

IAU

Horizons

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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**.



IN FOCUS

Corruption in Higher Education

IAU 2017

INTERNATIONAL CONFERENCE

>> 18-20 OCTOBER

LEADERSHIP FOR A
CHANGING
PUBLIC PRIVATE HIGHER
EDUCATION
FUNDING LANDSCAPE

ACCRA, GHANA

GLOBAL MEETING OF
ASSOCIATIONS

>> 17-18 OCTOBER



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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.

MESSAGE FROM THE SECRETARY-GENERAL



RECEIVING THIS ISSUE OF *IAU HORIZONS* ALMOST IN TIME FOR THE START OF THE SUMMER MONTHS (in the Northern hemisphere), might lead readers to think the ‘In Focus’ section will offer light reading. Yet, urged by several members of the IAU Board and network and given our own experience in maintaining the World Higher Education Database (WHED), as well as our commitment to promote

ethical conduct in higher education institutions, we took the decision to explore the very serious and often difficult issue of corruption in higher education. Offering a sample of perspectives on the various manifestations of corruption in this sector, articles also present some of the actions that aim to address the problem, including the IAU-MCO Guidelines for an Institutional Code of Ethics adopted by the two organizations in 2012.

That is not all that you will find between the covers of the magazine, however. You can take a brief glance back at the 15th General Conference held in Bangkok, Thailand which heralded a new Strategic Plan for the Association and a new leadership with Pam Fredman at the helm. As well, looking at the future, you will note that IAU is well advanced in preparing the 7th Global Meeting of Associations to be followed immediately by the 2017 International Conference. Both events will take IAU to Accra Ghana where the African Association of Universities and the University of Ghana, respectively, will host these events.

As higher education continues to expand, and nowhere more rapidly than in Africa, it is not surprising that the theme chosen by our African hosts for the 2017 conference has to do with the shifting terrain of higher education funding and the challenge it poses to leadership. The current expansion in Africa cannot be sustained by public funds alone and the private role in financing higher education is growing rapidly, whether it is through greater contributions made by families, or by the growth in private (including for-profit) institutions. The IAU will explore the issue from the perspective of associations of universities during the GMA and analyses the impact of these shifts on different aspects of the institutions during the conference. Even before the Conference though, IAU will be at the University of Botswana for the 4th session of the Leading Global Engaged Universities (LGEU) programme – the first in Africa and I am sure that the participants will also discuss the challenges linked to leading higher education institutions while less public funding available for a growing sector.

IAU Horizons also reports on the headway IAU is making on the various priorities that have been adopted for the next four years. There is both continuity and change coming as new Working Groups and Committees are set up to steer the direction the Association takes. Re-launching our work on ICTs in higher education, pursuing the development of the Higher Education and Research for Sustainable Development portal and related actions as well as multiplying the number of universities that undertake the Internationalization Strategies Advisory Service in its new format (ISAS 2.0) and aiming to earn an IAU Learning Badge are all highlighted briefly. The major IAU endeavor to monitor internationalization trends worldwide is also getting prepared as the Secretariat has invited an Advisory Committee to help redesign the questionnaire for the 5th Global Survey on internationalization.

A new Strategic Plan, a new President and new Board have inspired the Secretariat to undertake some changes as well and we hope that IAU Horizons readers are also reading the monthly IAU Lynx in its new format and find it as informative as in the past. Similarly the format of the IAU Highlights from the Press have been changed to offer more easily accessible information on the key topics in higher education. Thanks for letting us know what you think, follow us on twitter and let IAU keep you informed of higher education developments worldwide.

Eva Egron-Polak

IAU Horizons 22.1 – Highlights

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IAU 2017 INTERNATIONAL CONFERENCE
ACCRA, GHANA, 18-20 OCTOBER 2017

IAU GLOBAL MEETING OF ASSOCIATIONS,
ACCRA, GHANA, 17-18 OCTOBER 2017



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REPORT ON IAU ACTIVITIES, INCLUDING
ON THE IAU 15th GENERAL CONFERENCE
HELD IN BANGKOK



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IN FOCUS: CORRUPTION IN HIGHER
EDUCATION



➡ 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 operate.

➡ WHED

The IAU WHED Portal (World higher Education Database – <http://www.whed.net>) is the unique database providing information on higher education systems, credentials and higher education institutions from around the world. The WHED currently covers over 18,000 institutions in some 182 countries and is constantly updated. As **IAU member**, ensure that the information about your institution is up to date and visible. Your institutional logo and a picture of your institution can be uploaded. **Contact:** centre@iau-aiu.net

➡ IAU Global portal on HESD

Become involved in the IAU work on Higher Education and Research for Sustainable Development and share your initiatives via the portal where institutional profiles are being published, information on courses, policy development, whole of institution approaches, documents are made available for adoption, adaptation and scaling initiatives. IAU work is registered as part of the UNESCO Global Action Programme on Education for Sustainable Development! See: www.iau-hesd.net. **Contact:** f.herzog@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**. 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. **Contact:** g.marinoni@iau-aiu.net, <http://www.iau-aiu.net/content/internationalization-higher-education-virtual-resource-center>

➡ 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. See: www.idea-phd.net.

Contact: n.poulton@iau-aiu.net



IAU CALLS

➡ SECURE A PLACE AT THE NEXT LGEU

LGEU 5 IN OMAN: SIGN UP FOR A UNIQUE PEER LEARNING EXPERIENCE! (page 16)

The 5th session of *Leading Globally Engaged Universities* (LGEU), IAU's professional development programme for higher education leaders will be hosted by Sohar University, Oman, from 18 to 23 November 2017. For complete information and registration for the next session, see: **Leading Globally Engaged Universities**, www.iau-aiu.net/content/leading-globally-engaged-universities-lgeu or **contact** Juliette Becker (j.becker@iau-aiu.net).



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

ISAS (2.0) is the new IAU programme for advancing internationalization. ISAS (2.0) consists of several distinct but complementary services offered to IAU Members, other Higher Education Institutions (HEIs), individuals, organizations and national governments. More information on page 11.

Contact: Giorgio Marinoni at g.marinoni@iau-aiu.net



➡ JOIN THE IAU INTERNATIONALIZATION EXPERTS GROUP ON LINKEDIN!

If your expertise is in the field of Internationalization of Higher Education and you have already collaborated or you are willing to collaborate with IAU in its internationalization services (e.g. ISAS (2.0)) join the IAU Internationalization Experts group on LinkedIn. Membership in the group is subject to the approval by IAU.

Contact: Giorgio Marinoni at 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 attend 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 continue 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:** h.vantland@iau-aiu.net

IAU 2017 INTERNATIONAL CONFERENCE

>> 18-20 OCTOBER 2017

LEADERSHIP FOR A CHANGING PUBLIC PRIVATE HIGHER EDUCATION FUNDING LANDSCAPE

ACCRA, GHANA

IAU is this year looking forward to returning to Africa and more specifically to Accra in Ghana where the Association will hold the **IAU 2017 International Conference**. Hosted by the University of Ghana, the Conference theme is *Leadership for a changing public-private higher education funding landscape*. IAU will convene leaders of higher education from all regions to discuss and share experiences about the impact of the changing funding higher education landscape on the leadership. The speakers will be invited from all regions and from different type of universities in order to understand how this blurring of boundaries between public and private higher education raises fundamental questions about the goals and purposes of higher education for the individual, for the nation and for society. These changes, taking place in most higher education systems worldwide, albeit in different degrees, bring new demands and new challenges for the institutional leadership at all levels. In some ways, they are redefining the role of the higher education leader.

COME AND MEET THE MEMBERS OF THE IAU BOARD, IAU MEMBERS FROM AROUND THE WORLD AND SOME OF OUR EMINENT SPEAKERS INCLUDING

(in alphabetical order)

- ✎ **Mahmoud Nili Ahmadabadi**, *President, University of Tehran, Iran, and IAU Board member*
- ✎ **David Atchoarena**, *Director, Division for Policies and Lifelong Learning Systems (ED/PLS), UNESCO*
- ✎ **Pam Fredman**, *IAU President and Rector, Göteborg University, Sweden*
- ✎ **Piyushi Kotecha**, *Chief Executive Officer, Southern African Regional University Association (SARUA)*
- ✎ **Olive Mugenda**, *Former Vice-chancellor, Kenyatta University, Kenya and former IAU Board Member*
- ✎ **Pedro Teixeira**, *Vice-Rector for Academic Affairs, University de Porto, Portugal*
- ✎ **Mary Teuw Niane**, *Minister, Higher Education and Research, Senegal*



**BENEFIT FROM EARLY BIRD RATES,
REGISTER NOW:** www.etchouches.com/iau2017
CONTACT: Trine Jensen at t.jensen@iau-aiu.net

PRELIMINARY
PROGRAMME

IAU 2017 INTERNATIONAL CONFERENCE

>> 18-20 OCTOBER 2017

LEADERSHIP FOR A CHANGING PUBLIC PRIVATE HIGHER EDUCATION FUNDING LANDSCAPE

WEDNESDAY 18 OCTOBER 2017

INAUGURAL CEREMONY: LEADERSHIP FOR A CHANGING PUBLIC-PRIVATE HIGHER EDUCATION FUNDING LANDSCAPE

Welcome reception

THURSDAY 19 OCTOBER 2017

PLENARY SESSION I – ROLES AND EXPECTATIONS FOR AND OF HIGHER EDUCATION LEADERS TODAY

TWO SERIES OF PARALLEL SESSIONS

I.a – Tensions between academic, economic and social missions of HE

I.b – Public or private HEI – different leadership expertise/capacities required?

I.c – Impact on governance models of new HE funding realities

II.a – Corruption in higher education

II.b – Ethics in curriculum

II.c – Academic integrity in a competitive higher education landscape

II.d – Value based leadership and mindset change as catalysts for building effective universities

PLENARY SESSION II: HIGHER EDUCATION AND RESEARCH: ETHICAL CHALLENGES FOR A TRANSFORMING WORLD

FRIDAY 20 OCTOBER 2017

PLENARY SESSION III: INSTITUTIONAL AND SOCIETAL EXPECTATIONS OF HIGHER EDUCATION LEADERSHIP

PARALLEL SESSIONS

III.a – Changing student demand and expectations – inclusive access, secure future, and student-based learning

III.b – Impact of competition, rankings and other 'market' forces on the development of higher education institutions

III.c – Case studies and poster session

Conference closing

The full program is available online etouches.com/iau2017

SPONSORSHIP OPPORTUNITIES

Engage with higher education leaders from around the world. Become a sponsor of the IAU 2017 Conference. **Contact:** Hilligje van't Land at h.vantland@iau-aiu.net

GLOBAL MEETING OF ASSOCIATIONS (GMA VII)

>> 17-18 OCTOBER 2017

LEADERSHIP FOR A CHANGING PUBLIC-PRIVATE HIGHER EDUCATION FUNDING LANDSCAPE: IMPLICATIONS FOR HIGHER EDUCATION ASSOCIATIONS

PRELIMINARY
PROGRAMME

Every two years, IAU holds Global Meetings of Associations (GMA). This year, the seventh edition precedes the International Conference in Accra, Ghana.

While the Conference is open to all, **the GMA is organized exclusively for leaders of national, regional and international associations/organizations** of higher education institutions. This meeting offers a unique opportunity

for leaders of higher education associations to meet as a relatively small group of peers to exchange ideas, practices and to network.

Hosted by the University of Ghana and the African Association of Universities (AAU), the GMA is devoted to the same theme as the Conference but focuses on the implications for the higher education associations and organizations.

TUESDAY 17 OCTOBER 2017 (18:00-20:00)

OPENING OF THE GLOBAL MEETING OF ASSOCIATIONS (GMA VII) AND WELCOME RECEPTION

WEDNESDAY 18 OCTOBER 2017 (9:00-18:00)

PLENARY SESSION: LEADERSHIP FOR A CHANGING PUBLIC-PRIVATE HIGHER EDUCATION FUNDING LANDSCAPE: What are the implications for higher education associations?

The impacts and challenges that result from the shifting and often blurring lines between publicly and privately funded higher education and the pressure to change the funding mix are manifold. At the system level, these transitions raise questions about the very definition of what is a public or private university, questions about the regulatory and accountability frameworks that govern each of these categories of institutions, questions with regard to quality and recognition.

For students, the issues are about accessibility, participation, retention and also recognition. As well, this changing public – private landscape can influence the profile of individual institutions and the disciplinary mix or curricula they offer, what academic knowledge and skills they emphasize, the students they wish or are able to attract, the relationship they build with communities and potential employers.

But what impact does this shift have on the national and regional university associations? How are they experiencing the changing nature of higher education that comes with a more blurred notion of public and private?

The Global Meeting of Association (GMA) seeks to provide a forum for examining the answers and additional questions from the perspective of membership associations and university networks.

THEMES FOR GROUP DISCUSSIONS – SERIES I

- *What membership trends do you see in terms of private or public higher education institutions?*
- *Is the changing funding landscape bringing more risks such as corruption; unfettered competition and shift in values? What about new opportunities?*
- *Public-private: same or different leadership capabilities required? Same or different services needed?*
- *New funding realities: what is the impact on quality assurance, accreditation and on other regulatory mechanisms?*

THEMES FOR GROUP DISCUSSIONS – SERIES II

- *How does private HE funding of higher education impact on calls for social responsibility, how does it influence research choices?*
- *What impact do increased competition, rankings and other 'market' forces have on your association?*
- *Does the diversification of funding sources bring changes in the mission and purposes of higher education?*
- *What are the expectations and the place of the student in this changing landscape?*

The conclusions of the group discussion will be discussed in the closing plenary session.

ABOUT HIGHER EDUCATION IN AFRICA

Discover the World Higher Education Database - IAU WHED !

This year the IAU is focusing on updating information about higher education systems and institutions in Africa.

➡ Discover the WHED online at: www.whed.net

If you wish to update information about your country or institution, please contact centre@iau-aiu.net

The HE institution list and information on African HE systems will be updated online in October 2017.

HOST AND PARTNERS

UNIVERSITY OF GHANA



University of Ghana, the premier university and the largest university in Ghana, was founded as University College of

the Gold Coast by Ordinance on August 11, 1948 for the purpose of providing and promoting university education, learning and research.

