The New Silk Road

Implications for higher education and research cooperation between China and Europe

2nd Research seminar

University of Oxford

1 October 2018
Updated Planning

Implementation (2018-2019)

Early January 2018: invitation to formulate contributions
Early February 2018: submission of Abstracts
18-21 March 2018: Start seminar at Utrecht University
Start data collection & analysis
Formulate book proposal
1 October 2018: NSR 2 seminar Oxford

Lectures & Seminars in Cambridge, Amsterdam, Vienna, Gottingen

Data collection & analysis
Spring 2019: NSR 3 seminar Hong Kong
June 2019: submission of draft chapters
September 2019: revisions
Week of 14-18 Oct 2019: Concluding Research Seminar Harvard Centre Shanghai
Final revisions & editing

Course at Utrecht Summer School

Dissemination (2020-2022)

Final editing
Book production
13-15 May 2020: Dissemination Conference Hannover
& Book launch?
Course materials for pilot
PhD theses

Joint Utrecht – Shanghai Jiao Tong Summer School course
EU-China cooperation along the New Silk Road: a balanced approach towards common goals?

Context: global trends & history of EU-China cooperation (since 1975)  
Conceptual framework: HE and regional integration West & East

<table>
<thead>
<tr>
<th>Policy analysis:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>To what extent are the EU’s and China’s policies for internationalisation of higher education, research and innovation driven by common (global) goals?</strong></td>
<td><strong>Goals</strong></td>
</tr>
<tr>
<td><strong>What are the patterns of cooperation and competition, convergence and divergence?</strong></td>
<td><strong>Rationales</strong></td>
</tr>
<tr>
<td><strong>Are flows, partnerships and conditions for cooperation becoming more balanced?</strong></td>
<td><strong>Mechanisms &amp; Instruments</strong></td>
</tr>
<tr>
<td><strong>If globalization is shifting, are new paradigms for internationalization of higher education emerging?</strong></td>
<td><strong>Effects &amp; impact</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Goals</th>
<th>Rationales</th>
</tr>
</thead>
<tbody>
<tr>
<td>Global, shared, SDG, contribution to (global) common good</td>
<td>Knowledge economy</td>
</tr>
<tr>
<td></td>
<td>EU Lisbon 2000 -- Made in China 2025</td>
</tr>
<tr>
<td></td>
<td>2014 China’s GERD &gt; EU</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Mechanisms &amp; Instruments</th>
<th>Effects &amp; impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012 HPPD; H2020 &amp; ERASMUS open to China; 2015 NSR/OBOR, 2017 Roadmap; BRI NSFC; 2018 Joint programming</td>
<td>Flows &amp; patterns: students, researchers, grants, R&amp;D investment Patents, co-publications</td>
</tr>
</tbody>
</table>

UoA = EU – China
### Flows & patterns: Students

#### Global mobility increase continued: from 2 Million in 1998 – 5 Million in 2016

<table>
<thead>
<tr>
<th>Shifts in international study destinations:</th>
<th>Faster growth in non-OECD (3x) than in OECD (2.3)</th>
</tr>
</thead>
<tbody>
<tr>
<td>US: decline in numbers</td>
<td>-4% in S&amp;T</td>
</tr>
<tr>
<td>UK: decline in growth</td>
<td>Uncertain - Brexit</td>
</tr>
<tr>
<td>Canada and Europe: growth</td>
<td>As alternative English language destinations</td>
</tr>
<tr>
<td>China: fastest growth</td>
<td>Doubled in last decade, close to 500.000 target**</td>
</tr>
<tr>
<td></td>
<td>2/3 from OBOR countries</td>
</tr>
<tr>
<td></td>
<td>58,600 with OBOR Scholarships</td>
</tr>
<tr>
<td></td>
<td>China starts recruiting in US!</td>
</tr>
</tbody>
</table>

| Outgoing Chinese students                  | Stabilizing around 800.000                        |
| Returnees                                  | Strong growth from 40 to 80% of those abroad in last decade |
| S&T bachelors                              | By far the world’s largest producer of Bachelors in S&T fields |
| S&T PhDs                                   | Slower growth, lower transition from BSc than EU and US |
| Many still go to US for PhD’s              | But plans to stay there after graduation decreasing |
|                                            | Can the US do without / less?                    |
Flows & patterns: Students

IIE Center for Academic Mobility Research and Impact (2018). A World on the Move. Trends in Global Student Mobility ISSUE 2 March 2018

OECD Education at a Glance, 2018

Figure B6.a. Growth in international or foreign enrolment in tertiary education worldwide (1998 to 2016)

Number of foreign students enrolled in OECD and non-OECD countries

- 80% in 2016

Figure 2: Chinese Students Are Increasingly Returning Home

➢ 80% in 2016
R&D Investments
Flows & patterns: Researchers & Grants

**Estimated number of researchers, selected region or country: 2000–15**

- United States
- EU
- Japan
- South Korea
- China
- Russia

*Note(s):*

Data are not available for all regions or countries for all years. Researchers are full-time equivalents. Counts for China before 2009 are not consistent with Organisation for Economic Co-operation and Development (OECD) standards. Counts for South Korea before 2007 exclude social sciences and humanities researchers.

