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*ASSOCIATION LIAISON OFFICE*
*FOR UNIVERSITY COOPERATION IN DEVELOPMENT*

***BRIEF QUARTERLY REPORT***

*April 1, 1993 - June 30, 1993*
*For Cooperative Agreement No. PCE-5055-A-00-2012-00*

# ASSOCIATION LIAISON OFFICE

# FOR UNIVERSITY COOPERATION IN DEVELOPMENT

## BRIEF QUARTERLY REPORT

**April 1, 1993 - June 30, 1993**

**For Cooperative Agreement No. PCE-5055-A-00-2012-00**

## I. Background

The Agency for International Development's Center for University Cooperation in Development (University Center) entered into a Cooperative Agreement, in April 1992, with the American Council on Education (ACE), as the lead institution together with the American Association of State Colleges and Universities (AASCU), the American Association of Community Colleges (AACC), the Association of American Universities (AAU), the National Association of Independent Colleges and Universities (NAICU), and the National Association of State Universities and Land Grant Colleges (NASULGC), representing the virtual totality of U.S. higher education. The Association Liaison Office for University Cooperation in Development was established by the six Associations' respective presidents, who also comprise its Policy Board.

The purpose of the Cooperative Agreement is to support operations of the Associations as they engage the U.S. higher education community in helping shape a collaborative program of U.S. development support to institutions of higher education in developing countries, and in increasing attention to international and global development issues on U.S. campuses.

## II. Performance during April 1 - June 30, 1993

The Association Liaison Office (i) provided technical opinion on the Agency's development work with higher education and (ii) worked with the Associations to broaden the engagement of their member institutions in international development.

A. Providing technical comment to A.I.D., the Director of the Association Liaison Office, Dr. Joan Claffey continued to meet frequently with A.I.D. staff on strategies for building a broader and deeper partnership with higher education. The following events also occurred.

1. At the Conference on "Quality Assurance in a Changing World: Higher Education at a Crossroads," held in Montreal, May 24-28, 1993, the Office helped sponsor (a) sessions during the program on "experiments in international higher education linkages," "the external examiner method of

assuring quality," and "regional perspectives on quality assurance;" and (b) a special half-day session on May 26 on "International Higher Education Collaborations to Improve Quality: What Works." Higher education leaders from 22 developing and newly independent countries attended the latter session, along with various donors and representatives of A.I.D. and the Association Liaison Office. Attached as Appendix A are a list of participants, discussion group members, discussion guidelines, a summary of key discussion points, and a report submitted by the Center for Quality Assurance in International Education.

2. Dr. C. Peter Magrath, Chair of the Policy Board and President of NASULGC, and Dr. Claffey met with A.I.D. Administrator Brian Atwood on June 2, 1993. The discussion concerned the changing relationship between universities and the Agency in the post-Cold War era, and the need for a reinvigorated partnership with higher education in areas of mutual national interest. Mr. Atwood agreed to participate in an extended conversation with higher education leaders on what our national government and universities can accomplish by working more collaboratively. The meeting will be scheduled for the fall.

3. The Association Liaison Office prepared and submitted to the Agency Center for University Cooperation in Development a report entitled "The Call to Strengthen Higher Education in Africa: A Synthesis of Recent Needs Assessments," June 1993. A copy is attached as Appendix B.

4. Dr. Claffey prepared for A.I.D. several concept and briefing papers on Human Capital Formation in Sustainable Economic Development. Two of these are attached as Appendix C.

5. The Association Liaison Office began a survey of the international institutional linkages of selected colleges and universities, representative of the membership of the "big six" higher education associations. The report of international profiles will be completed and distributed within A.I.D. and the associations in the next quarter.

B. To broaden the involvement of higher education institutions in development, the Liaison Office has worked with the Associations to increase the attention to international development issues on U.S. campuses. Outreach activities included:

(i) April 16, 1993: Dr. Claffey gave a presentation at AASCU's Conference on "Changes and New Initiatives in International Programs." She addressed the Session on International Independence of Higher Education with remarks on "Strengthening Higher Education Institutions: A New Framework for Collaboration." A copy of the address is attached as Appendix D.

(ii) April 19, 1993: Dr. Claffey briefed NASULGC's International Committee on Organization and Policy on the status of A.I.D.'s program on higher education and development.

(iii) April 30, 1993: Dr. Claffey participated with association representatives in an invitational planning colloquium for "Global Issues in Quality Assurance: The American Response" at Rocklands Executive Conference Center.

(iv) June 2-4, 1993: Dr. Claffey participated in the Women's Presidents' Summit sponsored by the American Council on Education and attended by 170 women presidents of colleges and universities, including 14 from developing and newly independent countries. The Summit focused on strategies to address selected global and local issues, to be reported in "A Blueprint for Leadership: How Women College and University Presidents Can Shape the Future" (forthcoming). Networks were urged for linking international women higher education leaders, scientists, and their institutions. The conference culminated with a private meeting and reception with Hillary Rodham Clinton at the White House.

(v) The Office met on behalf of the associations and A.I.D. with a variety of individuals concerning higher education and development, including: Pierre Van Der Donckt, General Executive Secretary, Inter-American Organization for Higher Education; Franz Eberhard, Secretary General, International Association of Universities; Stanley Cobb, Director, Coastal Resources Center, University of Rhode Island; Gene D'Amour, Vice-President, Tulane University; Robert Thomas, Director, Regents' Global Center, University System of Georgia.

(vi) An article about the Association Liaison Office was featured in the first edition of ACE's The Compass, Vol 1, No. 1 (1993), a newsletter on international initiatives, mailed to 10,000 higher education leaders.

