

# IAU

## Horizons

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[www.iau-aiu.net](http://www.iau-aiu.net)

IAU, founded in 1950, is the leading global association of higher education institutions and university associations. It has Member Institutions and Organisations in some 130 countries that come together for reflection and action on common concerns.

IAU partners with UNESCO and other international, regional and national bodies active in higher education. It is committed to **building a Worldwide Higher Education Community**.



## IAU MEETS

IAU 15<sup>th</sup> General Conference  
Bangkok, Thailand,  
13-16 November 2016

## IN FOCUS

Leadership for a changing  
public-private  
HE funding Landscape

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## MESSAGE FROM THE SECRETARY-GENERAL



THIS ISSUE OF *IAU HORIZONS* IS PUBLISHED JUST AS THE ASSOCIATION TAKES ITS MEMBERSHIP TO BANGKOK, Thailand for its 15<sup>th</sup> General Conference. As we gather at Chulalongkorn University we express our deep condolences to the people of Thailand on the loss of their beloved Thai King His Majesty King Bhumibol Adulyadej, Rama IX.

The General Conference also takes place during a historic milestone as 2016 marks 100 years of higher education in Thailand.

In this issue, as during the Conference, we examine the past, but we also plan for the future. *Higher Education: a Catalyst for Innovative and Sustainable Societies*, is the theme chosen by IAU and the Thai Consortium of universities hosting the event. It enables us to review what is, and to plan what ought to be.

Being a catalyst means to mobilize, to provide the spark, to bring matter together so that it transforms. Knowledge, together with purpose can be a powerful catalyst. Applying knowledge to problems and in the pursuit of solutions to societal challenges is the fundamental mission of universities. In Bangkok, IAU hopes again to offer a global forum for learning how, in different areas, and in different parts of the world, universities are the catalyst for change towards more sustainability, more equity, more justice in the world and more opportunities to improve lives.

At the same time, the IAU is also looking into its own the future. On the one hand, the Administrative Board and out-going President have, based on their 4 years of experience helped to design a new Strategic Plan for the association. This future orientation is firmly couched in the past achievements and present strengths of the IAU. The plan also places IAU in a position to act as a catalyst for more collaboration, more specific ways to apply knowledge and expertise to the challenges that face our membership and higher education more generally.

Having identified 'leadership' as one of our strategic priorities for the future, the 'In Focus' section of this IAU Horizons starts the reflection on the theme *Leadership in a changing public-private higher education funding landscape* – the theme of the 2017 IAU International Conference and Global Meeting of Associations, to be held in Accra Ghana in October.

What has, and what will change for the leadership of universities as public funding is increasingly replaced by private sources? What is the impact when the boundary between public and private higher education become nearly impossible to define? How will the purposes and the nature of higher education change when this trend continues? The articles presented show the different interpretations of this theme and the potential to view the topic from multiple perspectives. The future demands on leadership in higher education institutions will continue to require adjustments and renewal at all levels.

In line with its mission and the priorities in its Strategic Plan, the IAU hopes to accompany the membership in these adjustments, combining a focus on leadership in a changing landscape with a reflection on the ways and means that can be used to ensure that the values IAU promotes – equity, ethics and integrity, solidarity and the principles of sustainable development remain central to all actions.

For those of you who join the IAU in Bangkok, welcome! For those who are unable to attend, we hope to see you next year in Ghana.

Eva Egron-Polak

The views expressed in the articles published in *IAU Horizons* are those of the authors and do not necessarily reflect the views of the International Association of Universities.

Cover images:  
left: ISAS (2.0) logo; center: Chulalongkorn University, Thailand;  
right: IAU LGEU programme logo.

## IAU Horizons 21.4 – Highlights

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THE IAU 15<sup>th</sup> GENERAL CONFERENCE ON HIGHER EDUCATION – A CATALYST FOR INNOVATIVE AND SUSTAINABLE SOCIETIES



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REPORT ON IAU ACTIVITIES – PAST, PRESENT AND FUTURE



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IAU MEMBERSHIP NEWS



### P22

IN FOCUS: LEADERSHIP FOR A CHANGING PUBLIC-PRIVATE HIGHER EDUCATION FUNDING LANDSCAPE

Read the seven papers offering a wide range of perspective on this timely and complex topic that will be debated in Ghana at the IAU events in October 2017.





## IAU/Palgrave and COPERNICUS Alliance Prizes in Higher Education Policy Research

2016-17 Essay Competition Theme: "Higher Education and Research for Sustainable Development: A New Academic Discipline?" Submit a proposal and win one of these prizes!

To learn more please go to page 13.

## IAU Portals

Contribute to the global thematic portals developed by IAU. Your contributions will enrich these global spaces and showcase your work – thus enhancing everyone's knowledge, expertise and experiences about the diverse ways universities around the world are internationalizing, networking, developing strategies on ESD and more.

## WHED

The IAU WHED Portal (World higher Education Database – [www.whed.net](http://www.whed.net)) is the unique database providing information on higher education systems, credentials and higher education institutions around the world. The WHED currently covers over 18,000 institutions in some 182 countries and is being constantly updated. As IAU member ensure that the information it provides about your institution is up to date and benefits from special features only for Members!

## IAU Global portal on HESD

Become involved in the IAU work to foster sustainable development. Network your initiatives: share them via the portal where institutional profiles are being published, information on courses, policy development, whole of institution approaches, bibliographies are made available for adaptation and scaling initiatives.

The portal is available at: [www.iau-hesd.net](http://www.iau-hesd.net).

Contact: [h.vantland@iau-aiu.net](mailto:h.vantland@iau-aiu.net) and [f.herzog@iau-aiu.net](mailto:f.herzog@iau-aiu.net)

## IAU IDEA-PhD

Focusing specifically on innovative approaches to doctoral education in Africa, the portal offers a unique insight on the state of doctoral education at African higher education institutions. It lists programmes, initiatives, government policies, guidelines to improve and modernise doctoral supervision, networking opportunities and donor initiatives. Become involved, share your work, network with a wide range of universities in Africa.

The portal is available at: [www.idea-phd.net](http://www.idea-phd.net).

Contact: [h.vantland@iau-aiu.net](mailto:h.vantland@iau-aiu.net)



# IAU CALLS

## SECURE A PLACE AT THE NEXT LGEU

### LGEU 3 IN COLOMBIA: DO TAKE THE LAST SEATS AVAILABLE!

After University Malaya (Kuala Lumpur) and University College Dublin (Dublin), the third IAU Member to host the LGEU programme is EAFIT University (Medellin, Colombia). This unique international programme for professional development of higher education leadership, entitled Leading Globally Engaged Universities will take place 4-9 December 2016. IAU Members benefit from significant discounts and scholarships for participants from least developed nations are available.

LGEU 4 will be hosted by the University of Botswana and will take place in May in Gaborone. For more information see page 15.

To register, please contact: Juliette Becker – [j.becker@iau-aiu.net](mailto:j.becker@iau-aiu.net)



## TAKE PART IN THE NEW IAU PROGRAMME FOR ADVANCING INTERNATIONALIZATION ISAS (2.0)

To undertake a constructive review of the internationalisation work at your university benefit from the expert advice from an IAU expert group.

More information on page 9.

Contact: Giorgio Marinoni at [g.maroni@iau-aiu.net](mailto:g.maroni@iau-aiu.net)



## WEB-BASED VIRTUAL RESOURCE CENTER ON INTERNATIONALIZATION OF HIGHER EDUCATION

IAU created dedicated web-pages to make available and share information and resources on Internationalization of Higher Education. The Virtual Resource Center ([www.iau-aiu.net/content/internationalization-higher-education-virtual-resource-center](http://www.iau-aiu.net/content/internationalization-higher-education-virtual-resource-center)) includes definitions, examples of institutional strategies and policies, good practice models and research papers about all aspects of the internationalization process. It is designed as an evolving space so contribute by sending documents to share: your institutional strategy, policy statements, examples of good practice, articles and any document concerning internationalization actions at your institution. To have your information posted online, please contact [g.marinoni@iau-aiu.net](mailto:g.marinoni@iau-aiu.net).

## DONATE AND BECOME AN IAU SUPPORTER!

IAU activities are diverse and our capacity to act is limited only by our resources, both human and financial. IAU is grateful to each and every Member for the support they provide. To expand our services and actions, most especially the efforts we make to bring people together, we invite you to donate to the IAU so that the Association can sponsor participants to the IAU international conferences; to the professional development workshops IAU offers and to other events held around the world. Donations can also be made to enable IAU to disseminate freely information on higher education policy developments around the globe through its publications and interactive web resources available to all. Finally, your support can be targeted to strengthen IAU capacity to undertake research which underpins our policy advocacy focused on values and social responsibility of higher education that serves the goals of sustainable development. Each donation will be reported on our website and highlighted in this magazine.

To make your donation, please contact: Angella Nino at [a.nino@iau-aiu.net](mailto:a.nino@iau-aiu.net) and [iau@iau-aiu.net](mailto:iau@iau-aiu.net)

# BECOME PART OF THE IAU ADMINISTRATIVE BOARD!

## ELECTIONS FOR IAU ADMINISTRATIVE BOARD 2016-2020

### *Who is eligible to stand for election as Member of the IAU Administrative Board?*

The executive head of an IAU Member institution or organisation can stand for election if the following criteria are met:

- ☑ The IAU Member institution/organisation is in good standing including the year in which the election falls.
- ☑ The candidate has support from executive heads of 5 IAU Member institutions/organisations in good standing (no membership fee arrears).
- ☑ The candidate is present at the time of the elections during the IAU 15<sup>th</sup> General Conference.

### *Who can vote?*

The executive head of an IAU Member institution or organisation in good standing including the year in which the election falls and present at time of the election.

In case the executive head cannot attend the IAU 15<sup>th</sup> General Conference, (s)he can delegate the vote to a representative from the same institution or another IAU Member institution fully paid up including the year in which the election falls. A letter should be addressed to the IAU Secretary General informing her of the delegation of vote.

A representative can only represent one Member. No individual can cast more than one vote.

### NOT YET MEMBER OF IAU?

Please click 'Join' on the IAU website ([www.iau-aiu.net](http://www.iau-aiu.net)) or write to Juliette Becker for more information ([j.becker@iau-aiu.net](mailto:j.becker@iau-aiu.net))

Together with the eligible Board members running for a second term, the IAU has so far received nominations or candidacies for election from 29 higher education leaders from a total of 26 countries around the globe. Seeking a geographically and gender balanced Board, IAU is also pleased to note that 8 candidates are women.

In total, and in addition to the President, the IAU Administrative Board is composed of 20 elected Members, and two *ex officio* Members.

## IAU 15<sup>TH</sup> GENERAL CONFERENCE

### HIGHER EDUCATION: A CATALYST FOR INNOVATIVE AND SUSTAINABLE SOCIETIES

13-16 Nov 2016

Bangkok, Thailand

Hosted by the Consortium of Thai Universities led by Siam University.

### MORE INFORMATION:

[www.etouches.com/iau2016](http://www.etouches.com/iau2016)



## CONFERENCE PROGRAMME

### SUNDAY 13 NOVEMBER 2016

|               |  |
|---------------|--|
| 16:00 - 20:00 | <b>INAUGURAL CEREMONY AND WELCOME RECEPTION TO COMMEMORATE THE 100 YEARS OF UNIVERSITY SYSTEM IN THAILAND</b><br>In the presence of H.R.H. Princess Maha Chakri Sirindhorn, Thailand |
|---------------|--|

### MONDAY 14 NOVEMBER 2016

|               |  |
|---------------|--|
| 09:00 - 09:30 | <b>Opening Ceremony</b>  |
| 09:30 - 11:00 | <b>PLENARY SESSION I - IS HIGHER EDUCATION A CATALYST FOR INNOVATIVE AND SUSTAINABLE SOCIETIES?</b>  |
| 11:30 - 12:30 | <b>BUSINESS SESSION I - REVIEW OF THE PROCEDURES FOR ELECTIONS AND REPORT ON ACTIVITIES 2012-2016</b>  |
| 14:00 - 15:30 | <b>I.a - Higher education: key actor to address the SDGs</b><br><b>I.b - HEIRRI project: Responsible Research and Innovation, pleonasm or indispensable prefix for sustainable education?</b><br><b>I.c - Regional Perspectives of higher education integration</b><br><b>I.d - The impact of ICT developments on society and its spillover effects on higher education</b>  |
| 16:00 - 17:00 | <b>Case study presentations</b><br>1.University-Industry Partnership<br>2.Universities as role models for sustainability<br><b>Case study presentations</b><br>1.Policy-practice & knowledge gaps in promoting inclusive growth in India<br>2. Fostering global responsibility and leadership in students<br><b>Case study presentations</b><br>1.Eco Campuses<br>2.Professional Leadership Training for Sustainable Development<br><b>Case study presentations</b><br>1.Fostering Global citizenship<br>2.Initiatives for catalyzing socio-ecological transformations |
| 19:30         | <b>Conference Gala Dinner (Cultural presentation)</b>  |

### TUESDAY 15 NOVEMBER 2016

|               |   |
|---------------|---|
| 09:00 - 10:30 | <b>PLENARY SESSION II - INNOVATION AND SUSTAINABLE DEVELOPMENT THROUGH THE LEADERSHIP, RESEARCH &amp; CURRICULUM</b>  |
| 11:00 - 12:30 | <b>II.a - Access of people with disabilities to higher education: Opening up higher education for inclusive societies</b><br><b>II.b - Fundamental university values for ASEAN success: A workshop led by the Magna Charta Observatory (MCO)</b><br><b>II.c - Higher Ed – Community engagement in education and research as path to innovation</b><br><b>II.d - UNESCO Global Action Programme (GAP), Agenda 2030: IAU and Partners actions</b> |
| 14:00 - 15:30 | <b>III.a - Implementing the SDGs (SDSN)</b><br><b>III.b - International Projects for Sustainable Development: The role of universities</b><br><b>III.c - HE-private sector collaboration: for innovation and to prepare the next generation</b><br><b>III.d - HE Internationalization: response to local and global challenges?</b>   |
| 16:00 - 17:30 | <b>BUSINESS SESSION II - ELECTIONS</b>  |
| 19:30         | <b>Reception hosted by Bangkok Metropolitan Authority (BMA)</b>   |

### WEDNESDAY 16 NOVEMBER 2016

|               |  |
|---------------|--|
| 09:00 - 10:30 | <b>BUSINESS SESSION III - RESULTS OF ELECTIONS</b> |
| 11:00 - 12:00 | <b>PLENARY SESSION III - THE WAY FORWARD</b>       |
| 12:00 - 12:30 | <b>Conference closing</b>                          |

## IAU BUSINESS

The **General Conference** is the supreme decision-making organ of the International Association of Universities. It meets once every four years and it is on this occasion that all IAU Members in Good Standing elect the IAU President as well as the Administrative Board Members.

During the Conference three IAU Business Sessions will be held to present, among other things, past and present activities

of the Association; to adopt IAU Policies and Statements developed over the four year period, to present the IAU Strategic Plan 2016-2020; to proceed to the election of the IAU Administrative Board and the IAU President for 2016-2020.

IAU is pleased to below present you with a digest of the forthcoming Strategic Plan.

## IAU STRATEGIC PLAN 2016-2020

The IAU Administrative Board and Secretariat collaborated in the elaboration of the new Strategic Plan for the Association. Keeping in line with the central values of the Association, building on the existing expertise and strengths of the IAU, and responding simultaneously to the global context and the institutional needs locally, the following Plan has been proposed.

### VISION

IAU aims to be the most representative and influential global association of diverse higher education institutions and their organizations, promoting and advancing a dynamic leadership role for higher education in society.

### MISSION

IAU promotes collaboration among its Members by articulating the fundamental values and principles that underpin the pursuit, dissemination and application of knowledge. The Association advocates for higher education policies and practices that respect diverse perspectives and promote social responsibility. With a particular emphasis on values and leadership, and acting as a forum for sharing and joint action, IAU encourages innovation, mutual learning and cooperation among institutions.