*Source(s):*


Science and Engineering Indicators 2018

This graph shows an estimated breakdown of nationalities of ERC project staff members from non-ERA countries, based on an analysis of 1900 grants. The major part (almost half) of the non-ERA staff members come from three countries covered by EURAXESS Worldwide: China (18%), the US (16%), and India (13%). Japan (4%), Canada (3%), and Vietnam (1%), also bring a noticeable contribution. The ERC wishes to further pursue internationalisation and warmly encourages researchers from all countries to apply for funding and to search for jobs within ERC teams.
Cooperation in H2020

Figure 2: Participation of China in Horizon 2020

Research focus of academic articles published in the Chinese literature between 2002-2015 based on research funded by EU framework programmes:

- Natural Sciences: 1658; 90%
- Social Sciences: 184; 10%

Academic articles published in Chinese journals based on research funded by EU Framework Programmes


Foci of academic articles published within the natural sciences

- Medicine: 381; 23%
- Environmental protection: 437; 26%
- ICT: 279; 17%
- Agriculture: 202; 12%
- Other: 363; 22%
Shifts in the world share of top 10% highly cited scientific publications


- United Kingdom, 8.9%
- Germany, 6.5%
- France, 4.6%
- Italy, 2.6%
- Spain, 1.7%
- Netherlands, 2.3%
- Other MS, 6.5%

2014 (citation window: 2014-2016)

- United Kingdom, 7.0%
- Germany, 5.4%
- France, 3.5%
- Italy, 3.1%
- Spain, 2.6%
- Netherlands, 2.3%
- Other MS, 7.5%

Source: DG Research and Innovation - Unit for the Analysis and Monitoring of National Research and Innovation Policies
The New Silk Road and the “Idea of a University”

Values and concepts, governance, structures and outcomes (programs, collaboration, faculty)

Social contract, university values, institutional autonomy: Role of School in implementing NSR Strategy

Case studies

<table>
<thead>
<tr>
<th>Collaborative Business schools</th>
<th>Business &amp; Economics in China</th>
<th>STEM in China</th>
</tr>
</thead>
<tbody>
<tr>
<td>China European International Business School</td>
<td></td>
<td></td>
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<tr>
<td>Beijing U business school</td>
<td></td>
<td></td>
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<tr>
<td>Oxford</td>
<td></td>
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<tr>
<td>Shanghai Jiao Tong Antai School of Business and Economics</td>
<td>Shanghai Jiao Tong Engineering</td>
<td></td>
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<tr>
<td>Zhejiang University, Hangzhou, School of Management and Economics</td>
<td>Zhejiang University Engineering</td>
<td></td>
</tr>
</tbody>
</table>
Chapter 5: 
International University Alliances on the New Silk Road
By Zhuolin Feng & Nian Cai Liu (Shanghai Jiao Tong University) & Scott Douglas (Utrecht University)

Mapping the university alliances

71 alliances’ build-up years, organization’s missions, member structures, governance, and other essential factors, 17 alliances are selected

Measuring the depth of their collaboration

measuring on depth of the collaboration dimensions, through investigating relevant agreements, policies documents, and collaborative activities

Analyzing trends and their influence

Anticipating the development on the number, size, type, partnership, and etc.; their responses to the challenges and opportunities of NSR
Mapping the university alliances along the NSR

Canada, 8
USA, 40
Mexico, 5
Haiti, 1
Perú, 1
Brazil, 5
Chile, 4
Argentina, 1

Canada, 8
USA, 40
Mexico, 5
Haiti, 1
Perú, 1
Brazil, 5
Chile, 4
Argentina, 1

Canada, 8
USA, 40
Mexico, 5
Haiti, 1
Perú, 1
Brazil, 5
Chile, 4
Argentina, 1
China’s research links with Belt & Road countries: mapping the ‘academic traffic’ space

Robert Tijssen
Leiden University, Netherlands
(tijssen@cwts.leidenuniv.nl)

Presentation at 2nd seminar of the research project on
“The New Silk Road: Implications for higher education and research cooperation between China and Europe”

(1 October 2018, Oxford University, UK)
<table>
<thead>
<tr>
<th>Areas of Inquiry</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A. What are the trends in academic “traffic” on the NSR?</strong></td>
</tr>
<tr>
<td>Mapping of Flows of students, researchers, programmes, projects, funding (grants), data, innovations, etc.</td>
</tr>
<tr>
<td><strong>B. How do HEIs respond to new opportunities?</strong></td>
</tr>
<tr>
<td>Case studies on various forms of inter- and transnational higher education; networks, alliances, joint programmes and ventures, branch campuses, etc.</td>
</tr>
</tbody>
</table>
| **C. Under which conditions are these activities happening?**
| **Who defines these conditions?** |
| Analysis of policy documents & formal agreements between governments, institutions, professional bodies, etc. |
| **D. Based on which values?** |
| Values underpinning the “idea of the university”; mission & model, institutional autonomy, academic freedom, scientific integrity, etc. |
| **E. Impact on the global HE landscape and the role of the US HE sector therein** |
Mapping and monitoring China’s “academic traffic” with Belt & Road partner countries

- **Activity**: cooperation in basic research

- **Partnerships**: bilateral or multilateral research cooperation

- **Output**: jointly authored research publications (country-level)

- **Performance indicator**: growth in number of co-publications in recent years

- **Information source**: co-authored research articles in international peer-reviewed scholarly journals
Web of Science is an online subscription-based scientific citation indexing service maintained by Clarivate Analytics. It gives access to multiple databases that reference cross-disciplinary research.

https://clarivate.com/products/web-of-science/
Publication output with at least one Chinese author address
Estimated number of researchers, selected region or country: 2000–15

EU = European Union.

Note(s)
Data are not available for all regions or countries for all years. Researchers are full-time equivalents. Counts for China before 2009 are not consistent with Organisation for Economic Co-operation and Development (OECD) standards. Counts for South Korea before 2007 exclude social sciences and humanities researchers.

Source(s)

Science and Engineering Indicators 2018
Growth related to Belt & Road policy implementations?
I. “China plus 64 Countries” along the Belt and Road

A Chinese report\(^2\), released by the China International Trade Institute in August 2015, identified 65 countries along the Belt and Road that will be participating in the Initiative (Exhibit 1).