# APPENDIX A

PARTICIPANTS

INTERNATIONAL HIGHER EDUCATION COLLABORATIONS TO IMPROVE QUALITY:

WHAT WORKS

Wednesday, May 26, 1993 * Hotel du Parc * Montreal, Quebec, Canada

Held in Conjunction with the May 24 - 28, 1993 Global Conference,
"Quality Assurance in a Changing World:
Higher Education at a Crossroads"

* * * * *

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CONFERENCE ON QUALITY ASSURANCE IN A CHANGING WORLD:

HIGHER EDUCATION AT A CROSSROADS

**SUMMARY OF SPECIAL MEETING FOR HIGHER EDUCATION LEADERS**

**FROM AFRICA, ASIA, EASTERN EUROPE-NIS, LATIN AMERICA, MIDDLE EAST:**

**INTERNATIONAL HIGHER EDUCATION COLLABORATIONS**

**TO IMPROVE QUALITY: WHAT WORKS**

May 26, 1993

Quality Improvement Strategies Most Needed

Strategic planning at the institutional level.
Link strategic planning to institutional management.
Reassess institutional mission in line with national needs.
Reestablish basic facilities -- library resources, labs, physical facilities (Africa)
Develop the "culture of quality."
Institutional analysis and self-evaluation.
Management information systems at departmental and institutional levels.
Evaluation of programs and staff.
Develop a framework for faculty consulting -- consultancy centers -- so as not to interfere with teaching, and to get government to use the services of the centers.
Use of recognized competencies for faculty promotion.
Liaison with commerce and industry for advise on curricula and student/faculty performance.
Greatest needs at institutional level, then staff, then academic programs.

Barriers in Bringing Programs up to International Standards

Finances.
Resources: must create wealth in Africa.
Expertise.
Incentives vs. sanctions.
Bureaucracy; resistance of academics to change; politization of university (Latin America)

Most Useful Types of External Collaboration

Twinning arrangements -- inter-institutional.
Association relationships -- regional.

Centers for university research programs -- assisted by international organizations.
Consultants who have knowledge of regional context.
External experts: "Expert exchange is more important than student exchange."
Faculty exchange.
Institutional agreements; collaboration in research and graduate studies.
Training of vice-chancellors and deans in planning and management of higher education.
Exchange of students and lecturers.
Assist with policy formulation for quality assurance.
Assist in planning institutional differentiation within higher education system.
Assist in assessing relationship among enrollments, financial sustainability and quality.
Assist in examining academic freedom, autonomy, and quality.
Assist in looking at how quality assurance agencies relate to the State, and at how quality assurance functions at different levels of the system.

## Recommendations by Region

### Africa

Training in strategic planning and management for quality improvement.
Assist in reestablishment of basic facilities.
Foster institutional twinning arrangements, regional associations, and centers for university research.
Focus assistance in the areas of: institutional policy formulation, institutional processes, system-differentiation, autonomy and academic freedom, governance and management.

### Latin America

Quality concerns at the graduate level have priority.
Focus at the institutional level, then staff, then academic programs (especially medicine, engineering, business administration, economics).
Forms of collaboration desired: consultants, external experts, faculty exchange, institutional agreements (especially in research and graduate studies).

### Eastern Europe, NIS, and Asia

Address macro-conditions for transition to free-market economy.
Address role of state in accreditation.
Assess public vs. private education, funding for quality assurance, link between autonomy and accountability, international standards vs. local context, balance between equity, access, and quality.
Networking needed, institutional attachments, and faculty exchanges.
Grappling with accreditation as new process, while respecting own traditions.

# Quality Assurance in a Changing World
# Higher Education at a Crossroads

## Special Meeting
### International Higher Education Collaborations to Improve Quality: What Matters

**Montreal, Canada**
**May 26, 1993**

Group _____ Chair _____ Rapporteur_____

Recorder _____ Presenter _____

Members of Group _____

_____

_____

**Organization:** After **Introductions** by all, choose a **Chair** to guide the discussion to finish in the time announced, a **Rapporteur** to outline the group's discussion on a flipchart, and a **Recorder** to take notes on this form and give to the Moderator. At the end, choose a **Presenter** to give the report to the other groups.

**Discussion:**

1. a) Go around the table, giving all a chance to briefly describe the **efforts that exist now at their universities to assess and improve quality** --

   . at the institutional level
   . at the program or departmental level
   . at the staff level (faculty and administrators)

   b) Continue the discussion, with persons contributing thoughts about **needs that are not being met well at their institutions to address quality improvement** --

   . at the institutional level
   . at the program or departmental level
   . at the staff level

   c) Which of these needs for quality improvement strategies have the **highest priority**, in the opinion of the group? (Put #1 next to the most important, #2 next to the second most important, etc.)

2. a) Go around the table, with persons commenting on which of their universities' programs they think should be up to **international standards** (e.g., engineering, architecture).

   b) Continue the discussion, with persons naming programs that they think should not be subject to **common international standards** (e.g., religion, civics).

   c) What **barriers** do the group members confront in bringing their programs up to international standards?

3. a) List the kinds of **professional collaboration from external sources** which group members would find **most useful** to their institutions (e.g., institutional twinning arrangements, faculty exchange, external examiners).

   b) After all have made their suggestions, try as a group to **set priorities** among these types of collaboration, putting #1 next to the most important, #2 next to the second most important, etc.

4. a) What would the group members **recommend to donor agencies** as the best uses of limited funds to improve the quality of higher education?

   b) What mechanisms and kinds of relationships would the group members find **most beneficial from their higher education colleagues** from more established institutions?

