

国外原版高等教育丛书

Tradition and Transition

The International
Imperative in
Higher Education

传统与过渡： 高等教育的 国际规则

Philip G. Altbach



中国海洋大学出版社
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内容简介

本书介绍了世界范围内影响高等教育的一些重要问题。比较的视角可以阐明这些重要的主题,有助于我们理解其趋势。虽然一国移植另一国的学术模式基本上是不可能的,但我们可以从其他国家的情况中吸取经验和教训。全球的高等院校都受传统——西方大学 800 多年的历史 and 欧洲学术模式对世界其他地区的影响——的影响。这样的传统会抑制改革,但它也使人们在大变革的时期不忘大学的核心价值观念。21 世纪初对高等院校而言是一个过渡时期。高等教育普及化已经在全球范围内导致了管理、定位和经费的变化。技术也向传统的大学提出了挑战。本书阐释了传统和变迁之间的互动,研究了大学已有的规范和价值观念以及 21 世纪大学的变革力量。

本书分为三个部分。在第一部分,本书研究了大众化高等教育的逻辑、全球化和大学、学术自由、比较的视野中的私立高等教育、发展中国家的研究型大学、国际化中的高等教育前景等问题。在第二部分,研究了学术职业的中心和边缘和学术工作的国际模式。在第三部分,研究了亚洲大学的过去和未来、非洲高等教育、美国的博士教育、高等教育中的科研和培训等问题。

本书适合高等教育管理者和高等教育管理专业的师生使用。

出版者的话

我们出版这套国外原版高等教育丛书初衷主要有两个。一是随着我国内地高等教育事业的蓬勃发展,我们比以往任何时候都更需要关注国外及我国港台的高等教育,我们既需要吸取国外及我国港台高等教育发展过程中的教训,少走弯路,更需要借鉴国外及我国港台高等教育发展中的有益经验。二是随着全球化程度的加深,国际高等教育领域的交流日益频繁。我们不仅需要了解国外及我国港台的高等教育,我们还需要向国外介绍我国高等教育事业的辉煌成就。然而,我们不少的高等教育研究者使用英语进行学术交流的水平有待提高,这在一定程度上妨碍了国外同行对我国高等教育的了解。因此,引进原版著作供高等教育师生和研究者研读则是实现上述两个初衷的有效途径。在研究国外及我国港台高等教育的同时提高用英语撰写学术著作的能力,在提高英语能力的同时了解国外及我国港台的高等教育,这便是我们出版本丛书的目的所在。

我们在确定出版书目时,一是尽量选择国外新近出版的著作,使读者能够了解国外及我国港台高等教育界的最新动态。二是考虑到帮助读者提高英语水平的需要,尽量选择语言相对简洁、语法相对规范的原著,并在书后制作了两种形式的词汇表,一种按单词在书中出现的页码为序,一种按字母顺序排列,以方便读者理解原著。读者只要拥有大学英语四级水平,参考书后的词汇表,就基本上可以理解原著。

必须指出的是,由于原著作者大多为国外人士,他们在有些问题上的观点同我们有差距。我们引进他们的著作,并不代表我们完全赞同其观点。有了解才有批判与借鉴。希望读者在了解国外及我国港台的高等教育动态、提高英语水平的同时,吸取其中的积极成分,摒弃其中片面甚至错误的成分,促进我国高等教育的健康发展。

在本丛书的出版过程中,波士顿学院的阿特巴赫教授为我们免费提供了原著的版权,华中科技大学的别敦荣教授给我们提出了很多有价值的建议,并百忙中为丛书作序,而中国海洋大学的宋文红教授则是我们认识阿特巴赫和别敦荣两位教授的介绍人;中国海洋大学外语学院的邓红风教授帮我们解决了排版中的诸多难题。在此,谨向他们表示感谢!

