also argues that the engagement and participation needs to be done in the international context, such as publishing in international higher education journals (to further gain global legitimacy and visibility), and participating in international conferences voicing the research, analyses, views and contributions that the Asian higher education research can bring to the global pool of knowledge.

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