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## Abbreviations

| | |
|---|---|
| AAU | Association of African Universities |
| ACBF | African Capacity Building Foundation |
| ACU | Association of Commonwealth Universities |
| AfDB | African Development Bank |
| AUF | Agence universitaire de la Francophonie |
| CCNY | Carnegie Corporation of New York |
| CIHE | Center for International Higher Education (Boston College) |
| CIEP | Centre International d'Etudes Pédagogiques |
| CIRCLE | Climate Impacts Research Capacity and Leadership Enhancement (ACU) |
| DAAD | *Deutscher Akademischer Austauschdienst* (German Academic Exchange Service) |
| DIES | Dialogue on Innovative Higher Education Strategies |
| EU | European Union |
| HE | Higher Education |
| HEI | Higher Education Institution |
| HRK | *Hochschulrektorenkonferenz* (German Rectors' Conference) |
| ICT | Information and Communication Technology |
| IDC | International Deans' Course |
| IFGU | Institut de la Francophonie pour la Gouvernance universitaire |
| IGLU | *Instituto de Gestión y Liderazgo Universitario* (Forming University Leaders in Latin American Higher Education) |
| IIEP | International Institute for Educational Planning (UNESCO) |
| LASPAU | Academic and Professional Programs for the Americas |
| LEDEV | Leadership Development workshop (AAU) |
| MADEV | Management Development Training Program (AAU) |
| M&E | Monitoring and evaluation |

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| NGO | Nongovernmental organization |
| NICHE | Netherlands Initiative for Capacity Development in Higher Education |
| NUEPA | |

# DAAD AND HRK FOREWORD

Universities throughout the world are operating in an increasingly dynamic environment characterized by global challenges. They face intense competition for highly qualified students and researchers and third-party funding. This holds true for universities all over the world and challenges particularly higher education institutions in developing countries where the demand for tertiary education has been skyrocketing over the last decades. Hence, the professionalization of higher education management is becoming more and more important in the field of international development cooperation.

Since 2001, the German Academic Exchange Service (DAAD) and the German Rectors' Conference (HRK) have been jointly coordinating the Dialogue on Innovative Higher Education Strategies (DIES) program, which aims at fostering the competencies of academic leadership staff and contribute to the enhancement of institutional management at universities in its main partner regions Africa, Spanish-speaking Latin America and Southeast Asia.

Within the DIES context, DAAD and HRK offer different components such as training courses and dialogue events and cooperate with foreign partner organizations on current management topics. In 2007, DAAD and HRK implemented the International Deans' Course (IDC), a training course that is designed for newly elected deans and vice-deans from Africa, Southeast Asia and, since 2012, Spanish-speaking Latin America. It deals with the various dimensions of faculty management such as financial management, quality assurance, leadership – supplemented with practice-oriented modules on project management and soft skills.

As many organizations worldwide engage in activities with a similar focus on trainings in the field of higher education management, the DAAD and the HRK commissioned the present background study to get insights into the state of play with regard to higher education management training schemes worldwide. The results of the study conducted by the Boston College Center for International Higher Education have been presented to the public on the occasion of the tenth anniversary conference of the IDC program in Berlin in November 2017.

The purpose of this study is not only to provide an overall picture of the different actors and their offers in this field but also to identify future directions and further needs. In addition, based on the results of the study DAAD and HRK will be able to establish an exchange of experience and good practice with other relevant actors worldwide.

We wish to thank the researchers at the Center for International Higher Education for the impressive work realized during a short time period. We would like to give special thanks to project leader Laura Rumbley and her team colleagues Edward Choi, Hélène Bernot Ullerö, Lisa Unangst, and Ayenachew Woldegiyorgis, for their persistent enthusiasm and engagement, and of course also to CIHE director Hans de Wit and CIHE founding director, Philip Altbach.

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The Center for International Higher Education (CIHE) at Boston College is pleased to present the seventh report in its [redacted] series, this time featuring [redacted]. This report was commissioned by the German Academic Exchange Service (DAAD) and the German Rectors' Conference (HRK) to gain insights into the nature and scope of the global landscape of higher education management training schemes active in the field of development cooperation.

Since 2007, DAAD and HRK have run the Dia- into the complexity of profiles and activities demonstrated by a select subset of the training providers identified in the inventory exercise.

Although the study notes that the provision of higher education training schemes in relation to development cooperation touches most world regions in some fashion, and in this sense is a global and emerging phenomenon, it also is a relatively small-scale and diverse phenomenon. Complexity is also a hallmark of the field. There are a multitude of different kinds of actors working in this space, and many individual programs feature multi-layered arrangements, in which a number of different actors are involved and play one or more roles in relation to a given initiative.

The training schemes on offer by the identified group of major players present a diverse picture with respect to matters of format (i.e., program delivery modes), duration, topics or focal points for training content, and target audiences. There is evidence that a variety of efforts are being undertaken to assess effectiveness and impact, but there is great unevenness among the providers when it comes to evaluation activity. Are these findings surprising and do they provide directions for future higher education leadership training in general and for capacity building in particular? There is clearly a great deal of room to develop further knowledge and understanding in this area.

The Boston College Center for International Higher Education (CIHE) takes a special interest in this work. Over the past 20 years, CIHE has itself been involved in a variety of higher education training programs—for senior leadership, middle management, and internationalization officers—in Asia, Africa, Latin America as well as Europe and North America. Our research over the years has noted that massification and the related trends of privatization, internationalization, differentiation, and diversifica-

tion of funding sources, have an enormous impact on governance, leadership, and management in higher education. As Philip Altbach writes in the 2017 study conducted by CIHE for HRK, the Körber Foundation and Universität Hamburg, on

Finally, this study has specifically chosen to focus on training programs that are not embedded in time-limited projects (often seen, for example, in European Commission or World Bank initiatives). The objective of this study is to develop a meaningful list of other players with a similar approach and comparable programmatic offerings around the world, to learn more about how these programs undertake their work, and to gain insight into possible future directions for the field of higher education management training schemes in development cooperation.