## ITEM 1: HIGHLIGHTS OF DISCUSSION ON EFFORTS TO IMPROVE QUALITY

| Priority | Types of Efforts (I=institutional, P=academic program, S=staff) | Efforts |
|---|---|---|
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## ITEM 2: HIGHLIGHTS ON INTERNATIONAL STANDARDS FOR PROGRAMS

Which Programs Desired Up To International Standards

Which Programs Independent of International Standards

Barriers to Quality Assurance

## ITEM 3: USEFUL KINDS OF EXTERNAL COLLABORATION

| Priority | Types of External Collaboration Desired |
|---|---|
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## ITEM 4: RECOMMENDATIONS

Recommendations for Donor Agencies

Recommendations for Higher Education Colleagues

# QUALITY ASSURANCE IN A CHANGING WORLD:

# HIGHER EDUCATION AT A CROSSROADS

A Final Report Submitted to the Association Liaison Office
to the A.I.D. Center for University Cooperation in Development

By the
Center for Quality Assurance in International Education

July, 1993

## Preface

The following constitutes the final report of the Center for Quality Assurance in International Education to the Association Liaison Office concerning the May 24-28, 1993 global conference, "Quality Assurance in a Changing World: Higher Education at a Crossroads". The conference represented the first biennial conference of the International Network of Quality Assurance Agencies in Higher Education and was co-sponsored by the Council of Rectors and Principals of Quebec Universities (CREPUQ) and the Center for Quality Assurance in International Education (CQAIE). Support for the conference was derived from Canadian and U.S. federal and provincial governmental sources, international assistance organizations, and international higher education associations. The primary U.S. support was derived from the Association Liaison Office to the A.I.D. Center for University Cooperation in Development.

## The International Network of Quality Assurance Agencies in Higher Education

The International Network of Quality Assurance Agencies in Higher Education (INQAAHE) was born at a global conference held in Hong Kong in the summer of 1991. In its first two years, the Network has grown to a membership spanning 45 countries. The members include the official (and typically governmental) "accrediting" agencies of these countries plus organizations such as the CQAIE which has a primary interest in quality assurance and international education. The functions of the Network range from a Quality Service Consortium composed of the Quality Support Centre (United Kingdom), the Centre for Higher Education Policy Studies (Netherlands) and the Center for Quality Assurance in International Education (United States) to a newsletter, data base of international practice and a biennial conference.

## The Conference

Planning. Planning for the May, 1993 conference began in the

summer of 1991. The Planning Committee was composed of representatives of quality assurance agencies from France, Ireland, the United Kingdom, Hong Kong, Canada, Mexico and the United States who held their meetings in Hong Kong, Scotland, the United States and Canada over the two year period. The primary objectives of the first biennial conference of the INQAAHE were to:

- Expand the participation and program to include developing countries;

- Hold two conferences contiguously: one for the Network membership and the other for global participation;

- Seek financial subsidy from a variety of public and private sources;

- Have the conference sponsored bilaterally (U.S. and Canada).

All of the planning objectives were met.

The Conference. The conference itself took place over the week, May 24-28, 1993 in Montreal, (Quebec), Canada. More than 250 participants from 45 countries gathered to discuss issues such as:

- Experiments in international higher education linkages;

- The external examiner method of assuring quality;

- Regional perspectives on quality assurance; and

- Quality assurance, public accountability and institutional autonomy.

A total of 96 papers were delivered at the conference, all of which will appear in a single publication from the University of Quebec in the coming months. In addition, Falmer Press (United Kingdom) will be publishing selected papers from the conference for sale by the end of 1993.

Significant among the participants, and in addition to the country representation, were key officials from a number of international organizations with interest in global assurance of quality in higher education. Each of these organizations has utilized the formation of the International Network and its biennial conference to suit its own projects and objectives. In brief, the grant derived from the Association Liaison Office has helped immeasurably

in spawning global awareness and action. Examples include:

The World Bank in cooperation with the United Nations Educational, Scientific and Cultural Organization (UNESCO) sponsored a "High Level Consultation" with the Ministers of Education of the countries of Eastern and Central Europe and Russia in May, 1993 in Romania concerning the critical issues related to educational reform and developing standards and processes of evaluation for higher education in the region. There is considerable evidence that this sort of activity will have a healthy future in the region. The Council of Europe and the OECD (see below) have agreed to work with the World Bank and UNESCO in educational reform in the region. The CQAIE has been identified as the key program development agency relative to these activities.

The Organization for Economic Cooperation in Development (OECD) , in preparation for a late 1993 Symposium in Paris concerning quality assurance and higher education, held a late Spring meeting with representation from Japan, the United States, Germany, Sweden, and Belgium to draft principles relative to good practice in international education. The CQAIE participated in the drafting.

The Interamerican Organization for Higher Education (IOHE) of Canada (with significant support from the Canadian International Development Agency (CIDA) has identified quality assurance as a key objective of its programming among its 300 institutional members from throughout Latin America. This will be a key topic at its biennial conference in Costa Rica late 1993.

## Special Session for Developing Countries

Of particular interest to the Association Liaison Office and to the Conference Planning Committee was the provision of a special session for representatives of 25 developing countries entitled, "International Higher Education Collaborations To Improve Quality: What Works". This session was held in the middle of the week and took the better part of a day. In addition to being able to meet with representatives of the assistance and higher education organizations listed above (plus a representative of the U.S. Agency for International Development), the participants were able

to discuss among themselves issues common to development: the politicization of the university; bureaucracy; democracy "vs." institutional autonomy; the lack of resources and resistance of the academic community to change.

The following countries were represented at the session:

| | |
|---|---|
| Kenya | Colombia |
| Senegal | Mali |
| Korea | West Indies |
| Chile | Brazil |
| Romania | Malawi |
| Cameroon | Argentina |
| China | Mexico |
| Malaysia | Thailand |
| India | Bangladesh |
| Ghana | Jordan |
| Lithuania | South Africa |

Upon conclusion of this special session and the conference itself, the representatives of these countries went home with a two year supply of papers, resources and contact organizations to use in their continuing challenges for educational reform.

## Next Conference

The conference held in Montreal was deemed lengthy but overwhelmingly successful. A growing number of countries are now committed to networking given the growing interdependence and globalization of our respective higher education activities. The CQAIE has received multiple inquiries from both domestic and international sources following coverage of the conference in the (U.S.) Chronicle of Higher Education and other international publications, and the international organizations listed earlier are continuing their respective activities with additional energy.

