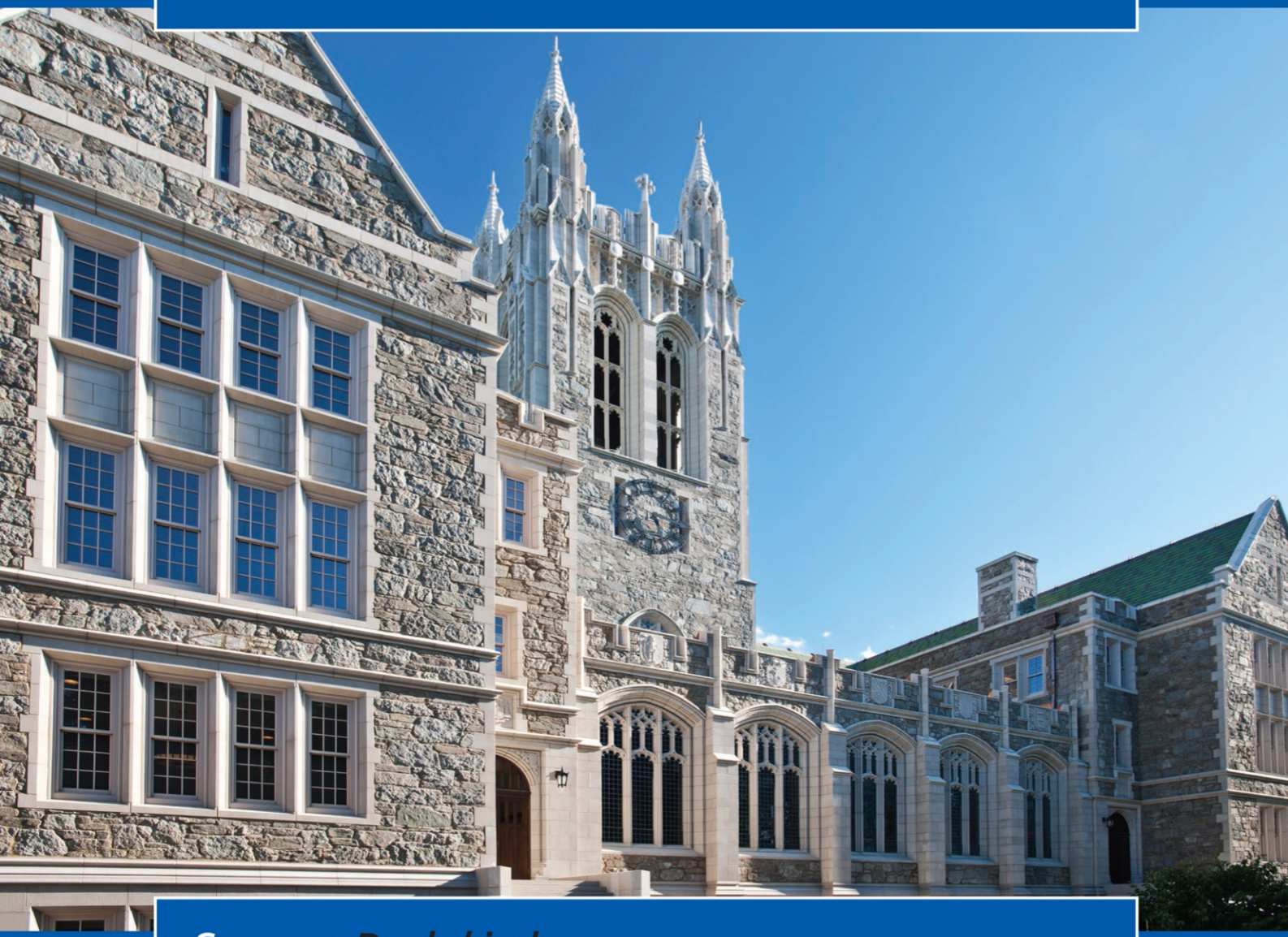
GLOBAL PERSPECTIVES ON HIGHER EDUCATION

# Global Opportunities and Challenges for Higher Education Leaders: Briefs on Key Themes

Laura E. Rumbley, Robin Matross Helms,
Patti McGill Peterson and Philip G. Altbach (Eds.)



