

ISSUES IN HIGHER EDUCATION
IN DEVELOPING COUNTRIES

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1. EXECUTIVE SUMMARY

The popular demand for higher education in developing countries continues to grow as primary and secondary enrollments expand and national governments respond with free or heavily subsidized education. The national university, in particular, has become a symbol of independence and progress in the nation-building process. It is viewed as an institutional and human capital asset and its role in developing countries is changing significantly, country by country. Still, as higher education expands it claims a substantial portion of national budgets and a significant percentage of external assistance.

There are major problems troubling the national systems of higher education, such as politicalization of campuses, faculty and staff turnovers, and decline in the quality of teaching and research. There is uncertainty over just how the university should contribute to development.

The key question is how can the university system perform more efficiently its traditional role in education, especially of the country's future leadership, while at the same time increase its contributions more directly to national development. It seems clear that national governments will turn increasingly to the donor community for assistance in higher education, including to USAID, which played such an important role in institution building in higher education in all regions of the developing world. Africa is considered the priority area.

In recent years, since the new mandate, AID has dropped the word "higher education" from its vocabulary, but has continued to

support higher education through participant training programs, and assistance to selected agricultural and related institutions. Higher education is deeply involved in at least three major AID thrusts: institutional development, participant training, and technology transfer.

This study is a preliminary effort to assist AID in its effort to define more clearly AID's policy toward higher education in developing countries. It identifies the major issues in higher education in the developing countries, as seen by 65 persons, largely within AID and the donor community, and through a rapid look at some of the voluminous literature on this subject. Some of the major issues are:

- Who is to pay for higher education?
- What are the various strategies for assistance to higher education?
- What should be the institutional targets of AID support?
- How can participant training contribute more effectively to development?
- How can regional cooperation in higher education be increased in the face of nationalism?
- How can the management of higher education projects be improved?
- What is the role of the university in development?
- How should serious problems be addressed within university management?

II. PROJECT METHODOLOGY

Information for this report came from two sources; from knowledgeable people through interviews; and through reading some of the published literature and AID documents. A two-person team conducted the study in August and September, 1984.

A. Interviews

The persons interviewed are or have been involved extensively with higher education in developing countries. Some are associated with the funding agencies or other organizations sponsoring or assisting in higher education projects for developing countries. Two persons from developing nations are included as are two members of Congressional committee staffs. The interviewees were selected on the basis of personal recommendations. Many of those interviewed knew of others with specialized knowledge and so the list of interviewees grew to contain 68 names. (See Appendix A.)

The interviews were semistructured, with the most attention focused on the first four questions of the questionnaire used. (See Appendix B.) The interviewers tried to take advantage of each individual's special knowledge.

Most of the interviews were conducted by a single interviewer in the interviewee's offices in Washington, D.C., New York, and California and usually lasted about an hour. Those done by telephone were usually shorter.

B. Literature Search

A search was made for books, journal articles and relevant AID documents using the Educational Research Information Center

(ERIC), the Research Library Information Network (RLIN) (with the help of the research library of the National Gallery of Art), the AID computerized search capability and the AID and Department of State libraries. As forseen, there were many more publications than there was time to consider. A list of some of the relevant references is in Appendix C.

A memorandum on evaluation of higher education projects is attached as Appendix D.

III. THE ISSUES IN HIGHER EDUCATION

The issues in higher education raised by those interviewed and in the literature reviewed fell into three main categories, relating to donors, to the university's role in the development process and to university management.

A. DONOR POLICY AND PROGRAMS

1. General Comments

While there is general agreement that higher education is important for development and that the demand for it is increasing, AID policy is not clear. However, more emphasis on higher education as a tool for development is noted and welcomed.

In considering the development of a general policy on higher education, more attention needs to be given to: judging assistance programs on their expected impact on the achievement of U.S. objectives; and to identifying those factors which lead to success and failure. There is interest on Capitol Hill, as expressed by Congressional Committee Staff, in programs which have substantial impact, continuity and durability.

Support to higher education is cited as a means of creating an understanding of our socio-economic and political system and a basis for technical and political dialogue which could be a tool to counter communism. Also, higher education programs can have a positive effect on changing developing country governments' policies which affect development.

Respondents repeatedly stressed the need for programs of long enough duration to accomplish their stated purpose, and for

individuals to stay longer to provide continuity. Institutional and human development through higher education programs is perceived as a lengthy process, but one which has a great long-range impact and a high rate of return.

It is understood, of course, that needs in higher education vary widely among regions and from country to country, with Africa demanding special attention. A Capitol Hill interviewee cited the low level of visibility there of AID education programs, with little pressure to increase them.

2. The Costs of Programs in Higher Education

a. Who Pays?

In considering financing higher education for developing countries, the question of who pays for it arises. Who pays for the initial development and how are the recurrent costs, perhaps 80 to 90 per cent of the total cost per student, covered? The possible alternatives mentioned were the donors, the national governments and the students.

Achieving a satisfactory mix of contributors is a major problem. From the point of view of the developing country there is a risk in depending too heavily on a single donor who might not be able to continue support over the required long time.

User fees, coupled with student loan funds, are receiving increased attention, but have limitations given the political complications of popular expectations of free education, including a living allowance. Student loan programs have been rather successful in Latin America.

b. Cost Containment

A major problem is how to match the cost of achieving the desired impact, to extend education and research over a whole country for example, with available resources. Many raised the question of what institutions of higher education a society can afford to establish and especially to sustain. The World Bank is giving careful attention to this subject in its economic analysis.