The Dutch Inspectorate for Higher Education has agreed to host the next biennial conference of the International Network in the Netherlands in 1995, basing the program and conference structure on the successful foundation of the 1993 conference.

## In Appreciation

This report has concentrated on the direct outcomes of the 1993 biennial conference of the International Network of Quality Assurance Agencies in Higher Education and has not gone into detail

about multiple other activities which have their roots in the conference and the Network's membership, including the CQAIE. In brief, the grant provided by the Association Liaison Office, not only served to support a globally significant conference, but has also acted as the catalyst for multiple activities worldwide. The Center for Quality Assurance in International Education looks forward to keeping the Association Liaison Office informed about what important part it continues to play in the assurance and improvement of quality in higher education worldwide.

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# APPENDIX B

# ASSOCIATION LIAISON OFFICE
## for University Cooperation in Development

## The Call to Strengthen Higher Education in Africa:
## A Synthesis of Recent Needs Assessments

June 1993

A series of recent studies by the World Bank, UNESCO, Association of African Universities, American Council on Education, Commonwealth Experts Group, and the Ford and Rockefeller Foundations, among others, have emphasized the current crisis in African higher education and its devastating consequences for development prospects in Africa. All of them concur that, without upgrading and revitalizing African higher education, the prospects for development are poor. It is African colleges, universities, and technical institutes which must provide the highly trained people and the intellectual stimulus for innovation, creativity and growth. This paper summarizes conclusions from recent assessments of the need to strengthen higher education in Africa. The studies themselves are listed in Appendix I.

Recent needs assessments of higher education in Africa identify seven main needs:

**NEED 1: To more effectively involve higher education in addressing national development priorities**

The overarching need is for African higher education to play a more effective role in addressing national development needs. Only as this happens will higher education be viewed as relevant and become more competitive for the public and private monies needed to become more financially self sufficient. The erosion in higher education quality is due largely to the financial problems many African institutions are facing. In important ways, this is but a symptom of a deeper problem -- institutions lost touch with the needs of their country which, in turn, cost them the support of their key constituencies and with it, their access to public funds. This sequence needs to be reversed. Institutions need to reengage the political and financial support of the public and private sectors of their own countries by demonstrating the role higher education can play in national development.

Increased attention to bringing the intellectual strength of higher education to bear on national development priorities, while having enormous payoffs to the country, has three benefits to higher education itself. *First*, while

substantial external funding will be necessary to restart the process of renewal, long-term strength requires financial self-sufficiency. That, in turn, depends on a strong national economy. National economic development is an important ingredient in creating the conditions necessary for sustaining institutional revitalization. *Second*, involvement of educators in key development issues increases the relevance of the instruction they provide. This contributes to the *third* payoff, attention to development priorities builds political support as public and private sectors come to value higher education as a first-line resource in solving the complex issues they face, political support that is essential in the competition for public funding.

**NEED 2: To find new sources of funding in ways that lead to greater financial self-sufficiency**

As stated earlier, the erosion in higher education quality is due largely to the financial problems many African institutions are facing. Many institutions are almost entirely dependent on public sector funding, funding which is increasingly difficult to obtain, given the severe economic and fiscal problems of many African countries. The resulting cutbacks to higher education have led to deteriorating infrastructure, low faculty salaries and morale, and inadequate instructional materials. In some cases, financial support was made contingent on political support (or at least neutrality) for the ruling government. If African higher education is to be revitalized in ways that ensure sustainability and institutional autonomy, new and alternative sources of funding need to be found.

**NEED 3: To create a more balanced education sector**

Over the last 20 years, funding for human capital development in Africa has concentrated on basic education, primarily due to (a) the greater rate of return on that investment and (b) the need to accommodate a rapidly expanding population of school age children. One result is that development of the education system has lost balance -- basic education expanded while higher education was all but forgotten. Many countries now have more secondary school graduates than can find employment while, at the same time, suffer (i) a severe shortage of more highly trained professional and technical personnel and (ii) the lack of sufficient capacity to educate them. This imbalance poses a serious constraint on continued national economic and social development. Continued development in many African countries now requires a revitalization of higher education if the skill base necessary to compete in the international marketplace is to be available.

**NEED 4: To create a wider intellectual network for African faculty and administrators**

Due to economic and political circumstances of their countries, faculty and administrators often have been unable to travel, maintain contact with other scholars, or have access to materials that would allow them to keep current in their field. Many faculty lack access to the library resources, technology, and electronic networks that their counterparts in other parts of the world consider essential. This isolation led some faculty to loose their intellectual edge, their command of their academic field, and their network of international colleagues. This has made it all the harder for them to improve the quality of the instruction they offer or to build effective linkages to other public and private sector groups within their own country. The need has to be addressed on three fronts. First, networks and linkage arrangements need to be developed through which faculty and administrators can reestablish the regional and international contacts they need to stay current in their fields. Second, they need the technology that will allow them to access library resources and data bases they need in their work and to communicate with colleagues around the world. Third, they need opportunities and encouragement to upgrade their skills through training and internships.

**NEED 5: To improve the quality of faculty worklife**

At the same time that faculty have become isolated and out of touch with their professional fields, low salaries, politicization of higher education, and poor working conditions have led to low faculty morale and lack of incentive to regain the lost ground. The need now is to improve the conditions of faculty employment, in an effort to improve morale, while providing opportunities and encouragement for faculty to regain the skills and knowledge they need to provide relevant instruction. This need may be met as a by-product of the strategy used to respond to the needs identified earlier. New funding streams, increased contact with international colleagues, improved access to data bases and library resources, and opportunities for further training can provide the needed boost to morale.