University of Ghana is administered through a collegiate system which comprises the Colleges of Basic and Applied Sciences, Education, Health Sciences and Humanities. In addition, the University has several research institutions and centres of learning and research, including Noguchi Memorial Institute for Medical Research (NMIMR), Centre for Tropical, Clinical Pharmacology and Therapeutics, Regional Institute for Population Studies, Institute for Environment and Sanitation Studies and the Institute of Statistical, Social and Economic Research.

As part of its vision to become a world-class research intensive institution, the University is focusing on promoting international collaboration on a number of research initiatives to enhance the University's research output. Through our research institutes and other centres of learning and research, faculty members are involved in studies that support policy making for national development, often in collaboration with other international institutions. In addition, several agreements with universities in Africa, Europe and North America for student, faculty and staff exchange, and for collaborative research have been established.

The student population is over 38,000 made up of students enrolled on our regular programmes, sandwich programmes and distance education programmes. The growing number of international students comes from over 70 countries to join either regular undergraduate and graduate programmes, or to enrol on 'study abroad' and other special programmes designed for international students.

University of Ghana has over the years built an image as one of the region's reputable universities, which makes it the first choice for academics, researchers and students.

More information: www.ug.edu.gh

ASSOCIATION OF AFRICAN UNIVERSITIES (AAU)



The Association of African Universities (AAU), founded in 1967, is an international non-

governmental organization set up by the universities in Africa to promote cooperation among themselves and between them and the international academic community. It has some 300 member institutions from African countries.

The Association provides a platform for research, reflection, consultation, debates, co-operation and collaboration on issues pertaining to higher education. It provides a range of services to its members and serves African higher education in a variety of ways. It has established and increased its role in the five sub-regions of Africa and can assemble teams of experts in relevant fields from the sub-regions. The Association has carried out a number of studies and workshops on higher education issues in Africa, conducts many programmes and initiatives, and manages the Database of African Theses and Dissertations (DATAD) and the Roaster of African Professionals (ROAP).

Report on

IAU 15TH GENERAL CONFERENCE

HIGHER EDUCATION: A CATALYST FOR INNOVATIVE AND SUSTAINABLE SOCIETIES

13-16 Nov 2016

Bangkok, Thailand

More than 300 participants from over 80 countries participated in the conference. Organized in collaboration with a consortium of four IAU Member institutions in Thailand and hosted by Chulalongkorn University in Bangkok, the Inauguration of the Conference was celebrated in conjunction with the **Centennial celebration of Thailand Higher Education System and was opened by the H.R.H. Princess Maha Chakri Sirindhorn, Thailand.** The IAU was particularly grateful to the Consortium for its hospitality during a period of deep mourning for His Royal Highness King Rama IX, much beloved by all Thai people.

The General Conference is held every four years and it is a particular important event in the life of the Association as it is the supreme decision-making body of the Association. It is the opportunity for Members to elect the leadership of the Association and discuss the strategic direction forward.

During the 15th General Conference in Bangkok, Thailand, the IAU Members elected the new IAU President, Pam Fredman, Rector of Gothenburg University. She is the first women to hold this position within the Association. She took office at the end of the conference and will serve on until the end of the next General Conference, to take place in 2020. The members of the IAU Administrative Board were also elected and the current composition of the Board is presented on page 10.

The IAU strategic plan (2016-2020) was adopted placing particularly focus on the following four thematic priorities:

- Values-based institutional leadership in higher education
- Internationalization of higher education
- Higher education and research for sustainable development
- Information and Communications Technologies (ICTs)



The IAU Board meets with H.R.H. Princess Maha Chakri Sirindhorn, at Chulalongkorn University, in Bangkok

The thematic part of the General Conference was dedicated to the theme ***Higher Education: A catalyst for innovative and sustainable societies.*** The programme contained different perspectives and reflections on the role and potential of higher education in fostering the development of sustainable societies. The conference presented several examples of the important role that higher education can play to address the 17 Sustainable Development Goals (SDGs) and the 2030 Development Agenda. The presentations offered insights from different parts of the world, from general trends monitored in the Global Education Monitoring Report and the IAU Survey on Higher education and Research for Sustainable Development (HESD) to concrete case studies and examples of how to create sustainable eco





systems on campus and reduce the consumption of energy to the incorporation of the SDGs into health care curricula. These are merely a few examples of the broad spectrum of issues that were discussed during the conference.

The conference reaffirmed the position that guides the actions of the IAU namely that higher education institutions (HEIs), whose primary functions are education, research, and service, are essential social institutions. They generate knowledge and instill attitudes to bring about a better future. These roles need to be strengthened, showcased and IAU was pleased to

contribute to this mission through the General Conference in Bangkok.

To follow up to the Conference, Higher Education Institutions (HEIs) are invited to share their initiatives, experiences and case studies on the IAU global portal on HESD: www.iau-hesd.net.

The programme and all the presentations are available on the 15th General Conference website: www.etaouches.com/iau2016.



THE CONSORTIUM OF PARTNER UNIVERSITIES FOR THE ORGANIZATION OF THE GENERAL CONFERENCE:

Chulalongkorn University
Siam University
Suranaree University of Technology
Asian Institute of Technology



Letter from the President of the IAU



Pam Fredman, *IAU President (2016-2020) and Rector, Gothenburg University*

“Dear IAU Members, I would like

to thank you for your confidence in letting me serve as your President for the next four years. I foresee a close cooperation with members and especially with the Board whose Members have shown great commitment so far. The strength of the IAU is its global presence through its members and their representatives on the Board. Together with the highly qualified and professional staff at the Paris office, I look forward to working together to achieve IAU's vision “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 society”.

The successful 15th General conference in Bangkok highlighted the importance of research and higher education as a catalyst for innovative and sustainable societies. During the discussions at the Conference, I also noted the strong support for higher education institutions (HEIs) and organizations to play an important role in the efforts, around the world to reach all of the 17 Sustainable Development Goals, and not only the most obvious one in Education. The new IAU strategic plan for 2016-2020, adopted at the General Conference provides the guidance for the work to be done to promote the significance of the contributions made by higher education institutions and organizations in the next coming years.

IAU already has a strong platform for raising the awareness of the importance of HEIs for knowledge seeking, knowledge development and knowledge transfer, based on fundamental values such as academic freedom, autonomy, equitable access, appreciation of different opinions and freedom from political interference in all sectors of society. Students are most important and their access and success in higher education is essential. They will be the driving force for change in public and private sectors and in civil society. They are the future decision makers. Therefore, we need to provide them with academic skills, with creative and critical thinking capacities and not at least, with ethical perspectives. In the last session at the General Conference two students, Lesiba Bapela from South Africa and Patrawan Wanasathop from Thailand, gave their views on “the way forward” and their engagement, creativity and critical perspectives showed hope for the future. So, let us enable student engagement in our activities.

There are many challenges that must be met to reach the UN Agenda 2030, and a future sustainable society. These also

include the questioning of the role and fundamental values of HEIs, as mentioned above.

IAU, being the only truly global association of HEIs and organizations, with its long-standing connection to UNESCO, which I hope will become even stronger, has a unique role, opportunity and responsibility to meet and solve these challenges.

Finally, our Secretary General Eva Egron-Polak has announced that she will step down after more than 15 years in her position. We all know that her skills and commitment to higher education have been invaluable to IAU's development, and I, together with the members of the recruitment committee, are doing our best to find a successor who can fill her place and further develop the IAU.

I look forward to working in line with the vision and mission of IAU to consolidate the association and enhance its leadership role in helping universities meet the challenges of the future.”

MEMBERS OF THE EXECUTIVE COMMITTEE 2016-2020

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Pam FREDMAN, *Rector, University of Gothenburg, Sweden*

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Secretariat

Eva EGRON-POLAK, *Secretary General*

IAU Administrative Board

2016-2020

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IAU Administrative Board during its first meeting in Paris, April 2017

Inga Žalėnienė, Vice-Rector for Education and Research, Mykolas Romeris University, Lithuania

ORGANIZATIONS

NATIONAL: Molly Corbett Broad, President, ACE (American Council on Education), USA

REGIONAL: Roberto Escalante Semerena, Secretary-General, Unión de Universidades de América Latina y el Caribe, Mexico (UDUAL)

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Eva Egron-Polak, IAU, International Universities Bureau

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ORGANIZATIONS

NATIONAL: Zoltan Dubécz, Secretary-General, MRK (Hungarian Rectors Conference), Hungary

REGIONAL: Sultan Abu Orabi, Secretary-General, Association of Arab Universities, Jordan

HONORARY PRESIDENTS

Guillermo Soberon (President 1980-1985), Former Rector, National Autonomous University of Mexico, Mexico

Blagovest Sendov (Acting President 1984), Former Rector, University of Sofia, Bulgaria

Justin Thorens (President 1985-1990), Former Rector, Université de Genève, Switzerland

Hans Van Ginkel (President 2000-2004), Former Rector, Utrecht University, Netherlands; Former Rector, United Nations University, Japan

Goolam Mohamedbhai (President 2004-2008), Former Secretary-General, Association of African Universities (AAU)

Juan Ramón de la Fuente (President 2008-2012), Former Rector, National Autonomous University of Mexico, Mexico

Elected IAU Board member during the General Conference in Bangkok, 2016, **Prof. Primrose Kurasha, Vice-Chancellor, Zimbabwe Open University** passed away in February 2017. IAU was deeply saddened by her sudden death. It was a pleasure to collaborate with Prof. Kurasha, first woman Vice-Chancellor in Zimbabwe and a truly inspiring leader. Her presence and contributions will be sadly missed during the meetings of the Board, as well as to the work of the IAU.

IAU THEMATIC PRIORITY AREAS



Internationalization

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.

In this issue of the magazine focus is on IAU ISAS projects

► ISAS (2.0)

⊕ Take part in ISAS (2.0), the new IAU programme for Advancing Internationalization in Higher Education!



IAU is pleased to announce that the new programme for advancing internationalization, ISAS (2.0) was launched in September 2016.

ISAS (2.0) consists of several distinct but complementary services offered to IAU

Members, other Higher Education Institutions (HEIs), individuals, organizations and national governments.

Building on the foundation of the initial Internationalization Strategies Advisory Service, ISAS (2.0) goes beyond the original initiative to offer a greater variety of tailored services to a more diversified audience. Participating institutions can now earn Learning Badges for each service to demonstrate and acknowledge the learning journey they have undertaken. For more information, please visit the ISAS (2.0) web pages (<http://www.iau-aiu.net/content/isas-2>) and contact: Giorgio Marinoni, g.marinoni@iau-aiu.net.

✎ THREE ISAS (2.0) PROJECTS ALREADY LAUNCHED AND ONE ALREADY COMPLETED

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



ISAS (2.0) at Hokkaido University

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 the institution was awarded the *Internationalization Learning Badge: Strategy Monitoring and Achievements* for its achievements during the IAU General Conference in Bangkok, in November 2016.

Contact: 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.

⊕ Two new ISAS (2.0) projects launched with Shigakkan University in Japan and KIIT University in India

A Memorandum of Understanding between IAU and Shigakkan University was signed in January 2017 and a site visit to launch a “Planning and Strategy” ISAS (2.0) was conducted by Eva Egron-Polak IAU Secretary-General and panel chair in February 2017.

Eva Egron-Polak, IAU Secretary-General and panel chair, signed a Memorandum of Understanding between IAU and KIIT University during the launching site visit in March 2017.



Top: Shigakkan University, Japan
Bottom: Signing an MOU between KIIT and IAU

The two universities have started a self-assessment exercise on their internationalization strategies in order to prepare a self-assessment report to be submitted to IAU. In the meantime, IAU has started identifying experts for the two review panels, which will visit the respective universities towards the end of the year 2017 or at the beginning of 2018.

➡ 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 2016, the second one (issue 3/2016) was published in November 2016 and the third (issue 1/2017) in April 2017. The next issue (2/2017) will be published in July 2017.



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 online versions. For details please read the special subscription offer at http://iau-aiu.net/sites/all/files/INT_Flyer_2017.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: http://iau-aiu.net/sites/all/files/EHE_flyer_2017.pdf

Contact: g.marinoni@iau-aiu.net



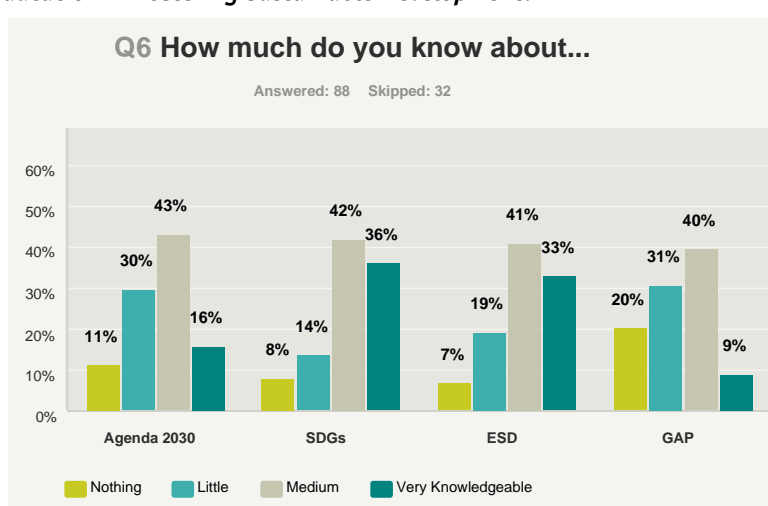
IAU Contributions to Higher Education and Research for Development

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.

To address the targets set in the IAU 2016-2020 Strategic Plan, IAU initially focuses on the following projects and initiatives:

+ IAU Global Survey on the Role of Higher Education in Fostering Sustainable Development:

Various presentations based on the outcomes of the IAU 2016 *Global Survey on the Role of Higher Education in Fostering Sustainable Development* have generated great interest in the work of IAU in the field. IAU presented the results on various occasions since Bangkok and more recently in Berlin and in Ottawa (see below). The Secretariat currently works on a publication highlighting the results of the Global Survey; this publication will be released this summer. IAU also started working on two topics identified through the survey: how to build, implement and monitor **HESD strategies**, and how to integrate SD throughout the *curriculum*.