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**Global Opportunities and Challenges for Higher Education Leaders: Briefs on Key Themes**

GLOBAL PERSPECTIVES ON HIGHER EDUCATION

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Higher education worldwide is in a period of transition, affected by globalization, the advent of mass access, changing relationships between the university and the state, and the new technologies, among others. *Global Perspectives on Higher Education* provides cogent analysis and comparative perspectives on these and other central issues affecting postsecondary education worldwide.

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# Global Opportunities and Challenges for Higher Education Leaders: Briefs on Key Themes

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# Introduction

*Laura E. Rumbley, Robin Matross Helms, Patti McGill Peterson, and Philip G. Altbach*

Higher education leaders today are recognizing the need to develop an international strategy for their institutions but may lack the knowledge and perspective required to inform good decisions. Students are graduating into an increasingly integrated international environment that, while offering exciting opportunities, also presents many challenges. Faculty are challenged by the need to exercise greater stewardship over a globally oriented curriculum. They are also interested in expanding international research networks and collaborative projects. Institutions must create educational environments where students will begin to appreciate the complexity of global integration and develop skills to navigate it successfully. International outreach and initiatives enrich institutional culture but must be based on good information and analysis.

To address this need, the American Council on Education (ACE) and the Boston College Center for International Higher Education (CIHE) in 2012 launched a publication and webinar series titled *International Briefs for Higher Education Leaders*. The purpose of the series is to assist campus leaders, particularly American college and university presidents, chief academic officers, and senior international officers, in their efforts to make sense of a broad and complex set of issues inherent in the internationalization of American higher education today. In an era of "information overload" and in light of the realities of time constraints faced by busy institutional leaders, each *Brief* publication is organized around one clearly defined topic. The *Briefs* are also presented in a highly readable format, consisting of 10-12 articles of 1,000-1,300 words in length, on various dimensions of the primary subject matter.

In order to provide readers with a relevant and compelling set of insights and perspectives on each *Brief* topic, the authors represent

a wide range of backgrounds, ranging from university presidents, to policymakers and scholars, to frontline administrators and program officers. Each has recognized expertise in different areas of the issues under consideration, and all are sensitive to the particularities of the American higher education context. They are concerned with presenting information and ideas that US institutional leaders might find most useful in their strategic decision-making processes.

Although the *Briefs* have largely been conceived to serve as resources for an American audience, the material they contain has much wider applicability. While contexts certainly vary by country, university leaders and policymakers everywhere face similarly pressing needs to understand the shape and scope of new internationalization trends and developments. They are also called upon to further their understanding of specific countries and regions where opportunities to engage are currently unfolding. The topics covered by the ACE-CIHE *Briefs,* therefore, resonate beyond the scope of any one particular national environment, and can be a useful resource for many higher education leaders around the world.

**Current Content: Responding and Leading**

Our first set of *Briefs* was designed to provide analysis of issues of pressing current interest—specifically, three significant countries/world regions and the broad theme of global engagement. The three countries/world regions included in this book—China, India, and the southern cone of Latin America—are among the most dynamic parts of the world for many reasons, but particularly in terms of their roles as sources of internationally mobile students. Together, they are the source of well over one-third of the world's mobile student population. Opportunities for partnerships and other models of engagement are emerging, in some cases spurred by government initiatives and funding.

Despite the importance of these countries, however, their large and complex higher education systems represent uncharted territory for many—in universities, government agencies, and among faculty and students, as well. The *Briefs* dedicated to these specific parts of the world endeavor to stake out the most relevant data, core elements, and likely future directions of the higher education sectors in these parts of the world, in order to then provide informed insight into what all of this information means for international engagement prospects there.