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\(^1\) Vision and Actions on Jointly Building Silk Road Economic Belt and 21st Century Maritime Silk Road, the National Development and Reform Commission, Ministry of Foreign Affairs, and Ministry of Commerce of the People’s Republic of China, March 2015

\(^2\) Industrial Cooperation between Countries along the Belt and Road Initiative: 65 Countries and Beyond” (2016)
Belt & Road global regions

- **East Asia**: China, Mongolia
- **Southeast Asia**: Brunei, Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Singapore, Thailand, Timor-Leste, Vietnam
- **Central Asia**: Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan, Uzbekistan
- **Middle East and North Africa**: Bahrain, Egypt, Iran, Iraq, Israel, Jordan, Kuwait, Lebanon, Oman, Palestine, Qatar, Saudi Arabia, Syria, United Arab Emirates, Yemen
- **South Asia**: Afghanistan, Bangladesh, Bhutan, India, Maldives, Nepal, Pakistan, Sri Lanka
- **Europe**: Albania, Armenia, Azerbaijan, Belarus, Bosnia and Herzegovina, Bulgaria, Croatia, Czech Republic, Estonia, Georgia, Hungary, Latvia, Lithuania, Macedonia, Moldova, Poland, Rumania, Russia, Serbia, Slovakia, Slovenia, Turkey, Ukraine
Belt & Road global regions

selected countries in this study*

- **East Asia:** China, Mongolia
- **Southeast Asia:** Brunei, Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Singapore, Thailand, Timor-Leste, Vietnam
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*Joint research publication output in 2010-2017 with Chinese authors > 50 publications (full counts in Web of Science – SCI Expanded, SSCI and A&HCI)*
One Belt One Road global regions

*fast-growth research partners since 2008*

- **East Asia:** China, Mongolia
- **Southeast Asia:** Brunei, Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Singapore, Thailand, Timor-Leste, Vietnam
- **Central Asia:** Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan, Uzbekistan
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**Consistently high-level compound annual growth rates since 2008:**
- **CAGR 2008-2017 > 1000%**
- **CAGR 2013-2017 > 100%**
- **CAGR 2016-2017 > 25%**
Belt & Road global regions

*fast-growth research partners since 2016*

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**High-level compound annual growth rates since 2016:**
- **CAGR 2016-2017 > 25%**
Belt & Road global regions
fast-growth research partners since 2016*
China, Latvia to boost cooperation in scientific, technological innovation

The Chinese premier said Beijing is willing to work with Latvia to tap their respective advantages to enhance cooperation in areas including scientific and technological innovation, expand exchanges of language teaching and culture, promote the two countries to exchange students and push forward cooperation between scientific institutions.

China is glad to see Latvia to play as an important logistic hub in the Baltic region and is ready to work with it to develop economic and trade ties as well as interconnectivity, and achieve mutual benefit and win-win outcomes, said Li.

People-to-people exchanges between the two countries are developing fast, Li said, adding that China supports civil aviation sectors of the two countries to keep contacts on opening direct flights.

For his part, Kucinskis said Latvia is China's reliable friend and is willing to work with China to continue enhancing cooperation in scientific and technological innovation as well as in research and development.

China-Europe freight train services have achieved a great success, Kucinskis said, adding that Latvia is willing to make full use of the freight trains to tap its regional and ice-free harbor advantages to promote bilateral economic and trade cooperation.
Belt & Road ‘Research & Science Area’

Explaining China’s research partnerships rollout

Possible next steps in this ‘academic cooperation’ NSR project:

1) Collect **detailed information** to supplement these macro-level empirical findings:
   - at meso level (which partner organisations in China and elsewhere ?)
   - at micro level (which Chinese organisations are mentioned in the funding grant acknowledgements of publications ?)

   *Critical requirement: research assistance at CWTS (2018/2019)*

2) Try to **interpret and explain** the general patterns and trends in these empirical findings, within a NSR context, with a series of in-depth case studies (desk research and field research; develop an exploratory model);

   *Critical requirement: funding and facilities; partnerships with others in NSR program (2019)*

3) **Reporting** in 2019/2020 on main findings
More information?
tijssen@cwts.leidenuniv.nl
The New Silk Road: Opportunities and Challenges for China-Europe Collaboration in Research and HE

Oxford University
1 October 2018

Futao Huang
Hiroshima University, Japan
E-mail: huangfutao@gmail.com
Positioning the research and HE systems in China and the EU

Knowledge pursuit focused

Most EU countries

Government or state controlled

Market driven

Economic and social development oriented

China
Opportunities

• Both China and the EU have showed strong willingness in building closer collaboration.

• Historically, the formation of modern Chinese academic and HE systems was largely modelled on the European continental ideas, especially on French and Germany patterns.

• Even nowadays, both China and the EU share plenty of similarities in research and HE. For example, A strong leadership and regulation by government on research and HE. A decisive role by central government and local authorities in funding research and HE systems. A strong professional approach in research and HE. A further internationalization of their research and HE.

• The escalated trade war and growing tense relationship between China and the USA might create more space and opportunities for China-the EU partnership.

• The rapid rise of China in the rankings of the Global Innovation Index could quicken the pace and expand the scope of China-the EU collaboration.
China’s vision of implementing the NSR is to undertake cultural and educational exchanges with related countries in wider scope, at a higher level and in a real way, focusing on fostering talents for the related countries, stimulating mutual development and raising regional influences in the world. The eternal goal is to solve Chinese problems, produce talents dedicated to socialist construction and boost China’s soft power.