+ Global IAU HESD Portal

The IAU **Higher Education and Research for Sustainable Development** (HESD) global portal, featuring some 315 sustainability initiatives and 130 references, is continuously updated and has a growing audience with some 1,000 monthly visitors, including HEIs interested in joining IAU. An important step taken, to be completed in July, will see the integration of the Sustainable Development Goals (SDGs) in all the content published. This will even better highlight how higher education contributes to **Transforming our World: the 2030 Agenda for Sustainable Development**.

To join forces with Universities and other HEIs from around the world, to scale up your actions and learn with and from others, make sure you share your institutional profile and sustainability

initiatives (actions, events, policy documents and publications) on the portal! Register and showcase your initiatives using our online form. The global portal is accessible online at: www.iau-hesd.net

Currently, the IAU is calling for specific information and documentation on:

- higher education strategies to embed sustainable development at all levels of the institution
 - information on sustainable development courses taught in all possible disciplines, including specific syllabi
- Two publications are being prepared.

Contact: Frédérique Herzog (f.herzog@iau-aiu.net)



➕ **IAU represents its Members at various key events. Discussions have started on future projects with a series of partners. Read more in the Fall issue of IAU Horizons.**

- UNESCO Global Action Program on Education for Sustainable Development (UNESCO GAP ESD):



IAU is involved, with Partners from Priority Action Area 2 – “Transforming learning and training environments”, – in preparing and conducting a survey also dedicated to whole institution/school approaches to sustainable development. The results of the IAU Survey and the preliminary results of the GAP Survey were recently presented at a Webinar.

- Dr van't Land represented the IAU at the Review Forum for the UNESCO Global Action Programme (GAP) and co-organised a Debate on Transforming learning Environments – what works best?, during *The UNESCO Week for Peace and Sustainable Development: The Role of Education*, Ottawa, Canada, 6 to 8 March 2017.

-  University Alliance for Sustainability (UAS): Hilligje van't Land gave the keynote speech during the UAS 2017 Spring Campus, Freie Universität Berlin, Germany, 27-31 March 2017. IAU took the opportunity to strengthen its relationship with UAS and to advance work on HESD, by preparing a survey focusing on strategies for SD. The results, presented in Berlin, will be used to feed IAU's work in the field.

- Green Gown Awards: IAU took part in the jury of the French-speaking edition of the Green Gown Awards (organized by *Campus Responsables*) which recognizes exceptional HE sustainability initiatives. Kedge Business School, Member of IAU, received the Student Quality of Life Award for its Wellness Center initiative. IAU also took part in the 2016 jury of the International Green Gown Awards. As a follow up, IAU discusses possible future collaboration with *Campus Responsables*. IAU congratulates the winners and finalists for their great commitment to sustainable development. More information on inspiring sustainability initiatives and on the Green Gown Awards is available on the global IAU HESD portal: <http://iau-hesd.net/>



Top: The UNESCO Week for Peace and Sustainable Development: The Role of Education, Ottawa, March 2017

Bottom: Recipients francophone edition Green Gown Awards 2016

➕ 2017 Prizes in Higher Education Policy Research:



in partnership with Palgrave Macmillan Ltd., publisher of the Association's journal *Higher Education Policy*, the IAU and COPERNICUS Alliance (CA) launched two 2016-2017 Prizes in Higher Education Policy Research. The aim is to promote research in the field of higher education policy by recognizing outstanding work on *Higher Education and Research for Sustainable Development (HESD): A New Academic Discipline?* Full papers will be received in September. The recipients of the prize will be announced in Ghana, at the IAU International Conference 2017.

NOT YET MEMBER OF IAU?

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



Values-based institutional 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**.

The rationale for IAU's decision to identify leadership development as one of its strategic priorities over the next few years is multiple, but primarily stems from the challenges posed by the rapid and complex transformations that are taking place in higher education worldwide and their impact on institutions and most of all on their leadership.

The challenges faced by university leadership are both internal and external; often having to do with the fundamental values and purposes of higher education. These place new demands on and change the nature of the role which leaders, at various levels of the university, are expected to play within the institution and in society. To name but a few of these challenges, here is a brief list:

- Changing funding models and accountability requirements
- New institutional governance structures
- More domestic and international competition for students, faculty and resources
- Growing importance of institutional reputation and rankings
- Increased diversity of students, faculty and staff
- Multiplicity of societal and economic expectations for immediate impact on employability, on social cohesion and on finding solutions to global challenges, including the SDGs
- Continuous changes in ICTs and their impact on learning/teaching, research and institutional management
- Ethical dilemmas and the importance of maintaining scientific integrity

It is in part for this reason, strengthening higher education leadership capacity and enhancing performance of the Higher Education Institutions, that the IAU has developed the professional development and training programme: the **Leading Globally Engaged Universities (LGEU)** programme is designed to focus on preparing future leaders for an increasingly internationalized higher education sector.

► IAU UNIQUE LEADERSHIP DEVELOPMENT PROGRAMME LGEU

Launched in 2015, LGEU is a successful 5-day programme which moves around the globe, held twice a year and hosted by an IAU Member institution. Each session brings together about 15-20 senior Higher Education representatives in leadership positions from all over the world. It provides an opportunity for higher education leaders with an international outlook and ambitions, to engage in peer-to-peer learning in a distinctive, internationally-oriented leadership development programme.

The workshop combines engaged debate about strategic leadership issues in HE, with structured peer-learning exercises that underline unique aspects of working in an inter-cultural and globalized context. LGEU also offers opportunities to learn about the institutions, country and region in which it takes place through visits with representatives of local institutions and organizations.

IAU has received nothing but positive feedback from participants who express each time their appreciation for the wealth of information they were offered and the opportunity they had to learn from one another. Collaboration agreements and networking among participants arose from the 5 days spent together in a rich co-learning environment.



► AFTER A SESSION IN ASIA, EUROPE AND LATIN AMERICA AND AFRICA, MIDDLE EAST IS COMING UP!

Gain insights, inspiration and build new networks to respond to the challenges and changes impacting on higher education systems and individual universities worldwide. Check out the next session dates below and apply to attend and further extend this dynamic and valuable network of globally engaged leaders!



“LGEU focuses on both the institution and the individual to develop appropriate skill sets for leading globally engaged universities. The program exceeded my expectations!”

Mashior Rahman, Director, Faculty of Science and Information Technology, American International University Bangladesh (AIUB)



“The program was truly spectacular.”

Ellen Fahey-Smith, Assistant Vice President & Chief of Staff, Fordham University, US



“LGEU has refined my perspective of the role of a globally engaged leader. The team management module was very insightful and forced us to rethink the “to-dos” and the “not to-dos”.”

Patrick Attié, Director, Ecole Supérieure d'Infotronique d'Haïti (ESIH), Haïti



LGEU-1: Inaugural session in University of Malaya, Malaysia, November 2015

► OTHER IAU INITIATIVES RELATED TO VALUES-BASED INSTITUTIONAL LEADERSHIP IN HE

IAU will continue to develop and share expertise on effective leadership, relevant in various contexts, responding to the complexity of leadership challenge

- IAU is pleased to announce the validation of a project proposal submitted to the World Bank for mapping resources and programmes related to HE leadership and a feasibility study to consider publishing a manual on the subject.
- Values-based Leadership is at the heart of the discussions at the 2017 IAU international conference and Global Meeting of Associations (GMA), which theme is: *Leadership for a changing public-private higher education funding landscape*. Please see page 3-6.

⇌ LGEU AROUND THE WORLD:

LGEU-1: November 2015, hosted by University Malaya (Malaysia)

LGEU-2: April 2016, hosted by University College Dublin (Ireland)

LGEU-3: December 2016, hosted by Universidad EAFIT (Colombia)

LGEU-4: May 2017, hosted by the University of Botswana (Botswana)

Next session: LGEU-5: 18-23 November 2017, hosted by Sohar University, Oman

Registration and information: j.becker@iau-aiu.net

OTHER IAU COLLABORATION AND NETWORKING

Latest developments of the HEIRRI project: Introducing “Responsible Research and Innovation” concepts in Universities



Higher Education Institutions
& Responsible Research and Innovation

IAU is involved in the HEIRRI project (*Higher Education Institutions and Responsible Research and Innovation*), an initiative funded by the European Commission is aiming at integrating the concept of “Responsible Research and Innovation” (RRI) in the education of future professionals involved in the research and innovation systems, in order to promote its alignment with societal needs, values and expectations.

HEIRRI understands RRI as a transformative, critical and radical concept, and includes the six key aspects identified by the European Commission: public engagement, gender, open access, science education, ethics and governance. RRI can potentially make research and innovation investment more efficient, and focus on global societal challenges at the same time.

HEIRRI's recent developments result in: a thorough **State of the Art Review**, a **Database** presenting 23 exemplary cases of RRI teaching, and the design of **Training Programmes and Materials** addressing different educational levels, using innovative methodologies and various media.

The project is now calling for higher education institutions around the world interested in testing the training materials (see the **Call for applications** on the HEIRRI website).

Additionally, the project offers an **Online Forum**: a space for debate and dialogue between the project and the many stakeholders affected by or involved in RRI and/or HEI. This multi-stakeholder online dialogue aims to raise the awareness and knowledge of RRI, to contribute to the co-development of Open Access specific instruments that stimulate the integration of RRI in professional careers, and to integrate a debate of RRI aspects. We encourage the readers of IAU Horizons to join the Forum by sending an email to forum@heirri.eu

All HEIRRI results are and will be shared on open access and can be found here: www.heirri.eu

Global Access to Post-Secondary Education Initiative



As a member of the international Executive Committee which is leading the GAPS initiative, the IAU

Secretary General was actively involved in planning the Seminar on Global Learning and Collaboration – ***Closing the Gaps in Education and the Labor Market*** which took place The Hague University of Applied Sciences (THUAS) on February 17, 2017. It was hosted by the Research Platform Connected Learning of THUAS and also served as the official launch of GAPS.

The overall goal of GAPS remains to create strong links and offer a platform for collective action and sharing of experiences in opening access to higher education and learning for all learners, and most especially those who have traditionally been left outside the system. THUAS has longstanding experience in welcoming a rich diversity of students as the local population is highly heterogeneous. It was thus a perfect host for this seminar where an international group of participants discussed how better to integrate students from among the refugee and migrant populations, how to ensure that prior learning is well recognized in admission processes and how to ensure that the learning environment is designed in ways that allows all learners to flourish, among other topics.

Plans for the GAPS event in Brazil, planned for November 2017, were also on the agenda for the GAPS Executive Committee which held a working meeting on this occasion and reflected on ways to consolidate this initiative into a truly global network of committed practitioners focusing on widening access in higher education.

<http://www.gaps-education.org/>

Magna Charta Observatory



The IAU's collaboration with the Magna Charta Observatory continues to deepen.

Given higher education developments around the world – dismissal of large number of senior higher education leaders in Turkey, changed law in Hungary and its impact on the autonomy and academic freedom of the Central European University, just to name two - , this collaboration is likely to increase even more. The MCO organized its first ever

meeting in Asia during the *IAU 15th General Conference* in Bangkok and the IAU will again welcome the MCO President, Sijbolt Noorda and MCO Secretary General, David Lock, to the **2017 International Conference and GMA in Accra, Ghana**. The IAU has also been providing input as the MCO further develops its project designed to help signatories and potential future signatories approach the implementation of the *Magna Charta Universitatum* values in a more practical manner. Following initial discussions, the MCO is proceeding to create a network of 'ambassadors' and the elaboration of a self-monitoring instrument to help in this process. This project is also expected to constitute ways to move beyond the not insignificant, but mostly symbolic act of signing the *Universitatum*, and to re-activate the awareness and implementation of the values and principles of the MCO even when the leadership of the university may have changed. The IAU Secretary General is a member of the MCO Council and has been contributing to this project which is directly in line with the IAU strategic priority on values-based leadership.

IAU and Rockefeller Foundation cooperation



The Rockefeller Foundation Bellagio Center Academic Writing Residency Program

In 2016, IAU was pleased to embark on an outreach collaboration with The Rockefeller Foundation Bellagio Center. The Foundation was interested in partnering with IAU to expand the reach of its programs internationally and especially to scholars working in Asia, Africa and Latin America.

This competitive residency program takes applications twice a year from highly accomplished academics from all over the world, and accepts about 45 Academics per year (out of 115 total residents per year).

The Bellagio Center is located in Bellagio Italy, right at the intersection of Lake Lecco and Lake Como. Residents are offered room and board, and a private studio for themselves and their spouse or partner for 4 weeks, and are invited to work on a project in the solitude of the extraordinary grounds and vistas Bellagio has to offer.

What makes this experience truly unique and different from many residency experiences is the diversity of the residents both from an international and disciplinary perspective. The Center accepts academics working in any

discipline, but also brings artists, policymakers, and civil society leaders working across many sectors and coming from all over the world, in order to foster innovative thinking and get people to think beyond their immediate points of reference.

Selection Criteria

Residents apply for residencies by completing an application form accessible through the Rockefeller Foundation Bellagio Center website: <https://www.rockefellerfoundation.org/our-work/bellagio-center/>

The next one opens **October 1** and closes **December 1 of 2017**.

The primary criteria that the Center uses to select residents is (1) the overall **level of accomplishment** of the candidate, (2) the **clarity and potential impact of the project** they propose to work on while at the Center, and (3) the **suitability of their project for Bellagio** (i.e. are they proposing something that will drive greater impact in their work and may reasonably be accomplished in 4-weeks).

Additionally, The Center has a strong interest in proposals that align with the Rockefeller Foundation's programmatic work. It especially values work that may contribute to expanding opportunities for more broadly shared prosperity, and building resilience in people, places and institutions to prepare for, withstand, and emerge stronger from acute shocks and chronic stresses.

Selected proposals also commonly demonstrate relevance to the Foundation's core issue areas of **Advance Health, Revalue Ecosystems, Secure Livelihoods, and Transform Cities**.

IAU believes that this represents a fantastic opportunity for academics globally to extend the impact and global exposure of their work through a prestigious Bellagio Center residency. We invite you to apply!