The adequacy of the resources of national governments is a source of concern. Governments have a choice of funding mechanisms, including allocation of a percentage of general revenues or a line item in the budget of the education ministry.

Keeping costs in balance with available resources involves confronting issues of uncontrolled population growth is deemed by some as overwhelming any amount of assistance to higher education donors could give.

Some Arab countries have kept costs down by using each other's specialized teaching and research services instead of each country creating its own.

3. Strategies for Assistance to Higher Education

There is interest in Congress in widening the impact of assistance to education through a multiplier effect, so that those who are educated pass it on to others.

Factors to be taken into account in the determination of the proper balance of support to primary, secondary and higher education included: (1.) the role of higher education in preparing people to lift themselves out of an elemental existence

and (2.) increasing availability of secondary education and thus allowing wider access to higher education and providing a larger pool from which to select the best to be trained for leadership roles.

There are three strategy alternatives: (1.) institutional building , i.e, creating and strengthening specific institutions; (2.) development of individuals, of cadres of people in particular disciplines, rather than universities or departments in them which allows utilization of trained people in many places and, (3.) development, often interdisciplinary, centered around specific problems such as deforestation. The first alternative often involves building new institutions, while the second could involve greater direct assistance to core disciplines, or to talented individuals regardless of the discipline in which the person is working. The first alternative has high visibility for U.S.A.I.D. in any developing country, but is also more vulnerable to external forces such as political instability.

There is a need to differentiate between so-called elitist institutions training selected groups, some to fill the need for personnel highly trained in technology or management, and those which aim to prepare a broad spectrum of the population to participate in development. Under the right conditions, in each type of institution the students could acquire both knowledge and a social conscience, to the benefit of others.

The political roles universities and their students play in developing countries are cited as major factors in the choice of assistance strategy.

A strategy to further regional cooperation is urgently needed, but is difficult to implement because of each country is determined to have its own university system. One suggestion is a quiet strategy of assisting national centers of excellence which may have existing or potential regional impact. However, a strategy which advocates assistance to regional centers runs counter to Congressional preference for support to mass education. Substantial financial assistance is needed to develop high quality regional institutions if they are to provide students from other countries with the high-level education they cannot get at home.

Regional centers could be more than training institutions. They could also be regional educational research and evaluation institutes, which may prove to be a valuable resource in the development of educational assistance strategy. In addition, they might fill the need for regional data bases on the effects of various education policies since universities do not usually keep a history of what worked and what did not.

4. Institutional Support

a. Targets of Support

Given that higher education is an institutional activity, it becomes important to select carefully those institutions which AID may wish to support. Factors to be considered in selection of targets of support are:

(1) Size

Size is cited as a factor, since a critical mass of students and faculty, not always available in the smallest countries, is considered necessary for success of extended assistance programs.

(2) Quality of Institutional Leadership

Institutional leadership is considered vital for the success of any assistance project. This applies whether assistance is given to a department, college, or an active institution.

(3) Type of Academic Program

Would support of general education, as in the liberal arts, further the donor's aims more effectively in certain cases than support of specialized and more expensive education?

Can support of a subject area such as agriculture succeed without support of related disciplines or the rest of the university, especially the facilities and administration?

(4) Level of Institutional Development

Should assistance again be given to already developed institutions suddenly at risk of being severely weakened by major economic crises, as in Brazil or Nigeria, which are considered AID graduates? They can play useful roles in 3rd-country training, for example.

b. The Support Structure

One common mechanism in providing institutional support is the use of U.S. institutions of higher education to provide the support. With support from institution to institution, as opposed to from department to department, the paternalistic relationship may become an irritant to developing country institutions as development progresses but before a sense of parity is reached.

In considering institutional linkages AID officials should consider whether to use a single 'sister' institution or

several. When developing country institutions or departments are paired with individual U.S. institutions which, while not world famous, are perfectly capable of providing the needed assistance, close personal relationships are possible but developing countries sometimes feel that they have been stuck with less than the best.

Mentioned often is the maintenance of contact between the U.S. and developing country institutions after assistance programs are terminated. Without provisions for such contact in the original project plan, professional contacts and information flow eventually cease. Joint research projects also offer the needed outside contact as well as a vehicle for providing new knowledge applicable to development.

Reasons offered for linkage failures include changes in personnel over time and lack of small amounts of funds for follow-up activities such as conferences and professional exchanges.

5. Participant Training

How can participant training be best utilized to support AID strategy?

Training people from developing countries in the U.S. has support in Congress and has recently been cited in the Kissinger Commission Report. The long-range impact such training has had on various agricultural institutions in India, Brazil and Tunisia shows its importance. Which training to conduct in the developing countries and which in the U.S. must be considered. The objectives of such training, such as benefits from exposure

to the U.S. or the acquisition of particular skills, can determine in part which training to do where.

For various good reasons there is increasing demand for providing foreign nationals, from Central America and elsewhere, with undergraduate training. Respondents unanimously favored keeping the present focus on graduate students, since this approach supplements institutional development in the LDC universities.

Other issues related to participant training are: the problem in releasing institutional staffs to come to the U.S. for advanced training and the exclusion of women from U.S. training. Also related to equity was a suggestion to increase access to US training to bright, intelligent people from low income groups.

The level of sophistication of the training is considered an issue. There is a need for thoroughly trained technical personnel and skilled managers, not just for the lower levels.

How to train participants, how to meet the specific needs of the individuals and their countries, including that of fluency in English, is an issue. Since in many disciplines the text books and reference works are in English, providing English language training is a major requirement higher education programs, even for students not coming to the U.S. to study.