### OVERARCHING GOAL

IAU seeks to be a globally representative membership organization reflecting and serving the full spectrum of Higher Education Institutions (HEIs) and their organizations through actions linked to: policy advocacy; research; awareness raising; information dissemination; advisory services; professional development and capacity building; partnership and peer-to peer learning fora.

Reaching this overarching goal and fulfilling the vision and mission, requires the Association to focus its energies and concentrate its actions on a few specific areas and develop actions that are likely to meet the interests of the IAU Membership, have the greatest impact and be feasible within the overall IAU resource capacities. The following 6 more specific strategic goals, each with a number of objectives, and activities proposed have been agreed upon:

## STRATEGIC GOALS

### 1. Become the pivotal actor in the promotion of values-based leadership in higher education

*Leadership is a core aspect of quality higher education, vital in enabling institutions to respond to complex challenges, rapid pace of change and multiple responsibilities. For IAU, values-based and responsible HE leadership calls for less commodification of education, more equity, working within an ethical framework and ensuring that higher education and research institutions contribute to and are recognized as essential for sustainable development of democratic societies.*

### 2. Retain a leadership role in promoting internationalization of higher education focused on quality of learning, research and outreach for all

*Internationalization of higher education is an inevitable process in the era of globalization and a deliberate strategy for improving quality and relevance. IAU focuses on the academic rationales, the equitable and collaborative nature of the process and aims to minimize the adverse effects of international interactions when these take place in highly unequal and diverse contexts among HEIs with different, resources, needs and interests.*

### 3. Play a key mobilizing role for higher education and research for sustainable development

*Future well-being of humanity and the planet depends on successful resolution of the interconnected challenges of economic, social, cultural, and environmental sustainability. IAU's actions in support of the 2030 Development Agenda and related Sustainable Development Goals (SDGs), provide a new framework for university collaboration, in research, curriculum development and outreach, in pursuit of sustainable development.*

### 4. Facilitate harnessing of the full benefits of ICTs as tools to improve higher education and research for all

*ICTs and their impact are ubiquitous in all aspects of HE worldwide. Their potential for improving access to education and research is undeniable. Yet, for various reasons – including but not limited to funds – the inclusion of and the reflection on how best to use ICT in all functions of higher education is uneven from region to region, country within a region, and institutions within a country. Rather than enhancing access, disparities in the availability and accessibility of online content could exacerbate existing gaps. Preventive actions need to be taken so that ICTs fulfill their promise.*

### 5. Engage fully with Members by responding to their needs and interests and by providing quality services

*IAU is proud to have Member institutions and Organizations as well as Affiliates and Associates around the globe. Engaging with as many as possible and in productive ways to implement activities, deliver services and create opportunities for networking by offering numerous and diverse face-to-face and virtual fora is essential to all aspects of the strategic plan. It requires on-going effort in terms of two-way communications, inventiveness and creativity in terms of new services and projects to facilitate membership involvement.*

### 6. Remain financially sustainable

*Financial sustainability is a requirement for the delivery of the overall strategic plan. Revenues and their sound management are required to secure the human resources and expertise needed to offer, maintain and develop unique and high quality membership services and remain a credible organization in a highly competitive globalized higher education landscape.*

## ACTIONS

Specific actions and deliverables are proposed to meet these objectives and a set of broad performance indicators, both in terms of qualitative and quantitative targets, have also been identified and agreed-upon. Furthermore, the Secretariat will present annual work plans to the Administrative Board and adjust as needed according to IAU resources and the general

environment in which IAU operates. However, all decisions with regard to new projects and initiatives or major changes in the direction taken by IAU will be taken by the Administrative Board and the Secretariat within the framework of the IAU's clearly stated values, as follows:

## VALUES

- Academic freedom, institutional autonomy and social responsibility locally and globally
- Cooperation and solidarity based on mutuality of interests and shared benefits
- Tolerance of divergent opinions, freedom from political interference
- Equity in access and success in higher education and open access to knowledge

- Scientific integrity and ethical behaviour as cornerstones of conduct for all stakeholders in higher education
- Higher education and research in the public interest

The complete IAU 2016-2020 Strategic Plan, along with a four year budget, will be available online as soon as the 15<sup>th</sup> General Conference endorses it in Bangkok, Thailand in November 2016.





**Dzulfitri Abdul Razak, IAU**  
*President (2012-2016) reflects on his*  
**four years in office**



The four-year period as 14<sup>th</sup> IAU

President (2012-2016) has been a memorable one for me. I was very glad to be the first Malaysian to hold this position at the International Association of Universities.

My presidency has been marked in particular by the development and ending of the UN Decade on Education for Sustainable Development (UN-DESD, 2005-2014), the Education for All Agenda (2000-2015) and the end of Millennium Development Goals (2000-2015). IAU played key roles in all three, and initiated several “firsts” along the way.

IAU contributed to the Decade in various ways including by focusing its 2014 International Conference on *Blending Higher Education and Traditional Knowledge for Sustainable Development*. Held for the first time in the Amazonian capital of Iquitos, in Peru, in March 2014, the Conference resulted in the *IAU Iquitos Declaration on ESD*, a text that was used next at the UN University Conference on *Higher Education for Sustainable Development: Higher Education Beyond 2014* and the UNESCO World Conference on ESD. IAU contributed in substance to both events, in November, in Nagoya that same year. In the final report of the UN-DESD, *Shaping the future we want: UN Decade of Education for Sustainable Development* (DESD 2005-2014), I am pleased to note that one of my statements as IAU president was used to introduce the section on Higher Education: “The DESD has enabled the creation of a unique broad based platform to think-out-of-the-box in conceptualising, collaborating across the conventional boundaries, and more importantly implementing new and creative ideas to further promote sustainability to wider audiences across all sectors locally, regionally and globally.” (2013). This section in particular, highlights the many contributions of IAU members and the IAU as a whole as these relate to education and learning for sustainable development, to mainstreaming changes in knowledge, values and attitudes.

In 2015, I represented the IAU and the work developed in support of Higher Education and Education for All (HEEFA) at the World Education Forum, in Incheon, Korea to ensure that higher education was well represented in the final outcomes of the Forum and recognised as a key actor in shaping the future of education.

Even if the Millennium Development Goals (MDGs) were not reached in 2015, they led to the adoption of the 2030 Development Agenda. Launched in Nagoya as one of the outcomes of the UN-DESD, the UNESCO Global Action Programme (GAP) on ESD is one of the central mechanisms developed to address the Sustainable Development Goals (SDGs) of the 2030 Development Agenda (2016-2030). IAU made a strong case

for universities and higher education institutions to be in the UNESCO GAP and the new Education agenda. IAU is now one of the key GAP partner networks.

The IAU Action Plan for 2012-2016 included other activities as well. The longstanding expertise developed in Internationalisation of higher education was reinforced in 2014 with the publication of the 4<sup>th</sup> Global Survey, and used in 2015 to organise a successful International Conference on all related topics. Hosted beautifully by the University of Siena, the conference reminded all that there is more to the internationalization process than mobility. After more than five years, the IAU also re-developed its advisory services in this area into a comprehensive programme called Internationalisation Strategy Advisory Service 2.0.

The number of specialised and interactive IAU portals has grown to serve the Membership better. Some of these are linked to others in the bid to create a seamless network of networks. IAU publications remain diverse and numerous. We hope that the indexed *Higher Education Policy* journal, the *E-bulletin*, *Highlights from the Press*, and *IAU Horizons* reach you and provide you with useful information.

In all fields of work IAU developed strong cooperation with different but like-minded organisations and developed joint initiatives with a variety of partners from all over the world. This enables more effective information and knowledge sharing and facilitates the co-creation of a “new” knowledge-base, including that of traditional knowledges, that aims at being more universal and relevant to more organisations and communities globally. The last four years have been marked by an ever expanding IAU representation at major international events organised by IAU Member institutions and organisations and by national, regional and international organisation, including UNESCO, OECD, the UNU.

Though IAU continues to be a membership-driven and supported organisation, many projects and activities also benefited from strong support from the Swedish International Development Agency, and included specific activities funded by national governments including Romania and Malaysia. The identification of new streams of income and resources, based on innovative, pioneering programmes and the development of its membership base are on-going. IAU will continue to pursue this path but remain firm in its promotion of the core values the Association upholds, namely equity in access and success, ethics and social responsibility locally and globally.

All these achievements, and others, could be highlighted during the 2015 Nobel Dialogue Week, where I was able to represent the IAU and long with the first vice-president, Pam Fredman, Rector of the University of Gothenburg, and take part in a number of panel discussions. This was a unique experience and honor bestowed on IAU as one of the oldest vibrant international higher education associations.



The Association has grown stronger, no doubt thanks to the hard work of a small but efficiently and professionally managed Secretariat under the stewardship of Eva Eggen-Polak, the Secretary-General. I also enjoyed the collaboration, support and friendship of a dedicated Administrative Board from whose members I learned much over the years. But times are challenging and this requires a constant re-assessment of all actions and priorities.

In this light, and in order to strengthen its action and commitment to the values it stands for, the IAU developed a new strategic plan for the next four years. It is to be adopted at the IAU 15<sup>th</sup> General Conference in Bangkok, in November 2016. The plan includes the development of projects in higher education and research based on four main themes: sustainable development, internationalisation of higher education, leadership development and the role of information and communication technologies (ICT) in teaching, research and community engagement. This 15<sup>th</sup> Conference will also be the time for us to look back at the rich legacy of the Association, to recognise individuals who have contributed to the IAU and higher education overall. I am very pleased to launch the IAU President's Award which will recognize such outstanding contributions from now on.

It has been an interesting journey from the city of San Juan, Puerto Rico in 2012, to that of Bangkok, Thailand four years later. In all, it has been a privilege and a wonderful opportunity to lead a globally recognized Association of repute, and equally important to co-learn from so many people in and beyond academe - practitioners and field workers whose knowledge and experiences are no less significant and relevant in shaping a better and sustainable community of the future. To each and every one of them, on behalf of the IAU, I would like to express my thanks for each contribution made to further enrich the world of higher education. Personally, I would like to convey my heartfelt gratitude and thanks to members of Executive Committee, the Administrative Board, as well as the Secretariat who have worked together and made sure that the last four years have been rewarding for all involved. We look forward to continued support for IAU under a new leadership to be elected at the 15<sup>th</sup> General Conference for the upcoming four years.

I wish my successor, the new IAU president, the members of the Administrative Board and the IAU Secretariat good luck and much success for the future and they realise the core principle underlying IAU's activities: *Building a worldwide higher education community.* ”





## IAU THEMATIC PRIORITY AREAS

### INTERNATIONALIZATION

#### ► NEW ISAS (2.0) – THE IAU PROGRAMME FOR ADVANCING INTERNATIONALIZATION

In September 2016, IAU launched the new Programme for advancing higher education internationalization ISAS (2.0). It builds on the foundation and lessons learned of the initial Internationalization Strategies Advisory Service (ISAS), created in 2010 to help HEIs develop or review their internationalization policies, strategies and programmes. To learn about the first version of this service and read some of the testimonials from higher education institutions that undertook ISAS, please go to: <http://iau-aiu.net/content/internationalization-strategies-advisory-service-isas>

The new IAU programme – ISAS (2.0) consists of several different but complementary services offered to IAU Members, other Higher Education Institutions (HEIs), individuals at HEIs, national governments and organizations. The new programme goes beyond the original ISAS initiative by offering a greater variety of specific services to a more diversified audience. It seeks to accompany and assist single HEIs, groups of HEIs within a country, individuals, and policy makers in their distinct efforts to enhance internationalization of Higher Education.

**More information** on the ISAS (2.0) programme is available at <http://iau-aiu.net/content/isas-2>



ISAS (2.0) at Hokkaido University

#### ⊕ Like the look of ISAS (2.0)? Thanks go the winner of the IAU Design Competition!

IAU is pleased to announce that **Muhammad Mahir Mohaimin**, a student at Daffodil International University, Bangladesh, won the ISAS (2.0) design competition launched by the Association several months ago. IAU worked with Muhammad to further develop the winning logo and visual identity of the new ISAS (2.0) programme for advancing internationalization. IAU is using the new visual identity to promote the ISAS (2.0) programme and its central features – the Learning Badges – that institutions can seek to earn.

In recognition of his winning design, IAU has invited Muhammad Mahir Mohaimin to attend the IAU General Conference in Bangkok. IAU also thanks all the other students who submitted outstanding proposals in this competition.

**For more information, contact:** [g.marinoni@iau-aiu.net](mailto:g.marinoni@iau-aiu.net).

#### ⊕ TWO ISAS (2.0) PROJECTS



**Hokkaido University is first to receive the ISAS (2.0) learning badge “Assessing Strategy and Monitoring Achievements”!**

Hokkaido University, located in Sapporo, Japan is the first university to have undertaken the new ISAS (2.0) programme. The university undertook the “Assessing Strategy and Monitoring Achievements” strand based on a thorough self-review in the first months of 2016. The site visit took place in October 2016 and the expert panel, chaired by Madeleine Green, IAU Senior Fellow, and including Dr. Akira Ninomiya, President of Hijiya University Hiroshima, Japan, Professor Kent Anderson, Deputy Vice-Chancellor (Community and Engagement), the University of Western Australia and Eva Egron-Polak, IAU Secretary-General,



evaluated the outcomes and IAU is pleased to announce that the university satisfies the requirements to be awarded the *Internationalization Learning Badge: Strategy Monitoring and Achievements* for their achievements. The badge will be handed out during the IAU General Conference in Bangkok, in November. Contact: [g.marinoni@iau-aiu.net](mailto:g.marinoni@iau-aiu.net)



**Cardiff Metropolitan University in the United Kingdom is the first institution to start the “Achieving Comprehensive Internationalization” strand of service of the new ISAS (2.0) programme**

A Memorandum of Understanding signed in September 2016 by IAU and Cardiff Metropolitan university allowed to start the process of the “Achieving Comprehensive Internationalization” strand of service of the new ISAS (2.0) programme.

This is to lead to a specific badge, namely IAU Comprehensive Internationalization Badge, which would be granted after an in-depth evaluation of the institution’s goals, strategies, activities, monitoring framework and results.

This badge would be offered in a highly selective manner, not all institutions that would wish to choose this strand might be ready for it. For this reason the university provided IAU with the necessary documentation, which is being

evaluated by IAU to decide if the university is eligible. In case of a positive answer, the process will continue with an in-depth assessment of the extent the university is achieving Comprehensive Internationalization, that is, the extent to which internationalization is pervasive throughout the institution. This assessment will be conducted by a panel of international experts through the analysis of the documentation provided by the university and a site visit.

**► IAU TAKES PART IN PLANNING FOR 2018 GLOBAL POLICY FORUM WITHIN THE EHEA**



As the Bologna Process continues to evolve, the European Higher Education Area (EHEA) has launched a new website where visitors can find information on this 48 countries’ collective effort to implement the necessary reforms for increasing mobility of academics and students, enhancing employability and strengthening teaching quality across the member states.

From 2015 to 2018, a General Secretariat based in France coordinates the EHEA activities. The new website (<http://ehea.info>) is now online and offers information about the Bologna Process and the activities taking place inside the EHEA, especially those conducted by the Bologna Follow-Up Group (BFUG).

The IAU contribution to the work of the BFUG has focused on the co-drafting of a document entitled Academic Freedom and Institutional Autonomy – What Role in and for the EHEA? Furthermore, IAU is taking part in Working Group that leads the planning for the next Global Policy forum which regularly opens the EHEA Ministerial meetings to representatives from other world regions. The Working Group is developing proposals for the focus, the format, and the participants that should be involved in the next Global Forum in Paris, in 2018.