RECOGNIZING REFUGEES' QUALIFICATIONS

by **Sjur Bergan**, Council of Europe



European societies and governments have demonstrated very different attitudes to the strong increase in the number of refugees since mid-2015, ranging from clear acceptance to strong rejection. However, many universities have sought to provide refugees with possibilities for further study¹.

One particular issue refugees often face is that they are unable to prove their qualifications, or recognition authorities in their host countries require further information on study programs, institutions, or the authenticity of their documents. However, recognition authorities may be unable to contact the bodies in the home countries that could provide answers. These bodies may be unwilling to help those who have fled, communication may be impossible, or archives may have been destroyed. Some of the refugees who were unable to take their diplomas with them will therefore never be able to provide documentary proof of their qualifications.

The issue is neither technical nor trivial. The effects of long term unemployment – which include demotivation and loss of acquired competences – are well known. Being a refugee is even more challenging. Refugees who are given the opportunity to use and develop their competences can find motivation to maintain and develop their competences. This is of advantage to their host countries and will be of great importance to rebuilding their home countries. Refugees who are condemned to passivity, on the other hand, will be demotivated and frustrated and they will eventually lose competences that are not practiced.

The Council of Europe has taken two initiatives to help refugees obtain fair recognition of their qualifications. One is a draft Recommendation developed under the Council of Europe/UNESCO Lisbon Recognition Convention². A survey conducted in 2015 showed that more than 2/3 of the countries that have ratified the convention have taken no or few measures to implement Article VII, which deals with the recognition of qualifications held by refugees, displaced persons and persons in a refugee-like situation.

The draft Recommendation, therefore, outlines how countries could meet their obligations in this respect.

In parallel, we are running a pilot project to test one particularly promising way in which this can be done. With the Greek Ministry of Education and the participation of the ENICs (national recognition centres) of Greece, Italy, Norway and the United Kingdom, the Council of Europe is testing a European Qualifications Passport for Refugees³, based on an initiative by the Norwegian and UK ENICs. Experienced credentials evaluators will use a combination of structured interviews, any documents the refugees can produce, and knowledge of the education system, society and language(s) of the refugees' home country to assess whether it is likely the refugees have the qualifications they claim.

The European Qualifications Passport for Refugees is not a formal act of recognition and it cannot fully replace a missing diploma. By describing the highest qualification(s) achieved as well as job experience and language proficiency when these can be substantiated it will, however, support applications for further study as well as employment, and it is vastly preferable to the alternative: giving no recognition at all and asking the refugees to start all over again.

The European Qualifications Passport for Refugees is also good for host countries, because one key idea behind this document is that it should be transferable. If the refugees move to a new country, there is no reason why the assessment should be redone. That would be a waste of public resources as well as of the refugees' time and effort.

The pilot project will be completed in October and the draft Recommendation will be submitted to the Lisbon Recognition Convention Committee in November. We therefore hope that we will start 2018 with a tested practical way to make life for refugees easier by helping them obtain fair recognition of their qualifications as well as with the legal basis to help European countries make this possibility a reality.

1. For an overview, see the EUA's Refugees Welcome Map <http://refugeeswelcomemap.eua.be/Survey/Intro>.

2. <http://www.enic-naric.net/the-lisbon-recognition-convention-97.aspx>

3. <http://www.coe.int/en/web/education/recognition-of-refugees-qualifications>

MEMBERSHIP NEWS

Total number of institutional Members
is **627** (as of 18 April 2017)

IAU is pleased to welcome new Members who joined and re-joined the Association since October 2015.

NEW HIGHER EDUCATION INSTITUTIONS

Sultan Sharif Ali Islamic University

Brunei Darussalam
www.unissa.edu.bn



École Supérieure de Gestion et d'Administration
des Entreprises (Observer), Congo
www.esgae.org



NEOMA Business School

France
www.neoma-bs.fr



Central University for Tibetan Studies

India
www.cuts.ac.in (Rejoin)



PEC University of Technology

India
www.pec.ac.in



Amirkabir University of Technology

Iran
aut.ac.ir/aut



Iran University of Science & Technology

Iran
www.iust.ac.ir (Rejoin)



Kharazmi University

Iran
www.khu.ac.ir



K.N. (Khajeh Nasir) Toosi University of Technology

Iran
www.kntu.ac.ir (Rejoin)



Vali-e-Asr university of Rafsanjan

Iran
en.vru.ac.ir



Tokyo University of Science

Japan
www.tus.ac.jp/en (Rejoin)



Al-Ahliyya Amman University

Jordan
www.ammamu.edu.jo (Rejoin)



Al-Zaytoonah University

Jordan
www.zuj.edu.jo (Rejoin)



Riga Teacher Training and Educational Management Academy, Latvia

www.rpiva.lv



Higher Institute of Technology of Antananarivo

Madagascar
www.ist-tana.mg



Al-Quds Open University

Palestine
www.qou.edu (Rejoin)



Universidade de Lisboa

Portugal
www.ulisboa.pt (Rejoin)



Danubius University of Galati

Romania
www.univ-danubius.ro



Siberian Federal University

Russian Federation
www.sfu-kras.ru/en



West Kordufan University

Sudan
www.wku.edu.sd



Utrecht University

The Netherlands
www.uu.nl (Rejoin)



Istanbul Gelişim University

Turkey
www.gelisim.edu.tr



Nisantasi University

Turkey
www.nisantasi.edu.tr



NEW ORGANISATIONS

Université virtuelle environnement et
développement durable, France
www.uved.fr



NEW AFFILIATES

Right Livelihood College

Sweden
www.rlc-bonn.de



Centre international d'études pédagogiques (CIEP)

France
www.ciep.fr



NEWS FROM THE IAU SECRETARIAT

IAU is pleased to welcome two new Members of the Secretariat: **Melissa Herlaut** to complete the WHED Team, and **Melanie Tatté** to assist with clerical work at the Secretariat.

IN FOCUS

Corruption in Higher Education



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

Dear Reader



This issue of *IAU Horizons* touches on the serious issue of **Corruption in higher education**.

Defining what this 'notion' covers, what forms and shapes it can adopt and what its origins are, is what the authors of this in focus section do; they focus in on certain aspects of those 'malpractices that undermine the quality and credibility of higher education' and how the higher education community and interested stakeholders, including the international quality assurance community, researchers around the world, politicians, higher education leaders have developed to address all forms of corruption in higher education.

You will read that "Corruption is not a recent phenomenon in higher education but massification, internationalisation, privatisation and commercialisation have placed ethics higher on the agenda of universities". The seriousness of the issue is reflected in the terms used to describe it. It is defined as a 'scourge' a 'malignant tumour', a 'plague', and shows real 'lack of integrity'.

In this issue you will read about work developed by IIEP, UNESCO and CHEA, Council of Europe, the World Bank, the Center for International Higher Education of Boston College and the resulting Transparency International, ETINED, ETICO, the online Higher Education Corruption Monitor, Statements, Declarations and Guidelines to help institutions address the issue. The authors present academic research on the topic, policy instruments that have been and are being developed, local, national and international initiatives, and refer to some country case studies. The papers are well documented and provide references to tools and good practices. On HEDBIB you will additionally find a comprehensive bibliography to assist you with your work in this field (see pages 34 and 35).

This section opens with an abbreviated version of the IAU-MCO Guidelines for an institutional code of ethics in higher education. This is to bring the work done by IAU in the field of ethics and academic integrity in higher education back to your attention. Work on Ethics in higher education started back in 2010 when the Association met in Lithuania to debate "Ethics and Values in Higher Education in the Era of Globalization: What Role for the Disciplines?". At the issue of the Conference, IAU and the Magna Charta Observatory (MCO) started to develop an international code / set of guidelines concerned with ethical conduct of and in higher education. The **Guidelines** were presented for adoption in 2012 and the full text of the guidelines can be accessed online on the IAU website.

Today we expect that IAU Members have picked it up and developed their own code of ethics on the basis of the guidelines provided and we bring these to the attention of the broader higher education community to foster further action.

IAU invites you to share codes of ethics and other measures taken or developed around you by universities to combat corruption and promote quality education and research. Please share these with the broader higher education community so that the combat against corruption becomes mainstream.

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- 24 Keeping the promises of cross-border higher education by fighting corruption risks, by Jacques Hallak and Muriel Poisson, IIEP
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- 27 Higher Education Should Help to Provide "Ethical Competence", by Bo Rothstein, UK and Lennart Levi, Sweden
- 28 The Global Challenge of Corruption in Higher Education, by Elena Denisova-Schmidt, Switzerland, and Hans de Wit, United States of America
- 29 Fighting Corruption in Tertiary Education through Good Governance, by Jamil Salmi, Expert and Robin Matross Helms, American Council on Education
- 31 Towards enhancing Integrity in Higher Education: how developing purposeful toolkits may help reverse negative trends at institutional level, by Stefan Delplace, EURASHE
- 32 Higher Education and Corruption: what have we learned?, by Stephen P. Heyneman, United States of America
- 33 Fighting against Academic Corruption in China: the War Must Go on, by Kai Ren, People's Republic of China
- 34 Additional suggested reading on Higher Education and Corruption – An online bibliography

01 IAU-MCO Guidelines for an Institutional Code of Ethics in Higher Education

Abridged and annotated version of the Guidelines adopted in 2012, by Eva Egron-Polak



In the context of rapid change and expansion, members of the academic community – higher education leaders, faculty members, staff and students – must be prepared to face and resolve an increasing number of ethical dilemmas of great complexity. The International Association of Universities and the Magna Charta Observatory (MCO) have jointly drawn up the following **Guidelines for an Institutional Code of Ethics in Higher Education** to encourage the adoption of comprehensive Institutional Codes of Ethics by higher education institutions where no such ethical code exists or to assist in the review of existing institutional codes.

As one instrument that could be helpful to higher education institutions, the Guidelines were developed in line with the conviction that the legitimacy, credibility, support, and autonomy of higher education institutions rest on the quality of their activities and services related to teaching and learning, research and outreach, as well as the integrity and transparency of their procedures.

Underlying values and principles

The universal core values that define higher education institutions have been enshrined in the Constitution of the International Association of Universities, in its more recent Policy Statement entitled *Academic Freedom, University Autonomy and Social Responsibility* as well as in the *Magna Charta Universitatum*. Furthermore, and notwithstanding the fact that ethical principles may be embedded in a specific historical period, context and culture, in addition to these core values and principles that guide higher education and academic work and need to be at the heart of the Code, the following principles should also be covered:

1. Academic integrity and ethical conduct of research
2. Equity, justice and non-discrimination
3. Accountability, transparency and independence
4. Critical analysis and respect for reasoned opinions
5. Responsibility for the stewardship of assets, resources and the environment
6. Free and open dissemination of knowledge and information
7. Solidarity with and fair treatment of international partners

Procedure, Practices and Actors

The IAU and the MCO agreed that alongside the explicit adherence to principles and values, the process, the actors who needed to be engaged, and the coverage of such Codes

were of utmost importance. Therefore, the Guidelines are as comprehensive as possible in these regards and spell out not only the inclusive process of consultation to put in place, but also the groups that make up the academic community that must be involved – faculty members, students, staff and governing bodies/leadership, as well as all the areas that need to be covered. These are:

1. Academic integrity in teaching and research
2. Development of educational programs to uphold ethical values and academic integrity
3. Upholding equity, justice, equal opportunity, fairness and non-discrimination both as an employer and as an institution of higher learning
4. Obligation of accountability and transparency in all operations and when investigating cases of academic misconduct
5. Pursuit of individual and/or institutional reputation and publicity guided by a commitment to the provision of accurate and factual information
6. Avoidance of all abuse of power by any member of the academic community for political, economic or personal gain
7. Promoting critical analysis, freedom of speech and reasoned debate
8. Encouraging social responsibility at the institutional and individual level including, the responsibility for promoting equity in access and success in higher education; sustainable development; human rights and democratic citizenship, among others
9. Exercising vigilance with regard to applications for and receipt of external funds and securing independence from the market to avoid any curtailment of academic freedom or the freedom of disseminating research
10. Fair management of intellectual property and promotion of free and open dissemination of knowledge and information
11. Promoting solidarity, respect for diversity and equitable international partnerships and collaboration

The Guidelines stress that the ethical standards of conduct to be articulated in the *Institutional Code* should apply to **all members of the academic community**, including institutional leadership, faculty members, administrative staff and students. Each member of the community should be made aware of his/her rights but also of their personal responsibility to comply with the Code, especially in regards to a number of specific actions that the Guidelines list. A few of these are below as an example of the expectations on the part of the various stakeholders:

1. Upholding of academic integrity and independence, based on the principle of the honest and open search for and dissemination of knowledge free from internal institutional censorship and from all external pressure;
2. Avoiding fraud of any kind, including plagiarism, deliberate fabrication or falsification of data, unauthorized duplication and unwarranted authorship, piracy of thesis or projects, and the use of ghost writers and unwarranted co-authorship;

3. Avoiding conflict of interest in all areas of policy and decision-making;
4. Promoting and safeguarding mutual respect between teacher and student;
5. Preventing all corruption;
6. Respecting and protecting university property;
7. Promoting a high level of commitment to institutional and individual social responsibility.

The Guidelines also encourage institutions to include, in their Institutional Code, a specific set of rights and responsibilities of students, as new entrants into the higher education community.

IAU-MCO Guidelines for an Institutional Code of Ethics in Higher Education can be found at:

http://www.iau-aiu.net/sites/all/files/Ethics_Guidelines_FinalDef_08.02.13.pdf

Implementation of an Institutional Code of Ethics, awareness raising and sanctions

Recognizing that it is necessary but insufficient for higher education institutions to elaborate and adopt an *Institutional Code of Ethics*, a series of suggestions are also provided for the sound implementation and integration of the Code, once it is in place, into institutional strategies, curriculum, management processes and relations with outside stakeholders, including international partner institutions.

All higher education institutions are invited to develop and adopt an Institutional Code of Ethics and to raise awareness in society of the decisive role that they play in promoting ethical values and integrity by their exemplary conduct in their educational and research functions, and through the discussion of ethical subjects they stimulate.