6. Management of Higher Education Projects

a. Project Planning

The concept of development as a continuous but uneven process leads one to consider what the duration of the donor's

intervention should be. Will funded assistance over a longer time improve the impact, the return on the investment, of most projects? The respondents uniformly said yes.

Host government understanding and support of the project are considered essential to success. They should be realized early in the planning stage.

Good project identification and definition are considered high; preferable to after-the-fact evaluation and correction of mistakes. In the planning process, there is need to consider who should be involved in those processes - country nationals, resident donor staff, an expatriate team sent by the donor.

Tailoring the assistance more exactly to the need, especially using quantitative estimates of manpower needs, is recommended. Feasibility studies are suggested for university development projects. Is the project being considered broad enough in scope to have any impact at all? Providing only planning and evaluation assistance to an underfunded program with a weak curriculum, sorry faculty and poor facilities should be avoided.

Allowance for inflation in project budgets is considered necessary.

Project budgets should include provision for evaluations, (1) during implementation so that timely adjustments can be made in the project and (2) after the project has been completed, for guidance in planning future projects. Collection of data necessary for such evaluations must be incorporated into the implementation phase, and subsequent analysis of that data

must be planned for. Management of the evaluation process is considered to need greater attention.

b. Managing Implementation

Maintaining the quality of performance by U.S. universities as project implementers is a concern of many. How can the capabilities of U.S. universities be made to better match the needs of institutions in developing countries? Do consortia perform better than single institutions? What should be the role of selected types of U.S. colleges, such as the 1890 colleges? How well are the U.S. institutions able to provide quality personnel to work in the developing countries? Do they rely too heavily on contract personnel not part of their regular faculties? Is there continuity or are the tours of duty of university personnel too short?

The importance of team leaders who are good administrators was mentioned as important to prevent snags in the operation. Do the team leaders let the donor know about major difficulties promptly so that timely help can be given?

Would continuity of donor home-office and in-country personnel make achieving impact seem at least as important as granting money?

B. THE UNIVERSITY'S ROLE*

I. The Mission of the University in Development

- a. It should make a greater contribution to development.

The 65 persons interviewed uniformly stated that the university in the developing world should make a greater contribution to development. They noted that the role the university plays in development varies widely from region to region, and is changing toward greater involvement, as currently in Indonesia, Jordan and Zimbabwe. However, in general there is no clear sense of mission. Is the mission to train elites, to increase economic growth, or to increase equity in society? Or is it something else? A major study (1), based on 23 case studies covering all regions, indicates, "The real issue is what higher education can do and what it is doing about . . . fundamental needs, i.e. food, health, education."¹

- b. Problems in the university playing a greater role in development.

Despite recent progress, there are a number of problems which are preventing the university from maximizing its role and impact. Aside from the basic scarcity of resources, these include:

--The political instability and breakdown in governments in all regions. The turmoil in Uganda and Ethiopia for example have hit two of the most prestigious African universities, Makerere, and Haile Selassie, in which AID has invested heavily in the past.

* The term "university" is used to stand for the complex of public higher education institutions in a given developing country.

--The heritage and strength of the European model with the emphasis on lecture and memorizing, and its tradition of academic freedom. Education is an end in itself. The French university model, in particular, is seen as too theoretical and too removed from the day-to-day concerns of developing countries. Against this European background, the university is often seen as highly resistant to change, and isolated from its own society. "Higher education," African Ministers stated in the Harare Declaration of July 3, 1982, "is still all too often out of touch with the community, unaware of its aspirations and of the problems it needs to solve."²

--The university's relationship with the central government. The public universities have increasingly become embroiled in student unrest and opposition to the government, notably in Latin America, but also in Asia and Africa. In some areas, the military government has placed the university under tight control, mandating courses taught and the hiring and firing of top administrators and faculty. Academic freedom has become a legitimate concern. However, universities tend to become more like political power groups and less like educational and research institutions.

--The cultural milieu affects the university's role and performance. Ethnic politics exacerbate the institution in many ways; notably, in employing relatives and friends, and bloating institutional staffs, including extension services.

--Student expectations that everyone with a diploma will be placed in a government or equivalent position. When these expectations are not met, strikes and other forms of opposition ensue, as for example at the University of Dakar in 1984.

--The university is presently engaged in a delicate balancing act: it wishes to maintain its independence of thought and action, yet is under mounting pressure to contribute to development.

c. Areas in which institutions of higher education can make a greater contribution to development.

(1) National policy planning

The university can assist the government in national policy planning in various ways, for example, in shaping of national educational policies, and in manpower planning. For this purpose, the university should work closely with employers in both public and private sectors in determining the manpower needs of the country. Short-term faculty assignments with the government can assist in the planning process.

(2) Manpower training

Once the country's manpower needs are defined, the university can train the right numbers of people in the fields required. Training of the high and mid-level managers of the development process should not be forgotten.

The actual training must be tailored to the need. Respondents repeatedly stressed that there is a need for more pragmatism in university curricula, a shift toward a problem-

solving approach, and more adaptation of the material taught to the specific country requirements. All the core disciplines in the university have roles to play in achieving this greater development orientation of the university, including greater social science inputs into higher education programs for management of natural resources. Overall the basic sciences, and appropriate vocationalism are given highest priorities in the curriculum shift. In sum, there is a need for a new curriculum balance between theory and applied technology.

If training is too specific, geared too much to current level of vocational needs, it can hold people back and it becomes obsolete too quickly.