**Links**

<http://www.ehea.info>

<https://www.facebook.com/BFUGSecretariat>

<https://twitter.com/BFUGsecretariat>



Cardiff Metropolitan University



## The IAU program for advancing internationalization in higher education

**ISAS (2.0)** consists of several complementary services offered to IAU Members, other Higher Education Institutions (HEIs), professionals at HEIs, organizations and national governments. It builds on the initial *Internationalization Strategies Advisory Service* (ISAS), created to help HEIs develop or review their internationalization strategies, in two important ways:

- it offers a variety of tailored services to a more diversified audience;
- for HEIs, it offers distinct Learning Badges for each service to acknowledge the learning journey that has been undertaken.

### ISAS (2.0) menu of services:

- A** Advancing strategic internationalization at HEIs
- B** Facilitating individual learning for internationalization
- C** National advisory service for system level strategy or policy development

IAU calls on the experience of a worldwide network of **experts** to deliver these services and thus ensures that local contexts and cultural realities are taken into consideration.

## IAU CONTRIBUTIONS TO DEBATES ON HIGHER EDUCATION AND RESEARCH FOR DEVELOPMENT

IAU work on higher education and research for sustainable development is to be presented at the IAU 15<sup>th</sup> General Conference.

The notoriety of the Association's work in the field is growing each year and IAU is often invited to contribute to Conferences of its Members. The IAU President is invited to conferences and debates in many institutions and other higher education events where he represents the Association.

In September, he spoke at the COPERNICUS Alliance and signed the Memorandum of Understanding that seals new cooperation between the two organisations. In October, the IAU Deputy Secretary General was one of the keynote speakers at the Public Debates organised by the University of Zurich in Switzerland on "Change Agents and Leverage Points on how universities can move societies to address sustainability meaningfully". In particular, she presented telling examples of whole of institution approaches to ESD at institutional, local, national and international levels.

### ⊕ 2016 meeting of the UNESCO Global Action Programme (GAP) on Education for Sustainable Development Partner Networks, Paris, France

As UNESCO GAP on ESD Partner Network, IAU took an active part in this meeting which served to present and review progress achieved and challenges encountered in implementing GAP commitments. IAU presented the initial outcomes of the IAU *Global Survey on the Role of Higher Education in Fostering Sustainable Development*. Other participants shared successful approaches to scaling-up ESD; discussed challenges encountered in reaching the target group of each Partner network; and planned common activities for the year ahead, with a particular focus on flagship projects. IAU is now one of the two Chairs of Action Area 2 (Whole of Institution Approach to ESD).

### ⊕ Renewed cooperation with COPERNICUS Alliance: IAU and COPERNICUS Alliance join forces to foster Higher Education and Research for Sustainable Development (HESD)

During the 2016 COPERNICUS Alliance Conference that took place in Vienna on 14-15 September, the IAU and COPERNICUS Alliance signed a MoU. This signing by the presidents of both Associations marks a long history of cooperation and officialises the wish to jointly foster HESD.



The Presidents of COPERNICUS Alliance, Clemens Mader, and of IAU, Dzukifli Abdul Razak, sign a Memorandum of Understanding.

The initiatives already listed in the MoU include, among others, a joint Call for papers and a professional training programme on HESD leadership.

**For more information:** [h.vantland@iau-aiu.net](mailto:h.vantland@iau-aiu.net)

⊕ Sustainability Science: a new development in ESD? – Broadening the Application of the Sustainability Science Approach, **by Maik Adomßent**, *Leuphana University of Lüneburg, Institute for Environmental and Sustainability Communication – INFU, UNESCO Chair 'Higher Education for Sustainable Development'* ([adomssent@uni.leuphana.de](mailto:adomssent@uni.leuphana.de)) and **Salvatore Aricò**, *Sr. Programme Specialist Division of Science Policy and Capacity Building, Natural Sciences Sector, UNESCO* ([s.arico@unesco.org](mailto:s.arico@unesco.org))

Science has an important role to play in the transition towards a sustainable society – one of the central challenges of our times. After the adoption of the 2030 Agenda for Sustainable Development and its "Sustainable Development Goals" (SDGs), the global community now faces the task of implementing these. But how can science help to tackle complex challenges for humanity such as climate change, biodiversity loss, pollution, inequalities, poverty and ending conflicts? And how can science best fulfil its commitment to generate knowledge for the society by both understanding the underlying constituents and dynamics of transformation processes, and laying the foundation for new approaches and solutions? As an innovative form of "use-inspired basic research" (Clark, 2007), sustainability science goes about addressing the interaction of humans and the environment. Conversely, how could current approaches to education lead to the formation of a needed generation of transdisciplinary scholars and practitioners needed to attain the new development agenda (Adomßent, 2013). Through its problem- and

(to be continued on page 14)

## INTERNATIONAL ASSOCIATION OF UNIVERSITIES/PALGRAVE MACMILLAN LTD AND COPERNICUS ALLIANCE

### Prizes in Higher Education Policy Research 2016-17

#### Essay Competition on: "Higher Education and Research for Sustainable Development: A New Academic Discipline?"

palgrave  
macmillan

ALLIANCE  
COPERNICUS

IAU  
INTERNATIONAL  
ASSOCIATION OF  
UNIVERSITIES  
INTERNATIONAL UNIVERSITY BUREAU

Thanks to, and in partnership with, Palgrave Macmillan Ltd., publisher of the Association's research and reference works, and COPERNICUS Alliance, the **International Association of Universities (IAU)** and **COPERNICUS Alliance (CA)** are pleased to announce the 2016-2017 **IAU/Palgrave and CA Prizes in Higher Education Policy Research**.

The aim of the two Prizes is to promote research in the field of higher education policy by recognizing outstanding work on a particular theme by two scholars, one from **IAU** and one from **CA Member Institutions or Organisations**.

The theme of the 2016-17 competition is "**Higher Education and Research for Sustainable Development**", and is linked to the theme of the CA Annual Conference 2016 and the IAU 15<sup>th</sup> General Conference taking place in Vienna in September and Bangkok in November 2016, respectively.

Sustainable development has been adopted as a concept that universities and other higher education institutions work on and work with ever since 1993. The understandings and initiatives 'sustainable development education and research' covers fall under a variety of 'categories' including leadership, management and institutional development; campus initiatives; education, curriculum and professional development; research; business and community outreach; student engagement.

Today much of the attention of members of the academic teaching and research community and university administration focuses on one hand on ways to assess and measure the integrating of sustainable development in HE, and on the other hand on the development of "sustainability science" as a new academic discipline which is to point the way to a sustainable global society by facing challenges that existing disciplines need to address jointly. Sustainability Science explores interactions between global, social, and human systems, the complex mechanisms that lead to degradation of these systems, and concomitant risks to human well-being.

Sustainability Science creates a transdisciplinary academic structure and discovery process that connects the natural sciences, social sciences, and humanities.

The IAU and CA contribute to promoting a more comprehensive approach to understanding higher education and research for sustainable development and encourage research and analysis in this direction.

The research-based essays may take the form of an analytical case study, an analysis of trends, provide an overview of relevant policies or offer the results of impact assessment. They may also look at research projects, innovations they aim at bringing about, showcase good-practice or evaluate/analyse institutional policies or approaches higher education and research for sustainable development.

Please note, that submissions must be research- and analysis-based; articles that are purely descriptive will not be retained.

The **IAU/Palgrave and CA Prizes, valued at €2,000 each**, is awarded to the two most outstanding essays received from one researcher/scholar from an IAU Member Institution or Organization and one researcher from COPERNICUS Alliance Member Institution or Organization. The essays should not exceed 7,500 words in length; they should be written in English and be submitted in electronic format (MS Word). You will find further author instructions on Palgrave Macmillan's website.

An international jury of distinguished scholars and higher education leaders will review the Essays submitted and select the most deserving Essay. The authors will be invited to the IAU 2017 and CA 2017 Conferences; the Prizes will be awarded during the Conference Dinner. The result will be widely disseminated by the Association and the Alliance.

**Deadline for submission: 1 May 2017**

**Please send all queries and essays to:** Nicholas Poulton, Editorial Assistant ([hep@iau-aiu.net](mailto:hep@iau-aiu.net))

(continued from page 12) solution-orientation, sustainability science can thus be understood as a mutual learning process between science and society.

In a 2-year project UNESCO, with support of the Japanese Ministry of Education, Culture, Sports, Science and Technology, aims to foster dialogue between key stakeholders from academia, the policy-making community, specialized institutions and the United Nations in order to better define and broaden the sustainability science approach in support of the 2030 Agenda. The operational objectives of the project are:

- To formulate a series of policy messages, regional and global, in the form of conceptual and methodological guidance on sustainability science, for consideration by Member States;
- To identify the main elements of a possible UNESCO initiative on sustainability science, to be presented to the General Conference of UNESCO in the fall of 2017; and
- To establish a steering committee to act in an advisory role in the selection of target audiences for the three planned symposia, provide scientific quality advice to UNESCO in the execution of the project, and in the dissemination of findings and results of the symposia.

Starting off with an Inception Symposium held at UNESCO Headquarters in Paris earlier in April, first ways were explored to bridge academic work on sustainability science with the growing interest for this approach on behalf of the policy-making community. By showcasing inputs from scientific perspectives and successful case studies on sustainability science a pioneer platform was created that will be built upon by two following symposia. Some of the key questions that this first symposium ended with were: What kind of knowledge is needed to inform

the 2030 Development Agenda? How can natural and social sciences engage in a dialogue with each other as well as with other relevant knowledge such as indigenous and local knowledge in producing the required knowledge basis? Can co-design of research questions based on the involvement of multiple stakeholders be scaled-up from local realities to address national and international challenges? What are the new institutional settings that may be required for mainstreaming knowledge on sustainability issues?

The forthcoming second symposium in December 2016 will start assessing the tailored applicability of the sustainability science approach, thematically and at the regional level, involving all of UNESCO's five regions. A final global policy symposium at UNESCO Headquarters in 2017 is then meant to pave the ground to attaining consensus on global policy messages from UNESCO Member States and to design a UNESCO initiative on sustainability science.

## REFERENCES

**AdomBent, M.** (2013): *Exploring universities' transformative potential for sustainability-bound learning in changing landscapes of knowledge communication*. In: *Journal of Cleaner Production* 49, 11-24. <http://dx.doi.org/10.1016/j.jclepro.2012.08.021>

**Clark, W.C.** (2007): Sustainability science: A room of its own. *Proceedings of the National Academy of Sciences* 104 (6): 1737-1738. <http://www.pnas.org/content/104/6/1737.full?ck=nck>

**More information online at:** <http://en.unesco.org/events/inception-symposium-sustainability-science-joint-unesco-and-japanmext-project-broadening>

## DOCTORAL EDUCATION

IAU work on Innovative approaches in doctoral education is awaiting new funding. In the meantime the IDEA-PhD portal ([www.IDEA-PhD.net](http://www.IDEA-PhD.net)) continues to be enhanced. To contribute financially to IAU projects in this field and to submit information for publication on the portal, please contact [h.vantland@iau-aiu.net](mailto:h.vantland@iau-aiu.net)

**CONGRATULATIONS!** Professor Ernest Aryeetey, former Vice-Chancellor of the University of Ghana, and IAU Board Member & Chair of the IAU Working Group on Innovative Approaches to Doctoral Education in Africa, has been appointed to steer **The Association of Research Universities in Africa (ARUA)**, an alliance formed by research-intensive

universities in Africa to strengthen research and postgraduate training on the continent. Launched at the African Higher Education Summit in Dakar, ARUA receives funding from Carnegie and Kresge.

Sixteen universities are represented, including: Nigeria: University of Lagos, University of Ibadan and Obafemi Awolowo University; Ghana: University of Ghana; Tanzania: University of Dar es Salaam; South Africa: University of the Witwatersrand, Stellenbosch University, University of Pretoria, Rhodes University, University of Cape Town and University of KwaZulu-Natal; Kenya: University of Nairobi; Rwanda: University of Rwanda; Senegal: Université Cheikh Anta Diop; Uganda: Makerere University; and Ethiopia: University of Addis Ababa. (Source: CHET Newsletter)



**NEW HEFAALA**

The **Higher Education Forum for Africa, Asia and Latin America** (HEFAALA) was launched in August 2016 immediately following an international symposium under the theme “Continental realities, international imperatives”. Focusing on South-South and South-South-North cooperation aim is to create exchange and dialogue between the three regions as they

share, compare and learn from one another ways to meet higher education challenges.

HEFAALA was founded by Prof. Damtew Teferra, head of Higher Education Training and Development at the University of KwaZulu-Natal, an IAU Member institution.

(source: *University world news*)

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## LEADERSHIP DEVELOPMENT

### ► LEADING GLOBALLY ENGAGED UNIVERSITIES (LGEU)

The second LGEU session concluded successfully at the University College Dublin, Ireland to the satisfaction of all participants. IAU thanks the host institution, the participants and the institutions that invited the cohort to visit their campuses while in Dublin. This cohort of senior representatives of universities from no less than a dozen countries is already networking through LinkedIn.

Registration for LGEU – 3 opened over the summer and there is still room for one or two participants to join the group. The third session will be hosted by **EAFIT University, Medellin, Colombia, 4-9 December 2016**.

Taking into consideration participant feedback, the programme continues to improve and IAU hopes to welcome a maximum of 20 representatives of HEIs from around the globe. Partial scholarships are available on a first-come-first-served basis for IAU Members in the least developed nations.

IAU is also pleased to announce that it has also concluded an agreement with the host of the next and 4<sup>th</sup> LGEU session – the **University of Botswana**. Thus the IAU commitment to ensure that all regions are covered in this professional development opportunity continues and this fourth session of the LGEU will be take place in Gaborone, Botswana, **21-26 May 2017**.

**For more information, please contact:** [j.becker@iau-aiu.net](mailto:j.becker@iau-aiu.net)



LGEU at University Malaya (above) and University College Dublin (below).

## MEMBERSHIP NEWS

### NEWS FROM THE IAU SECRETARIAT

➡ Effective 1 October, 2016, **Dr. Hilligje van't Land** took up the position as Deputy Secretary General of IAU. The creation of this new position, and Hilligje's nomination reflects the excellent contribution that she has made to the work of the Association, not least in the areas of membership development, as editor of the magazine IAU Horizons and as the lead expert in the Secretariat on the thematic priority promoting higher education and research for sustainable development.

➡ IAU is pleased to welcome **Frédérique Herzog** who joined the Secretariat in mid-August as Programme Officer. Frédérique Herzog joined the IAU as Programme Officer at the end of August. She holds a double master's degree in International Affairs and Environmental Science from Sciences Po Paris and Pierre and Marie Curie University. Having developed a strong interest in sustainable development and corporate social responsibility issues, she spent a year working for a French network bringing together more than 700 entrepreneurs committed to these topics. She then joined iesMed, a cooperative platform in Barcelona dedicated to the promotion of social and solidarity economy in the Mediterranean Region, where she worked as project coordinator for three years. Within the IAU, Frédérique will work with Hilligje Van't Land on Higher Education and Research for Sustainable Development and the development of the related portal ([www.iau-hesd.net/en](http://www.iau-hesd.net/en)).

➡ **Astrid Salcedo** joined the IAU in October as Communication Manager. She holds a Master's degree in Law from the University of Strasbourg and a Masters 2 in European Studies from the University Aix-Marseille I. She worked for 4 years in Brussels for the communication department of a lobby defending consumers' interests. Then, she joined for 2 years a UN hosted entity in Geneva working to improve access to water and sanitation in developing countries. More recently, she worked as Communication Manager for 2 different institutes, one located in France and the other one in Italy, working in the field of International Human Rights Law and International Criminal Law. Astrid will work in close cooperation with Hilligje van't Land IAU Deputy Secretary General, and the whole team to develop the communication strategy for the organization which will contribute to raise IAU visibility.



### IMPORTANT IAU DATES – Mark your calendar !

+ 4-9 December 2016:

**LEADING GLOBALLY ENGAGED UNIVERSITIES – SESSION 3** (LGEU #3)

Hosted by Universidad EAFIT, Medellin, Colombia.