In addition to *where* institutions are focusing their international energies, *how* they approach their work to internationalize and engage globally is a fundamental concern in the current conversation around internationalization in the United States, and elsewhere. For this

reason, the first "thematic" issue of the *Briefs* series zeroes in on the topic of "new modalities" for global engagement. Key questions raised here include such fundamentals as how one defines "global engagement" and where it fits into institutions' missions and ethos. More specifically, the *Brief* provides perspectives on how global engagement plays out across various types of US institutions—including community colleges, research universities, liberal arts colleges, and others. The analysis also explores particular channels for engagement, such as international networks and consortia as well as growing interest in joint and double-degrees, among other modalities. Importantly, the lessons of "failure" are considered as well, as these experiences often provide some of the deepest learning for institutions and their constituents.

Overall, a primary purpose of the *International Briefs for Higher Education Leaders* series is to provide key data, contextual information, and practical advice for institutions seeking to initiate or expand their global engagement—in particular geographic areas as well as through new types of activities and initiatives. More broadly, however, the *Briefs* are built around the collective effort of ACE and CIHE—drawing on their extensive national and international knowledge networks—to uncover issues of emerging importance and help US higher education leaders understand their place in the global higher education landscape. By including information and perspectives from non-US sources on how American interests intersect (or not) with other countries' objectives and approaches, as well as balanced assessments of what may be gained or lost by action or inaction in the face of evolving opportunities and imperatives, the *Briefs* seek to provide an in-depth, multifaceted picture of both the current lay of the land, and new developments on the horizon.

### From *Briefs* to Book

The *Briefs* series has been well-received. Electronic copies were circulated originally to those who subscribed to ACE's webinar series—which featured commentary and interactive audience conversation with 3 to 4 contributing authors. The *Briefs* are now freely available on the ACE Web site.

Each *Brief* issue easily stands alone, with a clear logic as a self-contained publication. Collectively, however, the four initial *Briefs* in the series offer readers a unique and rather expansive picture of several important dimensions of the internationalization and global engagement agenda of concern to American higher education leaders today, with resonance beyond these shores, as well. This book, therefore, can serve as a most helpful resource to a variety of constituents—those

with responsibilities for internationalization working in the American higher education context; those working with US college and university counterparts in this domain; non-US university leaders around the world with similar interests and concerns; and students and scholars of internationalization in higher education, seeking new insights and perspectives on this phenomenon.

There is much more work to be done to make sense of the many dimensions of internationalization and global engagement jostling for our collective attention. The *International Briefs for Higher Education* series will continue to address these issues; a fifth installment, on the subject of international joint and double-degree programs, is due to be published in 2015. For now, this book stands as an important first step in our ongoing effort to compile and conserve important aspects of our collective thinking on these dynamic issues of our time.

### ACE and CIHE: Natural Collaborators

The American Council on Education (ACE) and the Boston College Center for International Higher Education (CIHE) have a long track record of work in the internationalization and international higher education realms. Since its establishment in 1995, CIHE has incorporated research and analysis on the issues of globalization and internationalization into its broad suite of publications and information dissemination activities. It has done so with a particular eye on marshaling leading-edge knowledge from around the world, not simply from one national context. ACE, as the most prominent higher education association in the United States, has for more than two decades served as a reference point for key questions about the international dimensions of American higher education. ACE has been particularly influential in terms of its work to "map" internationalization on US campuses, its efforts to support strategic planning on campuses for effective internationalization, leadership development for internationalization, as well as helping to frame the national discussion around the internationalization of higher education, both in terms of policy and practice.