There exist significant differences in social and political systems, and ideological and academic values of culture between China and the EU. For example, ideological control on research and HE and monitoring on accessing internet seem to be strengthened; China’s research and HE tend to be more market driven and profit pursued, paying less attention to the advanced basic research; only about one of fourth of China’s private industry and business engage in research.
Summary

• The successful China-the EU collaboration will surely benefit each other and have profound influence on the landscape of research and HE worldwide, but each side should realize that the process ahead is full of risks and uncertainties.

• Perhaps achieving the balance of serving for national economic growth and social development, facilitating regional prosperity, and enhancing advancement of science and knowledge could provide a basis for China-the EU collaboration.

求同存异

Seeking common ground while reserving differences
China as a hybrid of civilizational state and nation state: manifestations in China’s Belt and Road Initiative

Lili YANG
University of Oxford

The New Silk Road: Implications for higher education and research cooperation between China and Europe
1 October 2018, Oxford
Imperial China as the civilizational state

- The legitimate dynasty OR a civilizational state with “particular cultural order, and made up a world of its own”. (King, 2018: 111)
- Two elements of imperial China as the civilizational state:
  - No explicit boundary;
  - The imperial Chinese state did not enjoy a centralized status as a nation state does now.

“Ancient China, of course, was a nation, but in a sense very different from the modern ‘nation state’”.

“In Chinese people’s minds, there were the self and the family when it went small, and there was all under heaven when it went large. All other [entities, especially the state,] could be somewhat neglected” (梁漱溟：“中国人心目中所有者，近则身家，远则天下，此外便多半轻忽的。”)
Imperial China as a civilizational state

A typical civilizational state’s attribute:

• Diversity: the embracement of heterogenous traditions and its efforts in assimilating them into the Chinese civilizational order when people from outside China brought in their distinctive traditions.

“Value your own value, and that of others. With the shared value, we will share the world peacefully”.

–Fei Xiaotong

費孝通：“各美其美，美人之美，美美与共，天下大同”。
China as a modern nation state

• Transformation from a civilizational state to a nation state between the mid-nineteenth century and mid-twentieth century.

• The invisible civilizational concept in the Mao-era.
A new stage: a hybrid of civilizational state and modern nation state

◆ What differentiates this hybrid from either civilizational state and nation state?
  • The civilizational order + the strong nation state

◆ Manifestations in the BRI
  • “A bid to enhance regional connectivity and embrace a brighter future, … [to construct] unified large market and make full use of both international and domestic markets, through cultural exchange and integration, to enhance mutual understanding and trust of member nations, ending up in an innovative pattern with capital inflows, talent pool, and technology database.”
  

“China’s rise, …, is not that of an ordinary country, but a rise of a civilizational state”.

A new stage: a hybrid of civilizational state and modern nation state

? What is the future of this hybrid?

? What role should higher education play?

? Will this hybrid idea become a new form for the future?
Thank you!

Thank you to Prof. Simon Marginson for helping to develop the ideas.
All errors are mines.
Contact: lili.yang@education.ox.ac.uk
But what I would like to stress in conclusion is this. There is no establishment of the truth without an essential position of otherness; the truth is never the same; there can be truth only in the form of the other world and the other life (l’autre monde et de la vie autre)

Growth of China-associated science papers
Proportion (%) of total worldwide papers in Scopus: 2000-2016

Additional papers with Chinese names, all countries (unweighted)
Papers solely authored in China
Total = proportion of all papers in Scopus with Chinese names
World’s top 10 universities in combined Physical Sciences STEM, high citation papers, 2013-16

<table>
<thead>
<tr>
<th>University</th>
<th>System</th>
<th>Top 10% papers in Physical Sciences, Engineering, Maths, Computing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tsinghua U</td>
<td>CHINA</td>
<td>1702</td>
</tr>
<tr>
<td>Massachusetts IT</td>
<td>USA</td>
<td>1462</td>
</tr>
<tr>
<td>UC Berkeley</td>
<td>USA</td>
<td>1309</td>
</tr>
<tr>
<td>Zhejiang U</td>
<td>CHINA</td>
<td>1232</td>
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<tr>
<td>Nanyang TU</td>
<td>SINGAPORE</td>
<td>1224</td>
</tr>
<tr>
<td>Stanford U</td>
<td>USA</td>
<td>1159</td>
</tr>
<tr>
<td>NU Singapore</td>
<td>SINGAPORE</td>
<td>1001</td>
</tr>
<tr>
<td>Harvard U</td>
<td>USA</td>
<td>988</td>
</tr>
<tr>
<td>Shanghai JT U</td>
<td>CHINA</td>
<td>966</td>
</tr>
<tr>
<td>U Cambridge</td>
<td>UK</td>
<td>962</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>University</th>
<th>System</th>
<th>Top 1% papers in Physical Sciences, Engineering, Maths, Computing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Massachusetts IT</td>
<td>USA</td>
<td>214</td>
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<tr>
<td>Stanford U</td>
<td>USA</td>
<td>197</td>
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<td>UC Berkeley</td>
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<tr>
<td>Harvard U</td>
<td>USA</td>
<td>160</td>
</tr>
<tr>
<td>Tsinghua U</td>
<td>CHINA</td>
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<tr>
<td>Nanyang TU</td>
<td>SINGAPORE</td>
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<tr>
<td>U Cambridge</td>
<td>UK</td>
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<tr>
<td>NU Singapore</td>
<td>SINGAPORE</td>
<td>108</td>
</tr>
<tr>
<td>Caltech</td>
<td>USA</td>
<td>106</td>
</tr>
<tr>
<td>EPF Lausanne</td>
<td>SWITZERLAND</td>
<td>106</td>
</tr>
</tbody>
</table>
World’s leading universities in high citation (top 10%) papers in Physical Sciences STEM, 2013-16