+ 21-26 May 2017:

**LEADING GLOBALLY ENGAGED UNIVERSITIES – SESSION 4** (LGEU #4)

Hosted by the University of Botswana, Gaborone, Botswana.

+ 18-20 October 2017:

**IAU 2017 GLOBAL MEETING OF ASSOCIATIONS (GMA VII)** followed by the

**IAU 2017 INTERNATIONAL CONFERENCE.**

The Theme for both the GMA and the International Conference is: **LEADERSHIP FOR A CHANGING PUBLIC-PRIVATE HIGHER EDUCATION FUNDING LANDSCAPE**, in Accra, Ghana.

Hosted by the University of Ghana, in collaboration with Association of African Universities (AAU).



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**MAKE SURE YOU ARE THERE**

**JOIN THE IAU!**

[www.iau-aiu.net/join](http://www.iau-aiu.net/join)

Contact: Juliette Becker at [j.becker@iau-aiu.net](mailto:j.becker@iau-aiu.net)



Total number of institutional Members  
is **607** (as of 20 October 2016).

IAU is pleased to welcome new Members who joined and re-joined the Association since May 2016.

## HIGHER EDUCATION INSTITUTIONS

**University of Southern Queensland,**  
Australia  
[www.usq.edu.au](http://www.usq.edu.au) (*Rejoin*)



**The University of Malaga,**  
Spain  
[www.uma.es](http://www.uma.es) (*Rejoin*)



**Bath Spa University,**  
United Kingdom  
[www.bathspa.ac.uk](http://www.bathspa.ac.uk)



**California State University Northridge,**  
United States of America  
[www.csun.edu](http://www.csun.edu)



**Gamby College of Medical Sciences,**  
Ethiopia  
(no website)



**Asian University for Women,**  
Bangladesh  
[www.auw.edu.bd](http://www.auw.edu.bd)



**Princess Sumaya University for Technology,**  
Jordan  
[www.psut.edu.jo](http://www.psut.edu.jo)



**Canik Başarı University,**  
Turkey  
[www.basari.edu.tr](http://www.basari.edu.tr)



**Shiraz University,**  
Iran  
[www.shirazu.ac.ir](http://www.shirazu.ac.ir) (*Rejoin*)



**Mbarara University of Science and Technology,**  
Uganda  
[www.must.ac.ug](http://www.must.ac.ug)



**Prince Sultan University,**  
Saudi Arabia  
<http://psu.edu.sa>



**Politecnico di Milano University,**  
Italy  
[www.polimi.it](http://www.polimi.it) (*Rejoin*)



**University of Mysore,**  
India  
[www.uni-mysore.ac.in](http://www.uni-mysore.ac.in) (*Rejoin*)



**South Asian University,**  
India  
[www.sau.int](http://www.sau.int)



**Business School Lausanne,**  
Switzerland  
[www.bsl-lausanne.ch](http://www.bsl-lausanne.ch)



**Meritorious Autonomous University of Puebla,**  
Mexico  
[www.buap.mx](http://www.buap.mx) (*Rejoin*)



**University for Development Studies,**  
Ghana  
[www.uds.edu.gh](http://www.uds.edu.gh)



**Notre Dame University of Haiti,**  
Haiti  
[www.undh.edu.ht](http://www.undh.edu.ht)



**University of Maribor,**  
Slovenia  
[www.um.si](http://www.um.si) (*Rejoin*)



**D. Serikbayev East-Kazakhstan State Technical University,**  
Kazakhstan  
[www.ektu.kz](http://www.ektu.kz) (*Rejoin*)



**United States International University – Africa,**  
Kenya  
[www.usiu.ac.ke](http://www.usiu.ac.ke)



**National Law University,**  
Delhi, India  
[www.nludelhi.ac.in](http://www.nludelhi.ac.in)



**Universidad INCCA de Colombia,**  
Colombia  
[www.unincca.edu.co](http://www.unincca.edu.co) (*Rejoin*)



**Institut de Management et de Communication interculturels de Paris (ISIT),**  
France  
[www.isit-paris.fr](http://www.isit-paris.fr)



**University of Malaga,**  
Spain  
[www.uma.es](http://www.uma.es) (*Rejoin*)



**MIT University Skopje,**  
Macedonia (FYROM)  
[www.mit.edu.mk](http://www.mit.edu.mk)



**Kristianstad University,**  
Sweden  
[www.hkr.se](http://www.hkr.se)



**Malayer University,**  
Iran  
[www.malayeru.ac.ir](http://www.malayeru.ac.ir)



**University of Guilan,**  
Iran  
[www.guilan.ac.ir](http://www.guilan.ac.ir) (*Rejoin*)



**Shatt Al-Arab University College,**  
Iraq  
[www.sa-uc.edu.iq](http://www.sa-uc.edu.iq)



**AIMST University,**  
Malaysia  
[www.aimst.edu.my](http://www.aimst.edu.my)



## NEW ORGANISATIONS

**The National Council of Rectors in Romania**  
[www.cnr-romania.ro](http://www.cnr-romania.ro)



**UNICA – Network of the Universities from the Capitals of Europe,**  
Belgium  
[www.unica-network.eu](http://www.unica-network.eu)



**Japan Association of National Universities**  
[www.janu.jp/eng](http://www.janu.jp/eng)



## NEW AFFILIATES

**COPERNICUS Alliance**  
[www.copernicus-alliance.org/](http://www.copernicus-alliance.org/)





## IAU COLLABORATION AND NETWORKING

### IAU involved in Higher Education Institutions and Responsible Research and Innovation (HEIRRI) Project



Higher Education Institutions  
& Responsible Research and Innovation

Designed to integrate the concept of Responsible Research and Innovation (RRI) into Universities and other Higher Education Institutions (HEI), the project aims to better align the needs, expectations and values of society with Research and Innovation. IAU sits on the Advisory Board. The Project and opportunities for IAU Members will be presented in Bangkok and debated in a special session held during the IAU 15<sup>th</sup> General Conference.

<http://heirri.eu/> – **Contact:** [h.vantland@iau-aiu.net](mailto:h.vantland@iau-aiu.net)

### Internationalisation of Higher Education: a Handbook and a Journal



#### Handbook on Internationalisation of Higher Education

Since Spring 2016 IAU acts as the Chair of the Editorial Board for the publication of this Handbook by DUZ Verlags- und Medienhaus GmbH publishers in Berlin, Germany. The first issue under IAU's coordination (issue 2/2016) was published in July and the next one (3/2016) will be published in November.

Published three times per year and including articles from all over the world, the Handbook offers practically-oriented articles of interest to anyone engaged in the internationalization of higher education. IAU Members benefit from a substantial discount on subscriptions to the hard copy and on-line versions.

**For details please read the special subscription offer at** [www.iau-aiu.net/sites/all/files/HBI\\_flyer\\_final\\_0.pdf](http://www.iau-aiu.net/sites/all/files/HBI_flyer_final_0.pdf)

#### Journal of the European Higher Education Area:

IAU Members can benefit from a lower price on the subscription to the "Journal of the European Higher Education Area", a user-friendly tool to support the work of higher education leaders, faculty, decision-makers and students interested in the major reforms of the Bologna Process and their implications for institutional strategies and practices.

**For details please read the special subscription offer at:**

[www.iau-aiu.net/sites/all/files/EHEA\\_flyer\\_final.pdf](http://www.iau-aiu.net/sites/all/files/EHEA_flyer_final.pdf)

**Contact:** [g.marinoni@iau-aiu.net](mailto:g.marinoni@iau-aiu.net)

### World Bank SABER-TE project



The World Bank Group (WB) is developing a new program: "System Approach

for Better Education Results – Tertiary Education (SABER-TE)" and invited the International Association of Universities (IAU) to undertake an external evaluation and provide feedback on key instruments of this program.

The SABER program is a comprehensive suite of educational policy assessment tools already developed by the World Bank Group in support of its policy dialogue with governments. SABER (<http://saber.worldbank.org>) has been developed in several domains of educational systems and the WB wishes to implement it at the Tertiary Education level as well. IAU agreed to seek expert feedback from around the world, so that the WB could finalize the SABER-TE instruments before piloting with a number of countries.

The IAU identified 19 experts from different world regions and together with additional WB experts each reviewed either part or all of the proposed SABER-TE tools according to their expertise and experience in the various domains. SABER-TE covered the following areas: Vision for Tertiary Education; Regulatory Framework for Tertiary Education; Governance; Finance; Quality Assurance and the Relevance of Tertiary Education for Economic and Social Needs.

**Contact:** [g.marinoni@iau-aiu.net](mailto:g.marinoni@iau-aiu.net)

### Council of Europe



Dr van't Land is a member of the Expert Group working on the development of the Framework for Competences for Democratic.

Last Spring, Dr van't Land, Deputy Secretary General, represented the IAU at the **25<sup>th</sup> Session of the Council of Europe Standing Conference of Ministers of Education** which adopted the Declaration "Securing Democracy through Education" and welcomed the development of a Reference Framework of Competences for Democratic Culture.

[http://www.coe.int/t/dg4/education/competences\\_EN.asp](http://www.coe.int/t/dg4/education/competences_EN.asp)

[http://www.coe.int/t/dg4/education/competences\\_FR.asp](http://www.coe.int/t/dg4/education/competences_FR.asp)



To complement the framework the group is currently exploring assessment models that would allow teachers and professors to incorporate the framework in their teaching more fully. A hearing on assessment will take place on 26-27 October in Strasbourg, France.

To become involved in the framework development and testing phase, please contact: [h.vantland@iau-aiu.net](mailto:h.vantland@iau-aiu.net)

## Global Access to Post-Secondary Education Initiative



Formally established as a Foundation under Dutch law, GAPS began its life in June 2016.

Catherine Millet (USA) became the founding chair of the Board and the IAU's Secretary General agreed to serve on the Board along with two other Board members, heads of the Council for Opportunity in Education (USA) and National Centre for Diversity Policy (the Netherlands), respectively. GAPS aims to build a global, engaged and collaborative community of higher education representatives committed to improving and broadening equitable access to higher education. Thus the goals of GAPS are directly in line with the IAU commitments in this area and an extension of our past collaboration with GAPS and the European Access Network (EAN). After Montreal, Canada and Kuala Lumpur, Malaysia, GAPS will hold its next World Congress in Sao Paulo, Brazil on the theme: Working Together for a Democratized Postsecondary Education: A Key to Sustainable Development. It will take place from 2-4 November, 2017.

For information on GAPS: <http://www.gaps-education.org>

## Magna Charta Observatory



Continuing collaboration with the Magna Charta Observatory, the IAU took part in a Workshop organized by MCO and the Arab

Association of Universities (ArAU) and IAU Member Organization in Amman, Jordan. The workshop was organized to explore how the Magna Charta Universitatum values could be implemented and shared for greater impact at the institutional level.

Further collaboration will take place during the General Conference in Bangkok when the Magna Charta Observatory will hold its first-ever event in Asia as part of the IAU General Conference

## Association of Swedish Higher Education SUHF



Sveriges universitets- och högskoleförbund  
The Association of Swedish Higher Education  
Högskoleförbundet

In September 2016, IAU hosted several

Board members of the Association of Swedish Higher Education

(SUFH) including the Chair of the Board and current and future Secretary General of SUFH. The meeting served primarily to introduce the Swedish rectors to the work of the IAU and to stimulate interest in collaboration. IAU thanks the delegation for taking the time to meet with IAU staff members.

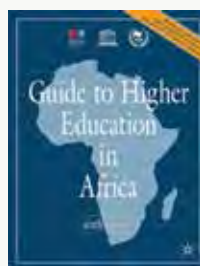
## Universities Australia (UA) visited the IAU to explore further cooperation



Belinda Robinson, CEO of Universities Australia (UA) and Meghan Butler, program officer responsible for international

relations, visited the IAU Secretariat to learn more about the IAU and to present some of the current priorities of UA. The meeting was too short to discover all the potential for cooperation but served to convince both organizations' leadership that collaboration would be of mutual benefit and advantage. IAU is pleased to count, among its members, a relatively large number of AU members but would be pleased to develop more initiatives with AU, beyond the current practice of disseminating reports and advocacy positions taken by the Australian peak body.

## World Higher Education Database updates in partnership with UNESCO: special focus this year to update information on AFRICA



Following the signing of a UNESCO-IAU framework agreement in 2015, focusing more particularly on collaboration

on updating the IAU's World Higher Education Database, letters co-signed by IAU and UNESCO were sent to all UNESCO

Member States in Africa inviting them to assist in keeping the database up-to-date. IAU updates this global database of more than 18,000 higher education institutions and national systems annually, each year focusing on a different world region. By launching its cooperation in Africa, IAU hopes to provide authoritative and accurate data on this region where higher education is expanding rapidly. When invited to do so, we urge all universities to complete their pre-filled online questionnaire. For added visibility in the WHED, IAU Members are also invited to send photographs. The WHED is available free of charge to all, but IAU Members benefit from more enhanced searching and downloading possibilities.

## IAU and Rockefeller Foundation cooperation



The  
**ROCKEFELLER  
FOUNDATION**

IAU is pleased to announce the new cooperation project it signed with Rockefeller Foundation for IAU to assist RF in expanding the global outreach of the Bellagio Center Academic in Writing Residency Programme.

## Announcing the current open call for Academic Writing Residency applications at The Rockefeller Foundation Bellagio Center on Lake Como in Italy.

The Rockefeller Foundation Bellagio Center Residency Program offers a unique opportunity for focused work on the tranquil shore of Lake Como. The Center brings together leading artists, academics, practitioners, and policymakers for up to one month, fostering cross-cultural and interdisciplinary dialogue to shape thinking and catalyze action around the Foundation's strategic goals: building greater resilience and more inclusive economies.

The latest news, an overview of programs, and all application materials can be found on the Center's [website](#). Those interested in applying should visit the [Bellagio Application Resource Center](#) for additional information.



*"My Bellagio experience has remained with me, influencing my thinking and continually reminding me of the importance of considering the perspectives of others."*

– W. Ed Hammond, Resident Fellow, 2008

**Competition Opens: October 1, 2016 • Final Deadline to Submit: December 1, 2016**

*Successful applicants from this competition will be offered residencies from late 2017 through 2018.*



The  
**ROCKEFELLER  
FOUNDATION**

[www.rockefellerfoundation.org/bellagio-center](http://www.rockefellerfoundation.org/bellagio-center)



IAU is pleased to support this program and invites interested IAU Members to contact Juliette Becker at: [j.becker@iau-aiu.net](mailto:j.becker@iau-aiu.net)



# GET INVOLVED FURTHER IN THE LIFE AND WORK OF THE INTERNATIONAL ASSOCIATION OF UNIVERSITIES BY BENEFITTING FULLY FROM THE SERVICES AND OPPORTUNITIES OFFERED, INCLUDING:

## IAU CONFERENCES & SEMINARS

📌 For Full list and list of Calls please see page 2 for the list of upcoming Seminars, expert group meetings, the 2017 Global Meeting of Associations and IAU 2017 International Conference (18-20 October 2017, in Accra, Ghana) and more.

## NETWORKING & SHARING

### 📌 World higher Education Database – IAU WHED

The Portal ([www.whed.net](http://www.whed.net)) provides information on higher education systems, credentials and institutions. It covers over 18,000 institutions in some 182 countries and is constantly updated. Ensure that the information provided about your institution is up to date! Members benefit from special features.

### 📌 Web-based Virtual Resource Center on Internationalization of Higher Education

Contribute to the IAU Virtual Resource Center and send documents to share: institutional strategies, policy statements, examples of good practice, articles and documents relating to your internationalization actions.

[www.iau-aiu.net/content/internationalization-higher-education-virtual-resource-center](http://www.iau-aiu.net/content/internationalization-higher-education-virtual-resource-center).