The IAU MCO Guidelines are available in full at:

http://iau-aiu.net/sites/all/files/Ethics_Guidelines_FinalDef_08.02.13.pdf

02 Corruption in Higher Education: an Overview



by **Goolam Mohamedbhai**, Former Secretary-General, Association of African Universities, Honorary President, International Association of Universities, Former Vice-Chancellor, University of Mauritius
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Since almost every sector of society (business, industry, government, religion, sports, health, etc.) is plagued by

corruption, it is hardly surprising that higher education is also infected. The existence of corruption in higher education has been known for decades but it is only as from the beginning of the 21st century that its extent is being realised. As pointed out by Transparency International in its 2013 Global Corruption Report – Education: *“In some instances, corruption has invaded whole systems of higher education and threatens the reputation of research products and graduates, regardless of their guilt and innocence.”* With the ever-expanding higher education sector worldwide, with globalisation, with higher education being increasingly regarded as a commodity and with the advances in technology, there is no doubt that corruption is set to increase.

But what motivates corruption in higher education? It is first important to emphasise that corruption in higher education is prevalent in both developing and developed countries, although the factors and actors may be different. The motivations are many but, generally, in the developed world, they arise from the privatisation and corporatisation of higher education, from competition among the institutions and from their strong linkages with industry. In developing countries, corruption stems from the pressure to access higher education, the need for students to succeed once admitted and the compulsion among faculty to earn more income.

The nature and extent of corruption can vary enormously. In the majority of cases, isolated incidents occur in institutions, for example a case of plagiarism, an examination irregularity, a fraud in procurement or an incident of sexual harassment, which are dealt with internally and the information never goes out. In other cases, serious happenings come to light, mainly through the media, affecting a whole country. For example, in 2015 the Australian Broadcasting Corporation, in a special programme entitled ‘Degrees of Deception’, reported the fraudulent practices of recruitment agents who help Australian universities to recruit under-qualified foreign students, and the universities then ensure that they are awarded their degrees even if they do not fully qualify for them, all for the purpose of raising funds for the institutions. Not long ago in India, it came to light that ‘Vyapam’, a state government body responsible for conducting examinations for government jobs and admission to colleges, had been involved in a major scam of impersonation at the examinations. Politicians, businessmen and senior officials were involved as well as thousands of impersonators in the examinations. The case was finally referred to India’s Central Bureau of Investigation.

In order to fight corruption in higher education, one must understand its origins. This is very complex but, in simplistic terms and from the viewpoint of a higher education institution, the origins can be exogenous or external to the institution, or endogenous, that is within the institution. Exogenous actors can be political entities, students and their parents, recruiting agents, business and industry, suppliers, donors and sponsors, accreditation bodies, diploma/degree mills, etc. More numerous are endogenous actors, which include university leadership, senior managers responsible for finance, procurement, staff

recruitment and admissions, students, faculty, researchers, examination officers, etc.

With so many actors and stakeholders, fighting corruption is not an easy task. Some measures require a systemic approach, others an institutional one. But several efforts have been made, and have achieved some degree of success. Many institutions now have the well-known software Turnitin, or other similar software, to detect plagiarism in dissertations. All public universities in Kenya have an interesting anti-corruption policy document covering all institutional activities and protecting whistle-blowers, but it is uncertain how many of them use it effectively. The University of Mauritius has a transparent computerised system for selecting candidates in its courses, but it may not be applicable to other institutions. Most higher education institutions, especially in developing countries, are now putting in place an internal Quality Assurance system which promotes transparency in academic and administrative activities, thus minimising corruption.

At the global level as well, interesting developments have taken place for creating awareness and exchanging information on corruption. UNESCO's International Institute for Educational Planning (IIEP) has established a web-based resource platform, ETICO, targeting the issue of ethics and corruption in education, including higher education. Similarly, the Centre for International Higher Education of Boston College, US, has created an online Higher Education Corruption Monitor which provides updated news, articles, videos, etc. on corruption in higher education around the world. The US-based Council for Higher Education Accreditation (CHEA) has created a special section on degree and accreditation mills on its website. In July 2015, the CHEA International Quality Group (CIQG) produced a Policy Brief outlining how Quality Assurance can make a difference in fighting corruption in higher education. And in July 2016, CIQG and UNESCO-IIEP published a comprehensive Advisory Statement on 'Combating Corruption and Enhancing Integrity'.

The fight against corruption must be fought on many fronts and by many stakeholders. So far, corruption in higher education has not been explicitly debated by university associations, no doubt because their members shy away from this sensitive topic. In 2012, however, the IAU, together with the Magna Charta Observatory, produced a document on 'Guidelines for an Institutional Code of Ethics in Higher Education' which touches upon several issues related to institutional corruption. It is commendable that the IAU has now taken the initiative of devoting one of the issues of its magazine *IAU Horizons* specifically to corruption. The IAU should continue to provide an opportunity for debate and information sharing on this topic at its conferences and in its publications, as should other university associations, regional or national.

03 Keeping the promises of cross-border higher education by fighting corruption risks



by **Jacques Hallak**, Former Director and International consultant (jhallak@free.fr), and **Muriel Poisson**, Programme Specialist, International Institute for Educational Planning (m.poisson@iiep.unesco.org)



The opportunities offered by cross-border education have never been greater. More than 4.5 million tertiary students are currently enrolled outside

their country of citizenship. This growing traffic of students (they were only 1.3 million in 1990) has developed along with increasingly mobile academic staff, higher education programs and providers. Studying abroad is no longer reserved for a small elite. And if the US, UK, Germany, France, Australia and Canada still attract a large share of international students, new countries have developed as popular destinations, e.g. Taiwan, South Africa, or Brazil. This contributes to opening up access to tertiary education, while at the same time making higher education a major source of income for provider countries.

However, as daily media reports from around the globe show us, cross-border education can also be a breeding ground for corruption. Favoritism or bribery in the allocation of scholarships to study abroad is only one aspect of it. Integrity risks can take multiple forms – to mention a few: students applying for courses based on fake qualifications or diplomas; higher education institutions (HEIs) lowering their academic standards regarding the admission, performance, or graduation of overseas students; corrupt officers taking bribes in return for issuing licenses and franchise rights; or bogus institutions promising visas to overseas students to enroll in their courses, or not delivering services as advertised.

Traditional modes of regulation appear insufficient to address such problems. In fact some higher education providers circumvent accreditation by creating franchising schemes or introducing courses in segments of the education system where accreditation is not compulsory. Moreover, as highlighted by UNESCO/OECD Guidelines for Quality Provision in Cross-border Higher Education, "existing national quality assurance capacity often focuses exclusively on domestic delivery by domestic institutions". Monitoring capacities also tend to be weakened

by the diversification of cross-border higher education services through extra-mural education institutions, campuses abroad, e-higher education, etc. which prove vulnerable to low-quality and disputable providers.

The detrimental effect of corruption on cross-border education can be huge, if they go as far as raising doubts on the quality of the education provided, and the trust of citizens and employers in the value of the diplomas delivered. In reaction, UNESCO/Council of Europe adopted a Code of Good Practice in the Provision of Transnational Education; UNESCO/OECD Guidelines to “maximize the benefits and limit the potential drawbacks of the internationalization of higher education”; and the Compostela Group of Universities a Declaration calling for “a multi system approach including punitive measures, institutional arrangements of transparency, and protection for whistle blowers”. Calls for greater transparency and ethics in higher education have also led to the implementation of promising approaches:

1. *Codes of ethics:* There are multiple examples of HEIs that have introduced codes of ethics during recent years, thus taking responsibility for “the decisive role that they play in promoting ethical values and integrity by their exemplary conduct” (IAU-MCO Guidelines for an Institutional Code of Ethics in Higher Education);
2. *Public access to information:* Some governments and HEIs have taken the lead to publish their criteria and procedures for admission, course requirements, accreditation status, etc. through online portals. The Quality Indicators for Learning and Teaching website <https://www.qilt.edu.au>, which compares Australian universities on indicators such as student experience, graduate employment, and graduate and employer satisfaction constitutes a case in point.
3. *Protection of consumers:* Realizing the need to help students get greater clarity in the information publicized by multiple higher education providers, the US for instance adopted the Strengthening Transparency in Higher Education Act to ensure that “straightforward and useful information is easily accessible to students”. One step further would consist in sanctioning institutions that provide misleading or false advertising.
4. *Inclusion of integrity concerns in QA and accreditation frameworks:* To avoid sub-standard offers, discussions over the need to ensure that national quality assurance (QA) and accreditation frameworks cover cross-border programs, as well as foreign providers (including distance education) and that such frameworks “are fit for the purpose of combatting corruption” develop, as put forward by IIEP/CHEA Statement on Enhancing Integrity.
5. *Social and ethical audits:* Morocco is one country which has recently implemented a new form of audit emphasizing the need for HEIs to comply with social and ethical norms –

e.g. fight against discrimination during student admission procedures or promotion of ethical norms as part of the curriculum – and to certify HEIs or programs based on the results of the audit.

In order to counteract the financial, social and ethical costs of corruption, such efforts must be expanded and widely shared. This is a must if trust in cross-border education is to be protected, and the promises it makes to the new generations of students are to be fulfilled.

For more information, consult the ETICO Platform managed by IIEP-UNESCO <http://etico.iiep.unesco.org/>.

04 Combatting Corruption and Enhancing Integrity in Higher Education: An Advisory Statement for Effective International Practice



by **Stamenka Uvalić-Trumbić**,
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Academic Corruption is certainly not a new topic for researchers, policy-makers and practitioners in higher education. However, recent manifestations of this phenomenon in higher education, that some label as a “malignant tumour”, have accentuated it further. “Hardly any week goes by without the appearance of an article on corruption in higher education” states Goolam Mohamedbhai, former President of IAU, questioning whether higher education is becoming a hotbed for corruption.

Based on the urgency to provide a response from the international quality assurance community to this scourge, the Council for Higher Education Accreditation/International Quality Group (CHEA/CIQG) and UNESCO/IIEP joined forces in addressing academic corruption. As an outcome of an international working group composed of experts from all world regions, convened in Washington, DC in March 2016, they developed and issued an *Advisory Statement for Effective International Practice, Combatting Corruption and Enhancing Integrity: A Contemporary Challenge for the Quality and Credibility of Higher Education* in July 2016.

The rapporteur of the expert group, Sir John Daniel, begins the *Advisory Statement*, with an ABC of dishonest practices – *Absenteeism, Appropriation, Bribery, Cheating, Corruption, Deceit, Embezzlement, Extortion, Favouritism, Fraud, Graft, Harassment, Impersonation...* but continues the text by using ‘corruption’ as a general term agreed on by the group to designate the malpractices that undermine the quality and credibility of higher education.

The *Advisory Statement* identifies a range of stakeholders – governments, quality assurance agencies, higher education institutions, faculty and staff, students, press/civil society, employers and professional bodies – with a matrix giving examples of effective preventive actions that each one of them could use to diminish academic corruption. Three among these seven stakeholders are singled out: students, as possible perpetrators but also vital allies in fighting corruption; academics as key players in preventing corruption within the institution and the press and civil society and their role in exposing and discouraging corruption.

The *Advisory Statement* focuses on academic issues relevant to the international higher education community, based on the expertise of researchers, academics, quality assurance experts and governments from Canada, India, Lebanon, Mauritius, Nigeria, Slovakia, and the US represented within the group. While it recognizes that academic corruption is present everywhere, in developed and developed countries alike, the *Advisory Statement* notes that the notions of academic corruption are sometimes context specific: plagiarism may be considered as a way of honouring professors by copying their work or nepotism as a duty to create job opportunities for relatives and friends. Nonetheless, students must be made aware in advance what is considered as academic corruption wherever they study.

Quality Assurance is central to the battle against corruption, both through Internal Quality Assurance (IQA) by developing a robust internal quality culture at institutional level and through External Quality Assurance (EQA) as a support to IQA. Unfortunately, academic corruption is rarely a focus of EQA at present. But quality assurance cannot fight corruption alone. Enhancing the credibility of higher education requires concerted action by all stakeholders.

The *Advisory Statement* is intended as a wake-up call to higher education worldwide. University graduates will provide the future leadership of their communities and they are more likely to avoid corrupt practices in their working lives if they were not part of their higher education experience.

CHEA/CIQG will pursue activities on Academic Corruption with a special focus on the enhanced role of quality assurance and accreditation agencies in combatting it. One vehicle is a CIQG Webinar Series aimed at developing an action agenda and activities that quality assurance and higher education can pursue to ensure greater integrity in the academic community.

The first webinar *Combatting Academic Corruption: What might the International Quality Assurance Community do?* was held on 12 December 2016. It demonstrated the seriousness and complexity of the issue; recommended facing corruption head-on; underlined the role for media, higher education institutions and QA bodies in enhancing visibility of the phenomenon; explored avenues for training students how to play a more proactive role and pointed to the need for information aggregation.

Finally, it is useful to recall the first of the Seven *International Quality Principles* articulated by CIQG, namely that ‘assuring and achieving quality in higher education is the primary responsibility of higher education providers and their staff’. Greater North-South cooperation in capacity-building for training and supporting staff in this work should be stepped up. At the same time, fighting corruption is a vital task for all higher education’s stakeholders since future levels of corruption in societies the world over will be greatly influenced by whether corruption is tolerated in their colleges and universities.

References for the papers published in the In Focus section are available on page 34.

05 Ethics, Transparency and Integrity in Education: a Council of Europe project



by **Sjur Bergan**, Head, Education Department, Directorate of Democratic Citizenship and Participation/DG Democracy, Council of Europe (sjur.bergan@coe.int)



In autumn 2015, the Council of Europe launched a platform on Ethics, Transparency and Integrity in Education, commonly referred to as the ETINED platform. The

choice to present the positive values of education rather than its negative flip side – corruption – is conscious. The choice made recognizes that ethics, transparency and integrity are values in their own right and are key to combatting corruption, which risks undermining the quality of education as well as the public trust in it. If we accept that education, at all levels, is about developing the kind of society in which we would like our children to live, ethics, transparency and integrity are fundamental. Corruption would teach children and young people that study and hard work are unimportant as long as you can pay your way. The ETINED Platform encompasses all levels and areas of education, but the challenges may be particularly difficult in higher education since the stakes are often higher.

The value of a higher education diploma is higher than of a diploma from primary or secondary education and the incentives to fraud correspondingly higher.