<table>
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<td>CHINA</td>
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<tr>
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<td>UC Berkeley</td>
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<tr>
<td>Nanyang TU</td>
<td>SINGAPORE</td>
<td>949</td>
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<tr>
<td>Stanford U</td>
<td>USA</td>
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<tr>
<td>Zhejiang U</td>
<td>CHINA</td>
<td>936</td>
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<tr>
<td>Harvard U</td>
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<td>U S &amp; T</td>
<td>CHINA</td>
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<td>NU Singapore</td>
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</tr>
<tr>
<td>Shanghai JT U</td>
<td>CHINA</td>
<td>733</td>
</tr>
<tr>
<td>ETH Zurich</td>
<td>SWITZERLAND</td>
<td>687</td>
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<tr>
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<th>University</th>
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<td>U Texas, Austin</td>
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<td>ETH Zurich</td>
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World’s leading universities in high citation (top 1%) papers in Physical Sciences STEM, 2013-16

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World’s leading universities in high citation (top 10%) papers in Biomedical and Life/Earth Sciences, 2013-16

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<td>Zhejiang U</td>
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</table>
The New Silk Road

Implications for higher education and research cooperation between China and Europe

2nd Research seminar

University of Oxford

1 October 2018
The Belt and Road Initiative creates a global infrastructure network
China uses, acquires and builds railroads, ports and pipelines
China’s One Belt, One Road: Will it reshape global trade?

China’s One Belt One Road: Will it reshape global higher education?

HEFEI STATEMENT (2013)
ON THE TEN CHARACTERISTICS OF CONTEMPORARY RESEARCH UNIVERSITIES
ANNOUNCED BY AAU, LERU, GO8 AND C9
Prior Research (2015)

CHINA: FOLLOWER OR LEADER IN GLOBAL HIGHER EDUCATION?

It is time to view China not just as a follower, but also look at its potential role as a global leader in higher education.

Marijk van der Wende
William Kirby
Jiabin Zhu

Harvard Center Shanghai
Changing Global Context
R&D: spending, researchers and output in S&E
China’s “**Double World-Class Project**” builds on the previous 211 and 985 projects and aims for China to have around **40 World-Class Universities** by mid-century and to generate significant **global impact**

China's Most Prolific Research Areas (2011-2016)

- Engineering: 20.5%
- Medicine: 9.3%
- Materials Science: 9.0%
- Physics and Astronomy: 8.7%
- Computer Science: 8.7%
- Chemistry: 7.2%
- Biochemistry, Genetics and Molecular Biology: 6.5%
- Mathematics: 4.7%
- Earth and Planetary Sciences: 3.2%
- Agricultural and Biological Sciences: 3.7%
- Chemical Engineering: 3.9%
- Environmental Science: 2.8%
- Other: 8.7%

Source: [https://www.elsevier.com/research-intelligence/campaigns/onebeltoneroad](https://www.elsevier.com/research-intelligence/campaigns/onebeltoneroad)
Shifts in the world share of top 10% highly cited scientific publications

(citation window: 2000-2002)

- United States: 42.8%
- EU: 33.2%
- Rest of the World: 14.2%
- China: 1.2%
- BRIS: 2.4%

- United Kingdom: 8.9%
- Germany: 6.5%
- France: 4.6%
- Italy: 2.6%
- Spain: 1.7%
- Netherlands: 2.3%
- Other MS: 6.5%

(citation window: 2014-2016)

- United States: 30.2%
- EU: 31.5%
- Rest of the World: 17.6%
- China: 12.0%
- BRIS: 4.2%
- Developed Asian Economies: 4.6%

- United Kingdom: 7.0%
- Germany: 5.4%
- France: 3.5%
- Italy: 3.1%
- Spain: 2.6%
- Netherlands: 2.3%
- Other MS: 7.5%

Source: DG Research and Innovation Unit for the Analysis and Monitoring of National Research and Innovation Policies
“The EU maintains a performance lead over China, but this lead is decreasing rapidly with China having improved more than seven times faster than the EU”

- European Innovation Scoreboard 2017
Increasing cooperation and growing competition

- From mobility of individuals to strategic cooperation: High Level People-to-People Dialogue, EU programs open to China, Alliances, Roadmaps, Joint Programming, etc.

- The EU and China are engaged in almost one hundred dialogues and workshops per year

- “The European Union regards China as one of its most important strategic partners”. “In recent years, we have witnessed an ever deeper and broader relationship in almost every area” (Jean-Claude Juncker and Donald Tusk, March 2018)
Further Research (2018-2020)

Focus & Aims

China’s rise in global higher education and R&D

Possible implications of the New Silk Road or China’s One Belt One Road policy) for higher education and research cooperation between China and Europe.

How will these new relationships affect European higher education and research?

What will be the impact of these developments on the global higher education landscape?

And the role of the US HE sector therein?
Relevance

The New Silk Road will carry more than consumer goods alone. As in previous historical periods, people, ideas, and knowledge will travel along with mutual influence.

China’s rise is among the most important geo-political trends that will characterize the (early) 21st century. And like all previous major geopolitical trends and events, have impacted international cooperation in higher education (for better or for worse), this can also be expected to result from the NSR project.

The size of China’s higher education and R&D system and the speed at which it develops both to global standards, will impact that of its major competitors globally, not at least as it actively seeks to cooperate with academic partners along the Silk Road.