### 📌 Higher Education and Sustainable development (HESD)

Register your University and showcase actions undertaken to respond to the need to ensure a better future for all, through education, teaching, research and community engagement. Register and network your initiatives on the IAU global portal: [www.iau-hesd.net](http://www.iau-hesd.net)

### 📌 Innovative approaches to doctoral education in Africa (IDEA-PhD)

Profile your doctoral education programmes, initiatives and opportunities on the IAU IDEA-PhD portal: [www.idea-phd.net](http://www.idea-phd.net). Focusing mainly on Africa, the portal showcases collaborative projects with African HEIs; lists and presents key policy documents; offers cooperation opportunities.

## PUBLISH WITH IAU

📌 Share information on conferences, publications, other important events with the broader higher education community, by publishing details on the *News from Members* section of the IAU website. Please send your information to IAU at [s.andriambololo@iau-aiu.net](mailto:s.andriambololo@iau-aiu.net)

## PUBLICATION OPPORTUNITIES

📌 Submit a research paper to the peer reviewed *Journal Higher Education Policy*! More information online at:

[www.iau-aiu.net/content/hep](http://www.iau-aiu.net/content/hep)

📌 Write a paper, summarizing your recent projects or activities, or those of your organization, for publication in the *In-Focus* section of *IAU Horizons*.

📌 Submit publications for inclusion in the **International Bibliographic Database on Higher Education (HEDBIB)**.

Contact: [a.sudic@iau-aiu.net](mailto:a.sudic@iau-aiu.net)

## GRANTS AND SERVICES

📌 Review your institution's internationalization strategy and related activities by undertaking an **Internationalization Strategies Advisory Service (ISAS 2.0)** project with the IAU.

Visit: [www.iau-aiu.net/content/isas](http://www.iau-aiu.net/content/isas)

📌 Keep informed about upcoming LEADHER grant competitions:

[www.iau-aiu.net/content/leadher](http://www.iau-aiu.net/content/leadher)

📌 Take part in the LGEU programme: [www.iau-aiu.net/content/leading-globally-engaged-universities-lgeu](http://www.iau-aiu.net/content/leading-globally-engaged-universities-lgeu)

## MAKE USE OF IAU POLICY STATEMENTS, including:

📌 *IAU Iquitos Statement on Higher Education for Sustainable Development (2014)*

📌 *Affirming Academic Values in Internationalization of Higher Education: A Call for Action (2012)*

📌 *IAU-MCO Guidelines for an Institutional Code of Ethics in Higher Education (2012)*

📌 *Equitable Access, Success and Quality in Higher Education (2008)*

📌 *Sharing Quality Higher Education Across Borders: A Statement on Behalf of Higher Education Institutions Worldwide (2005)*

📌 *Universities and Information and Communication Technologies (ICTs) (2004)*

📌 *Towards a Century of Cooperation: Internationalization of Higher Education (2000)*

📌 *Academic freedom, Institutional Autonomy and Social Responsibility (1998)*

📌 *The Buenos Aires Statement on Higher Education Funding (1994)*

📌 *Kyoto Declaration on Sustainable Development (1993)*

➡ **BECOME A MEMBER TO BENEFIT FULLY FROM SERVICES AND OPPORTUNITIES OFFERED! More at: [www.iau-aiu.net/content/join](http://www.iau-aiu.net/content/join)**

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- 25** Contemporary Challenges in Higher Education – Three E's for Education: Enhance, Embrace, Expand, *by Andreas Kaplan and Francesca Pucciarelli, Italy*
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- 30** Developing a multilevel framework for university entrepreneurship in Africa, *by Pascal Doh, Finland*

# IN FOCUS

## Leadership for a changing public-private higher education funding landscape, a theme envisaged for the IAU 2017 International Conference.



by **Hilligje van't Land**,  
Deputy Secretary General, IAU  
([h.vantland@iau-aiu.net](mailto:h.vantland@iau-aiu.net))



The theme retained for the In Focus section of this issue is the one selected for the 2017 Global Meeting of Association and following

International Association of Universities. Both events will discuss the 'ins and outs' of a topic of high relevance to many universities all around the world.

To introduce some of the issues we are considering discussing in Ghana next year, I invited 9 researchers to share some of their reflexions and research outcomes relating to these issues.

**Simon Marginson** presents a broader typology of shapes and forms of the variations of approaches adopted by universities when going down the privatisation route. **Tatyana Koryakina and Pedro Teixeira** present some of the issues universities face in the Portuguese context they are based. **Andreas Kaplan and Francesca Pucciarelli** analyse how competition, decrease of funding and need for innovation generate change. **Marek Kwiek** shows how the decrease of population growth impacts of the on the Polish private higher education sector. He stresses the level of uncertainty it brings to the financial situation of these institutions. **Varghese** analyses the dual phenomenon of privatisation of public institutions, on the one hand, and the promotion of the private sector in higher education, on the other. **Paul Coyle** presents the extent to which the changing landscape leaders have to face is linked to rising expectations related to greater student numbers, competition and decline of public funding. He developed the entrepreneurial mind-set concept and offers to accompany HEIs in implementing it. **Pascal Doh** debates the implications and development of the concept of the entrepreneurial university as developed by Burton Clarks and how his model could be developed further to better fit the African situation. On page 31 we offer a list of additional reading suggestions.

The wide range of issues raised may correspond to as many sessions we could draft to frame and address public/private leadership and management issues shaping higher education globally at the Ghana GMA and international Conference. Please contact us if you wish to become involved in the early development of the programmes of both consecutive events.



## 01 Working more inclusively at the public/private divide



by **Simon Marginson**, Professor of International Higher Education at UCL Institute of Education, University College London, UK, and Director of the ESRC/HEFCE Centre for Global Higher Education. He is Joint Editor-in-Chief of Higher Education<sup>1</sup>.

Ideas about ‘public’ and ‘private’ are central to higher education policy thinking. But there is little consensus on where the public/private line falls, with different opinions from expert to expert, from country to country and within countries. And there is even less clarity on the extent to which higher education creates public goods—as distinct from its role in creating private goods, the higher wages and employability associated with being a graduate.

The public goods include higher education’s contribution to collective outcomes such as broad social and scientific literacy, joint productivity at work, democracy, tolerance and

the capacity to deal with change and modernisation. Because understanding is lacking, public goods in higher education tend to be under-provided and under-financed. But we can clarify the issues, and policy options, by working more inclusively on the public/private divide.

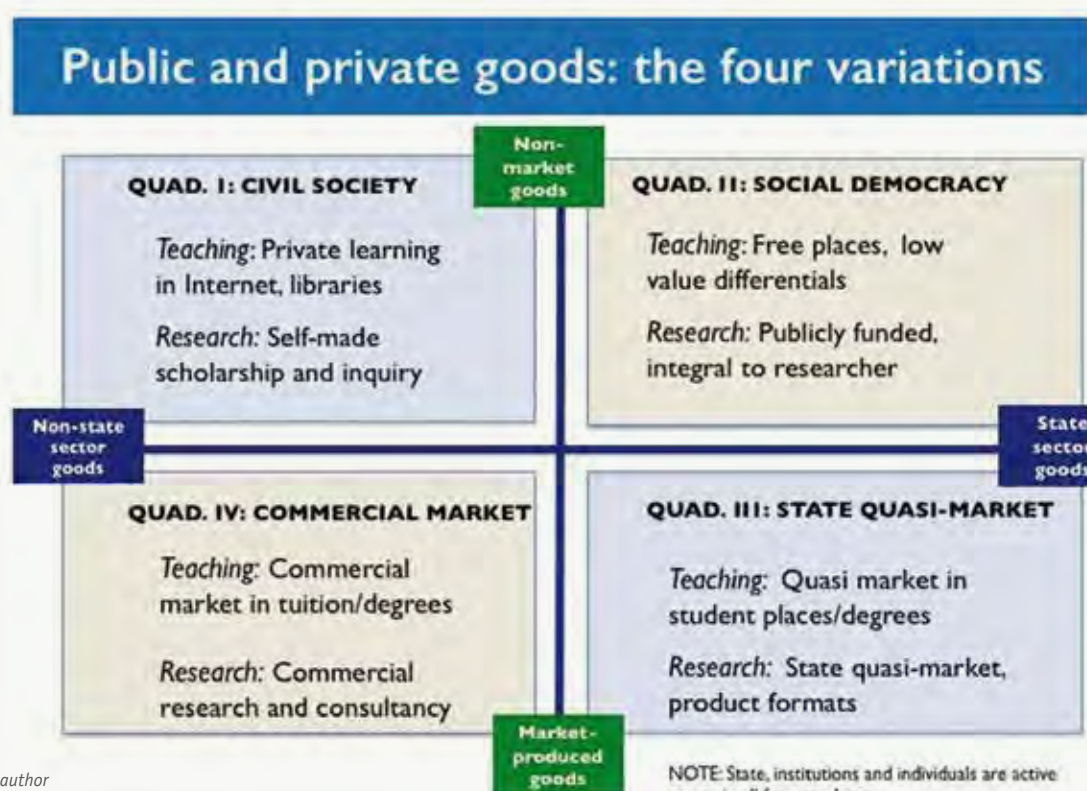
There are two main concepts of public/private. Each says something important. They overlap but are distinct. The first is from neo-classical economics, which defines public goods as non-market goods. They are socially necessary but unprofitable for businesses to produce, such as clean air or national defence. Because such goods are subject to market failure they must be financed by government or philanthropy (they don’t have to be produced by government, just financed). All other goods are private goods. The economic definition is useful because it identifies the minimum necessary government action and financing—though many will disagree that everything else should go to the market.

The second distinction is between matters seen as public in that they are ultimately shaped by government and the political process, and matters seen as private and confined to the commercial market or the family. Here ‘public’ higher education is not confined only to matters government provided or financed. Any matter of public policy becomes public. Matters that are public in the economic sense are usually public in this political sense too, but so are many other matters, including the responsible operation of economic markets.

1. His most recent book is *The Dream is Over: The crisis of Clark Kerr’s California Idea of higher education* (2016), published by University of California Press, download free at <http://doi.org/10.1525/luminos.17>

**FIGURE 1** COMBINING THE ECONOMIC AND POLITICAL DEFINITIONS OF PUBLIC/PRIVATE GOODS:

Four Quadrants, four political economies of higher education



Source: author

How can we adopt a more inclusive approach to public/private? By combining the two public/private definitions in a matrix (see diagram). This replaces the old ambiguous two-way distinction between public and private higher education, with four distinct and easily understood zones, in which higher education and research is practiced in contrasting ways.

Quadrant 1 (Civil society) is a non-market private zone in which free teaching and research are practiced as end in themselves, in the home or the university, without government supervision and close institutional management. Much learning and discovery takes this form, more than is usually realized, precisely because it is unregulated.

In Quadrant 2 (Social democracy) production takes a non-market form—for example the free student places or low fee places in most of Europe—while also being regulated directly by government. Much research activity is concentrated in Quadrant 2.

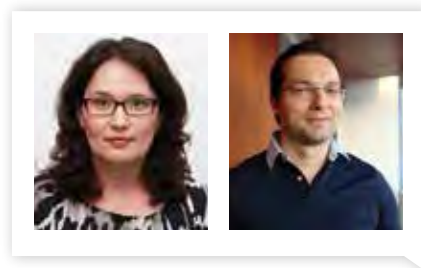
In Quadrant 3 government still shapes what happens in higher education, but it uses market-like forms and encourages universities to operate as corporations—with significant tuition fees, systems organised on the basis that the student is not learner but ‘customer’, competition between universities for funds, product-style research formats. This is the higher education sector imagined by global rankings—higher education as a quasi-market.

In Quadrant 4, higher education becomes a full commercial market. Government regulates the market like it regulates all commerce, at a distance. In Quadrant 4 universities in some countries make profits from international education and business consultancy, though in all national systems there is more activity in Quadrant 3 than 4.

Teaching, research and other activities in higher education differ in character according to where they are on the diagram. Real life higher education systems mix activity in all four Quadrants but the balance varies. Nordic and Central European systems are strong in Quadrant 2. The competitive Anglo-American systems are pulling ever more activity into the quasi-markets in Quadrant 3. The four Quadrants show there is nothing inevitable about inherited arrangements. Governments and societies can order their systems as they want.

The diagram also shows that there is great scope for creating public goods in higher education, through government leadership in Quadrants 2 and 3, civil and community-based organisation in Quadrant 1, or the self-regulating activity of higher education institutions themselves in all three of Quadrants 1, 2 and 3.

## 02 Leadership for a changing public-private higher education funding landscape – The role of university leadership in income diversification



by **Tatyana Koryakina**, Junior researcher, CIPES – Centre for Research in Higher Education Policies, Portugal ([tatyana.koryakina@ua.pt](mailto:tatyana.koryakina@ua.pt)) and **Pedro Teixeira**, Vice-Rector for Academic Affairs, University of Porto, Director CIPES ([pedrotx@fep.up.pt](mailto:pedrotx@fep.up.pt))

### CHANGES IN THE FUNDING LANDSCAPE

Higher education has been facing a demanding and complex financial context. The growth in student numbers, rethinking the role of the state and public services, financial austerity, that has been aggravated by a challenging economic reality since 2007, have contributed to declining institutional budgets from public sources and the rise in efforts towards income diversification. Diversification of funding sources has also gained a special significance in a context of accelerated international competition. Policy makers have been increasingly looking at universities as major actors in economic growth and innovation. As a result, universities have been encouraged to obtain funds from non-government sources, such as research contracts, commercialisation of research results, and services to society at large.

### STRENGTHENING THE ROLE OF UNIVERSITY LEADERSHIP

This new funding environment calls for a different approach to how higher education systems and institutions are run. At the system level, an extended institutional autonomy has been granted to higher education institutions, at the same time as they were asked to be increasingly accountable to internal and external stakeholders. Similarly, institutional governance and management has been redesigned in response to external demands. There have been observed a tendency towards smaller governance bodies and strengthening of the leadership. Governance structures have changed in such a way that the

powers of executive leadership, frequently appointed rather than elected, have been increased.

In this context, senior university administrators can be essential to income diversification initiatives. In particular, they can establish the “steering core” for entrepreneurial efforts by applying the following features of entrepreneurial management:

#### **Setting Clear Goals**

There is a growing tendency of universities to define their ‘own’ organisational goals, which has become apparent through the development of mission statements, university strategies and the implementation of strategic planning and related management practices. One of the institutional key success factors for income diversification is for the funding diversification strategy to be rooted and embedded in the overall academic strategy and mission of the institution.

#### **Committed Leadership**

It has been observed that when income is derived from many sources, institutional management must be sufficiently flexible to respond to opportunities that arise, but at the same time contained by a broader university strategy for the institution not to lose the sense of purpose. When income generating activities are not fully endorsed by the university leadership, the risk of failure is higher. Support from the centre is crucial for shaping the institutional culture of acceptance of revenue diversification and thus promoting cultural and organisational change. Sometimes, support means giving more freedom to members of the academy and not overburdening them with regulations and bureaucracy.

### **INCOME DIVERSIFICATION IN PORTUGUESE UNIVERSITIES**

Our study of income diversification at two Portuguese public universities, conducted between 2008 and 2013, confirms that over the past years income diversification has become increasingly important. Universities are looking for ways to remain relevant in the knowledge economy and to attract additional funding in order to fulfil their various missions (Teixeira P. and T. Koryakina, 2013). The analysed universities indicated that they are getting more structured (establishing units, defining procedures and priorities, etc.) in how they are dealing with external stakeholders, such as businesses, local community and students. They are also centralising the strategic decision power and strengthening the institutional leadership, which is not happening only in these aspects but it is part of broader institutional trend. They are opening up their boundaries through creating interface units and participation of lay members in the governing bodies. The lay members are usually chosen from outstanding personalities in politics, business, culture, and science. University leaders also mentioned several constraints to their income diversification efforts. The major obstacle is related to the structure of the academic career, in particular to the evaluation of academic staff’s work and its influence on career advancement. The

respondents also mentioned insufficient autonomy in human resources management, as most academic staff have a civil servant status. The availability of financial resources is another pressing issue for Portuguese universities. The current financial situation of Portuguese higher education often does not allow room for financial manoeuvring, making it difficult for higher education institutions to respond to emerging opportunities (Koryakina. T., Sarrico, C nad P. Teixeira, 2015)

The results of the study have also confirmed that there is a great amount of variety among universities in relation to income diversification and a public-private funding mix, as different institutions would have different abilities and different scope of involvement in income diversification activities.