**NEED 6: To diversify post-secondary education opportunities available within countries**

In many African countries, the only option after secondary school (other than teacher training) is university education. Vocational and technical education are offered as an alternative to secondary schooling and concentrate on preparing students for manual trades (i.e., carpentry, motor repair). Many countries would now benefit from greater diversification of post-secondary

options, in which secondary school graduates would have more paths to develop the skills and abilities needed in employment. These alternate paths are particularly needed for employment which uses intermediate and higher technology or which demands higher levels of literacy and numeracy than can be provided in secondary school. These options, if designed properly, could help increase the relevance, while at the same time reduce the cycle cost, of post-secondary education. The American community college system is a widely respected model of this type of alternative.

Addressing this need, however, goes beyond creating alternative post-secondary institutions within a country. The options created must respond to real needs in the workplace; employers must want graduates with the type of knowledge and skills being developed. At the same time, provision needs to be made for effective student advisement and for student transfer across institutions.

**NEED 7: To localize research, evaluation, and policy analysis capacities in Africa**

Several studies have observed that the research capacity of African higher education has declined over the last two decades, while efforts to introduce evaluation and policy analysis capacity has met with only limited success. Yet these capacities are a potential source of income for higher education institutions as these activities are sold to business, industry and other public sector agencies, and capacities in evaluation and policy analysis are important in maintaining quality control of higher education institutions themselves.

## SUMMARY

Recent studies to assess the needs of African higher education yield rather consistent findings. The major needs are to better involve higher education in addressing national development priorities, strengthen leadership, and upgrade institutional management. Differences among the studies tend to be in emphasis rather than in the needs that are identified. For example, some studies focus on the need to strengthen internal institutional operations, e.g., the need for a computerized student records system, an alumni data base, or the upgrading of faculty skills. Other studies concentrate on strengthening the role of higher education in the development process of the country, e.g., better linkages with business and industry. While both areas of need must eventually be addressed, **the weight of evidence suggests that external linkages should be given priority.**

The greatest needs are for more financial resources and greater relevance of the education provided. These are linked. Only as African higher education makes a relevant contribution to national development priorities can it compete effectively for public funds. At the same time, institutions need to develop greater financial self-sufficiency by cultivating

private funding sources. As the financial crisis abates, attention will need to turn to issues of internal institutional operations. The point on which all studies agree is the need for leadership development, to prepare and support those African higher education leaders who will be on the front lines of resolving these issues.

## Strategies for Responding to the Needs Identified

Several of the needs assessments suggest low-cost ways in which the needs of African higher education might be addressed. There is widespread agreement that:

- Emphasis should be on activities that can be initiated with resources already available within higher education, but which, when implemented, have a broad enough appeal to attract resources from other sectors.

- Interventions most likely to have a sustainable, positive impact are those that engage higher education in addressing national development priorities, particularly in ways that create new sources of income for the participating institutions. The studies cite examples of such programs.

- Leadership development is an important component of any long-term solution. Leadership development efforts can help senior administrators keep abreast of new thinking and procedures in administration and help ensure they develop and maintain the international contacts necessary to effective higher education leadership in a rapidly changing world. More specific skill-oriented training of middle-level administrators can provide the practical skills and appropriate technologies they require to improve the day-to-day management of their institutions.

- Providing African higher education leaders with opportunities to work in partnerships with outstanding senior administrators in the U.S. represents a high impact, but relatively low-cost strategy for training and technology transfer.

The problems of African higher education have been studied extensively and are well understood. The need now is for more attention to identifying effective solutions. Needs assessment work already conducted provides ample evidence of the key issues that must be addressed if African higher education is be revitalized and find a new voice in national development. The present challenge is to design, test, evaluate, and share promising strategies for strengthening higher education.

## APPENDIX I: KEY REFERENCES

*Key studies which assess the needs of African higher education and the potential role of higher education in national development*


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# APPENDIX C

# ASSOCIATION LIAISON OFFICE
# FOR UNIVERSITY COOPERATION IN DEVELOPMENT

## BASIC HUMAN DEVELOPMENT AND HUMAN CAPITAL FORMATION IN SUSTAINABLE ECONOMIC DEVELOPMENT

Broadly shared **sustainable development** depends on two factors: (a) "the creation of sustainable livelihoods" through the expansion of market opportunities, and (b) "investing in people" -- nutrition, health, family planning, education especially for women and girls, and in science and technology training. **Human development efforts must address both poverty reduction objectives**, through the provision of basic social services, **and technology development and transfer objectives**, through higher education and exchanges of expertise in science, technology, and enterprise management. Building human capacity at more advanced levels provides the human capital necessary to manage and sustain development.

It is important to recognize and strike a balance between the two levels of demand for human resources: (a) access to basic human services to enable people to attain an acceptable minimum of physical well-being, education, and earnings, and (b) selective opportunities to acquire advanced knowledge, skills, and technologies in order to advance the development of national economies and the adaption of new technologies. **Achieving balanced economic growth depends on both basic human development and human capital formation through professional training and higher education.** Higher education systems produce a nation's future political and economic leaders; train professional, technical and managerial personnel; generate new knowledge and serve as conduits for its transfer, adaptation and dissemination; help forge national identity; and provide forums for promoting pluralistic debate and democratic processes.

Basic education investments are essential but not sufficient to sustain development. Strategic investments in the more advanced segment of the education system are equally critical. As technology spreads, and industrialization occurs, more highly educated workers are required. This **relation of advancing technology to the growth in demand for human capital** has been well researched by several leading economists.[1] The World Bank reports that the economic return from higher education is high compared to the return to physical capital, such as roads and buildings. There are large returns to society in all sectors, and in the technical, managerial, entrepreneurial and leadership capacity of the nation. Furthermore, even modest higher education efforts give developing countries contact with the educational, scientific and intellectual centers of more developed countries.

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[1] Mincer, Columbia University; McMahon, University of Illinois; Schultz, Yale University; Behrman, University of Pennsylvania.