The study produced two key outputs. The first is a global "inventory" of training programs that somehow relate to one or more of the various dimensions above. The second output consists of a set of findings providing deeper insight into the complexity of

around the world
- identifying trainers who are knowledgeable about specific institutional, regional, and national contexts
- identifying and effectively engaging new or un-

This research responds to a call made by the German Academic Exchange Service (DAAD) and the Ger-

management training and an understanding of the

important light on the community of organizations active in this space and brings into evidence an entire ecosystem of actors involved in this work. The inventory exercise serves to help answer the first of four fundamental questions at the heart of this study, which is: Who are the major players active in higher education training in the field of international development cooperation?

The second output of this research is to provide deeper insight into the complexity of profiles and activities demonstrated by a select subset of the training providers identified in the inventory exercise. Here, we focus on addressing the three remaining questions driving the study: What kinds of management training schemes are offered? How do we understand matters of effectiveness and impact of these programs? What are the major challenges and opportunities ahead for higher education training in the field of international development cooperation?

This report offers a comprehensive explanation of the methodology undertaken to explore these matters, as well as information on what we learned from the inventory exercise to identify major players in the field. From both the inventory exercise and interviews with representatives of a subset of major player organizations and experts in the field of international development cooperation, we are able to put forward some possible answers to the four research questions guiding this study. Finally, we present a list of recommendations, key insights, and further considerations for DAAD and HRK to ponder, as they consider possible future directions for the IDC program specifically, and other DIES training courses more broadly.

The research for this study was conducted over the period December 2016 to May 2017 and, as indicated in the Introduction, focused on four main questions:

- **RQ1**: Who are the major players active in

The interviews were conducted via telephone, online web conferencing (such as Zoom, Skype or FaceTime), or e-mail, depending on the preference and availability of the interviewees. Those interviewees targeted on the basis of the specific training programs offered by their organizations were asked to respond to 12 distinct questions; those representing "macro-level" organizations were asked to respond to four questions. (See Appendix 4 for a list of the interview questions). Most interviews lasted between 45 minutes and one hour.

The interview responses were recorded, then summarized and discussed by the research team, which teased out indicative findings, explored shared insights, and discussed divergent impressions of the issues emerging from the interview data. The summaries of each interview are provided in Appendix 2a and Appendix 2b. A detailed discussion of the findings based on the data collection and analysis, and the guiding research questions, are presented in the following section.

Much can be gleaned from this exercise to make sense of the global landscape of the offer of higher education management training schemes. At the

# FINDINGS

Providing a global snapshot of higher education management training schemes in the field of development cooperation, and generating meaningful insights into the nature of the work undertaken in this field, is both an important and an exceedingly challenging endeavor.

The importance of this work rests on the fact that the entire global development agenda—encapsulated, for example, in the form of the United Nations (UN) Sustainable Development Goals (SDGs) (UN, n.d.)—is implicitly (if not explicitly) underpinned by the need for well-educated experts (R. Hopper, personal communication, April 3, 2017). Scientists, judges, teachers, agricultural experts, urban planners, economists, health care professionals, community leaders, and the like are all needed to advance the ambitious targets set for the global community to achieve its sustainable development goals—and, in most cases, individuals in these roles are trained in universities. It is clear from the data collection exercises undertaken in the course of this study that many organizations and individuals feel a pressing need to improve the way that higher education institutions are run, and how they perform, in light of the critical role such institutions play for social and economic development around the world. Higher education , offering a crucial means to many important societal ends; therefore, improving the management capacity of those responsible for its operation and future development also matters.

Despite a common understanding that there is a need to support and enhance the profile of higher education managers and leaders, particularly in developing and emerging economy contexts, and the fact that many organizations are actively striving to do so in their development cooperation programming, data are difficult to capture and compare. There is no global database of organizations active in this area or programs focused on this work. Key terms such as "management training," "development cooperation," and "major players" are open to broad interpretation. Data can be difficult to obtain and, even when available, may not be easily comparable across programs and contexts.

Furthermore, situating very different training schemes in a common framework of standardized categories or indicators can be a rather artificial exercise, in light of the many unique characteristics and particularities of program design, delivery, focus, intent, and target audience. This study takes as its point of departure that such complexity is a fact of life in any global consideration of higher education management training schemes within the field of development cooperation. No two training schemes are completely alike, therefore comparisons between them are difficult.

Nonetheless, our exploration of this topic leads us to conclude that there are, indeed, a multitude of organizations delivering higher education management training schemes connected to development cooperation. In addition, the data available (however limited and inconsistent) about these organizations and the programs they offer do provide some general indications about this global community of actors that are useful to consider for a better understanding of this important, and seemingly growing, phenomenon.

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The inventory exercise conducted for this study (see Appendix 1) makes it possible to say with confidence that the provision of higher education training schemes in relation to development cooperation touches nearly all world regions in some fashion, whether in terms of being a region of origin for funders or providers, a region of focus for the offer of trainings, or both. Notably absent or underrepresented in this analysis are Central Asia and the Middle East. This does not mean that higher education management trainings schemes are not active there. However, the criteria used for this particular a

We recognize, however, that the five criteria used for this study are limiting. The existing ecosystem of higher education management schemes clearly features a great deal of activity that is not visible when these five criteria (i.e., a cross-border dimension, some longevity and current activity, a cohort model, a public good orientation, etc.) are applied. Most notably missing are the myriad "pockets" of training related to higher education management capacity-building that exist within much bigger development cooperation initiatives or agendas—for example, those undertaken by foundations such as the Carnegie Corporation, and (inter) governmental organizations like the EU, the World Bank, the US Agency for International Development (USAID), and many other official development assistance (ODA) programs implemented by a number of governments around the world (R. Hopper, personal communication, April 3, 2017).

The major players we have identified are generally quite visible organizations with significant "public profiles" in the spheres of higher education and/or cooperation for development. They are also longstanding organizations, the vast majority having existed as organizations for several decades. This is a notable feature of this "major player" group; despite the fact that many of the training programs on offer have not been around for more than 15 years, the entities providing or supporting them have existed for a significantly longer period of time.