#### **PUBLICATIONS:**

**Teixeira, P. and T. Koryakina** (2013). “Funding Reforms and Revenue Diversification – Patterns, Challenges and Rhetoric”. *Studies in Higher Education*. Vol. 38 (2) p.174-191.

**Koryakina, T., Sarrico, C.S., and P. Teixeira** (2015). “Third Mission Activities: University Managers’ Perceptions on Existing Barriers”. *European Journal of Higher Education*. Vol 5 (3), pp. 316-330.

## **03 Contemporary Challenges in Higher Education – Three E’s for Education: Enhance, Embrace, Expand**



by **Andreas Kaplan**, Professor and Dean for Academic Affairs at ESCP Europe, ([kaplan@escpeurope.eu](mailto:kaplan@escpeurope.eu)) and **Francesca Pucciarelli**, Assistant Professor at ESCP Europe Torino Campus ([fpucciarelli@escpeurope.eu](mailto:fpucciarelli@escpeurope.eu))

Change is as inevitable as is the passing of time. However, higher education appears to be impacted and transformed by current context at a much faster pace. There are more complex challenges appearing on the horizon than ever before in a time when universities were considered purely as a public good with a clear societal mission. Today’s higher education market has definitely become an increasingly global, diverse, and crowded place.

Consequently, universities are asked to act as both a public good providing value for society through knowledge creation and dissemination; while at the same time as competitive business entities, independently generating their own resources in order to continue to operate and grow. This tension between societal aspiration and revenue creation is not completely new to higher education: universities are accustomed to competing for status, talents, funding, and resources in general, while guaranteeing a solid focus on academic standards and access. The novelty is that recently a number of unprecedented transformations within the higher education sector occurred, such as globalization, hyper-competition, digital disruption, job market evolution, and media consumption habits, which challenge the traditional way of managing, organizing, teaching, and marketing universities.

Herein, our attempt of synthesizing the core challenges and suggestions, our so-called Three E's for Education, to be put on any university's strategic agenda in order to ensure its sustainability over the long run (cf. Pucciarelli/Kaplan 2016, *Competition and strategy in higher education: Managing complexity and uncertainty*, in *Business Horizons*, pp. 59-3, 311-320).

1. Enhance a higher education institution's prestige and market share in a consolidating global educational market.
2. Embrace a deeper entrepreneurial mind-set, with corresponding *modus operandi* and decision-making approaches.
3. Expand links, interactions, and value co-creation with key stakeholders leveraging new forms of collaboration and opportunities of the digital world.

The first challenge, i.e. to enhance prestige and market share, demands a sharp look at how markets evaluate higher education institutions and how their market standing can be leveraged to increase their (financial) resources, especially for future growth with critical mass becoming ever more vital. A university's prestige and brand will be determined by its excellence in teaching as well as its research, but moreover by its position in the international rankings and the overall image it strives to foster in their key stakeholders' minds. These market evaluations will be increasingly more crucial in determining access to vital resources such as public and private funding, recruitment of students paying increased programme fees, being selected by corporations and organizations for executive education, research projects, and other areas.

The second challenge asks for the embracing of an entrepreneurial mind-set, with corresponding *modus operandi* and decision-making approaches. On top of their teaching and research, academics will become entrepreneurial leaders and managers within the university actively participating in various new endeavours, e.g. fundraising activities. This is the result of decreased public funding, which leads to more

autonomy for universities but also to increased accountability and responsibility. Higher education institutions will have more control over their resources and more freedom in terms of their investment strategies. However, this transition also entails a higher-level of complexity and involvement in executing significant decisions.

The final and third challenge entails the expansion of links, interactions, and value co-creation with key stakeholders, which implies a complete re-examination of the kind of relationships an institution will have with a higher number of partners and touchpoints. Especially alumni, they are a group of key stakeholders to be considered in this context who become ever more crucial in terms of fundraising efforts. However, alumni also provide their expertise and skills to the university free of charge, or simply via positive word-of-mouth communication in the promotion of their alma mater. Notably, the transformation and disruptions due to digital advancements with the entrance of social media, but also with the arrival of MOOCs and SPOCs, revolutionize the way in which stakeholders interact with the higher education actor.

In summary, academic institutions do not really have a choice but to develop adequate strategies in response to the outlined challenges, resulting from several evolutions and developments within the higher education sector which is becoming ever more dynamic, competitive, and complex.

## 04 A changing public-private higher education dynamics. The Polish Case



by **Marek Kwiek**, Center for Public Policy Studies, UNESCO Chair in Institutional Research and Higher Education Policy, University of Poznan, Poland ([kwiekm@amu.edu.pl](mailto:kwiekm@amu.edu.pl))

Poland provides an interesting example of the impact of rapidly declining demographics on the public-private dynamics in higher education funding architecture, with powerful implications for university leadership. From an international perspective, the Polish case shows how fragile private higher education is when its dominating demand-absorbing subsector is confronted with changing demographics and massive public financing in the public sector; it also shows how interdependent the two sectors are. The history of Polish higher education after 1989 can be divided into two contrasting periods: the expansion period (1990-2005) and the contraction period (since 2006). While the expansion period was characterized by privatization (both private sector growth and the increasing role of fees in



financing public universities), the current contraction period is characterized by de-privatization. De-privatization has both external and internal dimensions: the decade-long decline in private sector enrolments is combined with a decreasing role of fees in financing public universities.

The first impact of the current powerful reversed demographic trend is seen through the falling share of fee-paying students in both sectors (combined) beginning in 2006. In contrast, the total number of tax-based students has been increasing throughout the last decade (and in 2009-2014 the share of them increased from 43.6 percent to 57.9 percent). Under declining demographics, the speed of the ongoing changes in the student composition by sources of funding (and by sector) has been amazing. It has been a zero-sum game so far: in student numbers, public sector gains have meant private sector losses.

The share of fee-paying students (that is, all students in the private sector and part-time students in the public sector) in the expansion period was high from a European comparative perspective (between 46.6 percent in 1995 and 58.6 percent in 2006). In the current contraction period, against global trends of increasing cost-sharing, this share has been steadily declining, to 42.1 percent in 2014, or from 1.137 million to 0.618 million students, with powerful financial implications. The Ministry predicts it to be only about 20 percent in 2022. The changing public-private dynamics puts the question of cost-sharing in a different context: equitable access looks different when six in ten students pay fees – and different when it is only four (and ultimately two) in ten in the coming decade.

The expansion in 1990-2006 was financially supported by both public and private sources of funding. The inflow of public funding to the public sector was significant, but equally significant was the inflow of private funding from fees to both sectors. The private sector has always been overwhelmingly reliant on tuition fees – but also the public sector during the peak of expansion was heavily reliant on tuition fees from part-timers which provided about 16-20 percent of its operating budget. Income from fees decreased by 17.8 percent (or by 97 million dollars) in the public sector and by 28.8 percent (or by 171 million dollars) in the private sector in 2010-2014.

Thus the processes of privatization are currently in retreat: the number of fee-paying students in the public sector decreased dramatically by almost half (47.9 percent) in the period 2006-2014, as did the share of income from fee-paying students in the public sector (from 16.2 percent to 9.4 percent). The number of private institutions decreased by 12.6 percent (or from 318 to 278), and the number of mergers and acquisitions in the private sector is on the rise. Finally, private sector enrolments have been shrinking systematically, by 43.9 percent in the period 2006-2014 (or from 640,000 to 359,000 students).

The decline of the fee-based private sector can hardly be reversed as the declining demographics is accompanied by an expanding pool of tax-free places in the public sector. The increasingly privatized higher education of the expansion period is becoming ever more public today, with ever stronger reliance on public funding. The dual public-private system is redirecting itself towards public institutions and their tax-based students.

The public-private dynamics is rapidly changing in a system which still has the highest enrolments in the private sector in the European Union today. In the global context of expanding higher education systems, there are several systems in Central and Eastern Europe, with Poland in the forefront, which are actually contracting. Their contraction is fundamental and rooted in declining demographics. In the double global context of the increasing reliance on cost-sharing mechanisms and the private sector growth, the Polish system seems to be moving in the opposite direction. Interestingly, the Polish trend of higher education de-privatization goes against the global trend of its privatization, with uncertain financial implications for the future. For both national and institutional leadership, Poland is a tough case indeed.

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## 05 Privatization, private sector and institutional leadership in higher education in Asia



by **N.V. Varghese**, Director, Centre for Policy Research in Higher Education (CPRHE/NUEPA), New Delhi  
([nv.varghese@nuepa.org](mailto:nv.varghese@nuepa.org))



### FROM STATE DEPENDENCE TO MARKET RELIANCE

Higher education is in a state of revival in this century. While the developed countries have already universalized, the developing countries have massified their higher education sector. The developing countries transited from a phase of low gross enrolment ratios (GER) and slow growth to a stage of fast growth and accelerated improvement in the GER. In fact the developing countries accounted for nearly 90 per cent of the increase in enrolment between 2000 and 2014. Asia, no doubt, is the fastest growing region in higher education in this century.

While state funding and public institutions were dominant players in the previous century, the market forces and private funding became important for expansion of higher education. The move from state to markets led to two phenomena: a) the privatization of public institutions; and b) promotion of the private sector in higher education. Privatization implied application of market principles in the operation of public institutions through cost recovery measures and income generating activities. The private institutions, on the other hand, implies non-State sector in higher education without any funding support from the government.

It is interesting to note that private higher education institutions emerged and expanded in countries that have less developed markets while countries with developed and matured markets relied on their public institutions to expand higher education. For example, the OECD countries relied more on public institutions while many developing countries relied more on private institutions to massify higher education.

### PRIVATIZATION OF PUBLIC INSTITUTIONS

Among the OECD countries, many retained high level of subsidy and low level of student fees while some of the countries such as USA, UK, Australia, etc. hiked student fee considerably. Some of the developing countries in Africa and Asia followed the path of privatization. The privatization measures initiated in

Makerere University in Uganda in the early 1990s soon spread to other countries in the region and later to other regions. The least developed countries such as Cambodia and Vietnam in South East Asia implemented privatization measures very successfully. A closer examination will reveal that growth of enrolment in public higher education institutions in many countries was mostly in the market/private segment of the public institutions.

In Cambodia, the tuition fee in higher education was introduced in 1996; in Lao PDR in 2011; in Indonesia and Singapore public universities became legal entities in 1999, empowering them to introduce cost-recovery measures; Japan and Malaysia corporatized the universities and in Vietnam, the government allowed institutions full control of their own budgets from 2005 onwards.

### PRIVATE HIGHER EDUCATION

Private higher education in Asia has traditionally been common in countries such as Japan, Indonesia, Republic of Korea, Philippines and Malaysia. Private higher education institutions can be for-profit or not-for-profit institutions. The for-profit institutions are at times labelled as 'pseudo universities' since they do education as a business. The capitation fee colleges in India are examples of for-profit institutions. Many private institutions focus on teaching with little or no inclination to research.

Another trend is the involvement of religious groups in private higher education. Many private institutions in Indonesia are related to Islamic faith, while the Christian faith is common in Philippines and Buddhist faith in Thailand. However, the private institutions in Japan, Korea, Cambodia, Vietnam, and India, are not owned by religious groups.

Many countries introduced new laws to establish private institutions. For example, Cambodia amended laws to permit private institutions in 1997, China in 2002, Lao PDR in 1995, Malaysia in 1996, Thailand in 2003 and Vietnam in 2005. Many states in India introduced new laws permitting establishment of private higher education institutions. One of the few Asian countries where the public sector still enjoys near monopoly is Myanmar.

### LEADERSHIP

The period of transition from state to markets demands setting right priorities to balance academic concerns and market priorities. Institutions need effective leaders to develop strategic plans, research priorities and the nature courses offered. However, quality of leadership is emerging as the missing link in many an instance.

Selection of heads of public universities is not free of contestations. Those heading private higher education institutions, very often, are representatives of the investors.

In the absence of serious efforts to develop leadership many institutions of higher education are poorly managed.

The efforts to provide training and orientation programmes are rather limited in Asia. Some of the leadership programmes are those organized by the International Institute for Educational Planning (IIEP/UNESCO), Paris in collaboration with Southeast Asian Ministers of Education Organisation (SEAMEO – RIHED) in Bangkok for higher education leaders in Asia on institutional management; the Leadership Education for Asian Pacific, Inc. (LEAP) in partnership with Asian Pacific Americans in Higher Education (APAHE), California; a two month long leadership training organized by the East-West Centre's campus in Honolulu ; IAU Leading Globally Engaged Universities (LGEU) next meeting in Medellin and in 2017 in Gaborone (see page 13); UK Education Research and Innovation (UKERI) plans to organize the Leadership Foundation for Higher Education programme with the support from UGC ; and leading Indian universities and INSEAD in Singapore organizes Asian international executive programmes. However, these programmes are not sufficient to meet the growing demand for leadership training. Therefore there is a need for leadership training programmes on a more widespread scale on the continent.

## 06 University leadership and the journey towards the entrepreneurial university



by **Paul Coyle**, Innovation Consultant  
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Higher Education (HE) systems around the world are experiencing many common challenges. Student participation rates are rising and at the same time public investment is reducing. The allocation of research funds is more competitive and also tied to requirements to demonstrate greater impact. Governments increasingly expect universities to be engines of innovation and economic growth. How are universities dealing with rising expectations, greater student numbers, increased competition, and reductions in state funding?

The concept of the 'entrepreneurial university' provides a guiding framework, which can help universities to respond to these many challenges. An entrepreneurial university is one which maintains a commitment to high quality teaching and research but in addition is more "business-like", has diverse

sources of income, nurtures innovation, adapts to the needs of its stakeholders and generates economic benefits for society. This entrepreneurial focus inevitably challenges many of the traditional models of HE. You cannot think about the concept of the entrepreneurial university for too long without encountering some fundamental questions about the future purpose, organisation and funding of HE.

In truth, the concept of the entrepreneurial university is highly aspirational. Therefore, through my research and consultancy, I provide expert guidance and facilitate peer-to-peer learning which helps universities to understand the practical steps involved in the journey towards becoming an entrepreneurial university.

For example, at an OECD event in Finland in 2014, I ran a workshop involving universities from 22 countries, which identified the key characteristics of the entrepreneurial university. One of the defining characteristics is the strength of a university's connections with local businesses. In summer 2016, I facilitated the Nordic Five Tech Summit (a partnership between Aalto University, Chalmers University, Technical University Denmark, Royal Institute of Technology and the Norwegian University of Science & Technology). The Summit explored how collaboration between universities and business can be achieved in practice, identified the enablers of successful collaboration and considered the challenge of selecting the most appropriate measures (qualitative and quantitative) of research impact.

A second defining characteristic of the entrepreneurial university is the construction of curricula, and the development of innovative ways of teaching, that are designed to enable students themselves to be entrepreneurial. Whilst some universities provide specialist programmes to help students to ultimately set up their own businesses, the entrepreneurial curriculum is often no longer limited to this purpose. In 2016, I had the pleasure of working with 20 universities in China, exploring the practical ways in which they could apply entrepreneurial thinking to the teaching of a wide range of disciplines including business, arts, science and technology.

There is now a growing body of case studies which provide useful guidance for universities who have made a strategic commitment to undertaking the journey towards becoming an entrepreneurial university. Since 2010, I have been a contributor to the Entrepreneurial University Leaders Programme, delivered at the Saïd Business School at the University of Oxford. I have worked on this programme with 142 executives and senior managers from 75 universities in 13 countries. This experience makes me have no doubt that 'entrepreneurial leadership' is a valuable concept for supporting change in many different national contexts.