Need to improve our understanding of globalization. Globalization in the East diverges from globalization in the West. Economic globalization becomes more Eastern-led and Easternization could become a force in international higher education (especially if a quarter of the world’s best universities become Asian).
Interdisciplinary and international partnership

**Utrecht University** (Utrecht Centre for Global Challenges)
Prof. dr. Marijk van der Wende (Higher education systems) (Coordinator)
Prof. Dr. Sybe de Vries (International and European Law)
Prof. dr. Henk Kummeling (Constitutional, Administrative Law and Legal Theory)
Prof. dr. Charles van Marrewijk (International Economics, especially Asia)
Prof. dr. Marcus Düwel & Dr. Dasha Düring (Ethics, Philosophy and Religious Studies)

**Harvard University** (Fairbank Centre for Chinese Studies & Harvard Center Shanghai)
Prof. dr. William Kirby.

**UC Berkeley** (Centre for Studies in Higher Education), Dr. John Douglass

**Shanghai Jiao Tong University**, (Graduate School of Education), Prof. dr. Nian Cai LIU, Dr. Jiabin Zhu, Dr. Zhuolin Feng

**Tsinghua University** (Faculty of Humanities), Dr. Zheping Xie

**Hong Kong University** (Faculty of Education and the Consortium for Research on Higher Education in Asia, CHERA), Prof. dr. Gerry Postiglione

**Hiroshima University** (Research Institute for Higher Education), Prof. dr. Futao Huang

**Zhejiang University**, Prof. dr. Ping Zhou

**Oxford University & UCL** (Centre for Global Higher Education), Prof. dr. Simon Marginson.

**Aarhus University** (Centre for Higher Education Futures), Prof. dr. Sue Wright & Dr. Jie Gao

**Leiden University** (Asia Center), Prof. dr. Franke Pieke & Dr. Ingrid D’Hooghe, (CWTS) Prof. Dr. Robert Tijssen

**National Research University Higher School of Economics, Moscow**, Prof. dr. Isak Fromin

**Georg-August University Göttingen** (Chinese Studies Department), Prof. dr. Dominic Sachsenmaier

**Vienna University for Economics and Business** (Institute for Higher Education Management), Prof. dr. Barbara Sporn.
 Areas of Inquiry

A. What are the trends in academic “traffic” on the NSR?
Mapping of Flows of students, researchers, programmes, projects, funding (grants), data, innovations, etc.

B. How do HEIs respond to new opportunities?
Case studies on various forms of inter- and transnational higher education; networks, alliances, joint programmes and ventures, branch campuses, etc.

C. Under which conditions are these activities happening?
Who defines these conditions?
Analysis of policy documents & formal agreements between governments, institutions, professional bodies, etc.

D. Based on which values?
Values underpinning the “idea of the university”; mission & model, institutional autonomy, academic freedom, scientific integrity, etc.

E. Impact on the global HE landscape and the role of the US HE sector therein
Voices on this news
Ministry ends hundreds of Sino-foreign HE partnerships

• Governmental officers
  • Routine work: every year’s minor revision, every five years’ major revision (Interview, 2018)
  • End 234 out of 2209 programs in more than 5 years (Interview, 2018)
  • 22 newly approved partnerships in the first half of 2018 (MOE, 2018)

• Universities
  • Low enrollment (Interview, 2018)

• Students and Parents
  • Dissatisfied on teaching resources, school environment, career future, etc. (Chen, 2018)
Studies on the problems

- Shortage of regulatory and developmental standards
  national policy, organizational management, financial operation, etc. (Xue, 2017; Hu, 2018)

- Lack of quality assurance
  education quality, world-class cooperative universities, supervision, reputation, etc. (Lu, 2013; Xue, 2017)

- Unbalanced structure
  50%+ eastern provinces, 80%+ undergraduate programs, 70%+ English-speaking countries, 50% economy and management (Chen, 2018; Lu, 2013)
Much data show the growing openness

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<td>International collaboration)</td>
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<td>Score on International student ratio</td>
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<td>International student ratio</td>
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<td>1.62%</td>
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<td>(500 Univ, 2017)</td>
<td>(500 Univ, 2018)</td>
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</tbody>
</table>
Repositioning China in Sino-Foreign Partnerships In Higher Education

Jie Freya GAO

Danish School of Education
Centre for Higher Education Futures (CHEF)
Aarhus University, Denmark
The **Bring-in & Moving-up** of Foreign Resources within the Hierarchy of China’s HE system

- **Political Momentum**: Top-down design (SDC)
- **Capitalistic Momentum**: Bottom-up gold rush (UNNC)

Hierarchy of China’s HE system:
- C9 league
  - 985 Univ. (C9, 30 Univ.)
  - 211 Universities (985 Univ. 77 Univ.)
  - Provincial Key Undergraduate Univ.
  - Provincial Normal Undergraduate Univ.
  - Private and Vocational Institutions
The **Going-out** of Chinese Education

The Belt and Road initiative as a Proactive rather than Responsive Strategy:

• **The “Going-out” of the Chinese resources: Multi-lateral Win-win Model;**

  The Belt and Road initiative makes sense because it enables China to utilize its surplus of US dollars, products and labors and enable those countries on the belt and road to build infrastructure; The West can also benefit from this community as they provide the high-tech in the projects of infrastructure;

• **The design of the specific responsibilities of the HEIS: The creation of the educational community;**

  HEIs mobilized to create platforms for talent training, cultural and educational exchange and ‘connect the hearts of people’.
The strongest elements of any society, however, are often not the best agents of change. It is not simply that the strongest actors are usually the beneficiaries of the status quo and are thus unwilling to change. Rather, the most powerful actors in society are often embedded cognitively in the existing system and can hardly think outside the box. Whatever they do is more likely to fine tune and perpetuate the system rather than transform it. It is the actors at the periphery who are able to bring to the stage different incentives, new skills, and fresh perspectives, critical ingredients for a revolution. In China, it was the peasants, the unemployed urban residents, and other marginalized actors in the socialist economy that turned out to be the vanguard of market transformation.