Thus, the ETINED platform is part and parcel of the Council of Europe's work to further quality education. It follows up the Council's Recommendation on ensuring quality education [Recommendation CM/Rec(2012)13 by the Committee of Ministers to member States on ensuring quality education, see https://search.coe.int/cm/Pages/result_details.aspx?ObjectId=09000016805c94fb]. This Recommendation was developed because while there is much focus on quality assurance, there has been relatively little discussion of what constitutes quality in education. In the Council of Europe's view, *the marks of a quality education system include access to learning for all students; providing a secure learning environment; developing each student's personality, talents and mental and physical abilities; promoting democracy, respect for human rights and social justice; as well as enabling pupils and students to develop appropriate competences, self-confidence and critical thinking*. We also understand quality education as being free of corruption.

The ETINED Platform gathers representatives of the 50 States party to the European Cultural Convention as well as many education NGOs, *including the IAU*. The full ETINED Platform meets once a year, and between plenary meetings the work will be conducted by thematic working groups. The ETINED Platform is in its turn overseen by the Council of Europe body responsible for the whole education program; the Steering Committee for Educational Policy and Practice (CDPPE), on which the IAU is also an observer.

The ETINED work program, which includes four main strands, reflects the often difficult balance between providing incentives to promote ethical behaviour and preventing corruption.

The first strand, ethical behaviour of all actors in education, underlines the importance of ethics to achieving quality education and encompasses all actors in education. Taking due account of existing codes of ethics, including the *IAU-MCO Guidelines for an Institutional Code of Ethics in Higher Education*, we will consider drawing up specific guidelines for different groups and actors where adequate guidelines do not exist. These will be supplemented by guides to good practice.

The second strand will address academic integrity and plagiarism. We aim to put forward an overview of measures taken by universities to counter plagiarism, draft guidelines, and promote capacity building.

The third strand focuses on the recognition of qualifications, where fraudulent qualifications present an increasing problem. Drawing on the experience of national recognition centers (ENICs/NARICs), we aim to promote the exchange of good practice; identify elements that institutions, students, employers, and other "users" of qualifications should be aware

of; and very likely also develop recommendations for policy and practice.

The fourth strand seeks to place the ETINED Platform in the broader context of international cooperating promoting ethics and working against corruption. In particular, good cooperation has been established with UNESCO's International Institute for Educational Planning.

As an intergovernmental organization, the Council of Europe will in particular focus on the responsibility and role of public authorities, which may be the topic of a Recommendation submitted to the Committee of Ministers on the basis of the project. The adoption of a Recommendation would underline the political will in member States to address the issue of ethics, transparency and integrity in education as well as its darker side, corruption. Many countries are already taking action at national level, whereas in others much remains to be done. In all cases, providing a European-wide platform promoting ethics, transparency and integrity is an important contribution to developing and maintaining quality education.

ETINED web site: <http://www.coe.int/en/web/ethics-transparency-integrity-in-education>

06 Higher education should help to provide "Ethical Competence"



by **Bo Rothstein**, Professor of public policy and government at the Blavatnik School of Government and fellow at Nuffield College at University of Oxford (Bo.Rothstein@bsg.ox.ac.uk) and **Lennart Levi**, Professor em. of Psychosocial Medicine at Karolinska Institutet, Stockholm (lennart.levi@eurostress.se)



Distrust of expertise and research, of established political institutions, of the

free media and maybe also of the democratic system as such seem to be on the rise in many countries. Several research institutes report a shrinking support of democracy and increasing support for nationalistic, authoritarian and also xenophobic political parties. Established measures of political

freedom and democracy around the world show a falling tendency. Democracy, the respect for the rule of law and human rights seems to have peaked about ten years ago. Add to this the many large-scale corruption, tax evasion and fraud scandals that have been revealed recently, such as the Panama-papers and in the International Football Association (FIFA). Despite many ambitious anti-corruption campaigns and programs, established measures of this particular social ill show no tendency for it to decline. On the contrary, in many countries, corruption seems to be on the rise. We have also seen ethically dubious behaviour in the business world, not least from large companies in countries known for their low levels of corruption such as Volkswagen in Germany and TeliaSonera in Sweden and Finland.

Survey measures show that there is a perception that current society is deeply unjust, because the political and economic elites are not acting for the common good, but are instead arranging things to benefit themselves and their allies. As an example, almost eighty percent of the population in the United States agrees that there is widespread corruption in their government. And a fairly high level of interpersonal trust is essential to a well-functioning and prosperous society.

The elites that have become distrusted have one thing in common: they have almost without exception been trained at leading universities. In other words, there is not necessarily anything wrong with their knowledge, technical competences and intellectual abilities. Instead, the deficiencies are in their ability to understand and practice critical ethical behaviour. Some universities and colleges have recently come to realize the importance of this issue. However, the central questions of ethics are either missing or given a very modest role in most higher education institutions.

Transparency International estimates that 6bn people live in countries with a serious corruption problem. Internationally, the health sector is particularly hard hit by corruption, from medical personnel requiring bribes to companies who sell fake medicines. One can literally say that many people in the world are dying of corruption. In addition, one of the main reasons that people say they are dissatisfied with their lives (aka “unhappy”) is that they perceive themselves to be living under unjust and corrupt public institutions. The lack of ethics and the prevalence of corruption in the public sector is probably the biggest obstacle to social and economic development. Conversely, one can say that the most important asset of a society is the ethical quality of its public institutions.

The well-known American political scientist Francis Fukuyama has argued that it is a “natural instinct” for people with a public position of power to use it to benefit his or her self, family, friends, clan, tribe, allies, co-ethnics or economic interest. To not indulge in favouritism, but to act impartially, in the public interest and in accordance with laws and regulations is, says Fukuyama, something that must be learned and trained.

This is why the values IAU promotes – equity, ethics, integrity, solidarity and the principles of sustainable development need to be practiced. Core values such as democracy, legality, integrity, fairness, freedom of opinion, and freedom of information form a solid basis for a good society and for health and wellbeing of its citizens. This corresponds closely to the IAU Strategic Plan 2016-2020. Our joint challenge spells implementation.

With this in mind, a few years ago, the Compostela Group of Universities, an international network of 68 higher education institutions took an important decision based on an initiative from us. In its so called Poznan-declaration, this university network recommended that critical ethical thinking should be included in all educational subject areas—for example, for doctors, economists, lawyers, teachers, economists, and biologists. It should thus not be confined to special courses in philosophy but integrated in all forms of professional educations. This declaration was unanimously adopted at the network’s General Assembly in Poznan in 2014, and has therefore been named the Poznan Declaration. It has since been supported by several other key organizations, including Transparency International, the World Academy of Art and Science, the World University Consortium and the Library of Alexandria.

It is now important that this initiative can be moved from vision to reality. Given the above mentioned situation of increasing distrust in expert knowledge, in research, and in many professions, not to say in the democratic system as such, it is now time to urge all universities and colleges to make sure that critical ethical thinking becomes an integrated part of all their educational programs. When the next generation of leaders starts meeting the challenges and dilemmas they will encounter, it is our responsibility as educators that when they leave our universities and colleges, they are equipped with a working “ethical compass”.

The **Poznan Declaration** can be found at <http://revistas.usc.es/gcompostela/en/activities/PoznanDeclaration.html>

07 The Global Challenge of Corruption in Higher Education



by **Elena Denisova-Schmidt**, Research fellow at the Center for International Higher Education, Boston College, United

States and Lecturer at the University of St. Gallen, Switzerland, and **Hans de Wit**, Professor and Director of the Center for International Higher Education, Boston College, United States.



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Transparency International, one of the leading think tanks working on corruption

worldwide, defines this phenomenon as “the abuse of entrusted power for private gain.” Corruption in higher education means also lack of academic integrity. Corruption may be perceived as such and not, grand and petty, monetary and nonmonetary, directly involve students or not. One might not be aware of doing anything corrupt—one might even have the best of intentions. Nevertheless, corruption leads to reputational damage and distrust for higher education among society in general.

Corruption is not a recent phenomenon in higher education, but massification, internationalization, privatization, and commercialization have placed ethics higher on the agenda of universities. The term “corruption” has changed significantly over time. In the Middle-Ages, students at European universities paid the salaries of teachers and university officials directly. These expected fees and gifts were not large, but they eventually became burdensome to the students, particularly in their later years of study. This was most likely one of the main reasons for the limited number of masters and doctors at that time: many potential candidates could simply not afford it. At the same time, there were numerous examples of students from more affluent families obtaining their degrees through illicit or duplicitous means. Plagiarism was not considered a critical issue, at least among authorities in Germany, who deemed it “a purely scientific issue” early in the last century (Denisova-Schmidt, 2017b).

Today, corruption in higher education takes place in various settings: among students, faculty, and administration. Academic misconduct where students are involved includes various types of cheating, such as plagiarism and attending classes or sitting for exams on another student’s behalf (impersonation), as well as services, gifts, informal agreements, or payments in exchange for admission, grades, advance copies of exams, preferential treatment, graduation, and “sham” degrees. Faculty members may themselves be involved in various unethical activities, such as publishing papers in “sham” journals, falsifying data, bribing co-authors, plagiarizing, paying ghost-writers, or even stealing papers submitted to them for review and publishing them as their own. University staff and administration may violate academic integrity by wilfully ignoring the students’ misbehaviour, selling admissions, manipulating accreditation, or creating degree mills (Denisova-Schmidt, 2017a).

Whistleblowing and social activism, including using social media, as well as raising awareness of academic integrity, are successful tools to remedy this problem. But they only cure the symptoms and seldom the disease as such. Corruption is a very complex issue, and one of the complexities is its

ambivalence. Corruption may be perceived differently by those who participate in it and by outsiders. A former influential government official, for example, might be employed as a university rector; is this a case of revolving-door affiliation? Similarly, the child of a faculty member might study at the institution where his or her parent works; is this always nepotism? Is supporting a young colleague in his or her academic career merely favouritism? Is an international student unknowingly using a corrupt agent, a criminal or a victim?

Corruption is becoming increasingly more international. Students, agents, intermediate service providers, and institutions can be either perpetrators or victims. The rising mobility of students and scholars, in particular, has increased the number of cases of unethical behaviour, fraud, and corruption. The type of actors involved is diverse: providers of language and other tests; credential evaluators; visa regulators; pathway providers; admissions officers; and more. As the stakes for each of these actors are high and competition intense, the likelihood of corruption along the chain is enormous. Although in many cases the blame rests on the individual, intermediate actors such as agents are more likely to be tempted by corruption and fraud, as they gain the most from it.

For more information about corruption in higher education, follow @BC_HECM for news and trends. The Higher Education Corruption Monitor collects news and research on various types of corruption and anticorruption policies and initiatives from all around the world. The Center for International Higher Education will publish ‘The Challenges of Academic Integrity in Higher Education: Current Trends and Outlook’ by Elena Denisova-Schmidt as issue 5 in its CIHE Perspectives series, www.bc.edu/research/cihe.

References for the papers published in the In Focus section are available on page 34.

08 Fighting Corruption in Tertiary Education through Good Governance



by **Jamil Salmi** and **Robin Matross Helms**, respectively global tertiary education expert and director, Center for Internationalization and Global Engagement, American Council on Education. Contact emails: jsalmi@tertiaryeducation.org and rhelms@acenet.edu

Introduction

Fraud, corruption, and other unethical behaviour are an unfortunate reality of tertiary education worldwide. Examples can be found in rich and poor countries alike, spanning virtually every step in the operation of colleges and universities – from admissions to academics and research, financial management, and hiring and promotion. As governments and institutions seek to curtail fraudulent behaviour, governance is a critical consideration. Poor oversight, ineffective governance structures and procedures, and biased decision-making by individuals in power can facilitate corrupt behaviour, undermine the functioning of institutions, and erode public trust. Conversely, good governance can serve as a powerful tool in preventing, detecting, and punishing unethical behaviour, thereby enhancing the ability of tertiary education systems and institutions to serve society in an appropriate manner.

What is Governance?

Governance refers to “all those structures, processes and activities that are involved in the planning and direction of the institutions and people working in tertiary education”

[Fielden, J. (2008). *Global Trends in University Governance*.

Washington DC: The World Bank. p.2]. Countries have varying levels of government control and centralization. At one extreme are countries as diverse as Azerbaijan, Egypt, Indonesia or Malaysia, where governance functions are largely controlled by the national government. At the other end of the spectrum are countries that have no government agency officially responsible for supervising the tertiary education sector. This is the case in several Central American countries, where individual institutions govern themselves independently with little outside oversight.

Occupying the “middle ground” of this continuum are countries in which governance is shared by multiple entities, including government, tertiary education institutions, governing boards and independent quality assurance agencies. Shared governance models have become more common in recent years, as tertiary education systems have grown in size and complexity.

Aspects of Good Governance

In terms of corruption prevention, both extremes of the governance continuum are potentially problematic. High levels of government intervention may result in the appointment of university presidents chosen for political reasons rather than for their leadership abilities and relevant academic qualifications. In some African countries, the Head of State is the supreme authority appointing university leaders. Similarly, in several post-Soviet republics, university presidents are chosen directly by the Government.

Complete autonomy for institutions, however, means less accountability, and potentially, more opportunities for unethical behaviour. This can be an issue in both public and private universities. In Latin American countries with a high proportion of private providers who operate without clear legal and fiscal

distinctions between for-profit and non-profit institutions, opportunities for fraudulent practices, from dissimulation of profit to money laundering, are abundant.

When tertiary education institutions are given autonomy by the State, in return they must be accountable for their use of public resources and their overall performance. For universities and their leaders, accountability starts with the obligation to report on their activities and results. At the very minimum, all tertiary education institutions should be accountable for integrity in the delivery of education services and honesty in the use of financial resources.