Whilst there is great value in understanding the entrepreneurial organisation, there is also benefit to exploring these issues from the perspective of the individual. Therefore, I have

developed a model of the 'entrepreneurial mindset'. This model translates the way an entrepreneur typically thinks, including how they deal with risk, into a set of 6 characteristics that can be successfully used by people working in HE. In workshops I have run in Australia, Europe and the USA, I have worked with university staff to clarify the meaning of risk in the context of HE. As a result, I now advocate that all HE leaders need a better understanding of why people do and don't take risks, as this would increase the number of successful change management initiatives.

The concept and practice of the entrepreneurial university are issues of global significance. I would be happy to connect with any university wishing to embark on the journey towards becoming more entrepreneurial and any leader who wishes to develop their own entrepreneurial leadership.

## 07 Developing a multilevel framework for university entrepreneurship in Africa



by **Pascal Doh**, Lecturer and Consultant of Higher Education Policies. Dr. Doh teaches a related course on "the Role of the Entrepreneurial University in the National Innovation System" at the University of Tampere, Finland.

More than ever before, African Universities are undergoing a second revolution<sup>2</sup> of a third mission of economic development and poverty reduction<sup>3</sup> which entails becoming engaged in the countries' economic growth, employability of graduates and linking up with industries. This leads to increased entrepreneurship education in most African Universities. Following up my study on "the role of higher education in poverty reduction in Africa", this paper presents a multilevel framework aiming at linking up the different dimensions of university entrepreneurship.

In the early 2000, university entrepreneurship in most OECD countries was inspired by the "Entrepreneurial University" concept by Clark (1998; 2004) which included five pathways. While Clark (1998) identified financial autonomy and second and third stream funding from non-government sources, especially industries, as a key characteristic of the entrepreneurial university, Etzkowitz and Zhou (2008) added that universities are influential in economic development strategies. They are eager to stimulate collaboration with industry, commerce and development actors. At the heart of the entrepreneurial university, as per Clark (1998) is a strong

and expedient *steering corps* (1) which is highly flexible and quick to react to changing demands in the economic environment. Secondly, there is a non-traditional unit called *Enhanced Developmental periphery* (EDP) (2) connecting different disciplines. This unit works on knowledge transfer and intellectual property, makes industrial contacts and is in charge of fund raising and alumni affairs. The third is *Discretionary funding* (DF) (3) which enables the university to be innovative and able to seize new opportunities. There is strong *academic corps* (heartland) (4) which develops a work culture that embraces change and finally an *integrated entrepreneurial culture* that cuts across the university (5).

However Clark (1998) seemed to have missed out that entrepreneurship could be stimulated by an upper layer of the university as well as developed in micro units (Azele 2008). Clark was complemented by the concept of "Government pulled" (6) entrepreneurship (Etzkowitz and Zhou 2008) stressing that government, ministries and related agencies can be influential in university entrepreneurship<sup>4</sup>. Both Clark's and Etzkowitz and Zhou's (2008) pathways did not include entrepreneurship education that takes place through classroom teaching and related innovative pedagogies. In fact, entrepreneurial university and entrepreneurship education strategies and policies have developed differently in the OECD, in most industrialised nations and in the developing countries. Entrepreneurship education is very relevant for countries in any development context because it touches on direct student economic development, employment, small business and job creation and poverty reduction role of higher education. Like universities on other continents, African Universities mostly go after big industries whereas most of the African economies are more informal, comprised of small and medium size industries<sup>5</sup>.

*Student-Directed* (7) and *student-led* entrepreneurship (8) and *teacher-researcher* directed and *teacher-researcher* led (term *scientist-led*) entrepreneurship are important to stress. Student directed entrepreneurship includes the development of competences and skills to enable the student to qualify for the job market, set up and manage and maintain their jobs and own enterprises. *Student led* entrepreneurship presupposes that students are very important actors and agents of university entrepreneurship. The *teacher-researcher-directed* (9) entrepreneurship presents various kinds of innovative and flexible pedagogic skills which the university teacher can acquire to become entrepreneurial and qualified to guide students (i.e. skills in grant-seeking, business plan writing, project design, application writing and various cooperation and communication tools).

2. The first revolution adds a second 'mission' of research.

3. See *The Growth and Employment Strategy Paper of Cameroon*, in Doh, 2012.

4. The impact of international organizations such as the European Commission, African Union and Association of African Universities, which actively promote debate on university entrepreneurship policies, needs to be considered as well.

5. Entrepreneurship education in the African Universities could benefit from American types of funding programmes such as the Small Business Innovation Research (SBIR) and the Small Business Technology Transfer (STTR) Programmes which help universities do business and ensure technology transfer with all segments of the economy, including small poverty reduction businesses.



*Teacher-researcher led entrepreneurship* (10) recognises the importance of the professors in entrepreneurial ventures of the university. Professors leading research groups, laboratories and incubators are indispensable in shaping the university's entrepreneurial cultures; they can nurture entrepreneurial spirit, serve as models, create connections and facilitate communication networks between the scientists, research groups, and technology offices. They are often those who initiate projects (Goktepe-Hulten 2008, 657-658). Goktepe-Hulten uses the example of Swedish Universities, linking up with Ericson and Volvo, to show that most university – industry knowledge transfer projects start with informal processes initiated by individual professors. Bridging and interface organizations (11) are important facilitators in university connection to economic operations because they can compensate for the lack of consulting structures and limited human and time resources. It is to be noted that most intellectual property laws used by African universities are lagging behind in recognizing and providing enough *incentives* (12) for the individuals who generate and lead in university entrepreneurship. The multilevel framework for designing and analyzing university entrepreneurship in Africa is to assist African higher education institutions in linking the different dimensions and levels to the whole picture. This framework could assist in the further development of university entrepreneurship strategies and evaluation of the effectiveness of the designs.

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#### ADDITIONAL SUGGESTED READING

**Dimensions of marketisation in higher education**, by Peter John, Joelle Fanghanel. Abingdon: Routledge, 2016. 247p.

**Leadership and decision-making practices in public versus private universities in Pakistan**, by A. Zulfqar, M. Valcke, G. Devos, M. Tuytens, A. Shahzad – **In:** *Asia Pacific Education Review*, v. 17, no. 1, pp. 147-159, 2016.

**Private participation in higher education in Sub-Saharan Africa: Ghana's experience** / Henry Fram Akplu – **In:** *International Higher Education*, no. 86, pp. 20-21, 2016.

**Public private partnership in education**, by J. B. Tilak. Singapore: The Head Foundation, 2016. 14p.

**Transformational leadership and innovation: a comparison study between Iraq's public and private higher education**, by Sawasn Al-Husseini, Ibrahim Elbeltagi – **In:** *Studies in Higher Education*, v. 41, no. 1, pp. 159-181, 2016.

**The marketisation of higher education: issues and ironies**, by Roger Brown – **In:** *New Vistas*, v. 1, no. 1, pp. 4-9, 2015.

**Institutional leadership between market needs and organisational barriers in research: innovation management as the vehicle of change**, by Tibor Döry, Gabor Kovacs, Attila Pausits – **In:** *Leadership and Governance in Higher Education*, v. 1, pp. 23-44, 2015.

**The road to privatization of higher education in China: a new cultural revolution?**, by Li Wang. Springer, 2014.

**Chile: challenges to autonomy and accountability in a privatized context**, by José Joaquín Brunner – **In:** *Leadership and Governance in Higher Education*, v. 10, pp. 1-32, 2013.

**Universities: public good or private profit**, by Bernard Longden, Charles Bélanger – **In:** *Journal of Higher Education Policy and Management*, v. 35, no. 5, pp. 501-522, 2013.

**International trends in the public and private financing of higher education**, by Bikas C. Sanyal & Bruce Johnstone – **In:** *Prospects: Quarterly review of comparative education*, v. 41, no. 1, pp. 157-175, 2011.

**Reconsidering privatization in cross-border engagements: the sometimes public nature of private activity**, by Jason Lane, Kevin Kinser – **In:** *Higher Education Policy*, v. 24, no. 2, pp. 255-273, 2011. This paper is the winner of the 2011 IAU/Palgrave essay competition.



# NEW IAU PUBLICATIONS

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## HIGHER EDUCATION POLICY (HEP) 29/2, June 2016



The second edition of Volume 29, released in June 2016, brought together eight articles looking at a number of different themes:

- *The Impact of Market-Driven Higher Education on Student-University Relations: Investing, Consuming and Competing*, by Michael Tomlinson;
- *Supporting Academic Middle Managers in Higher Education: Do We Care?*, by Alan Floyd;
- *Counting Family: Making the Family of International Students Visible in Higher Education Policy and Practice*, by Stephanie Doyle, Judith Loveridge, Niusila Faamanatu-Eteuati;
- *Research Universities and The American Recovery and Reinvestment Act: Competition, Resource Concentration, and the 'Great Recession' in the United States*, by Barrett J Taylor, Brendan Cantwell;
- *The Status of Parental Notification Policy and Practice for Students Involved with Alcohol Abuse at a Private University in Nigeria*, by Augusta Olaore, Israel Olaore;
- *The Hurdles to Being World Class: Narrative Analysis of the World-Class University Project in Korea*, by Deok-Ho Jang, Kiung Ryu, Pilnam Yi, Daniel A Craig;
- *Branding in Higher Education: A Case Study from Turkey*, by Burçak Çağla Garipağaoğlu;
- *A Department Chair: A Life Guard without a Life Jacket*, by Faiza Gonaim.

## HIGHER EDUCATION POLICY (HEP) 29/3, September 2016

The third edition, released in September 2016, presented readers with six

articles, plus a book review:

- *Interplays Between Welfare Regimes Typology and Academic Research Systems in OECD Countries*, by Olivier Bégin-Caouette, Tanja Askvik, and Bian Cui;
- *What Europe Wanted and What Flanders Achieved: Intentions vs Results after 15 Years of Bologna*, by Bruno Broucker and Kurt De Wit;
- *Do International Students Displace US Students in the Pursuit of Higher Degrees in Science and Engineering? A Forecasting Analysis*, by Antonio Sanfilippo, Chase Dowling, and Sofiane Abbar;
- *Global Partnership as a Strategy for Internationalisation: MBAs in Latin America and Asia and Oceania*, by Jeongeun Kim and Sergio Celis;
- *Twenty Years of Merit-Pay Programme in Argentinean Universities: Tracking Policy Change through Instrument Analysis*, by Nerina Fernanda Sarthou;
- *Shaping Perceptions of a Policy Instrument: The Political-Administrative Formation of Learning Outcomes in Higher Education in Norway and England*, by Svein Michelsen, Rachel Sweetman, Bjørn Stensaker, and Ivar Bleiklie;
- *Higher Education and the Palestinian Arab Minority in Israel*, by Khalid Arar and Kussai Haj-Yehia – book review by Izhar Oplatka.

**More information and the abstracts** on HEP 29/2 and 29/3 can be found on the publisher's website, Springer Nature (<http://rd.springer.com/journal/41307/29/3/page/1>).

**HEP online:** Please visit the Journal's homepage regularly as papers are added as they become available to the Journal's Online First section (<http://rd.springer.com/journal/41307/online-first/page/1>) before appearing in print.

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the Journal as part of their Membership package. If you are not an IAU Member and wish to purchase an individual article, please visit the Journal website, or sign up for alerts, also on the journal website.

## INTERNATIONAL HANDBOOK OF UNIVERSITIES 28<sup>th</sup> EDITION



The IAU is pleased to announce that the 28<sup>th</sup> edition of the International Handbook of Universities (2017) has

just been released. This latest edition of the Handbook includes information on some 18,000 university-level institutions as well as information on the education systems of over 180 countries.

With each purchase of the Handbook, advanced access to the World Higher Education Database (WHED) Portal is provided free of charge; this access, which allows for advanced search options, extraction and printing tools, is valid for one year following publication of the Handbook.

Orders should be placed direct with our publishers, Springer [www.springer.com/fr/book/9781137508515](http://www.springer.com/fr/book/9781137508515).

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## SELECTED ANNOTATED LIST OF PUBLICATIONS RECEIVED AT IAU

### STUDENT POLITICS IN AFRICA: REPRESENTATION AND ACTIVISM

by Thierry M Luescher, Manja Klemenčič  
& James Otieno Jowi, Cape Town:  
*African Minds*, 2016, 267 p. (*Higher  
Education Dynamics Series*, 2) - ISBN  
978-1-928331-22-3. - Online ISBN 978-1-  
928331-23



This book presents the developments and trends in student representation, politics and activism in Anglophone and Francophone

Africa, not only from a historical perspective but also detailing the contemporary developments within different national and institutional contexts. In-depth case studies on student representation and activism in a cross-section of universities and countries are provided. Running as a thread throughout the chapters is the role of students in shaping national higher education policies, especially regarding governance, funding, access and quality.

[http://www.africanminds.co.za/  
wp-content/uploads/2016/03/  
9781928331223\\_txt.pdf](http://www.africanminds.co.za/wp-content/uploads/2016/03/9781928331223_txt.pdf)

### HIGHER EDUCATION AND THE PALESTINIAN ARAB MINORITY IN ISRAEL

by Khalid Arar, Kussai Haj-Yehian,  
Basingstoke, New York: Palgrave  
Macmillan, 2016, 213 p. - ISBN 978-1-  
137-53341-8. - Online ISBN 978-1-137-  
53343-2

This book examines developments in the access to higher education of Palestinian Arab citizens of Israel. The authors show that the Palestinian Arabs in Israel clearly understand the benefits of an academic degree as a lever for

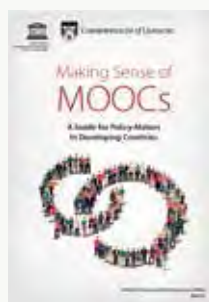


social status and integration. Indeed, since the 1980s, the proportion of Palestinian Arabs studying in Israeli higher education institutions

has increased to 37,570 in addition to 9,260 who studied abroad in 2014. The authors discuss difficulties and challenges met by Palestinian school leavers who wish to enter higher education in Israel and the alternative of studying abroad. They also look at the cultural differences between Palestinian traditional communities and 'Western' Israeli campuses and address the implications for students and for the society at large.

### MAKING SENSE OF MOOCs: A GUIDE FOR POLICY-MAKERS IN DEVELOPING COUNTRIES

by Mariana Patru, Balaji Venkataraman,  
Eds., UNESCO, Commonwealth of  
Learning, Paris: UNESCO Publishing,  
2016, 100 p. - ISBN 978-92-3-100157-4



This guide is designed to raise awareness among policymakers in developing countries as to how MOOCs might address access to quality

higher education. Issues covered include quality assurance of MOOCs, reuse and adaption of MOOCs, collaboration in the development and provision of MOOCs, and business models.

[http://unesdoc.unesco.org/  
images/0024/002451/245122E.pdf](http://unesdoc.unesco.org/images/0024/002451/245122E.pdf)

### FAST FORWARDING HIGHER EDUCATION INSTITUTIONS FOR GLOBAL CHALLENGES: PERSPECTIVES AND APPROACHES

by Ismail Hussein Amzat, Babazaire  
Yusuf, Eds., Singapore, Heidelberg, New  
York, Dordrecht, London: Springer, 2016,  
203 p. - ISBN 978-981-287-602-7. -  
Online ISBN 978-981-287-603-4



In this book, higher education specialists and researchers from Asia and the Pacific and Africa address contemporary questions and

challenges for higher education institutions, especially teaching and learning and the role of higher education institutions in development, society and sustainability. The first section explores the integration of ICTs and technology into universities. It includes a chapter which considers restructuring teacher education by integrating ICTs. In Part two, which examines teaching and learning for social development, a case study in a university in the South Pacific proposes a new focus for Pacific Island countries from teaching to learning in meeting global demands and a study from South Africa examines new approaches to teaching in the multicultural classroom. Part three addresses how higher education institutions can contribute to development and sustainability. It includes a chapter which advocates for providing opportunities for ongoing capacity development for educational leaders to respond to challenges and changes facing higher education; an African perspective on fighting corruption in higher education; and an examination of embedding sustainability into Nursing Education. Part 4 focuses on globalisation, leadership and management. It includes an analysis of leadership and ethics among in the

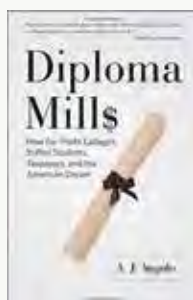


## SELECTED ANNOTATED LIST OF PUBLICATIONS RECEIVED AT IAU

Philippines; a case study of improving the quality of technical education in Kenya; and a study of ICT education in Malaysia.