About half of these major player organizations operate out of, or are overtly connected to, one specific national context, in terms of their "origin" or "home base"—for example, Sida in Sweden or Nuffic in the Netherlands. The other half are more fundamentally international organizations at their essence—as seen in such examples as the Association of Commonwealth Universities (ACU) and the Inter-American Organization for Higher Education (IOHE). Where there is a connection to one specific national context, there is very little indication that the major player organizations or programs identified there offer much in the way of higher education training courses designed particularly for those domestic audiences. One exception here may be the provider identified in India, the National University

Some programs include opportunities (or requirements) for participants to travel internationally, while others are offered in the country where the participants live and work. As noted previously (in the section on "A diverse phenomenon"), some trainings may consist of highly standardized programming, while others may feature more tailored approaches, including bespoke consulting and reviews.

The range of issues addressed in training content is extensive. The focal points for the training programs identified in the inventory exercise undertaken for this research include such topics as:

- leadership development
- strategic planning
- gender equity
- change agency
- institutional and system governance
- quality assurance
- fundraising
- management of research and innovation
- university–industry linkages
- university–community/society linkages
- internationalization and global engagement

From our perspective, several content areas are noticeably less prominent in this list—at least in the data reviewed for this project—than might be expected. These are:

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siderations may already be embedded in one or more of the top-level topics enumerated above—for example, in relation to fundraising, change agency, or management of research and innovation. Meanwhile, if training schemes bring together international cohorts of participants, it may be difficult to address strategic financial management, if financial decision-making is tied closely to very specific institutional or national contexts. Trainers may therefore opt to forego including this topic on an agenda that must be "translatable" across a variety of different institutional or national realties.

Whatever the reason for its lower visibility in this research exercise, it is interesting to note this gap, given that, around the world, insufficient, unstable, and/or declining public support for higher education is a common and critical trend, with important consequences for higher education institutions and leaders at all levels within them. Privatization and differentiation of resources become ever more important trends for higher education leaders and managers to monitor and understand.

Similarly, skill-building with respect to ƒ - ¿ q ƒ q —which is designed to give leaders and managers crucial intelligence on how their institutions are performing against a set of criteria they deem most important—does not stand out readily on the list of topics covered by the programs identified in this research. Again, this may be a question of semantics or that this kind of focus is actually embedded in other topics addressed by the training schemes in question. However, on the face of it, this is not a priority area of note for many of training initiatives, despite the fact that higher education institutions are increasingly complex organizations. This internal complexity, combined with the complexity and fluidity of external environments, is raising the stakes on good decision-making, which relies on increasing amounts of good quality data about institutional performance. Higher-level institutional managers and leaders may not need to actually undertake institutional research themselves, but is -US

questions that may be raised in relation to effectiveness and impact may include:

- Which specific skills, knowledge, sensibilities, and/or relationships were acquired or enhanced by participants as a result of the training offered?
- How well or how deeply did the participants learn what they learned, and how effectively did the training experience facilitate that learning?
- Once back in the "real world" of daily professional life, to what extent are participants able to apply the lessons or skills learned as a result of the training experience?
- Are applicants able to apply the learning resulting from the training experience over the short-term only? Or, are longer-term applications of the learning also possible?
- How deeply or how widely is a participant able to effect change in an institution or a system, and what does this say about the impact of the training that this participant applies to his or her "sphere of influence"?
- What is the cumulative effect of various iterations of a training program over a period of time? What kinds of professional or alumni networks emerge from these programs and what is their impact?

The evidence gleaned particularly from the interviews conducted for this study indicates that there are no easy answers to these questions.

Most of the training programs profiled in this study indicate that they are actively concerned about

their parent organizations) contributes to their ongoing success, given that this longevity has provided an existing network from which to draw participants, expert trainers, as well as political buy-in and support. SEAMEO and the United Board serve as examples of this point (see Appendix 2a).

Ultimately, there is evidence that a variety of efforts are being undertaken to assess the effectiveness and impact of training schemes, but there is great unevenness among the providers profiled in this study, and a great deal of room to develop further knowledge and understanding in this area.

The information gleaned from this study points toward an interesting array of possibilities and potential challenges for higher education management training schemes in the field of development cooperation. As with many analytical exercises, it can be difficult to define a clear line between these two categories of consideration, as it is often possible to perceive both challenges and opportunities emerging from a given context or issue. This duality is duly recognized here, although some matters do lend themselves somewhat more naturally to one category or the other.

Perhaps one of the most central challenges identified by the study is consistent with the section of this report presented just above—on

— and relates to the difficulties inherent in engaging with training issues. This document

is complicated. It requires adequate resources and a coherent strategy to carry out such tasks as maintaining a high-q

As this field matures and expands, training providers such as DAAD and HRK will need to make new choices and commitments, particularly around the frontier-pushing issues of which focal points for training are most urgent and most relevant to providers' development cooperation agenda; how to identify and engage the newest generation of prospective higher education change agents; how best to leverage new technologies for everything from program delivery to alumni engagement; and how to demonstrate sustained impact. DIES stands out as a thoughtful, well-conceived, and high-quality set of programs in a crowded international higher education leadership development and capacity-building "marketplace." Its position could be further strengthened by collaborating more actively with sister orga-

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## AAU and its role in MADEV (AAU)

## (MADEV)

AAU is established to promote higher education and its role on the continent. One of its main focuses is supporting member universities in their core functions of teaching, research, and community ser-

member institutions, it was realized that there were varying training needs for leaders and managers and two separate programs, MADEV and LEDEV (for middle and lower level managers and high level leaders, respectively) emerged in 2003. However, it took about five years for MADEV was implemented.

The realities mentioned above have not changed much. Still public universities in Africa often get leaders appointed by governments whether or not they have the required skills and higher education is still going through a lot of change. Hence, lack of skills and change in the overall environment remain the primary factors underpinning the need for MADEV.

## MADEV

A number of general themes are commonly offered under MADEV, including strategic thinking and planning in management; strategic leadership and management in the African context; personal organization; communication and public relations within university context; managing university faculties and departments; human resources management in an academic institution; financial management and resource mobilization; ICT in higher education management; quality assurance and accreditation; project management; managing the HIV & AIDS challenge in higher education institutions (www.aau.org).