The World Bank, World Development Report 1990 on Poverty: Poverty reduction needs a two-part strategy: economic growth so the poor can productively use their labor, and human resource development -- education, health care, family planning -- so the poor are equipped to take advantage of these opportunities.

The World Bank, World Development Report 1991: "Synthesizes and interprets the lessons of more than forty years of development experience" to conclude that, beyond basic human resources development for the poor, investing in people is the quintessential way to have technological progress which drives productivity. "Strong evidence links productivity to investment in human capital and the quality of the economic environment." (p.4) "Differences in the rate of technology adoption and economic growth among countries are in large part the result of differences in education." (p.35) Estimates of the social returns from investing in education indicate that the strongest case for PUBLIC support of education is at the primary level IN LOW-INCOME COUNTRIES...These RESULTS DO NOT MEAN THAT INVESTMENTS IN HIGHER EDUCATION ARE UNIMPORTANT. Educated, well-trained people can provide the leadership needed in agriculture, the emerging industrial sector, and government. (p.64)

World Bank Policy Research Bulletin, March-April 1992: Knowledge is rapidly becoming the key factor of production...(T)he rapid increase in knowledge provides a new potential for developing countries to grow faster and improve welfare faster -- if they have an effective strategy to marshall knowledge for development. That strategy involves...INVESTING IN PEOPLE, INSTITUTIONS, AND NETWORKS that will permit them to tap the growing global knowledge base and harness knowledge for their needs. (p.1) [emphasis added]

(I)nternational development institutions need to augment their strategy of focusing mostly on transferring capital to developing countries -- and help them marshall knowledge more effectively for development. That change will require a change in focus as well as the development of new capabilities. These new capabilities include: ...implementing and managing change,...more awareness of international science, technology, and business trends,...MORE LINKS WITH THE GLOBAL KNOWLEDGE COMMUNITY TO HELP DEVELOP INFORMATION NETWORKS AND TO BE ABLE TO BRING TO BEAR THE BEST EXPERTISE AND ADVICE ON SPECIFIC DEVELOPMENT NEEDS. (p.4) [emphasis added]

Walter W. McMahon (University of Illinois), "Education and Industrialization," 1989: "Although the evidence consistently points to the high profitability of investment in primary education, two qualifications are necessary. First, once primary education has become universal, secondary school graduates are the ones in relatively short supply and most needed by industry. This shows up in relatively higher social rates of return to secondary education...Where labor absorption rates are low, some unemployment...often appears among primary school graduates...rather than among literates as before. But it is a temporary phenomenon while the education system is expanding from a broader primary education base. Finally, rates of return to investment in higher education may understate its true contribution and hence the true social rate of return including technology transfer, since not all the benefits of dissemination of the new technologies are always reflected in private earning of salaries scientists and government workers. (p.21)

Overseas Development Council, "Reinventing Foreign Aid: White Paper on U.S. Development Cooperation in a New Democratic Era," Dec 1992: "Investing in People" should be one of three central priorities in a new bilateral strategy for the U.S. (along with "Protecting the Earth" and "Strengthening the Institutions of Free Societies").

Vernon Ruttan (University of Minnesota), "Solving the Foreign Aid Vision Thing," 1991: "Both the development theorists and assistance agencies were slow to recognize that investment in education and other forms of human capital represented a high payoff source of economic growth."

JMClaffey: 3/5/93, 3/26/93, 4/15/93, 6/22/93

# HUMAN CAPITAL FORMATION AND HIGHER EDUCATION

# IN A NEW ERA OF U.S. DEVELOPMENT COOPERATION

## The Role of Human Capital Formation

Human resource development is central to any strategy for spurring widespread economic growth and effecting technological progress which, in turn, will expand American market opportunities abroad. Human development efforts must address both poverty reduction objectives, through the provision of basic social services, and technology development and transfer objectives, through higher education and exchanges of expertise in science, technology, and enterprise management. Building human capacity at more advanced levels provides the human capital necessary to manage and sustain development.

1. Human Resources are the Key Element in Development. The skills and capacities of a nation's people are key factors to bring about sustainable development and open societies. Gains in productivity through investments in education, health, and nutrition clearly translate into national economic gains and improved living conditions.

2. Human Capital Formation Depends on Higher Education. It is important to recognize and strike a balance between the two levels of demand for human resources: (a) access to basic human services to enable people to attain an acceptable minimum of physical well-being, education, and earnings, and (b) selective opportunities to acquire advanced knowledge, skills, and technologies in order to advance development of national economies and adapt new technologies. **Achieving balanced economic growth depends both on basic human development and on human capital formation through professional training and higher education.** Higher education systems alone produce a nation's future political and economic leaders; train professional, technical and managerial personnel; generate new knowledge and serve as conduits for its transfer, adaptation and dissemination; help forge national identity; and provide forums for promoting pluralistic debate and democratic processes.

3. Higher Education Returns Well on Investment. Basic education investments are essential but not sufficient to sustain development. Strategic investments in the more advanced segment of the education system are equally critical. As technology spreads, and industrialization occurs, more highly educated workers are required. This relation of advancing technology to the growth in demand for human capital has been well researched by several leading economists.[1] The World Bank reports that the economic return from higher education is high compared to the return to physical capital, such as roads and buildings. There are large returns to society in

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[1] Mincer, Columbia University; McMahon, University of Illinois; Schultz, Yale University; Behrman, University of Pennsylvania.

all sectors, and in the technical, managerial, entrepreneurial and leadership capacity of the nation. Furthermore, even modest higher education efforts give developing countries contact with the educational, scientific and intellectual centers of more developed countries.

## Strategic Considerations

Building human capital is good for developing countries and good for the U.S. The U.S. has a comparative advantage worldwide in having a differentiated higher education system that is efficient, effective, and relevant. A major drain on the contribution to national development by developing country institutions is their uneven performance in operating relevant and cost-effective programs. Most American universities already have extensive, mutually beneficial collaborations with institutions abroad. Support for these comes, in large part, from their own resources. These professional linkages and expertise are an American asset, and can be tapped to further national benefit with modest additional investment.