### **DIPLOMA MILLS: HOW FOR-PROFIT COLLEGES STIFFED STUDENTS, TAXPAYERS, AND THE AMERICAN DREAM**

by A. J. Angulo, Baltimore: John Hopkins University Press, 2016, 203 p. - ISBN 978-1-4214-2007-3

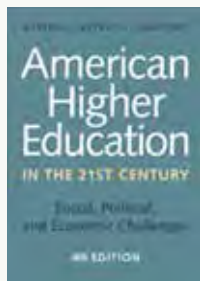


This book explores the history of for-profit institutions in the United States from the apprenticeship system of America's early decades to today's multibillion-

dollar industry. The author examines how these institutions have grown and evolved as the regulatory climate has increased. He notes that a long history of claims of quick degrees and in some cases false advertising about high job placement has beleaguered for-profit higher education. One of the main claims Angulo makes in the book is that historically, for-profit education often threatens academic and professional standards since the components of a quality education, such as highly trained faculty, are often expensive, and for-profit colleges are concerned with maximizing revenue often at the expense of students, faculty and long term objectives.

### **AMERICAN HIGHER EDUCATION IN THE TWENTY-FIRST CENTURY: SOCIAL, POLITICAL AND ECONOMIC CHALLENGES**

by Michael N. Bastedo, Philip G. Altbach, Patricia J. Gumpert, Eds., 4<sup>th</sup> ed. Baltimore: John Hopkins University Press, 2016, 559 p. - ISBN 978-1-4214-1990-9  
First published in 1999, this fourth



United States today. The contributors address major changes in higher education, including the rise of organised social movements, the problem of income inequality and stratification, and the growth of for-profit and distance education. Three new chapters cover information technology, community colleges, and teaching and learning. This edition seeks to capture several crucial dynamics in the nexus of higher education and society. Placing higher education within its social and political contexts, the contributors discuss finance, federal and state governance, faculty, students, curriculum, and academic leadership. They also discuss growing concerns about the future of the academy and reflect more deeply on the racial, ethnic, and socioeconomic diversity within higher education.

### **WHO'S AFRAID OF ACADEMIC FREEDOM?**

by Akeel Bilgrami, Jonathan R. Cole, Eds., New York: Columbia University Press, 2015, 448 p. - ISBN 9780231168809 - Online ISBN 9780231538794



The seventeen essays gathered in this collection offer a scholarly look at academic freedom in contemporary higher education institutions. The contributors, senior academics including Noam Chomsky and Judith Butler, demonstrate that there is no single accepted definition, and that in fact academic freedom is often used as

an argument to support conflicting views. From a North American perspective, their discussion of threats to academic freedom traverse a wide disciplinary and institutional, political and economic range covering specific restrictions linked to the interests of donors, political pressure groups and lobbies, and government policy, as well as more general issues, such as intellectual orthodoxy. From McCarthyism, through to current debates on boycotting Israeli universities, this collection provides a panorama of academic freedom in American universities over the past 60 years. The final essay details a survey of Columbia University academics' views of academic freedom and freedom of expression and shows how varied these opinions are.

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### **STUDENT ENGAGEMENT IN EUROPE: SOCIETY, HIGHER EDUCATION AND STUDENT GOVERNANCE**

by Council of Europe, Strasbourg: Council of Europe, 2015, 394 p. (Higher Education Series, no. 20) - ISBN 978-92-871-7971-5



This book analyses the importance of student engagement for the development and maintenance of democratic institutions and culture. Three

aspects of student engagement are covered: the role of student engagement in society through political participation and civic engagement; its place in higher education policy-making structures; and the involvement of student unions in higher education governance. The contributors describe case studies within Belgium, Germany, Poland, Finland, the United Kingdom, the Czech Republic, Portugal, Slovenia, Serbia, Croatia and the former Yugoslav Republic of Macedonia. In addition to these national perspectives,

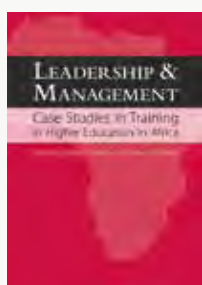


Source: HEDBIB, bibliographical database maintained by the IAU – <http://hedbib.iau-aiu.net/>

the participation of the European Students' Union in European-level issues, notably higher education financing and on quality assurance with the European Higher Education Area are detailed.

### LEADERSHIP AND MANAGEMENT: CASE STUDIES IN TRAINING IN HIGHER EDUCATION IN AFRICA

by Johann Mouton, Lauren Wildschut, Cape Town: African Minds, 2015, 126 p.- ISBN 978-1-920677-89-3. - Online ISBN 978-1-920677-91-6



Against the backdrop of major developments and shifts in higher education on the African continent and globally, this publication examines the

leadership and management challenges that university leaders face and reflects on the experiences from training programmes for senior management within African universities. Part one consists of two chapters: a review of African scholarship on university leadership and management and the history and landscape of Higher Education Leaders and Management (HELM) training programmes in Africa. Part Two presents documentation and lessons learnt from the three country initiatives in Tanzania, Uganda and Ghana. Part Three describes in detail the monitoring and evaluation process that ran concurrently with the implementation of the country training programmes.

### COMPREHENSIVE INTERNATIONALIZATION: INSTITUTIONAL PATHWAYS TO SUCCESS

by John K. Hudzik, Abingdon: Routledge, 2015, 279 p. (*Internationalization in Higher Education*) - ISBN 978-1-138-77854-2



This book examines internationalization within higher educational institutions, focusing on actual approaches to implement a more integrated, strategic or comprehensive global engagement across core missions of teaching, research and engagement. Part one investigates issues impacting the internationalization of institutions. It examines the development of internationalization from individual mobility towards a multi-faceted concept comprising building cross-border cooperation and "internationalization at home", creating key strategies for internationalization actions and programmes, engagement, organisational change and assessing outcomes. In part two, contributors from Australia, Brazil, Finland, South Africa, Singapore, Sweden, the United Kingdom and the United States detail case studies reflecting the diversity of institutional internationalization strategies and highlighting the trend toward wider and more comprehensive institutional engagement and activity.

### UNIVERSITIES AND GLOBAL HUMAN DEVELOPMENT: THEORETICAL AND EMPIRICAL INSIGHTS FOR SOCIAL CHANGE

by Alejandra Boni, Melanie Walker, Abingdon, New York: Routledge, 2016, 197 p. (*Routledge Studies in Sustainable Development*) - ISBN 978-1-138-82245-0



What development do universities want to contribute to in the post-2015 world? The authors of this book advocate for a multidimensional approach to the university oriented to social change. They first consider how higher education

features in global development agendas, noting that while higher education has not featured prominently, higher education has gained a more prominent role in global debates in particular with the Sustainable Development Goals. The book explores how a human and sustainable development approach can be applied to higher education, specifically participation and citizenship, how to address diversity, the relation between local and global, and the idea of equitable partnerships.

### ROUTLEDGE HANDBOOK OF THE SOCIOLOGY OF HIGHER EDUCATION

by James Côté, Andy Furlong, Eds., Abingdon, New York: Routledge, 2016, 396 p. - ISBN 978-1-138-77812-2



This book covers the current sociological approaches to higher education in Western societies. Part one offers different perspectives on the transformation

of higher education institutions from elite to 'mass' higher education, and the concomitant marketisation and competitiveness between higher education institutions. Part two examines how higher education institutions have adapted to pressures to massify. Part 3 focuses on inequalities in access for 'non-traditional' working class and ethnic minority students. The chapters in part four contrast higher education models and reforms in several countries and regions - Germany, France, the Nordic countries, Russia, Japan and China. The final section examines higher education in the global context. The strong expansion in higher education is a global trend which is fuelled by international student recruitment in the North.

## February 2017

- 15-17** *Adelaide, Australia*  
**The Asia-Pacific University-Industry Engagement Conference – University-Industry Engagement: From Best Practice to Next Practice – Asia-Pacific Opportunities and Perspectives**  
[www.uiin-asiapacific.com](http://www.uiin-asiapacific.com)
- 
- 15-17** *University of Phoenix Orlando, United States*  
**XII International GUIDE Conference – Online Learning in the 21<sup>st</sup> Century: Practice Problems and Prospects**  
[www.guideassociation.org](http://www.guideassociation.org)
- 
- 19-22** *Washington Marriott Wardman Park Washington D.C., United States*  
**2017 AIEA Annual Conference – Internationalization through Difference: transcending boundaries**  
[www.aieaworld.org/2017-annual-conference](http://www.aieaworld.org/2017-annual-conference)
- 
- 27-02** *Manama, Bahrain*  
**March INQAAHE 2017 Conference – Quality Assurance in HE between Collaboration and Competition: Promises and Challenges**  
[www.qqa.gov.bh/en/Mediacenter/INQAAHE2017Conference](http://www.qqa.gov.bh/en/Mediacenter/INQAAHE2017Conference)

## March 2017

- 06-09** *Police Officer's Club Khartoum, Sudan*  
**5<sup>th</sup> African Council for Distance Education Conference and General Assembly – Open Distance Learning (ODL) in Africa in the Digital Era**  
[www.acdeafrika.org](http://www.acdeafrika.org)
- 
- 10-11** *Symbiosis Centre for Distance Learning Pune, India*  
**ICDE International Conference – Unleashing the potential of ODL – Reaching the unreached**  
[www.scdel.net/International\\_Conference](http://www.scdel.net/International_Conference)
- 
- 12-14** *Doha, Qatar*  
**IREG Forum 2017 – Excellence as the University Driving Force**  
<http://ireg-observatory.org/en>
- 
- 15-17** *Marrakech, Morocco*  
**ADEA 2017 Triennale – Revitalizing education towards the 2030 Global Agenda and Africa's Agenda 2063**  
[www.adeanet.org/en/events/adea-2017-triennale](http://www.adeanet.org/en/events/adea-2017-triennale)
- 
- 19-24** *Barcelona, Spain*  
**ESMU-HUMANE European Winter School – Developing the Leadership Potential of the Senior University Managers**  
[www.humane.eu/events/winter-school](http://www.humane.eu/events/winter-school)
- 
- 20-23** *Kaohsiung, Taiwan*  
**APAIE 2017 – New Era, New Horizon, New Frontier Higher Education in Asia Pacific**  
[www.apaie.org/conference/2017/intro](http://www.apaie.org/conference/2017/intro)
- 
- 30-31** *Le Havre, France*  
**EURASHE 27<sup>th</sup> Annual Conference – Professional Higher Education 4.0: A Change for Universities of Applied Sciences**  
[www.eurashe.eu/events/annual-conferences/27-lehavre-2017](http://www.eurashe.eu/events/annual-conferences/27-lehavre-2017)

## April 2017

- 05-07** *Monkbar Hotel York, United Kingdom*  
**UALL 2017 Annual Conference – Lifelong Learning: Local, Regional, International?**  
[www.uall.ac.uk/news/uall-2017-annual-conference-york.html](http://www.uall.ac.uk/news/uall-2017-annual-conference-york.html)
- 
- 06-07** *University of Bergen, Bergen, Norway*  
**EUA 2017 Annual Conference – Autonomy and freedom: the future sustainability of universities**  
[www.eua.be/activities-services/events/event/2017/04/06/default](http://www.eua.be/activities-services/events/event/2017/04/06/default)
- 
- 07-08** *Universita degli Studi di Roma "Tor Vergata" Rome, Italy*  
**HUMANE Spring Seminar – Sustainable Development Strategy**  
[www.humane.eu/home](http://www.humane.eu/home)
- 
- 25-26** *Mohammed V University Rabat, Morocco*  
**4<sup>th</sup> Arab-Euro Conference on Higher Education – Research for sustainable societies – the role of universities**  
<http://scholar.um5.ac.ma/aec4>



## May 2017

**18-20** *Wenner-Gren Center Stockholm*  
**Academy of Europe – Crossing over to the future: interdisciplinarity in research and higher education**  
[www.ae-info.org/ae/Acad\\_Main/Events/Crossing over to the future](http://www.ae-info.org/ae/Acad_Main/Events/Crossing%20over%20to%20the%20future)

**21-26** *University of Botswana, Gaborone, Botswana*  
**4<sup>th</sup> session of IAU Leading Globally Engaged Universities (LGEU) programme**  
[www.iau-aiu.net/content/leading-globally-engaged-universities-lgeu](http://www.iau-aiu.net/content/leading-globally-engaged-universities-lgeu)

**22-24** *London, United Kingdom*  
**Going Global 2017 – Global Cities: connecting talent, driving change**  
[www.britishcouncil.org/going-global](http://www.britishcouncil.org/going-global)

**24-26** *University Belval Campus Esch-sur-Alzette, Luxembourg*  
**4<sup>th</sup> Transatlantic Dialogue – Creating Human Bonds through Cultural Diplomacy**  
<https://transatlanticdialogue2017.uni.lu>

**28-02** *Los Angeles, United States*  
**June** **NAFSA Annual Conference 2017 – Expanding Community. Strengthening Connections**  
[www.nafsa.org/attend\\_events/annual\\_conference](http://www.nafsa.org/attend_events/annual_conference)

## June 2017

**09-10** *Paris, France*  
**HUMANE 20<sup>th</sup> Anniversary Conference - Crisis Leadership in Universities in a Globalised World**  
[www.humane.eu/events/seminars/2017/paris](http://www.humane.eu/events/seminars/2017/paris)

**13-16** *Jönköping, Sweden*  
**EDEN 2017 Annual Conference - Diversity Matters**  
[www.eden-online.org/eden\\_conference/jonkoping](http://www.eden-online.org/eden_conference/jonkoping)

**22-23** *Aveiro, Portugal*  
**2<sup>nd</sup> International Conference on Smart Learning Ecosystems and Regional Development - Smart Learning Ecosystems and Regional Development**  
[www.aslerd.org/](http://www.aslerd.org/)

## October 2017

**18-20** *University of Ghana and African Association of Universities, Ghana*  
**IAU 2017 International Conference – Leadership for a changing public-private funding landscape.**

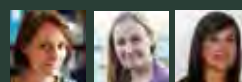
This 'Calendar of events' is only an extraction of the **IAU online Global Calendar of Events**. The online version provides an overview of conferences on HE organized around the world see: [www.iau-aiu.net/content/global-calendar](http://www.iau-aiu.net/content/global-calendar). To include events, please write to: [iau@iau-aiu.net](mailto:iau@iau-aiu.net)

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THE INTERNATIONAL  
ASSOCIATION OF  
UNIVERSITIES (IAU)  
IS PLEASED TO  
ANNOUNCE THE

# **IAU 2017 INTERNATIONAL CONFERENCE AND IAU GLOBAL MEETING OF ASSOCIATIONS (GMA VII)**

LEADERSHIP FOR  
A CHANGING  
PUBLIC-PRIVATE  
HIGHER EDUCATION  
FUNDING LANDSCAPE

HOSTED BY THE UNIVERSITY OF GHANA,  
IN COLLABORATION WITH ASSOCIATION OF  
AFRICAN UNIVERSITIES (AAU)

**Accra, Ghana,  
18-20 October 2017**