Some priority areas for curriculum review and development are in:

- Management training in all fields, including education, to teach those in charge how to use resources to get things accomplished;
- Financial management training at all levels;
- Computer training to help countries take advantage of the communication revolution, with "leap frogging" possibilities in the development process;
- Teacher training, and especially in the training of master teachers to help handle the explosion of students at the primary and secondary levels;
- Agriculture training, especially in training trainers of extension workers;

--Language planning and training to ensure the proper mix of world, national and local languages in the curriculum.

There is a need to incorporate a language of wider communication, such as English, French and Spanish.

--Medical training, which is often cited as not relevant to country needs, especially in rural areas where the vast majority of the population lives. Training teachers of nurses is a high priority.

Non-curriculum issues include language of instruction, class size, and teaching methodology (less rote learning and more problem solving.)

(3) Knowledge generation (research)

The university has an important role in research, but is not currently fulfilling this responsibility adequately, due, in part, to its European teaching heritage. The issue is how to assist the university to become more involved in meaningful research efforts central to the country's needs, e.g. on health delivery systems. For one thing, research needs a higher status in the university and much greater attention. For another, the university should see itself as a vehicle for technology transfer. In this perspective, the faculty and students can do much more in undertaking relevant research and field work, especially in rural areas. This would enhance the university's outreach to its social environment.

Some key questions are: How basic should the research be? What is the balance between theoretical and applied research? How all the required related disciplines should be

incorporated into individual research projects, if they are in separate departments or institutions?

To the extent possible, the integration of the training of research personnel and the research in one institution is desirable so that the people fit the research needs, and the research aids the teaching.

Agricultural research has been a priority donor area in recent years. Despite this effort, there is concern over the quality of research in the developing countries. Even in Asia, there has reportedly been a serious decline in the quality of research. The reasons for this change vary by region, but is due to a number of factors, e.g. lack of experienced researchers, turnover in faculty, lack of good relationship with the users of the information, increased number of students to teach. A new element is the increased demand, often by donors, of the consulting services of the best faculty members, resulting in hasty research outputs and inadequate attention to student learning.

(4) A partnership role in development with other key organizations.

A major issue is the developing country's handling of the teaching (training), research, and extension triangle in agriculture and health which is considered vital to increasing food production and improved health care. The three functions are interdependent: extension workers must be supplied with problem solutions through research, and in turn must tell those doing the research what problems need to be solved. Manpower for

both research and extension is ultimately supplied by faculty members. If something similar to the land grant model is not adopted, as currently in Cameroon and Pakistan, the three functions remain separated. The focus should now be on the process of building linkages between the concerned organizations, notably the university institutions and the ministries of agriculture, education, and health. The university can make a contribution here.

There are some who question this new effort at institution-building, and recommend a stepping back, with less emphasis on pushing an American model, and more on rethinking the nexus of teaching-research-delivery systems. In some countries, the private sector as implementors of development, e.g. in seed production, deserves greater attention.

An immediate issue within agriculture, is the state of extension services. These are reportedly in trouble, and are not performing adequately. Whether this is due to lack of training, or lack of technology to transfer is uncertain.

2. Alternative Institutions for Higher Education and for Research and Their Relationships.

There are demands on the university for an extensive reorientation and renewal in its basic functions, teaching and research, and in its outreach to the government and the community. The issue is posed anew about future directions, and institutional development. Some respondents would have the university concentrate on its traditional function as an educational institution, working to lift the level of education,

with teaching training as a high priority. Most, however, would like to see this step and an expanded and dynamic partnership role with government and other end users.

In the many considerations from country to country new institutional forms will emerge as they have in the past. Some respondents indicated that indigenous models of higher education are required, reflecting local needs, local value systems, and the culture of the countries themselves.

Presently there are a number of alternatives to conventional models of institutions of higher education from the two-year junior college, which is now receiving attention in Malaysia, to the independent or semi-autonomous research institutes, such as CIRES in the Ivory Coast (Ivory Coast Center for Economic and Social Research), supported by AID and Ford.

Another approach is to take the university to the rural areas to reach those who are intelligent, but who lack formal entrance requirements.

The issue is choosing the types of institutions most able to carry out the emerging development mission of higher education. The Rockefeller program of university development aimed at supporting selected core disciplines, e.g., the social sciences with an emphasis on economics. AID has traditionally tended to support new organizations on the periphery of the traditional university to ensure development impact, as currently in the land grant model.

Whatever the future choices may be, two general findings have emerged from previous case studies: (1) the more activities

within an institution of higher education are oriented to action, the more they are likely to be detached from the parent university in a separate institute; (2) the price of such detachment may be the siphoning off of the more action-oriented people from the institution and the isolation of the students and remaining professors from the social problems handed over to the institute.

C. UNIVERSITY MANAGEMENT

I. Leadership

If institutions of higher education are to play a more dynamic role in developing countries, then leadership becomes a major issue. Interviews and studies emphasize repeatedly that the importance of institutional leadership (individuals or groups) for institutional success. Institutional innovation comes from quality people. Respondents frequently stressed that the "ability to pick is crucial," and that much greater attention should be given to the selection of people. One authority expressed it this way:

"Obstacles to the success of higher education for development programs were surprisingly similar. Whether the program was in Africa, Asia, or Latin America, its leaders had to contend with the resistance of students, staff, government officials, and community members. They had to design a way to administer a program that was flexible enough to respond to changing needs and circumstances but that also made efficient use of funds. They had to find a modus vivendi with government in which they achieved government cooperation and support without its domination. They had to devise better ways to integrate teaching, research, service."³

The issue is how to help university management identify qualified people for further training university management. This is not easy because of multiple variables in institutional politics, complicated by the uncertain tenure of university leaders, and hence continuity of relationships with donors.