由于我们是第一次出版国外原版高等教育丛书,难免存在不足之处,恳请广大读者和出版界同仁批评指正!我们也真诚欢迎广大学者与我们联系,向我们推存更多的优秀原版图书,使我们这套丛书的规模越来越大,质量越来越高。

“国外原版高等教育丛书”总序

我们已经生活在一个全球化的时代,我们的生活环境与生活方式正因此发生深刻的变化。网络、信息、资本和企业的跨境流动使传统的以国家为界的经济活动和文化活动的边界越来越模糊,使其一如空气在不同国家间自由地流动和弥漫。身居斗室,纵览天下,实时互动,和谐共进,已经成为全球化所开创的一种国际化生活方式。

幸运的是,高等教育没有被排除在全球化浪潮之外,而成为全球化的一股重要力量,不仅自身在不断深入地全球化演进,而且成为全球化的主要推手,为社会其他领域的全球化发挥着不可替代的积极作用。很多人将高等教育的全球化称为“国际化”,以区别于以营利为目的的经济全球化浪潮。这一区别的初衷固然是可以理解的,但若要将高等教育的所谓“国际化”单纯地理解为不带经济目的的学术交流与合作行为的话,恐怕连我们自己都会觉得是不符合实际的,有掩耳盗铃之嫌!只要看看那些跨境招生的大学在其所标榜的“高尚”目的之外所收取的高额学费,我们便不难理解高等教育“国际化”实际上也是一种经济行为。当然,这种“国际化”与传统的高等教育国际化是不同的。传统的高等教育国际化主要表现为留学教育,高等教育机构往往是固定不移的,学生从四面八方不同国家涌来,共聚一堂接受先进的教育。19世纪欧洲的法、德、英等国是接收留学教育最多的国家,西欧因此成为世界高等教育的中心。20世纪以来,尽管法、德、英等国接收的留学生人数不减反增,但美国高等教育的崛起使世界各国的学者将美国高等学校作为首选,趋之若鹜,美国因此取代西欧而成为世界高等教育的中心。

在高等教育全球化的今天,留学教育依然是一种主要的国际学术文化交流途径。不仅如此,留学教育还发展起了一些新的组织形式。一些国家为了提升自身的国际地位和影响,制定和实施了吸引留学生的“国家计划”;一些国际组织为了促进地区间的文化与社会融合,实施了具有强制性的国家间学生交流和访学计划;一些传统的接收国际学生的大国,如美、英、澳、加等国,也在加大吸引国际学生的宣传力度,以进一步扩大招收国际学生的规模。

在留学教育之外,高等教育全球化不但正在改变世界,而且也在改变其自身。跨境交付、网上课程、虚拟大学、异域办学等不仅使更多的人能够更方便地接受高等教育,而且极大地放大了高等教育资源的社会效力,使高等教育的影响无处不在,高等教育正在更迅捷、更广泛地改变着世界。为了适应这种影响的要求,高等教育自身正在进行全球化的改造。不管是哪一种形式的全球化,高等教育都在发生与之相适应的变化。以留学教育为例,越来越多的国家在其吸引留学生的计划中更多地考虑了生源地的文化传统、生活方式以及社会需求。为了适应经济全球化变革,越来越多国家的大学在其人才培养方案中加入了更多的国际文化、经济、法律及社会课程,以培养具有国际适应能力的人才。当然,在高等教育自身的变化中,受到人们关注的还有大学的办学理念、教育制度、运行机制、发展战略等方面。“向其他国家的大学学习”已经成为高等教育全球化的一大标志。这一现象不仅出现在高等教育欠发达国家和地区,同时也出现在高等教育发达国家和地区。近20多年来,高等教育发达国家和地区所召开的有关高等教育的国际会议、所发表的有关高等教育的政府报告或专家委员会报告不计其数,说明这些国家和地区在应对高等教育全球化趋势的过程中,十分重视学习不同国家的经验教训。

我国是世界全球化的重要力量。全球化不仅包括了经济领域,同样也包括了高等教育领域。改革开放以来,随着经济全球化的不断推进,我国经济总量迅速增加,与世界经济的关系日益紧密。据国家统计局公布的数据,2007年我国国内生产总值达到246 619亿元,成为世界经济总量大国;对外贸易总量突破了2万亿美元大关,达到21 738亿美元,其中出口为12 180亿美元,进口9 558亿美元。对外贸易进出两旺,显示出高度的国际关联性。与国家经济贸易全球化发展趋势相一致,我国高等教育全球化不断加强。出国留学教育快速发展,我国留学人员已长期稳居各国之首。来华留学人员不断增加,越来越多的来华留学人员开始在经济、法律、工程等各学科专业接受高等教育。不仅如此,高等教育改革越来越体现出全球化趋势,从高等教育评估制度建设到高等学校课程教学改革,都吸收和借鉴了其他国家的经验。我国部分大学推行全英语授课、采用外文版教材等改革措施更是典型地体