Recently, new themes have been added, including total quality management in universities, and use of social media in effective management and brand marketing. Besides, cognizant of the fact that research is becoming a major engagement for a growing number of universities, MADEV is offering

## [illegible][2]

### [illegible]

The Association of Commonwealth Universities (ACU) serves 500 member universities in 40 countries of the Commonwealth. It prides itself on leading on the discursive issues in international higher education, promoting international cooperation and the sharing of good practice among members.

It is ACU's mission and strategy to support Commonwealth universities to become more effective and achieve excellence. ACU has a few key themes for its programs, such as benchmarking good practice; early academic career; gender; open sciences; and research management and uptake. It is considering targeting university leaders again.

### [illegible]

ACU's offer is structured along the following priorities:

- Early academic career (ACU encourages a more diverse staff profile with the skillset needed to support the next generation of researchers, lecturers, and university leaders)
- Gender (ACU supports the recruitment and retention of women in higher education leadership and management, and promotes gender equity as an integral institutional goal)
- Open science (ACU supports member institutions to meet the changing social and technical requirements for the academic enterprise in the digital era)
- Research management and uptake (ACU provides resources, and actively supports the development of the external environment, such as the establishment of professional research management associations, and fora for dialogue between funders and universities)

ACU's offer of capacity strengthening to university staff (both academic and managerial/administrative) consists of a variety of programs. Some, like

[2]Unless otherwise noted in the text, all information provided by Ben Prasadam-Halls, Director of Programmes, via interview on April 5, 2017.

## M

Some programs have very sophisticated monitoring and evaluation (M&E) plans, including longitudinal studies of counterfactual groups. But in some cases, ACU acknowledges that it does not do enough to monitor and evaluate its offer, in particular on the gender trainings and the Certificate Programme: there is a need for more. As a minimum, there are ad hoc examples, anecdotal evidence, case studies on how participants are benefiting from the trainings. Some programs do not end up the way they were planned, for instance some training materials end up being learning guides, rather than training courses. As it moves forward with the trainings, ACU wants more systematic, built-in evaluation taking place in all activities.

Individual staff are trained in M&E, but no single team is responsible for M&E at ACU.

## K

For ACU, a proof of success is whether it is making a positive contribution to the members, if the trainings lead to any changes in the practice and in structures, and will make a difference in the long term.

For the Association itself, for the moment, the main challenges are resourcing and organizational issues/matters. Staff in charge of the various programs are disseminated in the organization. The unit under Mr. Prasadam-Halls is responsible for STARS, CIRCLE, and the gender trainings. The Strategic Management Programme is in another unit. The Certificate Programme is a bit "orphan." Given the size of the demand, ACU would like be able to do more, and more effectively, with a dedicated team. Resisting the temptation to spread themselves too thin, but rather to stay focused within priority areas, where they can achieve a critical mass and tangible impact that they can properly evaluate,

above). The content and delivery of the second six-week section fall to the seven IGLU centers, with the assistance of tutors and tutor leaders from different countries, and offers more distinct regional perspectives on a range of topics of interest.

Following the online module, participants then move on to the internship phase of the program, spending one week outside of their home country following a program of guided site visits. Organization of the internships is the responsibility of the seven IGLU centers.

### [illegible]

Each year, IGLU puts out a call for applications to the IGLU Course, and prospective participants apply to any one of the seven IGLU centers, submitting a standard application form and letter of support from their employing university/association. The IGLU centers—all connected with universities in the seven IGLU regions of Latin America—screen the participants (most of whom are accepted to participate), then serve as the physical sites for the one-week in-person training modules, which are generally conducted at approximately the same time at all seven of the IGLU centers. Approximately 150 participants have been accepted per year in recent years. In the earliest iterations of the IGLU Course, rectors and vice-rectors were the main participants. Today, more mid-level academic leaders and administrators are involved, such as deans, heads of program or department.

### [illegible]

The program culminates with an intervention (or innovation) project that each participant is individually responsible for developing. This component does not require that the participant actually implement the project, but at the very least each participant must demonstrate a thoughtful exploration of a key topic of concern at his/her home institution, and a meaningful consideration of ways that this challenge or opportunity could be addressed, in light of the issues and ideas covered in the program. Participants present their projects remotely to advisors connected to each regional center, who provide feedback on these projects and ultimately certify completion of the IGLU Course for all participants. Annually, a prize bearing the name of IOHE's founder, Gilles Boulet, is awarded to the best project presented over the course of the year.

### [illegible]

While trainer evaluations are conducted, there is no clear strategy for evaluating the program's impact.

### [illegible]

The IGLU Course has existed for over 30 years and in this time has demonstrated significant evolution. Originally, the program relied heavily on Spanish-speaking higher education experts from Canada (mostly from Quebec) to staff the training modules, and Canadian universities to provide the internship destinations. Today, a great deal more expertise resides directly in Latin America, which allows the program to draw from a pool of qualified trainers deeply familiar with, and able to speak directly to, the unique needs of leadership development in the Latin American context.

An affinity for the program seems to have developed over time, to the extent that it is not uncommon for past participants to refer to themselves as [illegible]. However, currently, there is no clearly defined IGLU alumni network, but there are some efforts to engage past participants. These include social media outreach, a semiactive web portal where some 400 past participants have registered, and (quite uniquely) a weekly 30-minute radio program (which is also available for download online) called "IGLU Permanente." The program is hosted by IGLU's Executive Director, retired university rector Dr. Miguel J. Escala, who is based in the Dominican Republic. "IGLU Permanente" features news from the higher education sector around the world, an update on IOHE developments, and a theme or topic of interest that Dr. Escala specifically hopes will stimulate [illegible] to discuss with their colleagues, in an ongoing process of personal learning and professional development in the field of higher education.

## F [illegible]

IGLU's current Executive Director is hopeful that the IGLU Course will move to a "3.0" stage of development in the next several years. This evolution will necessarily need to ground itself in the five strategic axes that IOHE has identified in its 2017-2022 strategic plan: (1) social commitment, (2) innovation, (3) internationalization, (4) sustainable development, and (5) organizational management and leadership (IOHE, 2016). Key innovations could involve the consolidation of what the IGLU Course offers into a more widely recognized (and sought-after) credential. Leveraging technology even more effectively will be important, as well. At the highest levels of leadership, Dr. Escala also sees an important future role for "coaching" as a key component for effective personal and professional development. At the same time, IGLU should also concern itself with actively seeking out younger program participants; a focus on the next generation of change agent leaders in higher education is crucial.