(Coase and Wang, 2012)
Conclusion:

The study of Sino-Foreign Partnerships in Higher Education not only shows the process of China’s internationalization of HE but also indicates how China positions itself in relation to the rest of the world and sees itself in the global order.

Passive Receiver → Strategic Regulator → Proactive Designer

- The mechanism to effectively bring in foreign resources for domestic needs;
- The instrument to raise quality and diversity of Chinese HE and to force the reform of the current system.
- The detailed categorizing of the partnerships and proactive design of their developmental paths to achieve multiple ends.
- The export of Chinese education and the building of educational community
Sharing of personal data in Sino-European research cooperation

Presentation of preliminary findings
Henk Kummeling & Stijn van Deursen

1 October 2018
Contents

1. Introduction
2. The GDPR
3. GDPR and research
4. Transfer of research data under the GDPR
5. Comparative glance at China
6. Practical issues in sharing research data with China
7. Implications and conclusion
8. Questions and further discussion
1. Introduction

- Academic cooperation with China offers unique opportunities, but also risks.
- Data protection as part of the European constitutional fabric and operationalized in the GDPR.

- Leading question: does the GDPR allow for the transfer of personal data to China in the context of academic cooperation?
2. The GDPR

- Protection of personal data as a **fundamental right**.
- Replacing the Data Protection Directive and effective since May 2018.
- Aims to ensure a **consistent** and **high level of protection** of natural persons and to **remove the obstacles** to flows of personal data within the Union.

- **No general prohibition** on processing personal data, but **conditions** for doing so.
3. GDPR and scientific research

- GDPR covers the **processing** of **personal data**, also explicitly the processing of personal data for **research purposes**.
- ‘Research’ is interpreted broadly.
- More strict regime for **special categories** of personal data.
- Relatively flexible with regard to processing for **research purposes**.
- **Controller** is responsible for compliance with the GDPR -> mostly the **institution**.
4. Transfers of personal data to third countries under the GDPR

- Main objective: safeguarding EU level of protection.
- Three possibilities:
  - **Adequacy decision** of the European Commission: third country offers sufficient protection;
  - Transfers subject to **appropriate safeguards**;
  - Derogations for **specific situations**. Most important for research: **explicit consent** or **non repetitive transfer**, which concerns only a **limited number** of data subjects, and which is necessary for the purposes of **compelling legitimate interests**.
5. A comparative glance at China through the lens of the GDPR

- No **adequacy decision** for China.

- Adequate **safeguards**?
  - No **coherent framework** yet: some sectors are excluded from protection;
  - Independent **supervision**;
  - Lack of **enforceable rights**;
  - Legal **remedies**;
  - **Rule of law** and consequences for agreements;
  - State **surveillance**.

- **Non-repetitive transfer**: same issues + suitable **safeguards** + protection of rights and freedoms of data subject.
6. Sharing research data with China: practical issues

Transfer of data is problematic if the answer to the following two questions is affirmative.

1. Do the data relate to a living natural person that can be identified on the basis of this data?
   - How often do researches entail these types of data?
   - Possibilities to anonymize the data while retaining their significance?

2. Is there a risk that the EU level of protection is undermined by the transfer?
   - Is it possible to acquire consent of the data subjects?
   - Non repetitive transfer relating to a limited number of data subjects: how to ensure protection of fundamental rights and freedoms and provide suitable safeguards?
7. Implications and conclusion

- GDPR is applicable in research contexts and introduces some specific derogations.
- GDPR sets up a strict framework for processing of personal data, including transfer to third countries.
- Transfers of personal data to China seem to be complicated: there is no adequacy decision and given the current situation, it might be hard to ensure appropriate safeguards and to maintain the protection required by the EU.
- Sharing of anonymized data or acquire explicit consent of data subjects.
8. Questions and further discussion
We should increase China’s soft power, give a good Chinese narrative, and better communicate China’s message - Xi Jinping, Chinese President

The New Silk Road as a Model of Soft Power: The Role of Higher Education

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New Silk Road – Objectives?


- **Reclaiming China’s Historical Place** - tying culture to the country’s place on the world’s stage under the theme of China’s “peaceful rise” and its vision of a “harmonious society”

- **Reshape the Global Economic Order** and to Counter US Role in Asia – *a la* TPP – but not to be a direct threat to the international order

- **China’s “Marshall Plan”** to increase economic growth in developing countries as a **Tool for Exporting China’s Growing Surplus Capacity**

- **Repackage and Expansion of Existing Chinese Global Foreign Policy Objectives?**
Defining Soft Power

• Not a New Idea – but a New Word?

• The Great Colonial Powers built models of overt and soft power

• US redefined in the Cold War Era – acceleration - new concepts of soft power after Sputnik
Defining Soft Power

- In the late 1980s Paul Nye defined Hard and Soft Power:

  - **Hard Power** is “the ability to get others to act in ways that are contrary to their initial preferences and strategies”
  - **Soft Power** is “the ability to get what you want through attraction rather than coercion or payments”, and this “arises from the attractiveness of a country’s culture, political ideals, and policies” - three sources of soft power for countries to draw on: cultural, political and foreign policies.
Defining Soft Power

• Yet the strength of Soft Power does not exist in benign isolation - it also aligns or is conditioned by actual and anticipated financial investments with political alignments etc. = **Smart Power**, ‘the ability to combine hard and soft power effectively’
OBOR Priorities

- **Vague outline of goals and implementation** – rhetoric of benign “peaceful” aid and intervention

- **OBOR prioritizes Regional Connectivity of trade and investment in infrastructure** – vast network of railways, roads, pipelines, ports, and telecommunications infrastructure that will promote economic integration from China, through Asia, the Middle East, and Africa, to Europe and beyond.