Because of the multiple layers of oversight, shared governance models offer the greatest potential to reduce unethical behaviour. Good practices include:

- *Clearly defined roles and responsibilities for each entity.*
The government is responsible for enforcing a regulatory framework for tertiary education, including stipulations to prevent and punish unethical behaviour. Independent quality assurance agencies prevent sub-standard quality and research misconduct. Governing boards play a key role in determining the overall strategic direction of the institution, and are responsible for effective financial management. Institutional leaders manage daily operations and are on the front lines for detecting unethical behaviour and taking swift action.
- *Fair selection process and effective training opportunities for institutional leaders and governing boards.* Three principal models of selection of the leaders of universities can be found around the world: (i) direct appointment by the Government, (ii) democratic election within the university, and (iii) selection through a professional search process. The trend towards recruiting university leaders through a competitive professional selection process is the most promising way of maintaining the integrity of the process.
- *An independent board* (i.e. one that appoints its own members), with a mix of internal and external stakeholders, mitigates the risk of undue influence by one constituency. Training programs can help new board members become familiar with relevant rules and ethical standards.
- *Transparency in all processes.* Transparency in all aspects of university life helps maintain the integrity of academic and managerial processes. It is an essential ingredient of fair selection processes to identify and appoint university leaders. It is also key in admission processes, in examinations, and in access to financial resources within universities. The “integrity ranking” prepared by the Coalition for Clean Universities in Romania shows how the higher degree of transparency led to significantly decreased nepotism in the recruitment of university leaders and academics.

- **Shared responsibility for ethics.** All entities in the governance process share responsibility for developing and enforcing ethical standards. Creating a culture of excellence that includes shared expectations for ethical behaviour, venues to report suspected instances of problematic behaviour without fear of reprisals, and immediate consequences for violations of ethical standards, should be a top priority.

Conclusion

Appropriate governance arrangements to ensure institutional oversight, together with objective and transparent processes to select institutional leaders, can be powerful instruments for reducing corruption in tertiary education [Fielden, J. (2008). *Global Trends in University Governance*. Washington DC: The World Bank. p.2]. However, putting more effective governance structures in place can be a lengthy and challenging process. Nonetheless, pursuing the principles of good practice and cultivating a culture of accountability among all entities involved in the governance process is indispensable. It will help ensure that the potential of shared governance structures to reduce corrupt behaviour is realized, in both individual tertiary institutions and national systems.

09 Towards enhancing Integrity in Higher Education: how developing purposeful toolkits may help reverse negative trends at institutional level



by **Stefan Delplace**, Honorary Secretary General, EURASHE



A Council of Europe-European Union Programmatic Framework project

Corruption in higher education is not limited to a number of isolated cases in specific countries, nor is it helpful to pinpoint a few salient features only. Corruption is a scourge that takes many different forms, and with current higher education trends like digitalization and merchandisation, and the HEI increasingly developing activities across country borders, away from their own governments' remit, it is even harder to fathom completely. It takes courage and determination for a country that wishes to tackle it systematically, thus taking the risk of catching the

public eye with a negative image. Fortunately on a global scale there is a growing awareness we all have to feel concerned.

The joint European Union-Council of Europe 'Programmatic Cooperation Framework' (PCF)¹ provides opportunities for a number of Eastern European countries to develop initiatives to counter unethical conduct in higher education.

Strengthening Integrity and Combating Corruption in Higher Education

I want to briefly describe the case of Armenia, where in the framework of the project "*Strengthening Integrity and Combating Corruption in Higher Education in Armenia*" intense collaborative action between the Council of Europe office in Yerevan, higher education institutions and national and international experts has resulted into the development of a series of 'toolkits' aiming at enhancing Transparency and Accountability in Governance, Curriculum Development and Student Assessment and in Human Resource Management in HEI². Additionally, an overarching Code of Practice for Ethical Conduct³ provides a set of model codes with concrete recommendations for the main actors, such as university managers, academic staff and students.

A report by European experts⁴ produced under the above framework project for Armenia that contained a risk analysis of issues affecting the integrity of the Armenian higher education system, had identified a number of possible sources of corruption and unethical behaviour in the area of Governance and Human Resource Management at Armenian HEI, and there was a general consensus among the main actors that as a further step more practical initiatives at grassroots level were needed.

The ethical principles and guidelines for ethical behaviour produced in the framework of the Council of Europe's flagship project, the 'Pan-European Platform on Ethics, Transparency and Integrity in Education (ETINED)⁵, were an important inspiration for developing a set of practical instruments.

Developing Toolkits to ensure Accountability and Transparency in Governance and Human Resource Management

Whereas European and international organisations had already produced Guidelines for developing Codes of Ethics⁶, so far practical tools for the use in HEIs, targeting the various actors, were missing. The planned toolkits for enhancing transparency and accountability therefore had to focus on how to implement agreed principles and guidelines for ethical conduct in the higher education institutions.

Among the challenges and needs identified, in the area of governance, were: fully developed codes of ethical conduct for all actors; a legal framework for ethical conduct of civil servants, including academic staff; templates for regular

public reporting by HEI on the use of their resources, linked to their financing.

In the area of HRM, the identified gaps were: lack of transparency and objective, open competition in appointments processes; inadequate salary levels; lack of ongoing professional development opportunities for staff; inadequate systems for effective staff evaluation and appraisal; significant inconsistencies on HR approaches between the HEI, etc.

Further work had to concentrate on concrete measures, specifically addressing the needs and challenges of both academic and administrative staff, throughout their career at the university. This requires from the university an integrated approach to professional development and career guidance for young professorial staff and researchers, next to professionalization of university managers. Creating or adjusting a proper environment for a well-functioning HRM or personnel department in the HEI appears crucial in this. As was shown when developing quality assurance in HEI, rules and regulations alone cannot solve all issues of ethical conduct in higher education. A culture of ethical behaviour is needed, underpinning the overall objective of providing quality education for all. An important corollary for Armenia will be the development of a more performant and diversified HE system with fully autonomous universities and other HEI.

Other countries in the region which have gone through a similar post-soviet transition period impacting on their higher education system, may eventually also benefit from the experience undergone by Armenian HEI.

References for the papers published in the In Focus section are available on page 34 and 35.

10 Higher Education and Corruption: what have we learned?



by **Stephen P. Heyneman**, Professor Emeritus, International Education Policy, Vanderbilt University, Nashville, Tennessee (s.heyne@vanderbilt.edu)



The human capital argument holds that schooling has positive outcomes on marginal economic productivity as well as personal behaviour, and that these positive outcomes pertain to individuals, groups and nations. This positive perception of education has been dominant in

development economics since the 1950's. While education corruption was known in terms of individual behaviour – entry to an elite institution in exchange for a major contribution to an endowment for instance – it was hidden behaviour, and controlled by shaming through exposure. After the Soviet Union collapsed and many kinds of institutions – courts, markets, property ownership – had to be re-defined, universities came under unprecedented pressure to re-define their operating procedures and governance. It was then that education corruption was discovered in a new light (Heyneman, 2004a).

The first question asked was whether corruption in education was simply a part of public sector corruption more generally. It was pointed out that corruption in education could be more damaging than corruption in, say, the customs agency or police department. The question became how one might distinguish education corruption, what were the ingredients and in what ways it was likely to occur (Heyneman, 2004b). Next came the question of evidence. How did we know whether exams, class grades or admissions were more likely to be the arena for corrupt behaviour? This was first approached through surveys measuring student perception of the likelihood of corruption in specific arenas (Heyneman, 2004b). But perception can be influenced by culture, the more important question concerned participation in a corrupt act and possible economic consequences of that act. From this effort it was discovered that where rates of corruption were in excess of fifty percent, major universities and education systems were placed at economic risk (Heyneman, Anderson and Nuraliyeva, 2008).

Then the question became whether education corruption was identical in different regions of the world (Heyneman, 2007a; 2009a; 2010). It was discovered that patterns differ; that monetary corruption was common in the former Soviet Union and parts of South and South East Asia but that corruption through sexual harassment was common in Sub-Saharan Africa. But where corruption was common was it universal? Was everybody corrupt or were there some faculty or administrators who behaved honourably while others around them did not? The answer was yes, there are 'resistors' to education corruption. These resistors were said to represent 'normal' faculty standards and give support to the suggestion that moral professional behaviour was not 'western' in nature and that a theoretical professional standard exists among educators as among doctors (Heyneman, 2007b; 2009b).

Then attention shifted to the question of the characteristics of an ethical university. Were these characteristics identifiable and if so, were they common among universities in different parts of the world? It was discovered whether, in England or Japan, that highly ranked universities behave in very similar ways with respect to the recognition of education corruption and actions they take to combat it. Furthermore, it was discovered that manifest actions to combat corruption were almost universal among universities in some parts of the world, but in other parts even mentioning corruption was taken to be an admission of guilt. From this work it was concluded

that a university which had ambitions to be highly ranked had to take specific actions against corruption and to broadly advertise those actions (Heyneman, 2014a). Finally it was suggested that whether a university advertised its actions to combat corruption could be used to reduce the risk that highly corrupted universities would, in the Bologna Process, be treated as equivalent (Heyneman and Skinner, 2014).

The concern with corruption in higher education has been growing for about 25 years (Heyneman, 2011; 2013; 2014b). Corruption is universal, as it is in medicine and other sectors. But it is not identical either in pattern or in the degree of infection. One danger we face is that of ‘whataboutism’, the suggestion that if we know of an instance in Ohio, that the seriousness of corruption in Ohio is equivalent to the problem in Belarus. This is misleading. There is a reason why six percent (the highest in the world) of all higher education students from Central Asia and 9.6 percent from Uzbekistan leave the region¹. Corruption lowers the signalling power of a degree and it would be irrational for a student to buy something of lower value if one had a choice. Patterns of international student migration matter.

The other danger is to consider *everything lamentable about higher education as if it were corruption*. Some might treat bad management, high cost, and poor pedagogy as corruption. Inefficiency and low quality are serious problems, but unless the act breaks either a defined professional or legal regulation it does not constitute corruption.

References for papers published in the In Focus section are available on page 35.

11 Fighting against Academic Corruption in China: the War Must Go on



by **Kai Ren**, School of Education,
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There is currently no consensus on a definition of academic corruption. In the Chinese literature, the term is generally used to describe serious problems with the academic ethos, and the undermining of academic ethics in university circles (Tang and Fu, 2009). Although sometimes used interchangeably, the concepts of academic corruption and corruption in higher education (HE)

are different. The HECM (HECM, 2005, 1) points out that corruption in HE can occur at both institutional and systemic level and among the corruptive practices, those with strong academic characteristics are often found in examinations/assessment and admissions, the conferring of academic credentials, academic recruitment and promotion, and the licensing and accreditation of institutions. Thus, academic corruption can be seen as part of HE corruption.

At the international level, academic corruption has become a prominent issue in higher education particularly in developing countries (Altbach, 2004, 2005; Hallak and Poisson, 2007). In China it differs from other contexts, given the drastic social transformation taking place there, and the astounding pace of socio-economic development. This has led to an unprecedented demand for intellectual knowledge and technological innovation in a situation where strong state control co-exists with rapid marketization. Meanwhile, academic corruption in China is a cultural issue as well as a political problem since Chinese society has been strongly influenced by the philosophy of *Guanxi* or social connections (Yang, 2005). This makes it hard to strictly observe academic ethics because contacts and connections are often seen as having prime importance and academics live in a network of *Guanxi*.

According to the Chinese national media, China's academic corruption in the first decade of 21st century was ‘increasingly severe and rampant’, involving an increasing number of prominent academics and more sophisticated corruptive behaviours. Ever since then the situation seems to be improving with all the anti-corruption measures taken by China's Ministry of Education (MoE). A number of factors have been identified by Chinese scholars, which explain this problem, such as the rigid academic evaluation mechanisms and the integration of academic and administrative power, as well as the lack of provision for sound external supervision and the imposition of penalties.

On the other hand, the Chinese HE system has been developed in many ways to minimize the possibility of systemic corruption — the unified entry examinations, the decisions on postgraduate programmes by committees under the State Council and so on. In addition, tools or strategies have been developed, either at state or university level, to deal with the issues. These include establishing a more strictly monitored publication system and an anonymous peer-reviewed system, setting up committees on academic standards at universities and publicizing on-line the investigations and suggested penalties of corruptive cases.

In 2012, I published a paper in the IAU peer reviewed journal *Higher Education Policy* that provides a critical discussion of the Chinese MoE's policy developments aimed to strengthen academic ethics and control academic corruption (Ren, 2012). It concludes that the policy has undergone a change from *symbolic* to *material* and suggests some policy interventions that might be effective in reducing academic corruption.

In 2016, the MoE's latest policy concerning the issue was launched, entitled *Preventive and Treatment Measures of Academic Misconduct in Higher Education Institutions*. I am pleased to see that many of the suggestions in my paper coincide with this document, including separating administrative power and academic power at Chinese universities, so as to further promote academic reviews and criticism, nurturing a strong and supportive ethical leadership, and establishing an effective accountability and a firm-and-fair penalty system. As highlighted in my paper, this policy also emphasizes the importance of education in academic ethics as well as research guidance for junior academics and university students. In fact, scientifically sound referencing methods have been made part of the compulsory curriculum in most Chinese universities, and duplicate checking system has been highly successful in reducing cases of plagiarism.

Like any kind of corruption, academic corruption will always exist in one way or another and cannot be totally avoided in academia, as noted by Dr. Ernst-Ludwig, President of the German Research Foundation (China Daily, 2006). It seems that the Chinese MoE has realized that and is striving to cultivate an ethos in HE where the traditional values of the university are honoured by the majority of its stakeholders. In its latest policy document as mentioned above, the term 'academic corruption' has been replaced by 'academic misconduct', which appears to be a major step forward, but the war must go on.

References for papers published in the In Focus section are available on page 35.

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[1] Programmatic Cooperation Framework for Armenia, Azerbaijan, Georgia, Republic of Moldova, Ukraine and Belarus 2015-2020; website: <http://www.coe.int/en/web/yerevan/70>

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➞ Additional Suggested Reading on Higher Education and Corruption in HEDBIB

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HIGHER EDUCATION POLICY (HEP) 29/4 – DECEMBER 2016



This edition of HEP was a thematic one entitled *Measuring Up: Consequences of Global Competition and Metrics on Local Scholarship*,

guest-edited by David Post of Penn State University, USA and Chuang Prudence Chou of National Chengchi University, Taipei and which look at national examples of the consequences of pressures associated with the drive for world-class universities and the assumption that English-language citable research should in fact be an important measure of progress toward that goal. The five special edition papers look at examples in Australia, Taiwan, Japan, South Africa and present a comparative study of China, Hong Kong and Japan. The special edition was completed with a look at Canada's international education strategy, and its implications for institutional strategy. The issue closed with a book review of Damtew Teferre's book *Funding Higher Education in Sub-Saharan Africa*.