Change Academy modules. Each team has identified an institutional change project and

- Working with HEIs overseas to build capacity and facilitate succession planning
- Working with international and national aid agencies to contribute to development aid programmes
- Design and delivery of tailored leadership development programmes either internationally or in the United Kingdom. These may be bespoke or based on one of the Leadership Foundation's open programmes and tailored to particular requirements
- Programme development: [Leadership Foundation is] able to offer assistance in the development of leadership programmes
- Organisational Development: [Leadership Foundation is] able to provide experienced consultants to help you address a wide range of organisational development issues
- Organisation of international workshops and conferences (Leadership Foundation for Higher Education, 2017b).

## [illegible] (NICHE)

The [illegible] (NICHE) is a government-funded development cooperation program that contributes to economic development and poverty reduction by strengthening tertiary education in partner countries of the Netherlands. Each NICHE project is linked to the multiannual strategic plan of the local Dutch embassy, which decides on the theme of the project (typically within a priority area such as water and sanitation or healthcare).

In each project, the NICHE program seeks to strengthen the capacity of senior management, based on a conviction that [illegible] is the most effective and sustainable approach. There is no use training academic staff and developing curricula, if the initiative does not engage the senior management, to anchor these changes in the institution.

## [illegible]

On the "provider" side, Nuffic itself provides partner institutions with the necessary trainings on the "5C approach" (see below), to help them do a baseline analysis prior to the projects. The lead experts of the projects are administrative and academic staff at a stable group of Dutch universities and consultancies, with considerable experience on tertiary education in the global South, including institutional strengthening.

At program level, the main theme of trainings targeting the (senior) management of partner universities is the "5 capabilities (or 5C) approach" (to [illegible]). This tool is used to assess and monitor the capacities of organizations, including universities. When potential partner institutions approach a Dutch embassy in a partner country, or are selected to apply for a NICHE project, they are requested to do a self-analysis following this approach. The analysis reveals the general strengths and weaknesses of the organization, in particular in the area of the project. Each project is then oriented and regularly evaluated with a specific attention to these five capabilities. See https://www.nuffic.nl/en/publications/find-a-publication/the-five-capabilities-approach-in-capacity-building-of-organisations.pdf.

At project level, the experts offer management trainings in a variety of formats, adjusted to the needs and schedules of the participants: coaching or face-to-face interactions, "learning on the job"; seminars and workshops, classroom sessions; sensitization sessions to broader audiences on specific

## F [illegible]

Adjustments and innovations depend very much on the Dutch ministry of foreign affairs. The most

[5]Unless otherwise noted in the text, all information provided by Jolie Franke, team coordinator, Department Capacity Building, Nuffic, via interview on March 29, 2017. Additional information provided by Ouindinda Nikiema, senior manager, CINOP Global; Marie-José Niesten, senior consultant, MDF Training and Consultancy..

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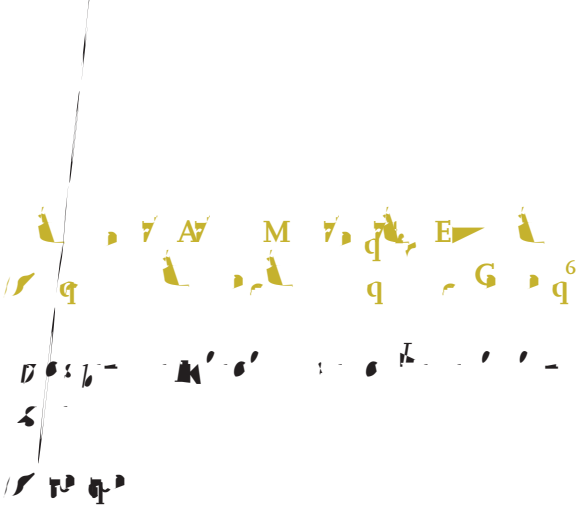

Established in 1996, the Southeast Asian Ministers of Education Organization Regional Training Center (SEAMEO RETRAC) aims to “identify and tackle problems of leadership and management in education at all levels” (SEAMEO RETRAC, n.d.a, n.p.). While these efforts embrace a wide range of a projects and training activities, from English language training to promoting equality in education, they are by large directed toward the development of human resources capacity for SEAMEO member countries, especially Cambodia, Lao People’s Democratic Republic, Myanmar and Vietnam. While some of the trainings SEAMEO RETRAC offers are conducted in-house (e.g., training sessions delivered online), most of the in-class training around education capacity-building, especially those that fall within the domain of higher education, are conducted by fostering local and international partner-

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range from a particular application of learning to resolve an institutional issue or challenge to, more generally, "networking" to build professional contacts throughout the training course and beyond.

### M [illegible]

As a way to gauge the program's impact and success, SEAMEO RETRAC engages participants in two ways. At the end of each training session, a post-training evaluation is conducted in which participants provide feedback and reactions to Likert-scale and open-ended questions related to a number of domains: meals, staff, training facilitators, program structure, transportation, facilities, and training components, among others. Although this type of participant feedback does not directly measure impact and success, it feeds into a larger strategy to maximize program outcomes by a philosophy of continuous improvement. As a core part of this strategy, SEAMEO RETRAC conducts impact studies on a two-year cycle. These studies aim to directly measure impact and success, and are developed around a comprehensive questionnaire that primarily answers one question: How do participants integrate the knowledge and skills they have learned and developed from the training program into daily professional practice? The questionnaire also serves as a reflection tool for participants, as well as SEAMEO RETRAC, to consider another important question: How can the training program be improved to more effectively equip participants with the appropriate knowledge and set of skills for better training-to-practice integration. Another key component of the impact studies is participant career tracking. Thus, several questions target various aspects of career trajectory (e.g., transfers, promotions, raises, etc.). These job-based movements are recorded and maintained in a master database.

plinary Regional Centers (SEAMEO RETRAC, 2015). Since 1965, SEAMEO has been committed to international cooperation with the aim of "sharing existing knowledge, developing expertise, and addressing educational issues for the common benefit of the countries in the Southeast Asian region" (SEAMEO

ings in innovative and engaging ways. As part of this concern, developing up-to-date content in relation to the fast pace of new developments in higher education has also been a challenge. Another challenge is the area of career tracking. As mentioned earlier, participants are tracked in terms of their career trajectory as part of SEAMEO's strategy to measure program impact and success. However, following participants has been quite challenging at times as they sometimes transfer or quit without updating SEAMEO RETRAC with new contact information.