There is a lack of seasoned administrators in public universities. Financial management and control, information systems, and plant and equipment management are inadequate.

Within the administrative shortcomings, there are several important issues:

--the lack of development planning in universities leads to over-enrollment, student unrest, inadequate budgets, and underutilized or misused resources.

--the lack of systematic and effective administrative procedures leads to lower quality education and further restricts planning;

--the need to use expatriate faculty more effectively in training their replacements rather than in direct teaching roles;

--the often erratic flow of funds from national to university budgets interfere seriously with orderly administration.

--the need to relieve the often enormous teaching burdens to permit selected faculty to do some research.

2. Isolation

A growing issue is the isolation of the university, and how to deal with it. There are two aspects:

--First, already mentioned, is the isolation of the universities from their social environment. The university staff comes from a limited stratum, based on ethnic or economic class, and is often out of touch with the broader community. The traditional divisions into disciplines, e.g. agriculture, economics, and anthropology, contributes to this isolation. Moreover, institutions of higher education in the same country are often out of touch with each other. Agricultural and vocational technical institutions are less isolated from the community because

of their greater interface with end users of their graduates.

--Second, there is lack of contact with the outside world. The universities have limited access to Western information, communications, and personnel. Faculty and administrators trained in the U.S. are complaining of "professional decay," and are seeking ways to keep up-to-date, even in countries such as Brazil. Donor foundations are especially concerned about this development, and undertaking new studies to judge its magnitude, e.g. through the Institute of International Education in Mexico, Turkey, and Indonesia.

3. Faculty Retention and Rewards Structure

Respondents raised this subject more frequently than any other. Faculty retention has become a major issue. Faculty salaries are low and faculty members must hold two or even three jobs to make ends meet, as in Latin America and Indonesia. They are being drawn off into better paying jobs, often in the private sector.

In East Africa, highly trained people, often with U.S. degrees, are involved in consulting, frequently by AID and the World Bank. While this consulting work may eventually feed back into their teaching, the short term result is diminished attention to teaching responsibilities. The same situation is developing in Latin America where the staff is engaged in too much consulting, unrelated to their teaching and research responsibilities.

There is thus a need for renewed attention to staff development programs, such as an expanded LASPAU (Latin American Scholarship Program of American Universities) program. This is a top African priority. Attention must be paid to numbers; both attrition and growth must be taken into account. Taking advantage of the need for faculty, the Soviet Union and its East European allies are reportedly offering large scholarship programs. Soviet-trained staffs in universities, such as in Latin America, are also reportedly having a teaching impact. Supposedly they are less likely to leave their teaching posts for other opportunities.

While research staff development programs are a growing issue, a more fundamental one is the entire reward structure in the university. It bears close examination and, perhaps, new incentives built in to motivate faculty to stay and to be productive, both in teaching and in research.

In agriculture there is a special problem. There are often low student enrollments due to low status and low pay in the agricultural field and there is little support for agricultural faculty.

4. Students

There are several issues here:

--Students at all levels are highly motivated toward degrees. Degrees are the tickets, in developing societies, to jobs and advancement. How can this degree goal-seeking be used more effectively in government and donor training programs? How can student expectations be brought in line with national manpower needs?

--Despite the emphasis on degrees, there is not a comparable emphasis on quality work. The open entry system in Latin America, for example, means in effect that no one can be kicked out of public universities. There is no incentive to master the material presented, to excel.

--Student parity in university governance in Latin America is a serious issue. It has given students a large voice in university policies and helps create an oppositional role in national politics.

--Students are finding that private sector employers (where they exist) are increasingly giving little attention to degrees, except as screening devices. Students must prove themselves. What are the lessons to be learned from this trend?

5. Facilities (Especially libraries)

Maintenance of university facilities is a constant problem due to the lack of good technical personnel.

Libraries and laboratory equipment are singled out for special attention. Books and equipment are expensive, and tight university budgets have restricted new purchases. As a result, libraries are inadequate for research and books are guarded as treasures instead of treated as working tools. Laboratory equipment is out of date or non-existent.

There are reports that libraries in LDC's are not generally well patronized. While this may be due in part to the lack of books, there is also the problem that students do not easily comprehend texts which are usually in a world language, such as English or French.

This raises the question: How important is the role of libraries in higher education: Are there alternatives?

There is a need to provide laboratory equipment which is up-to-date, but maintainable under local conditions. The problems of finding foreign exchange for spare parts and customs barriers loom large.

In particular, there is a need for material support for technical education (books, lab equipment and films), including science training.

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- (2) Harare Declaration of July 1982. Final communique of the Conference of Ministers of Education and Those Responsible for Economic Planning in African Member States, meeting in Harare from 28 June to 3 July 1982 at the Invitation of the Government of Zimbabwe.
- (3) Thompson, Op. cit., p. 34
- (4) Ibid, pp. 63-64