In 2011, ACE's Blue Ribbon Panel on Global Engagement released *Strength Through Global Leadership and Engagement: US Higher Education in the 21st Century* (ACE 2011), an analysis of American needs and interests in relation to various core elements of internationalization. This report highlighted the crucial need for US colleges and universities to "engage strategically and substantively with a globalized higher education environment and interconnected world" (ACE 2011, p. 7). It also called upon ACE to renew its efforts to provide cutting-edge leadership

in this area. Meanwhile, ACE's 2012 report, *Mapping Internationalization on U.S. Campuses* (ACE 2012), revealed that progress is being made across some dimensions, but that other aspects of internationalization lagged behind—for example in the area of faculty support/recognition, and curricular requirements for undergraduate students.

The momentum created by the Blue Ribbon Panel and "Mapping" reports, as well as the establishment of ACE's Center for Internationalization and Global Engagement (CIGE), has provided impetus for a series of new ACE-led initiatives in the last few years. As a group, these initiatives are designed to expand the range of support provided to American higher education institutions to advance their international agendas in smart, principled, and sustainable ways. An important aspect of this work is a commitment to meeting the needs of the stakeholders involved—particularly at the level of strategic decision makers—for current information and thoughtful analysis about key issues related to the internationalization enterprise.

Given their respective resources and expertise, ACE and CIHE recognized that partnering would be an ideal way to advance well-informed conversations about international issues in higher education. Indeed, a wide range of topics could be addressed in a highly authoritative way by leveraging the scope and capacity of the combined networks of ACE and CIHE. While ACE's membership provides important insights into the needs and priorities of US higher education leaders, CIHE offers easy access to an extensive array of individuals with topic- and country-specific expertise. Together, our two organizations are well positioned to expand our baseline understanding of the many dimensions of internationalization in US higher education and beyond. We look forward to ongoing collaboration between the two organizations and to assisting with collaboration among institutions of higher education worldwide.

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# Part 1
# Global Engagement–*New Modalities*

# 1
# Introduction

*Patti McGill Peterson*

We are pleased to publish the second in our series, *International Briefs for Higher Education Leaders*. Our choice of global engagement as the theme for this issue is reflective of growing interest and activity among US colleges and universities, in the development of outreach and relationships with institutions in other countries.

Global engagement is a penultimate component of internationalization. Through whatever form taken—cooperative academic programming, dual degrees, or the joint development of a physical campus—it extends the reach of internationalization of US higher education significantly, by bringing partners from other countries into the orbit by which institutions define themselves and expand the parameters of what they are and who they serve.

The definitional nature of global engagement is exciting, as well as daunting. If it is aligned closely with the mission of an institution, carefully woven into its strategic vision, well-planned and executed, the results can be salutary. However, if it is done hastily, without careful planning and clear expectations on the part of all parties, the results can be disappointing and possibly damaging.

This *Brief* provides substantial insight into the dimensions of different aspects of global engagement. A number of the articles outline the path to successful global partnerships and several document some of the causative factors in unsuccessful joint ventures. Among them, a list of sine qua nons emerge for those who are contemplating global engagement. The critical importance of high-level leadership and coherent strategy rise to the top of the list. The combination of the two provides institutional commitment for a long-term horizon. The role of the faculty in the development and sustainability of joint initiatives is also a critical factor. And ultimately, the way in which high-level leadership engages with the faculty, in defining the framework and direction

for the institution's global engagement strategies, is an essential platform for success.

Many different models will undoubtedly emerge, as various types of institutions become more globally engaged. The report of ACE's Blue Ribbon Panel for Global Engagement not only viewed global engagement as a key factor for the future strength of US higher education, it also emphasized that one size does not fit all. The articles in this *Brief* underscore how different kinds of institutions with differing missions can develop their own successful modalities of engagement.

At the core of this rich mix of possibilities is the need for partners to be keenly aware of what each brings to the table and an inherent willingness to view one another with respect and mutuality. Global engagement of institutions across national borders holds the possibility of improving higher education worldwide. Engagement, if done well, is a tide that can lift all ships and is important well beyond individual institutions. The potential outcomes are a compelling global prospect.