A final challenge lies in the difficulty of introducing new—and what the academic community considers "best" practices—to higher education administrators and managers who have been entrenched in top-down patterns of management and leadership. While acquisition of new trends regarding best practices is always a welcome activity of participants, implementing them in at home institutions has been a slow and, and oftentimes, controversial process. Any attempt to introduce change has been met with the systemic barriers of both a highly bureaucratized system of higher education governance and a culture based on unquestionable respect for authority.

## F

A future consideration of prime importance stems from an online training delivery platform that is currently limited in terms of usability for a majority share of "older" participants who are technology-averse. Thus, SEAMEO RETRAC staff aims to incorporate "newer" online technologies that are more accessible and user-friendly for all participants, regardless of career stage.

As one of the 21 regional centers of SEAMEO, the Regional Centre for Higher Education and Development (RIHED) aims to deepen "regional understanding, cooperation and unity of purpose" (SEAMEO RIHED, n.d.a, n.p.) through regional

alization. (e.g. study visits to Australia, United Kingdom, United States programs)

- workshops on management of higher education (e.g. UNESCO IIEP- RIHED)
- programs on relevant areas for Greater Mekong Subregion countries
- seminars on higher education in Southeast Asia

Of these offerings, this report highlights the Study Visit Programme in which senior higher education administrators of the Southeast Asian region participate in a short-term visit (seven to ten days) to learn about governance and management, leadership, institutional cooperation, quality assurance, research, technology, and emerging higher education trends of the host country. To this effect, SEAMEO RETRAC maintains close relations with the Association of Governing Boards of Universities and Colleges (AGB) in the United States; the International Training, Research and Education Consortium (InTREC) of the UK; the Australian Education International (AEI) of Australia; and the ASEAN-China Centre (ACC) of China. Typically, site visits include a series of lectures (provided by senior exec-

utives and staff of leading higher education institutions in the host country) and targeted site visits to leading universities, as well as other opportunities/activities/events for participants to exchange ideas and information among those in the group and with foreign experts (SEAMEO RIHED, n.d.c)

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local PhD training programs of good quality in a number of discipline areas, and a critical mass of researchers. If Sida needs to withdraw for political reasons, the focus has still been on strengthening

demic dean will be paired with someone of an equivalent professional background) to receive leadership guidance, recommendations on activities, and feedback on progress (United Board, n.d.c). In the online component, fellows receive an additional layer of support and guidance from UB staff related to university leadership and higher education management, particularly in regard to a case study or project each fellow develops for his or her home institution (United Board, n.d.c). Finally, in the leadership seminar, fellows have an opportunity to discuss and share their experiences and thoughts about the program, as well as concerns and ideas related to their case studies, with other fellows, and faculty from UB member institutions (United Board, n.d.c).

### [illegible]

Each year, the participant selection process begins with a call for nominations, sent out to the senior leadership of member institutions across Asia. Nominees are identified (no more than three per institution) and are expected to explore the case during the full cycle of the program. The critical consideration and assessment of case studies can be seen as a common thread that runs throughout all four components of the Fellows Program.

### [illegible]

Primarily, the United Board measures program impact and success by comparing the magnitude of change in terms of career advancement (e.g., role changes, promotions, whether participants are included in presidential searches, etc.) and/or other measures of progress (e.g., institutional change as a perhaps an outcome of integration of new knew knowledge and practices) to a baseline measure taken when participants leave the training program. Several other methods to measure impact are also being pursued. A survey is conducted regularly to garner participant feedback regarding various aspects of the training program (e.g., food, participant general well-being, program modules, faculty, staff, social dimensions related to intra-cohort interaction). In addition, several external reviews have been requested to assess the quality, performance and impact of the training program.

### [illegible]

Since 1922, the United Board has promoted a spirit of knowledge diffusion and a platform for sharing resources and expertise across national borders, especially among its member institutions (United Board, n.d.b). This endeavor has resulted in the building of

an extensive partnership network of over 80 institutions that has proved essential to advancing UB's mission of preparing higher education professionals for

# APPENDIX 2b. Perspectives from macro-level organizations

## [illegible] B ([illegible] DB)[9]

The Africa Development Bank provides support in higher education, as part of the overall human development support AfDB provides to its member states. However, it should be noted that, depending on the circumstances of the respective country, AdfDB support may or may not include higher education. An interview with the director of human development has emphasized this point.

[illegible]

It is essential for universities to have qualified and capable management and leadership, and this is one of the areas where there is a major shortcoming in many African universities. However, cultivation of management and leadership skills does not receive enough support, perhaps because the relationship between this area and student outcomes is not as clear as for the other major areas of focus, such as curriculum development and quality assurance. AfDB does not have a program specifically committed to addressing higher education. After allocation to countries is determined, each country proposes the way it wants to use the resources, in coordination with its own local capacities. As in the other areas, within the broad area of human development, each country chooses where it wants to focus.

Countries often focus on lower-level education, on teacher education, the advancement of a particular discipline (field of study), or vocational and skills development education. This is influenced by a number of factors relating to the development status of the country and its priorities. The Bank, primarily a financier, has an advisory role on what could be the best human development investment in the respective countries. Sometimes, the Bank makes assessments in countries that require assistance and, indeed, in some fragile or postconflict states, the idea of investing resources in higher education does not appear viable. Other countries with better established education systems have a greater tendency to focus on higher education and the development of other high-level skills—such as ICT, where the issue of leadership capacity is crucial.