APPENDIX A

A-1

ISSUES IN HIGHER EDUCATION
PERSONS INTERVIEWED

<u>Name/Title</u>	<u>Organization</u>	<u>Date Interviewed (1984)</u>
Dr. Modilim Achufusi Director	Nigerian Universities Office Washington, D.C.	9/7
Mr. Mahfuz Anam, Liaison Officer	UNESCO (New York Office)	8/28
Dr. Lawrence Apple Director, International Programs	North Carolina State Univ.	9/10 (telephone)
Dr. Elinor Barber Director, Office of Research	Institute of International Education	9/11
Dr. Marcia Baum	AID/LAC/DR/EST	9/7
Ms. Priscilla Boughton Deputy Exec. Director	AID/BIFAD	9/11
Dr. William D. Carmichael Vice President for Developing Country Programs	The Ford Foundation New York	9/11
Dr. Eric Chetwynd Chief, Regional and Rural Development Division	AID/ST	9/17
Dr. James S. Coleman Director, International Studies and Overseas Programs	University of California at Los Angeles (UCLA)	9/5
Dr. James W. Cowan Director, International Programs and Studies Office	National Association of State Universities and Land Grant Colleges	9/7
Dr. David Davies Manager, Education Operations, Department of Education	World Bank	9/6
Dr. Richard Dye Vice President for Fellowships & Education	Institute for International Education New York	8/29
Ambassador Donald Easum President	African American Institute New York	8/28

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Dr. Frank Fender Economist	AID/BIFAD	8/23
Mr. Frank Ferrari Vice President	African American Institute New York	8/28
Mr. Harold Freeman Chief	AID NEA/TECH/HRST	8/23
Mr. Norman W. Green Education Officer	AID/AF/RA	8/22
Ms. Margaret Goodman Staff Member	House Foreign Affairs Committee	9/4
Dr. James Heiby Deputy Director	AID/ST/Health & Population Health Services Division	9/3
Dr. Gordon Hiebert Program Manager	National Science Foundation Office of International Programs	9/11
Dr. John Hilliard, retired	(previously with AID, Ford Foundation)	8/21
Dr. Frederick Hutchison Executive Director	AID/BIFAD	8/30
Dr. William F. Johnson International Research Program Officer	AID/BIFAD	8/27
Dr. Richard Krasno President	Institute of International Education New York	9/11
Mr. Robert Koonrod Senior Planning Officer, Bureau of Educational & Cultural Affairs	USIA	9/11
Mr. Kenneth Kornher Director, Development Administration Division	AID/ST/RD	9/14 (telephone)
Dr. Erven Long Director, Office of Technical Review and Information, and Acting Director, Research & University Relations	AID/ST, Research & University Relations	9/6
Dr. James R. Mahoney, Director of International Programs	American Association of Community and Junior Colleges	8/30

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Mr. Metro Martinez	AID/LAC/DR/EST	9/7
Dr. Edna McBreen Agriculture Education Officer	AID/AF	8/27
Ms. Pamela McCloud Deputy Director	Partners for International Education	9/12
Dr. Frank Method Policy Advisor	AID, PPC/PDPR	8/16, 9/12
Mr. David Mize Vice President and Director, of Office in Egypt	America-Mideast Educational Training Services, Inc.	9/13
Ms. Leila Mogannam	AID/ST/OIT Office of International Training	8/24
Dr. Robert Myers Consultant	UNICEF New York	9/12
Dr. Albert J. Nyberg Agricultural Economist	World Bank	9/12
Mr. Norman Nickelson Deputy Director, Office of Human Resources	AID/ST	8/22
Mr. Orin D. Parker President	America-Mideast Educational & Training Services, Inc.	9/13
Dr. James Perkins Chairman	International Council for Educational Development, NY	9/12
Dr. Jeffrey M. Puryear Program Officer, Latin America	The Ford Foundation, NY	8/29
Dr. George Psacharopoulos Manager, Education & Research Project	World Bank	8/24
Dr. Howard E. Ray Vice President & Director	Academy for Educational Development Agricultural Services & Technology	8/24
Mrs. Allison Rosenberg Staff Member	U.S. Senate Foreign Relations Committee	8/6 (telephone)
Dr. James Sarn Director, Office of Health and Population	AID/ST	8/26

Mr. Gerald Schwab	Bureau of Programming & Management, International Labor Office Geneva	By Mail
Dr. William J. Siffin Director	University of Indiana International Development Institute	9/13 (telephone)
Mr. Clayton Seeley Education Officer	AID/Asia TR	8/23
Mr. Matthew Seymour	AID/ST, Office of International Training	9/10 (telephone)
Dr. Theodore Smith President	Agriculture Development Council New York	8/29
Dr. David R. Smock Vice President, Program Development and Research	Institute for International Education New York	9/18
Dr. Ralph Smuckler Director, International Programs	Michigan State University	9/12 (telephone)
Dr. David Sprague Acting Director, Office of Education	AID/ST	8/22
Dr. Laurence D. Stifel Vice President for Programs	Rockefeller Foundation New York	8/12
Dr. Francis Sutton Consultant	Ford Foundation New York	8/29
Dr. John Swallow	AID/NE/TECH/HRST	9/6
Dr. Fuad Suleiman Vice President & Director of Middle East Programs and Higher Education and Vocational Training	Academy for Educational Development	9/26
Mr. Sidney G. Tickton Academy Vice President	Academy for Educational Development	9/4
Dr. D. Woods Thomas, Director, International Programs	Purdue University	9/17 (telephone)
Dr. Kenneth W. Thompson Professor	University of Virginia	8/23 (telephone)
Dr. Lewis Tyler Executive Director	The Latin American Scholarship Program of American Universities (LASPAU) Boston	9/7 & 9/11 (telephone)

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Dr. Manuel Vera Senior Educ. Analyst	Inter-American Development Bank	9/11
Dr. Jean Weidemann Chief, Institutional and Human Resource Division	AID/BIFAD	8/16
Mr. David Winkelmann Director, Division of International Training	U.S. Department of Agriculture	9/11
Ms. Donna Wolf Director	AID/, Office of International Training	8/24
Mr. Paul White Chief, Education Science and Technology Division,	AID/LAC/OR	8/30, 9/7
Dr. Abdelwahed Zhiri General Educator, Division of Education	World Bank	8/27