现了全球化特征。全球化不仅改变着我国高等教育,而且也使高等教育在国内和国际经济社会发展中发挥更重要的作用。高等教育全球化后我国高等学校所培养的各类高级专门人才不仅是我国经济社会全球化的主要建设者,而且也成为国际人才市场的重要参与者,对促进国际经济社会发展与国际交流互动发挥了重要作用。

高等教育全球化的另一个重要表现是我国高等教育研究的国际化。改革开放以来,我国恢复开展高等教育研究,其中一个重要内容就是研究和提炼国外,尤其是发达国家高等教育的先进经验,为我国高等教育改革与发展提供借鉴。随着我国经济社会全球化的不断深入发展,我国高等教育全球化的色彩也更为浓厚,高等教育研究越来越走向与国外和海外高教界全方位的交流与互动。以高等教育研究国际会议为例,20世纪80年代和90年代,每年全国一般也就一到两次国际会议,有的年份甚至一次也开不起来,但近年来,每年举办的各种形式的高等教育研究国际会议众多,令人目不暇接,分身乏术。以我自己为例,2007年8月到12月,共参加了三次国际会议和两次两岸高等教育研讨会,包括中日高等教育论坛(乌鲁木齐)、社会发展与大学战略论坛(北京论坛)、21世纪工程教育国际研讨会(香港)、两岸大学治理学术研讨会(北京)和多元化及大众化发展历程中的高等教育研讨会(台湾)。高等教育研究的国际化还表现在出版上。近年来,出版国外高等教育译著已然形成了一股热潮。80年代和90年代,除了王承绪教授主持翻译、浙江教育出版社出版的一套国外高等教育著作外,其他只有零星的译著出版,这也说明学术界对国外高等教育译著的需求不是很旺盛,当然也可能是学术界和出版界没有捕捉到高等教育工作者对译著的需求。但进入新世纪以来,除了浙江教育出版社继续出版王承绪教授主持的译著外,中国海洋大学出版社、广西师范大学教育出版社、北京大学出版社、北京师范大学出版社等纷纷加入到高等教育译著的出版中来,仅中国海洋大学出版社在5年内就出版了三套共计13册高等教育译著。毫无疑问,高等教育译著的出版不仅有助于开阔高等教育学者的视野,丰富我国高等教育研究素材,为我国学者的学术研究提供国外的研究范式,而且能够使高等教育实际工作者更方便地了解国外高等教育发展状况,主动地向国外高等教育学习其先进经验,借鉴其应对社会变革与高等教

育发展的相关理念和策略,促进我国高等教育健康持续发展。

高等教育研究的国际化又有了新的形式,这就是中国海洋大学出版社即将推出的英文版高等教育研究系列著作。出版英文版高等教育研究著作在国内尚无先例,这是一次破冰之举。近年来,中国海洋大学出版社在高等教育研究著作出版上不遗余力,推出了多套有广泛影响的学术著作,成为国内出版高等教育学术著作较多的出版社。高等教育学科是一个恢复历史不长的学科,也不是一个大学科,换句话说,就是其学术著作稳定的读者群并不是很大。但该出版社却将其作为重点,舍得在高等教育研究著作出版上投入,并有意将其打造成为一个品牌。这无疑是一个富有远见的战略,因为我国高等教育正在不断成长中,高等教育只有不断走向科学化、效率化、和谐化,我国丰富的人口资源才可能转变成为取之不尽、用之不竭的优秀人力资源,我国才可能在全球化浪潮中独领风骚,实现中华民族的伟大复兴。为此,我国数以百万计的高等教育工作者都可能成为高等教育学术著作潜在的读者。果如是,我国高等教育的中兴也就为期不远了!