[illegible]

The Bank tries to avoid making decisions for the countries. It is the choices of the governments of respective countries that determines whether training programs in higher education are needed, and if yes, what type of training is needed. When the governments do not have the capacity, the provider procures the services necessary to the development and execution of the specific training programs. However, many countries prefer to use their own institutions for the conduct of capacity development trainings. It is also important to note that higher education capacity development is often conducted as part of larger capacity-building efforts at national levels. Civil service training institutions often play the role in this regard. Therefore, there is no clear direction as to what the focus will be in the future projected by the Bank, since this is ultimately determined by the respective countries and their specific circumstances.

[illegible]

Again, AfDB has the role of financier and overall oversight of the implementation process. It does not get to the level of details where it would determine what content higher education leadership and man-

[illegible]

Experience shows that the most effective delivery is through project-based, face-to-face modules, with regular homework at various stages to keep commitment high; mentoring and coaching; and tailor-made projects for the individual participants.

The initial phase is crucial to help staff understand what the aim of the project is—then a robust plan is necessary, as well as close communication between the partners during implementation to ensure involvement and progress. Such an approach is successful when done by peers, with similar types of professional profiles. Preparing a proposal together already builds capacity significantly.

At the individual level, the impact of the projects is strong, while it tends to be less so at the institutional level. If the project is narrow, the progress will often remain in the unit where it was placed, results will not necessarily be rolled out, the "trickling down" of new know-how into practice is not always seen, unless you assign concrete homework. As a rule, it is not easy to assign homework to senior management, whereas training programs are much more effective when targeting the level of upper and middle management in charge of transversal systems: quality assurance units, student support services, linking training programs with the professional sectors, or internationalization.

If results have been well integrated, there is a better chance that the project will be sustainable at the institutional level. Nearly always, projects will lead to other projects and reach other levels. But sustainability also depends on whether the participating staff has managed to interact with the wider environment to access more funding. For changes at system level, such as introducing doctoral schools, it takes many individual projects to lead to reforms at the national level. Through internationalization activities and collaborations, universities are often a vector of change, ahead of ministries.

Linking teaching, research, and innovation is a priority. Also, management needs to build the institution up based on its strengths and where its mission lays: whether its reach is sectoral or national, whether it needs to broaden access through online education, or collaborate with local communities, or enter into private-public partnerships to widen its resources. Even if they do not have the capacity to do much research, universities should develop the capacities of their teachers to search and access existing research, in order to improve the curriculum. Basic connectivity is essential, because technology can provide significant shortcuts. Modern management is essential to motivate, deliver strong messages, assign young people to projects, and stimulate innovation. As mentioned above, middle and upper professional staff are a good target, because they are stable, write guidelines, and are in charge of running systems such as quality assurance and performance assessments. Working together in projects motivates staff and can contribute to narrowing the division between academics and administration. Higher education systems in Africa are still very elitist; it is the region with the greatest need for management training. But other institutions need assistance as well: in particular, if the capacity of universities under undemocratic regimes can be built to operate more professionally, bring out their best for the students, and grow through cooperation in spite of difficult circumstances, international assistance should not stop.

The World Bank is one of the biggest players in the field of higher education. In the past it has been supporting different projects in member states that are directed to improving higher education. Considering a 5–10 year period ahead, the following points regarding the training of senior management and administration in higher education are identified as priority areas.

gained attention recently, and will become a dominant mode in the near future. A good example is the IGLU program in Latin America, administered by IOHE. After years of face-to-face delivery, now it uses a mixed method that appears to be working well. Therefore, with increased progress and accessibility in communication technologies, there will be greater endorsement of such technologies as alternatives for delivery of training in this sector, as in other sectors.

### [illegible]

The content and topics of training for a particular client are dictated by general, periodic needs assessments. Different systems, institutions, and regions have different challenges requiring corresponding interventions. Therefore, it is difficult to predict what the focus will be. However, the Bank has recently conducted an internal survey that revealed that, in the area of higher education, the five topics of highest priority are bridging the gap between education and employment; higher education financing; quality assurance; governance and leadership; and equity and access.

Obviously, any step forward in any of these areas, such as a suitable policy framework, requires capable leadership and effective governance structure. This reinforces the importance of leadership and management capacity development.

### [illegible]

With regard to geographic areas, as a global organization the World Bank serves all regions and its engagement is generally based on the needs from the member countries. One important thing to consider here is the rate of expansion taking place in higher education. In countries and regions with large number of institutions and a fast growth of the sector, glob hbout 33380 340.0246 238 283,aieT134T071e rh/One toquir

a matching increase in the number of professionals with the required management and leadership skills. A similar trend is observable in North Africa, the Middle East, and sub-Saharan Africa. Considerable expansion in higher education is taking place in these regions, posing the challenge of how to adequately meet9 Tm6278 619.5599 Tm(quately meet9 Tm627 0 1 ab)Tj/Span<</MCID 5>>BDC BT0.11 Tw 14525ia

vice we could be training someone who is downcounting time to their retirement. If we train the young/the hopefuls, we don't know if they are really going to get the leadership position.

Another issue, particularly in smaller institutions, is the lack of motivation among the younger staff. One reason for this perception is that [illegible] recognizes such training discourages many from participating since they do not see it adding any value to their career. Besides, many are excessively occupied in teaching responsibilities that they would not have time to take trainings, since often there is no capacity to replace them on the teaching duties while they are away for the training.

These challenges require regulatory (policy) responses in the respective systems. Leadership position has to be established to be earned, based on professional merit, not mere seniority. A mechanism has to be in place to recognize, encourage and reward staff who take management and leadership trainings. Clear possible career path for higher education leadership needs to be established.

# APPENDIX 2c. International Deans' Course (IDC)

Since 2007, DAAD and HRK have run the Dialogue on Innovative Higher Education Strategies (DIES) International Deans' Course (IDC), designed for newly elected deans and vice-deans in Africa, Southeast Asia, and Latin America. In particular, the program assists persons who have studied in Germany and have come to occupy leadership roles in higher education institutions (German Academic Exchange Service, n.d.b).