APPENDIX B

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ISSUES IN HIGHER EDUCATION

INTERVIEW GUIDE

Name:

Date:

Title:

Organization:

Address

Telephone:

Background:

--Area and country specialization

A. Principal Questions

1. In looking at the role which developing country institutions of higher education play, or fail to play in development, what are the issues as you see them? (Focus is on AID and donor assisted institutions of higher education.)
2. Why are these institutions of higher education playing (or failing to play) the roles they do? What circumstances account for the level of impact? (Examples: policies, regulations, mores, level of development, historical conditions.)
3. Assuming these issues are important in determining the level of impact, can you suggest methodologies for evaluating them and an analytical framework? (Example: a case study of an institution.)
4. What have other donors done to evaluate the impact of assistance to higher education in developing countries?

Do you know of an existing study or evaluation that analyzes their impact?

B. Supplementary Questions

5. Please discuss one developing country institution which has conducted research which was significant for the country's national socioeconomic development.

6. Please discuss one institution which has provided technical assistance to its government which was significant for the country's socioeconomic development.
7. Higher education institutions are regarded as means of technology transfer to developing countries? Please discuss your views on this role.

Can you give an example?

8. Are you familiar with any formal linkage arrangement between an institution of higher education in a developing country and one or more U.S. universities? Yes _____ No _____

Please name the institutions:

What exactly is the nature of that linkage?

9. What, in your opinion, are the factors which lead to failure of linkage arrangements?
10. After formal linkages are terminated, how, in your opinion, could contacts be maintained between U.S. institutions and those in developing countries?

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11. Do you encourage USAID funding of joint research programs involving both U.S. and developing country institutions? Yes _____ No _____

Why?

If yes, in what disciplines?

12. Take one country with which you are familiar and which has received USAID funding for an institution of higher education. Has USAID funding made access to higher education more possible for students from socioeconomic backgrounds not previously participating in higher education?

Yes _____ No _____

Please discuss:

13. Please give an example of particular AID effectiveness (or ineffectiveness) in assisting institutions of higher education? What are the main characteristics of a successful U.S. AID program of assistance to a university or college in a developing country?
14. What have been the main strengths and weaknesses in higher education project design and implementation? Please give examples.

15. A) There are many political, economic, social, and educational standards to measure the cost effectiveness of assistance to higher education. In your opinion, how can USAID best measure the costs and the effectiveness of its programs in this area?

B) What are new innovations in measurement of costs and effectiveness?

C. Optional Questions

16. What new projects/programs should be initiated by AID in higher education?

17. What AID projects or programs should be targeted for impact evaluation?

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APPENDIX D

MEMORANDUM

October 1, 1984

TO: AID/PPC/CDIE -- Mrs. M. Warren

FROM: James F. Relph Jr, Consultant

SUBJECT: Draft Report On Issues In Higher Education In Developing Countries: Notes on Evaluation

We hope you will find the draft report on "Issues" of value in your review process. It would seem to be particularly useful as a basic document for an AID workshop on higher education.

We were not able, because of time pressures, to incorporate material on evaluation, except as in Section III A⁶ a. We did, however, develop a possible outline for a separate section or study (enclosure 1), and prepared a list of evaluation indicators (enclosure 2) which you may find of some interest. Janet Malcolm will discuss evaluation aspects with you.

I did want, however, to add a few background notes:

1. We got only partial answers to question three in the interview guide, i.e. Can you suggest methodologies for evaluating the issues, and an analytical framework? The majority of respondents stressed the difficulty in evaluating higher education projects because their impact takes 10-20 years, and involves many political, economic and social variables. World Bank respondents, among others, noted the lack of a unifying theory of the role of higher education in development. Many felt this subject should be a separate study.

2. To the extent methodology was discussed, it tended to focus on case studies, tracer studies, and costs vs benefits analysis. The interviewees did express a strong preference for case studies, and especially comparative case studies. A typical comment was: "They deal with reality. There is no fluff; there is no masking the limitations of the data. They are impressionistic, but they bring out interesting patterns." The respondents stressed uniformly the importance of using knowledgeable people to carry out such studies.

3. The World Bank is probably doing the most interesting work in evaluation. The Education Department recently did a major comparative case study, involving four regions. The report has not been released. The person intimately involved in this study promised us a copy, but we have not yet received it. This person stressed, in our interview, the lack of a theoretical underpinning for the importance of higher education, and felt this theory would eventually emerge through a series of case studies. He hoped that AID would undertake a series of retrospective case studies as a contribution to building this theory.

4. If I understood him correctly, Dr. George Psacharopoulos, an economist, and manager of the Bank's Education and Research Project, would put most case studies in the "subjective" evaluation category. He prefers instead what he calls "objective" studies based on actual data. He and his colleagues are turning out a series of studies aimed at finding ways to cut back on the high investment costs in higher education. He is refining the

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the manpower model which is one important method of estimating higher education and training requirements in developing countries. While his studies may be based on "facts", they are provocative and sweeping in their implications: developing countries should focus more on general higher education rather than more expensive specialized education (he claims graduates from general institutions are doing as well if not better than graduates from specialized institutions); developing countries should further specialization through on-the-job training; and the end-users of higher education should shoulder a greater share of the costs of higher education since they are beneficiaries from it.