- **HE role** – largely bolstering existing HEI activities bent on different forms of Soft Power made attractive by Money, Knowledge, and as an Alternative to the US/European hegemony.
OBOR Activities Related to HE

• **Student and Academic Mobility** – nearly 500K international students, up from 292K in 2011

• **HEI Cooperation and Cultural Ties** - Confucius Institutes – In Africa there are currently 50 institutes

• **HE and Business** - Zhejiang Normal University’s China-Africa Business Institute training of professionals and personnel with academic research and business counselling, committed to training ‘Africa hands’ for China and ‘China hands’ for Africa - The China-Arab States BeiDou Center in Tunisia to train satellite navigation scientists and develop digital economy in Arab countries.

• **Research** – Overtures to Europe H2020 – link with developing economies of key issues such as water quality.

• **Chinese Universities Going Global** – focus on western Chinese Universities Xi’an+ - branch campuses (Xiamen University campus in Malaysia
OBOR Objectives Related to HE?

• Train and link with socioeconomic elite and talent in developing nations/economies

• Bolster knowledge of national economies, political and economic players and cultures
Seeking Perspectives on OBOR and Soft Power HE

- Regional/National Analysis on Chinese OBOR and HE

- Comparison of Strategy and Scale of US and China’s Soft Power
Perspectives on OBOR
National Variables

+ Desire/Need for Funding

- Political and Economic Alignment/Re-Alignment — away from US/Euro political order or seen as complimentary — Access to Chinese markets

- Concern over dependence on Chinese funding and geo-economic agenda — not all view it as China’s “peaceful rise” and its vision of a “harmonious society.”

- Research/Business — concern regarding IP — Chinese track record

- Chinese Characteristics? — state control and diminished civil liberties generally not attractive and a GROWING CONCERN

So long as [China’s] political system denies, rather than enables, free human development, its propaganda efforts will face an uphill battle. David Shambaugh Foreign Affairs in 2015.
Regional Analysis – It Depends

- Developing vs Developed Economies
- Focus is not on the US
- US Reaction and Interpretation
  - Regional/Global Political and Economic Competitor – TTP was a reaction, in part
  - US’s own “New Silk Road” Initiative
  - No significant US Investment to counter
- Central Asia – strongest link with HE?
- East Asia
- India
- Africa
- South America
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US/China Comparative Perspective

**Parallels with US post-War strategy**
- Marshal Plan morphs into direct national Foreign Aid = $60b a year
- Co-Founding and investment in International Order = IMF World Bank UN
- Fulbright Program
- Area Studies Programs
- Student Visa + H1B visa program for academics
- Path to employment – evolving in China
- Export/Promotion of US culture and products
- Hard Power Component – China emerging

**Differences**
- China aid does not generally conform to International Development Standards
- Open Society – increasing Chinese limits on civil liberties
- SCALE
When a country’s culture promotes universal values that other nations can readily identify with, it makes them naturally attractive to others.

Thus far, China’s “Go Global” strategy has achieved enormous tangible success, showcasing the results of China’s development and its unique cultural appeal. However, despite the progress, it is a shared understanding amongst the Chinese public that China’s cultural influence falls behind its economic weight in the global economy. That is a realistic challenge the country is facing.
Take-Away

- Money Can Buy You Love – but not always
Take-Away

• Money Can Buy You Love – but not always

• The role of HE in the OBOR is limited and largely an expansion of existing centrally funded programs and universities activities – thus far – biggest impact: international student enrollment

• But Soft Power is a long-term game with China only recently entering the arena advantaged by the size of its economy, central control of its government, and decline in US role – what are the consequences of increased US isolationism?

• HE may grow in its role in Soft Power gambit – but there may be limits
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The New Silk Road Implications for higher education and research cooperation between China and Europe:

**CHINA AND POST-SOVIET COUNTRIES**

By Isak Froumin
National Research University “Higher School of Economics”
Basic Principles of Chinese policy in the CAR and Russia

- The context for the development of relations between China, Russia and Central Asia at the public level seems much more tense than harmonious, because of the burning issue of spheres of interest in CAR between Russian and China.

- The basic model of building communication: government – to – government (G2G) relation (people – to – people(P2P) relations are almost excluded)

- Why they are excluded? – instability and inability to predict the political situation/market limitations for Special Economic Zones/historical tensions etc.
Initial Findings

- the Confucius institutions are useful in building a positive image of China, for a number of reasons. **The low representation of Confucius institutes** in the region (only in the USA there are 110 of them, and in the Russian Federation - 17), or, for example, lack of interaction between their graduates, means that this social capital is not used efficiently.

- Chinese culture and educational system are attractive for young people all over the world, as well as for the inhabitants of Central Asia. They hope that knowledge of the language and culture will give them an economic advantage in getting a job. But the difficulties with studying the Chinese language, the relatively small number of jobs where it is in demand, and the still strong positions of English, make China's efforts to popularize less effective than expected.

- Soft power is the ability to change someone's behavior, and this does not seem to exist in Central Asia. China has a big "sticky power", providing significant financial support for its own purpose, but in the field of Higher Education, there is obvious disregard from the Chinese side.
Initial Findings

- Also, China's obvious orientation toward a strong economic interaction with Central Asia suggests that China views Central Asia as a "technical region," where the main cooperation is in mining and in the construction of various factories.

- At the same time, cooperation with Russia in the field of higher education also remains relatively undeveloped due to the following series of circumstances: the lack of practice of mutual recognition of diplomas, the relatively low quality of education in China for foreigners (due to cultural differences, etc.), barrier and etc.