HIGHER EDUCATION POLICY (HEP) 30/1 – MARCH 2017

The first edition of HEP in 2017 was also a thematic issue, entitled *Critical and Alternative Perspectives on Student Engagement*. Edited by Bruce Macfarlane and Michael Tomlinson, both of the University of Southampton School of Education, UK, the articles attempt to question the types of measurable data that are being used to evidence student engagement and coming to define university policies in systems around the world, questioning the extent to which engagement strategies lead to higher

levels of academic achievement (i.e. the 'effectiveness' argument); and the manner in which student engagement policies and associated pedagogic practices can impact negatively on students in terms of fairness and freedom.

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WORLD HIGHER EDUCATION DATABASE IN PARTNERSHIP WITH UNESCO

In the context of a UNESCO-IAU framework agreement, 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 updating the database. All African universities have been approached 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, but IAU Members benefit from enhanced searching and downloading possibilities.

NEW! IAU LYNX

IAU Lynx is the new and updated version of the IAU renowned newsletter, the IAU E-bulletin. The new structure of IAU Lynx reflects the IAU priorities 2016-2020 and keeps you updated on IAU's work. It also offers a wide range of information on higher education developments around the world. **You can subscribe online through our website** (<http://www.iau-aiu.net>) **Contact:** a.salcedo@iau-aiu.net



SELECTED ANNOTATED LIST OF PUBLICATIONS RECEIVED AT IAU

GLOBAL CHALLENGES, NATIONAL INITIATIVES, AND INSTITUTIONAL RESPONSES: THE TRANSFORMATION OF HIGHER EDUCATION

by Cláudia S. Sarrico, Pedro Teixeira,
António Magalhaes, Amélia Veiga,
Maria Joao Rosa, Teresa Carvalho,
Eds., Rotterdam, Boston, Taipei: Sense
Publishers, 2016, 272 p.
ISBN 978-94-6300-674-6 – Online
ISBN 978-94-6300-675-0



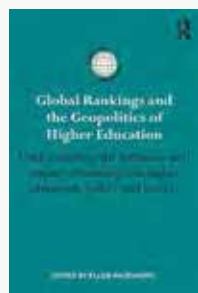
This book comprises peer-reviewed papers from the Consortium of Higher Education Research 2015 annual conference which provide

national perspectives with case studies from Portuguese, German, Australian, Dutch, UK, Russian and Nordic higher education institutions. The book focuses on how higher education and research institutions operate under different governance regimes at international, regional and national levels, and how that context shapes institutional governance and management; on how the systems institutions are developing to manage their quality and to cope with the internal and external pressures to constantly improve performance in teaching, research and the third mission; in which ways academic and non-academic professionals respond to the transformations occurring in their institutions.

GLOBAL RANKINGS AND THE GEOPOLITICS OF HIGHER EDUCATION: UNDERSTANDING THE INFLUENCE AND IMPACT OF RANKINGS ON HIGHER EDUCATION, POLICY AND SOCIETY

by Ellen Hazelkorn, London: Routledge,
2017. 348p. (*International Studies in*

Higher Education) ISBN 978-1-138-
82811-7



This book provides an examination of the impact and influence that university rankings have had on higher education, policy and public

opinion in recent years. It examines the changes affecting higher education and the implications for society and the economy. This book covers: the development of rankings in higher education, how they have impacted upon both the production of knowledge and its geography, and their influence in shaping policymaking. It provides overviews of the significance of rankings for higher education systems in Europe, Asia, Africa, Russia, South America, India and North America. It presents an analysis of rankings in relation to key concerns that pervade contemporary higher education and examines the role rankings are likely to play in the future directions for higher education.

GLOBAL REGIONALISMS AND HIGHER EDUCATION: PROJECTS, PROCESSES, POLITICS

by Susan L. Robertson, Kris Olds, Roger Dale, Que Anh Dang, Eds., Cheltenham, UK, Northampton, USA: Edward Elgar, 2016, 311 p. ISBN 978-1-78471-234-1 – Online ISBN 978-1-78471-235-8

Examining regional and inter-regional projects from Europe to Latin America, the Caribbean, Africa, Asia, the Gulf and the Berents region, this book reveals the diverse and uneven nature of global regionalisms in higher education. The contributors detail studies of region-building, the creation of regional higher education spaces and harmonisation processes, and the role of policy-



shaping actors. Collectively, they make the case that globally, higher education is being transformed by regionalising and inter-regionalising projects aimed at

resolving ongoing economic, political and cultural challenges within and beyond national states.

HIGHER EDUCATION IN THE WORLD 6: TOWARDS A SOCIALLY RESPONSIBLE UNIVERSITY: BALANCING THE GLOBAL WITH THE LOCAL

by Global University Network for
Innovation [GUNI], Girona: 2017, 537 p.
– ISBN 978-84-617-5508-0



Experts from 28 countries examine the dual responsibilities of universities at local and global scale, exploring the potential

conflict, or intrinsic difficulties in addressing societal demands based on the race for global competitiveness and in contributing to a more equitable and sustainable society at local and global level. A special contribution by Eva Egron-Polak, IAU Secretary-General, outlines the development of the *IAU-MCO Guidelines for an Institutional Code of Ethics in Higher Education* and discusses how the Guidelines can assist higher education institutions to examine how well prepared their policies and processes are to meet ethical challenges.

<http://www.guninetwork.org/report/higher-education-world-6>

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

KNOWLEDGE AND CHANGE IN AFRICAN UNIVERSITIES

by Michael Crossley, Amasa Nodofirepi, Eds., Rotterdam, Boston, Taipei: Sense Publishers, 2017, 2 vol. (219, 198 p.) (African Higher Education: Developments and Perspectives), ISBN 978-94-6300-840-2 (v. 1) – 978-94-6300-843-3 (v. 2)



These two books examine how knowledge is produced and disseminated in Africa and present current intellectual discourses on knowledge taking place within African universities. *Volume 1, Current Debates*, provides a critical examination of contemporary practices in knowledge advancement in the continent. It addresses how African universities can reinvent knowledge production and dissemination to enhance their relevance to the contexts they operate in; how changes can be undertaken without becoming insular; and the role of academics and policy makers in integrating policies, knowledge and pedagogy that reflect cultural diversity. *Volume 2, Re-Imagining the Terrain*, examines how African universities can respond to current trends of marketisation of universities and the commodification of knowledge in Africa at the levels of institutional management, academic scholarship, institutional culture, policy and curriculum.

OPEN EDUCATIONAL RESOURCES: POLICY, COSTS AND TRANSFORMATION

by Fengchun Miao, Sanjaya Mishra, Rory McGreal, Eds, Paris, Vancouver: UNESCO, Commonwealth of Learning, 2016, 231 p.

ISBN 978-92-3-100148-2 – Online
ISBN 978-92-3-100158-1



Providing a balanced perspective of OER research and practice, the case studies – in Australia, Antigua and Barbuda, Bahrain, Brazil, Canada, Germany, India, Indonesia, Malaysia, Poland, Russia, and the United States – examine government policies on OER and detail OER adoption within learning, teaching and research in both traditional and open universities and through university networks.

POWER, DISCOURSE, ETHICS: A POLICY STUDY OF ACADEMIC FREEDOM

by Kenneth D. Gariepy, Rotterdam: Sense Publishers, 2016, 164 p. (New Research, New Voices, 5) – ISBN 978-94-6300-368-1

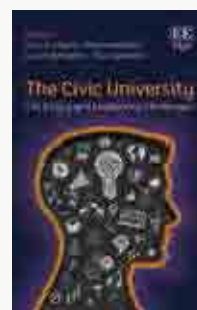


This book analyses the construction and practice of academic freedom in Canadian higher education. It reviews research on academic freedom in Canada and the United States, detailing policy research, institutional case studies, and surveys of professors and students. It analyses three key recent events marking academic freedom in Canada: the Olivieri affair, a case in the 1990s involving a professor of medicine undertaking pharmaceutical research who became a 'whistleblower'; the controversy surrounding the organisation of a 2009 academic conference on 'Israel-Palestine' at a Canadian university; and the dispute at a Canadian university

when a professor publicly opposed the dissolution of a college.

THE CIVIC UNIVERSITY

by John Goddard, Ellen Hazelkorn, Paul Vallance, Eds., Cheltenham, UK, Northampton, USA: Edward Elgar, 2016, 328 p. – ISBN 978-1-78471-771-1 – Online ISBN 978-1-78471-772-8



This book provides an analysis of civic universities – academic institutions with particularly strong ties to their cities and regions in terms of research, teaching and civic

engagement. Examining the historical roots of civic universities and the developing academic engagement agenda, the book argues that contemporary dynamics in higher education, notably marketisation and globalisation, are in tension with the continuation of these civic missions. Eight institutional case studies of civic universities in Finland, Ireland, the Netherlands and the United Kingdom reflect on institutional challenges faced by university leaders in putting civic purpose into practice and how universities manage these.

June 2017

- 05-08** Accra, Ghana
14th General Conference of the Association of African Universities (AAU)
<https://events.aau.org/gencon14/>
- 09-10** Paris, France
HUMANE 20th Anniversary Conference – Redefining university leadership in a volatile world
<http://www.humane.eu/events/seminars-and-conferences/2017/paris-062017/>
- 12-14** Washington DC, USA
M-Enabling Summit – Making Connected Things and Services Accessible for All
<http://m-enabling.com/about.html>
- 14-16** Regina, Canada
CONAHEC's 18th North American Higher Education Conference – Purposeful Internationalization
<https://conahec.org/conference-2017/nahed/about-conference>
- 14-16** Rome, Italy
2017 Rome Global Forum : Higher Education for Diversity, Social Inclusion, and Community: A Democratic Imperative
https://www.acu.edu.au/about_acu/faculties_institutes_and_centres/centres/iace/2017_rome_global_forum
- 22** Brussels, Belgium
9th Annual International Symposium on University Rankings and Quality Assurance 2017
<http://www.publicpolicyexchange.co.uk/events/HF22-PPE2?ss=em&tg=1a>
- 28-30** Paisley, Scotland
HETL-UWS Scotland Conference – Creating Inclusion and Diversity in Higher Education
www.hetl.org/2017-hetl-uws-scotland-conference

August 2017

- 16-18** Cambridge, USA
International Educational Technology Conference 2017
<http://www.iet-c.net/>
- 17-19** Dar es Salaam, Tanzania
Applied Research Conference in Africa (ARCA) 2017 – Standardization for Sustainable Development in Africa: The Role of Researchers
<http://arcaconference.org/>
- 21-25** Berlin, Germany
39th French-German Colloquium on Student Affairs – Societal Responsibility: Challenges for Student Services between Safety and Open Societies
<https://www.studentenwerke.de/en/content/xxxix-german-french-colloquium-2017>
- 30-03 Sept** Pécs, Hungary
Magna Charta 29th Anniversary
<http://www.magna-charta.org/news/save-the-date-magna-charta-29th-anniversary-in-hungary>

September 2017

- 12-15** Seville, Spain
European Association for International Education Annual Conference – A mosaic of cultures
www.eaie.org/seville.html
- 18-19** Barcelona, Spain
GUNI International Conference on Sustainable Development Goals: Actors and Implementation
<http://www.guninetwork.org/events/international-conference-sustainable-development-goals-actors-and-implementation>
- 20-22** Giessen, Germany
26th European Access Network (EAN) Annual Conference – Sharing stories of empowerment: Creating new strategies for diversity and inclusion in higher education
<http://www.ean-edu.org/annual-conference-2017.html>
- 26-29** Hamburg, Germany
COPERNICUS Alliance Conference 2017 – Sustainable Development Goals at Higher Education Institutions
<https://www.nachhaltige.uni-hamburg.de/downloads/hsds2017call-save-the-date.pdf>



October 2017

- 11-13** *Montreal, Canada*
5th Conference of the Americas on International Education (CAIE)
<https://www.caie-caei.org/en/>
-
- 16-19** *Toronto, Canada*
ICDE World Conference for Online Learning – Teaching in a Digital Age – Re-thinking Teaching and Learning
<http://onlinelearning2017.ca/en/about/>
-
- 17-19** *Kruger National Park, South Africa*
14th PASCAL International Conference – Trends2017 – Which way to go?
www.pascalobservatory.org
-
- 17-18** *University of Ghana and African Association of Universities, Ghana*
IAU Global Meeting of Associations – Leadership for a changing public-private funding landscape
www.etchouches.com/iau2017
-
- 18-20** *University of Ghana and African Association of Universities, Ghana*
IAU 2017 International Conference – Leadership for a changing public-private funding landscape
www.etchouches.com/iau2017

November 2017

- 01-04** *Rome, Italy*
IFCU International Conference – The Global Refugee and Migrant Crisis: responsibility and responses of universities
<http://fiuc.org/>
-
- 01-04** *São Paulo, Brazil*
GAPS World Congress 2017 – Working together for a democratized postsecondary education: a key to sustainable development
<http://www.gaps-education.org/2nd-world-congress-global-access-postsecondary-education/>
-
- 18-23** *Sohar University, Oman*
LGEU-5 : 5th session of IAU leadership development programme Leading Globally Engaged Universities
<http://www.iau-aiu.net/content/leading-globally-engaged-universities-lgeu>

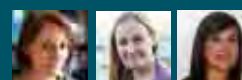
This 'Calendar of events' is only an extraction of the **IAU online Global Calendar of Events**. The online version provides an overview of conferences on HE organized around the world see: www.iau-aiu.net/content/global-calendar. To include events, please write to: centre@iau-aiu.net

IAU – INTERNATIONAL ASSOCIATION OF UNIVERSITIES / INTERNATIONAL UNIVERSITIES BUREAU. Servicing its institutional and organizational members and the wider higher education community, IAU provides a forum for building a worldwide higher education community, promotes exchange of information, experience and ideas, contributes, through research, publication and advocacy to higher education policy debate.

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register online at:
WWW.ETOUCHES.COM/IAU2017

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