5. The lack of data is a major issue in evaluation. The need for developing country personnel to participate in evaluation is a related issue. Such LDC participation helps minimize suspicions of the host country, contributes to understanding the cultural milieu in which the evaluation is taking place, and facilitates data collection. Higher education projects should be particularly well placed to use faculty and students in some evaluations. The World Bank is undertaking through local organizations tracer studies in Colombia and Tanzania. The one in Tanzania for example is a five year study of the graduates from the Agricultural College at Mangoro. Psacharopoulos and others noted the importance of providing for small sums in projects to help collect data.

6. Conceptually, evaluation should be looked at as an issue in three different phases of AID programs.

- a. The planning stage (pre-decisional);
- b. The implementation phase
- c. The retrospective period.

In the planning stage project identification is the responsibility of the developing country. Donors must help the country make the choices, but should not make the choices themselves. The issue is to ensure that evaluation is brought into play soon enough to improve the objective quality of the decision. Risk analysis and costs vs benefits analysis can be useful tools at this stage.

In the implementation phase, the issue is to ensure that evaluations take place every 2-3 years, and serve as a valuable management tool in helping guide mid-course corrections. Such evaluations must be built into the project plan. Analyses based on performance criteria are useful in this stage.

In the retrospective stage, the issue is how best to measure impact. Some aspects: When should the evaluation occur? How should the evaluation objectives be defined (usually more broadly than in phase 2)? What projects should be evaluated? A variety of analytical tools can be used in this stage. Tracer studies are presently commanding much attention. There is a desire to know what has happened to graduates of programs in which AID has invested heavily. Behavioral studies, such as Chambers' study of extension workers in Kenya, can also be utilized. Linkage studies in looking at the relationships between functions, e.g. the teaching (training), research, and extension work in agriculture, is still another approach. Overall, however, our respondents prefer the case study approach, which of course,

can include various analytical approaches.

7. Respondents suggested the following categories for future evaluation:

a. One institution, in depth, bringing out its relationships with other institutions, e.g. University of Alexandria Agricultural School.

b. Two institutions of higher learning within one country, for example in India. Why is one institution doing well, while another only 500 miles away is not as successful? What accounts for the differences even though AID assisted both? The Indian land grant models, for example, would be useful in this approach.

c. Three institutions within one continent: for example, in Africa, one Francophone university, one Anglophone university, and one Lusophone university. The problem is one of making choices, though the Lusophone university would have to be in Mozambique.

d. Institutions before and after revolutionary change. While this type of evaluation would pose many problems it would be useful to know what has happened to a university such as Haile Selassie in Ethiopia? Reportedly it is showing new roots.

e. Specialized institutions. EMBRAPA (Nat agric org) Brazil.

f. Comparative regional universities. Coleman's studies indicate the enormous diversity in institutions, between continents, and countries.

g. Several institutions in one country, such as three universities AID supported in Ecuador in the 1960s, or several universities in Nigeria.

h. A regional organization in research, as for example, the East African Universities Research Project in Tanzania.

8. The success stories usually came from the same institutions:

- Federal University of VICOSA, or the national research org, EMBRAPA (Brazil)
- Los Banos (Philippines)
- University of Bogor (Indonesia)
- University of Kasetsart (Thailand)
- Kenya Edgerton College
- The agricultural colleges in India

Asia and Latin America are far ahead in university and institutional development. Africa has made progress but is still lagging, and is the priority area. Morocco, Tunisia, Jordan, are Middle East bright spots. The extensive University system in Egypt is a special subject in itself. (AID is presently investing in a major linkage effort between US and Egyptian universities.)

ENCLOSURE ONE

IV. EVALUATION AS A TOOL

A. Choices of Objectives of Evaluation --

(a major issue)

1. Improve AID Program policy -- role of evaluation in achieving major objectives of AID -- (stable government friendly in U.S., food, health care, etc.)

2. Improve Project Planning

3. Improve Project Adaptation to New

Circumstances During Implementation

4. Improve Cost Effectiveness

5. Document Successes for the Administration,

Congress and Others

B. Issues in Choosing Evaluation Methodology

1. Factors to Consider in Choosing Methodology

--Who will read results, if any body? Any action expected?

--Need for data to be gathered before and during project.

--Time

--Quality of evaluation personnel.

2. Methodologies Available on Underdevelopment

(List varies ones suggested, with variations suggested, and with caveats for use.)

C. Analytical Framework for Major Evaluation Effort

with AI and AS as Objectives.

E. INDICATORS TO USE IN EVALUATION OF INSTITUTIONS

1. Economic and Social

--Number of persons as university teachers at the institution

--Number of persons enrolled at the institution

--Number of persons graduating from the institution

--Earning power of graduates/current positions of graduates

--National Manpower Requirements, and expected availabilities

--Number of people leaving the institution after 1, 2, 3 years (drop out rate)

--Student/teacher ratio in different periods in cycle

--Student contributions, if any. (user fees)

--Access to institution

a. admission standards

b. percentage of female students

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- c. percentage of foreign students (distribution by country)
- d. home town/district of student
- Kinds of student organizations in the institution (formal & informal)
- Value changes in students (use interviews)
- Linkages between the institution and other institutions of higher education, both in country, and with the U.S. and Europe
- Research activities by the LDC institution. How do they contribute to development?
- Special training activities of the institution which contribute directly to development
- Have new higher education organizations emerged which interface with university? Describe
- Employer attitudes toward the institution:
 - a. Government (civil service head, for example)
 - b. Quasi-governmental organizations

SB

c. Private sector

--Faculty turnover rates in the institution

--Teaching and consulting activities of the faculty

2. Political

a. What are the political demands on the institution?

b. What exogenous forces are impacting on the institution?

c. How does the institution leadership define its objectives?