The program deals with various aspects of institutional and academic management and is rooted in an understanding that institutions of higher education throughout the world are operating in an increasingly dynamic environment characterized by global challenges. Managers in higher education need preparation and require diverse skill sets in order to do their jobs more effectively. The program supports these decision-makers, who carry enormous responsibility in the administration and management of faculties (DAAD & HRK, 2017a).

The IDC program is jointly run by the DAAD, the HRK, the Alexander von Humboldt Foundation (AvH), the Centre for Higher Education Management (CHE), and the University of Applied Sciences Osnabrück, among other partners (DAAD & HRK, 2017a).

The program provides knowledge on fundamental changes worldwide that have potential relevance to the challenges facing the participants' own institutions. The participants gain new insights about management of higher education institutions, practical skills, and have the opportunity to build networks across countries and regions—in particular with Germany—enabling all sides to utilize knowledge about each other in further efforts related to teaching, research, and administration.

The IDC program is implemented in several stages over a period of more than a year, alternating face-to-face workshops and modules in Europe (in Germany, but also in Spain, in the case of the Latin American program) and in the regions of the participants. In Latin America, modules are also offered through webinars (International Deans' Course Latin America, n.d.).

This specific structure stems from the realization that fundamental, long-term change in the field of higher education management is a process that takes time, requires joint reflection, and needs to be broken down into phases during which the participants are capable of addressing case-specific problems, incorporating inputs, and adapting strategies when necessary. The last step of the program is focused on intraregional and interregional networking of participants. The DAAD specifically supports initiatives linking course participants to participants in other DAAD-activities related to higher education management and other relevant fields. Many participants use their experiences and old or newly established contacts at German higher education institutions to identify joint projects, exchange information, or to establish other forms of cooperation. Finally, the participants have access to various programs explicitly designed to place DAAD alumni in contact with each other and with other scholars in Germany (DAAD & HRK, 2017b).

The trainers and facilitators are German, international, and local experts. Classes typically consist of approximately 25 participants. The IDC program addresses key topics of concern, such as strategic planning, financial management, management of research, quality assurance, project management, and internationalization. Early in the program, each participant identifies a specific project relevant to his/her function or institution. These "Personal Action Plans" (PAP) allow for a more active and relevant application of the ideas, concepts, and theories introduced during the courses, reducing the typical divergence of seminar content and professional reality. Progress on the personal action plans is shared regularly with other participants throughout the duration of the program (DAAD & HRK, 2017b).

# Appendix 3. List of Interviewees

Interviews: Training Schemes

Interviews: Macro-level Organizations

| | Organization | Interviewee(s) | Interview Date |
|---|---|---|---|
| 1. | African Development Bank | Sunita Pitamber | April 19, 2017 |
| 2 | Carnegie Corporation* | N/A | N/A |
| 3. | European Union | Deirdre Lennan | March 30, 2017 |
| 4. | World Bank | Francisco Marmolejo | April 17, 2017 |
| 5. | World Bank | Rick Hopper (former World Bank education specialist) | April 3, 2017 |

* Information from the Carnegie Corporation was obtained not by an interview but rather via document analysis (see

## Appendix 4. Interview questions

[illegible]

1. What motivates your organization to offer training programs in this field?
2. What have been the main content topics for the trainings offered over the past 5-7 years?
3. How does the program decide on the theme and content of a given training (is this decision demand-driven or offer-driven)?
4. How are participants selected?
5. Does the program feature a "personal action plan" requirement for participants (i.e., are participants responsible for working on an individual project of relevance or importance to them in their role or for their own professional development)?
6. Does [insert program name] evaluate its outcomes and/or impact, and if so, how?
7. How does [insert program name] define "success" and in what ways has the program been "successful"
8. Does the program maintain contact with alumni? If yes, through what methods is contact maintained, or in what ways does engagement with alumni occur?
9. What key challenges does [insert program name] currently face?
10. What are the prospects for sustainability of [insert program name]?
11. What adjustments/innovations are planned for the future, with respect to content, mode of delivery, target audiences, etc.?
12. Are there any additional information or insights you would like to share about [insert program name] with respect to its achievements, impact or future evolution?

[illegible]

1. Among the many possible forms of support to higher education and research in programs for development cooperation, how do you rate the value and effectiveness of strengthening the capacities of the senior management and administration?
2. What does your organization see as the most important elements for the coming 5-10 years with respect to the [illegible] of training programs for higher education management in development cooperation?
3. What does your organization see as priorities for the coming 5-10 years with respect to the [illegible] that should be offered by training programs for higher education management in development cooperation?

4. What does your organization see as priorities for the coming 5-10 years with respect to [illegible] by training programs for higher education management in development cooperation? Should such training programs consider focusing on participants:

    a. In specific geographic regions?

    b. Working in specific types of institutions?

    c. Serving in specific kinds of positions or roles within higher education?

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## About the Sponsors

### G A E (DAAD)

The German Academic Exchange Service (DAAD) is the world's largest organization for the funding of international student and scholar exchange. It is a registered organization with the German institutions of higher education and student bodies as members. The DAAD awards scholarships, supports the internationalization of German universities, promotes German studies and the German language abroad, assists developing countries in establishing more effective higher education systems, and advises decision-makers on cultural, educational, and development policy issues.

### G (H K)

The German Rectors' Conference (HRK) is the association of state and state-recognized universities in Germany. It currently has 268 member institutions, in which around 94 percent of all students in Germany are enrolled. The HRK functions as the voice of the universities in dialogue with politicians and the public and as the central forum for opinion forming in the higher education sector. The German Rectors' Conference cooperates with universities and corresponding organizations all over the world. Its aim is to represent the interest of German universities at an international level and to support German universities in their internationalization process.

## About DIES

The Dialogue on Innovative Higher Education Strategies (DIES) program is jointly managed by the DAAD and the HRK. It offers various program components that foster the competencies of academic staff and contribute to the enhancement of institutional management at universities in developing countries, such as training courses and diaglogue events. In addition, the measures facilitate exchange on matters of higher education management between participants from Germany and the respective partner countries. What all DIES components have in common is that they pursue a practical approach, facilitating change by means of developing the skills and competencies of individual staff members. DIES thereby aims at improving institutional higher education management as well as aligning higher education systems with national and regional develop435.

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