出版英文版高等教育研究著作是一次大胆的尝试。当中国海洋大学出版社负责人征询我的意见时,我毫不隐讳地告诉他,这是一次具有前瞻性的尝试,但却是有意义的。据我了解,我国高教界能够阅读英文原著且经常阅读的学者为数不多,英文原著的主要读者群是高等教育学及相关专业的博士生和硕士生。部分大学高等教育学专业开设了外文原著选读或专业外语,这对研究生阅读英文原著有极大的促进作用。出版英文版原著对于满足这些大学研究生教学对教材的需求将会有很大帮助,同时也可为喜欢阅读英文原著的学者获得价廉物美的精神食粮提供方便。

现在,中国海洋大学出版社即将推出第一批英文版高等教育研究著作,且这批著作是我的老朋友、国际著名的比较高等教育学家、美国波士顿学院终身教授菲利普·阿特巴赫教授的几部力作,我十分高兴。出版社邀我为这套书作序,我欣然应命,写下了上面的话,是为序。

别敦荣

华中科技大学喻园工作室

2008年1月27日

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Chapter 12. "Research and Training in Higher Education: The State of the Art," in *Higher Education: A Worldwide Inventory of Centers and Programs*, Philip G. Altbach, Leslie A. Bozeman, Natia Janashia, and Laura E. Rumbley, revised edition (Chestnut Hill, MA: Center for International Higher Education, 2006). © Center for International Higher Education.

Introduction

This book examines some of the central issues affecting higher education worldwide. A comparative perspective can illuminate central themes and contribute to our understanding of trends. While it is seldom possible to transplant academic models from one country or system to another, we can learn lessons from the experiences of other countries. The title of this book highlights contemporary realities. Academe worldwide is bound by tradition—a history of more than eight centuries in the West and the impact of the European academic model on the rest of the world. Such tradition may inhibit reform, but it is a valuable reminder of the core values of the university in a period of profound change. The beginning of the 21st century is also a time of considerable transition in academe. Mass enrollments have created changes in the administration, orientation, and financing of higher education worldwide. Technology is a new force that is challenging the traditional university. The worldwide knowledge economy and the pressures of globalization create further tensions. This book shows the interplay between tradition and transition—examining the established norms and values of the university and the forces of change in the university of the 21st century.

The focus also concerns the international imperative—to understand academic change from a comparative and international perspective and the growing international forces that are influencing higher education. While universities in the Middle Ages were international institutions, using Latin for instruction and attracting students and teachers from many countries, the current period has seen a resurgence of internationalism. There is a significant international flow of both students and professors and a growing trend to offer degrees and other academic programs “off-shore” through a variety of transnational educational enterprises. While English has not become “the Latin of the 21st century,” it is without question the dominant language for communicating science and scholarship; and it is increasingly used as a language of instruction, even in non-English-speaking environments.

Global Issues and Explanations

Globalization explains everything and has thus lost much of its explanatory power. The world economy is increasingly affected by international trends, and the knowledge economy of the 21st century is quintessentially global in scope and impact. Other aspects of modern society are also increasingly affected by international trends—including higher education. Yet, many analysts attribute all developments in

higher education to the impact of globalization, thus forgetting that academic institutions are embedded in national systems and respond to national authorities and local market forces. Global trends are certainly a key variable, but they are by no means the only one. It is important not to exaggerate the idea of globalization in context. The complex interplay between national, regional, and local realities, on the one hand, and broader international trends on the other is central to any effective analysis of the contemporary university.

The pressure to expand enrollments and provide access to wider segments of the population can be observed everywhere, but such developments are more the result of realities within nations and societies than dictated by international agencies or the dominant economic powers. Somewhat more difficult to analyze is, for example, the trend toward the privatization of public higher education and the growth of private higher education in much of the world or the concept of higher education as a "private good" rather than a "public good." It can be argued that the World Bank and its related agencies have pressed an agenda that includes increased private funding for higher education, propelled by their overall economic perspective, but the paucity of funding at the national level is of even greater importance.

The "logic" of higher education expansion stems from local demand as well as from the needs of increasingly sophisticated economies. Academic institutions and governments have had to accommodate the imperative of mass enrollments. Not only is the United States perceived as having a successful academic system, but it was also the first country to cope with mass higher education. Such developments as differentiated academic systems, a public-private mix, charging tuition for study, accreditation systems, and the like are all necessary adjustments to increased access and mass higher education.