4. **The U.S. Stands to Benefit from Strengthening Institutions that Build Human Capital**. Effective institutions will hasten the preparation of the skilled leaders, managers, scientific and technical experts of developing countries, thereby building the foundation for expanded economic development and conditions conducive to the emergence of stable societies. Subsequent trade and market opportunities with the U.S. and other developed economies will contribute toward peaceful progress among nations. Long-term ties between U.S. and developing country institutions will incline future developing country leaders toward U.S. private and public sector models, American-made goods, and democratic norms and processes. Thus, the U.S. would gain a competitive advantage as developing nations become more active in the global economic and political system.

5. **Many Problems with Higher Education in Developing Countries are Manageable in Relatively Low-Cost Ways**. Developing country higher education institutions have identified serious problems which keep them from contributing well to development. Not all of these problems are resource-intensive, but are institutional and managerial. These problems include: uncontrolled growth of enrollments, low quality of instruction, internal inefficiencies, over-reliance on central government funding, and increased isolation from national development efforts. There are cost-effective approaches to many of these problems -- institutional self-study and strategic planning, employer involvement in curriculum design, organizing student placement in enterprises, twinning arrangements between higher education institutions, internships for higher education leaders from developing countries within U.S. institutions. Such methods can be selectively applied for the good of developing country institutions and the U.S., without large federal investments.

6. **The U.S. Has a Comparative Advantage in Dealing with These Problems**. The U.S. higher education system is a substantial asset in terms of many of the deficiencies that trouble developing and newly independent countries. It is diverse in

mission, institutional structure, and modes of delivering instruction. It is responsive to national and local economic, scientific, and social needs. It has developed cost-effective strategies for formulating missions, balancing enrollments with strategic planning, financial diversification, management and governance, and institutional evaluation. The fact that 60% of the Asian and Latin American students who study abroad come to the U.S. is one validation of the quality of our higher education. A number of developing countries are beginning to express interest in learning about the U.S. community college model, the state college system, and other means for differentiating their higher education systems. U.S. colleges and universities are able to combine their technical and managerial expertise with the cultural sensitivity that comes only from being engaged in a country, with an institution, for the "long haul." This quality is usually missing or much diminished in short-term approaches through contractor organizations.

7. **U.S. Institutions Are Already Committed to International Partnerships with Higher Education**. A vast number of development-oriented institutional collaborations are already underway -- many of these long-standing, at institutional expense, but without A.I.D. knowledge or benefit. Because U.S. institutions are now seriously addressing their own internationalization, collaboration with them by A.I.D. and other federal agencies will be well received. It will help to ensure their commitment to work with, study and teach about issues of global development. This augmented level of commitment will contribute to an educated U.S. citizenry and will benefit our nation's contribution to development now and in the future.

8. **Collaboration Would Be Cost-Efficient**. U.S. universities and colleges will share costs of programs to strengthen developing country institutions if approached on a collaborative basis -- one involving joint planning, management, and funding of activities. Such a collaborative approach will reduce direct burdens on A.I.D. management and program resources. It would be a cost-effective means of improving human capital formation and gaining other benefits.

9. **Strengthening Higher Education Institutions Would Positively Influence Investment by Others**. By selectively aiming to strengthen the management of developing country higher education, and by joining forces in a collaborative, cost-shared way with U.S. higher education institutions, A.I.D. has the opportunity, with relatively small investment, to influence human capital formation and to leverage large capital-intensive investments being made by the World Bank and other major lenders.

A flexible, well-targeted higher education strategy would reinforce human capital development efforts in all sectors, operate at low-cost, and build positive commitments domestically and abroad within important segments of society.

JMC:4/15/93, 6/1/93

# APPENDIX D

AMERICAN ASSOCIATION OF STATE COLLEGES AND UNIVERSITIES

CHALLENGES AND NEW INITIATIVES IN INTERNATIONAL PROGRAMS

**April 16, 1993**

**Session on International Interdependence of Higher Education**

**"Strengthening Higher Education Institutions: A New Framework for Collaboration"**

Joan M. Claffey

This morning I would like to briefly describe the inter-association office which I am directing and share with you new opportunities that I see emerging for international partnerships among higher education institutions, the new forms these partnerships are expected to take, and what colleges and universities can do to prepare themselves better to engage in these. I will talk about possibility because it is up to us to make it happen. We must get past this habit of waiting to hear what the federal government plans to fund; to become more proactive with our leaders and legislators in shaping the national agenda for America's role in the world.

First, about the office: The Association Liaison Office for University Cooperation in Development began in 1992 under the sponsorship of six higher education associations -- AACC, AASCU, AAU, ACE, NAICU, and NASULGC -- in cooperation with the Agency for International Development's Center for University Cooperation in Development.

Our main goals are to (i) support U.S. higher education's efforts to engage in mutually beneficial partnerships with colleges and universities in developing and newly independent countries, (ii) to assist A.I.D. in shaping new programs that broaden and deepen collaboration and with U.S. higher education, and (iii) to increase the attention to global development issues on U.S. campuses.

During its first year, the Office has convened one advisory and four technical meetings, which have engaged over 50 campus leaders and international development experts with A.I.D. officials, on issues of how to **broaden collaboration between higher education institutions here and abroad in ways that will be mutually beneficial and also serve U.S. long-term interests.**

Before turning to the new opportunities that I see for international higher education partnerships, I invite you to listen again to President Clinton's words:

> From the Inaugural Address, "Communications and commerce are global; investment (and technology) is mobile...We earn our livelihood in peaceful competition with people all across the Earth...To renew America, we must meet challenges abroad as well as at home."
>
> At American University earlier this year, President Clinton noted that "We need to promote the steady expansion of growth in the developing world, not only because it is in our interest, but because it will help them as well. These nations are a rapidly expanding market for our products -- some three million American jobs flow from exports to the developing world.

Secretary of State Christopher picks up on this theme, saying that the **new framework for our foreign policy must be to elevate U.S. and global economic growth.** Because we are living in an increasingly interdependent world economy, the fortunes of Americans will necessarily rise or fall on the ability to **peacefully compete and trade globally.** Developing countries are becoming more important as markets for U.S. exports. With 77% of the world's population living in developing countries (this will be 80% in the year 2000), we can readily see that ignoring the well-being and human development of these countries will be at our future economic expense.

The rationale for our involvement with the world can be seen, therefore, as threefold: trade and commerce, peace, and humanitarian concerns.

Keep in mind four priorities that you will here more of:

- human capital formation, investing in people
- institutional strengthening
- partnerships and collaborations
- local initiatives

I emphasize these considerations because of what they imply for higher education partnerships and what our task must be in the years ahead. People are the key element in development. In human

development, it is important to recognize the two levels of demand for human resources: (a) basic human development that enables people to satisfy an acceptable minimum of physical well-being, education, and earnings, and (b) more advanced advanced knowledge and skills, which enable the creation and adaptation of new technologies. (HRD = basic needs and human capital formation) Higher education systems alone respond to this second need. They produce a nation's future political and economic leaders; train professional, technical and managerial personnel; generate new knowledge and serve as conduits for its transfer, adaptation and dissemination; help forge national identity; and provide forums for promoting pluralistic debate and democratic processes.

Here are the strategic implications for the U.S. and the consequences for our institutions.

1. The U.S. Stands to Benefit from Strengthening Institutions that Build Human Capital. Stronger institutions will hasten the preparation of the skilled leaders, managers, scientific and technical experts of developing countries, thereby building the foundation for expanded economic development and the conditions conducive to the emergence of stable societies. Ties between U.S. and developing country institutions will incline future developing country leaders toward U.S. private and public sector models, American-made goods, and democratic norms and processes.

2. Many Problems with Higher Education in Developing Countries are Manageable in Relatively Low-Cost Ways. Not all of these problems are resource-intensive, but are institutional and managerial. These problems include: uncontrolled growth of enrollments, low quality of instruction, internal inefficiencies, over-reliance on central government funding, and increased isolation from national development efforts. There are cost-effective approaches to many of these problems -- institutional self-study and strategic planning, employer involvement in curriculum design, organizing student placement in enterprises, twinning arrangements between higher education institutions, internships for higher education leaders from developing countries within U.S. institutions.

3. The U.S. Has a Comparative Advantage in Dealing with These Problems. The U.S. higher education system is diverse in mission, institutional structure, and modes of delivering instruction. It has developed cost-effective strategies for formulating missions,

balancing enrollments with strategic planning, financial diversification, management and governance, responsiveness to the needs of government and society, and institutional evaluation. The fact that 60% of the Asian and Latin American students who study abroad come to the U.S. is one validation of the quality of our higher education. A number of developing countries are beginning to express interest in learning about the U.S. community college model, the state college system, and other means for differentiating their higher education systems. U.S. colleges and universities are able to combine their technical and managerial expertise with the cultural sensitivity that comes only from being engaged in a country, with an institution, for the "long haul." This quality is usually missing or much diminished in short-term approaches through contractor organizations.

4. U.S. Institutions Are Already Committed to International Partnerships with Higher Education. ...many of these long-standing, and at institutional expense because U.S. institutions want to internationalize, to better teach about issues of global development.

5. Collaboration Can Be Cost-Efficient. We know that U.S. universities and colleges will share costs of programs to strengthen developing country institutions if approached on a collaborative basis -- one involving joint planning, management, and funding of activities.

Finally, I turn to the areas in which developing countries seek assistance, particularly from U.S. colleges and universities:

**Institutional strengthening is foremost.** There are five areas of need:

1. organizational management, including strategic planning based on institutional purpose and self-study

   institutional differentiation to take account of growing student enrollment

2. economic management, including diversified financing (e.g., through short term training courses, contract research, endowments and voluntary contributions), leveraging resources, and accountable governance

3. raising program quality, especially in key science and technology disciplines

Most African countries have less than one-third of their students enrolled in science and technology disciplines (including natural sciences, mathematics, engineering, architecture, agriculture, communications, industrial programs, medicine, and health-related fields). Humanities is the dominant area of study.

4. increasing relevance

   by expanding the institution's links with alumni, businesses, professional associations, the private sector

5. institutional partnerships and networks to promote professional exchanges

Some issues your institutions may want to think about in becoming more involved with in partnerships with institutions in developing countries:

- Consider the usefullness of collaboration beyond "developed countries." Reasons of humanitarian concern, commerce, and global peace.

- Do you want to build capacity and expertise -- in both institutions -- over the long haul? This is something that PVOs, the private sector, and governments cannot do.

- What institutional resources can you bring to the partnership?

- Would your partnership be strengthened by involving local business and industry, and voluntary groups?

- How can the partnership make the home institution more attuned to Global Development Issues? (such as environmental quality, sustainable energy production and use, trade relationships, food security, migration, health management, conflict resolution)

- How will the institution build incentives (and minimize disincentives) for faculty to do research, teach, or serve abroad?

- How can our institutions promote understanding among the public about our country's domestic interests, economic and social, in global development?

Lastly, some examples of the new directions that are being pursued which involve higher education partnerships:

(1) Model of networking for strategic planning, finance, and management of higher education institutions and systems

- training seminars (and materials)
- mentoring (internships)
- institutional strengthening

capacity to draw from successful experiences of ACE's Fellows Program and AASCU's Academic Leadership Academy

(2) Tertiary Education Linkages Project for historically black institutions in South Africa, which is being developed by USAID, to involve partnerships with U.S. institutions