This book also focuses on several other elements of the new global reality. Academic freedom is central to the success of any academic institution or system, but it has been largely ignored in current debates. The focus here relates to the topic's relevance and its complexity in the new environment. Academic freedom includes the freedom to teach and learn, as well as to conduct research and communicate knowledge and analysis through publication, without restriction. Academic freedom continues to be contested terrain. In a few places, there are direct restrictions on teaching and research. Professors, and sometimes students, may suffer consequences—including being fired from their posts or occasionally being jailed or worse. In some countries or universities, certain topics, especially in the social sciences, are banned. In others, specific interpretations may be unacceptable. Subtle threats to

academic freedom are more widespread. Corporate involvement in university research has sometimes determined the direction of research and restricted the dissemination of results. Ownership of databases and scholarly journals by multinational media firms has introduced commercial considerations into knowledge dissemination. Academic freedom is occasionally threatened by the academic community itself—by professors or sometimes students who wish to control the intellectual climate on campus. Thus, academic freedom remains part of the agenda for higher education worldwide and requires constant reinterpretation and vigilance.

In many countries, the expansion of the private higher education sector accompanies massification. Private higher education is now the fastest-growing sector. In many countries once dominated by public higher education systems—such as several in Latin America—more than half the students attend private institutions. Private sectors have emerged in places, including a number of African countries, where public higher education once constituted the sole institutional pattern. Public universities have been privatized to some extent and are expected to generate more of their own income, through tuition charges as well as other revenue-generating activities. These are all elements of new global reality discussed in this book.

The research university, invented by the Germans in the 19th century and expanded in concept and size in the United States, is at the pinnacle of academic systems worldwide. It is now a key part of the new knowledge economy, and most countries seek to build one or more research universities in the struggle to compete in higher education worldwide. For developing countries, the challenges of building and sustaining research universities are difficult.

The Academic Profession

The academic profession is much affected by both tradition and transition. Discussion of the future of higher education often ignores the professoriate. It is incorrectly assumed that well-qualified teachers will always offer instruction and researchers will undertake the cutting-edge basic research so necessary for 21st-century economies. While it is true that teachers can be found to fill classrooms, it is not assured that they will be of adequate quality or well trained. In many countries, most academics do not hold a doctorate and many have only a bachelor's degree. Part-time instructors are the fastest-growing segment of the academic labor force—in Latin America a large majority of the academic profession consists of part-time instructors; and the proportions are growing everywhere, even in industrialized nations. In much of the

world, a full-time academic salary is inadequate to support a middle-class family, and thus many university teachers must hold more than one job.

At one time, at least in most industrialized nations, an academic career offered high status, adequate (if modest) income, and a substantial degree of employment security. This is no longer the case for a growing number of academics even in industrialized nations. Terms of employment have been changed in a number of countries. For example, tenure has been abolished in the United Kingdom, and in much of Europe the traditional civil service status of professors is being eliminated or redefined. There are fewer full-time, career-ladder positions everywhere. The attractions of an academic career are being diminished.

In developing and middle-income countries, the situation is even more dire. Never highly attractive, academic careers are becoming increasingly problematic, especially in comparison with other options in growing economies such as India. In Russia and other countries of the former Soviet system, which at one time provided relatively attractive academic careers, the terms and conditions of academic work have deteriorated and opportunities for highly educated people have flourished outside the universities.

The results are already evident—enrollments in doctoral programs have declined in many fields in numerous countries, and the qualifications of people seeking advanced degrees are lower. The “best and brightest” are simply no longer interested in an academic career. The implications of dramatic changes in the structure and conditions of the academic career will in a few years be experienced worldwide. Will the next generation of academics retain the ability and motivation to perform the best teaching and research? It is unclear whether the terms and conditions of the academic career will provide the opportunities for the best-quality work.

There is also an unprecedented international flow of academic talent—typically from poor to wealthy countries. Many of the most talented academics leave their home countries to work where they can earn the highest salaries and enjoy the best working conditions. This trend inevitably weakens academic systems in developing countries. What constituted in an earlier period a “brain drain” with talent being permanently lost to the country of origin is now a much more complex relationship with scholars maintaining links with their home countries, contributing expertise, and sometimes returning.

The situation of the academic profession is complex and, in general, problematic. A combination of factors contributes to deteriorating

working conditions and low morale. The future of higher education depends on the academic profession, and one cannot be optimistic about the future in light of the circumstances of the professoriate.

These are among the themes analyzed in *Tradition and Transition*. The goal is to analyze in a comparative context some of the central challenges facing higher education. The relationship between societal pressures such as mass access in a context of public underinvestment in higher education is but one of these problems. This book seeks to link societal challenges and institutional responses.