# 2
# A Presidential Perspective on Global Engagement

*Lou Anna K. Simon*

*Mapping Internationalization on U.S. Campuses: 2012,* published by ACE's Center for Internationalization and Global Engagement in June, issues a clarion call for all academic institutions to become more global in vision, values, and strategic initiatives. As presidents, we overwhelmingly agree that it is desirable for our institutions to become more global. Partnerships, collaborations, and other ventures abroad are an important part of our efforts to make such a global vision a reality on our campuses and throughout US higher education.

### Creating a "World-Grant" University

In framing the strategic position for Michigan State University (MSU) around our sesquicentennial and in anticipation of the sesquicentennial of the Morrill Act, we put forth the bold ideal of becoming "world grant" in our vision and actions. That frame serves as a 21st-century basis not only for aligning teaching and research and engagement but also for integrating internationalization across the mission.

For a land-grant institution such as MSU, making this vision a reality means extending the traditional land-grant values of inclusiveness, quality, and connectivity to a world-grant or global frame. The last decade's dramatic shift in economies, communications, systems of trade, and research—and this shift's impact on local life worldwide—compels a land-grant institution to focus both locally and globally, in order serve students and society.

Becoming a world-grant university necessitates engagement in comprehensive internationalization—a concept aligned with ACE's past use of the term (Olson, Green, and Hill 2005). As my colleague and NAFSA Senior Scholar for Internationalization, John Hudzik notes, "Com-

prehensive Internationalization is a commitment, confirmed through action, to infuse international and comparative perspectives throughout the teaching, research, and service missions of higher education. It shapes institutional ethos and values and touches the entire higher education enterprise" (Hudzik 2011).

In pursuit of comprehensive internationalization, over the last 60 years, Michigan State University has expanded its global commitments, connections, and programming in all of its missions, both on and off its East Lansing campus. Our strategy in doing so has been to "leverage through integration and connectivity." If internationalization is seen as an "add-on" responsibility to current priorities rather than integrated within them, it will always be undercapitalized and intellectually marginalized. Integration of internationalization into core missions, values, and priorities serves to leverage and "dual-purpose" existing resources.

For example, we have found that adding new courses is not necessary to internationalize the curriculum. Rather, we focus on adding an international perspective to existing courses in the majors, the general education curriculum, and our liberal learning goals. We work to synchronize study abroad with degree requirements. We have expanded service learning and internships abroad. We work to integrate international students more fully into campus academic and social life, with benefits for all. We prioritize building on existing institutional and faculty research strengths, broadening them to a global frame in both basic research and problem-solving applications. It is critical that ventures abroad, from research partnerships to full branch campuses, are seen as part of an overall internationalization strategy and are integrated with and connected to these and other related efforts on campus.

**Goal: Ideas, Innovation and Talent Development without Boundaries**

At Michigan State University, our founding values lead us to believe that all universities, as creators of knowledge, have a responsibility to participate with partners abroad—to ensure relevance for their institutions and stability for the communities in which they reside. Currently, MSU operates 270 study-abroad programs in more than 60 countries, representing all continents; sustains 210 partnerships with international institutions; and hosts more than 25 internationally focused centers, institutes, and offices. Approximately 1,500 of our faculty members are involved in international research, teaching, and service work.

In whatever form, our approach to global engagement always includes:

- Having a leadership team philosophy and shared understandings based on asking both "Why not?" as well as "Why?";

- Beginning with "How can we do this?" rather than "How much will this cost?";
- Working to find synergies across teaching/learning, research/scholarship, and outreach/engagement, rather than pursuing activities within isolated categorical boundaries;
- Collaborating with institutions, domestic and international, while at the same time maintaining our own distinctive approach to institutional programs and activities, thus contributing to the diversity of missions among American higher education institutions;
- Committing to long-term initiatives with potential far beyond short-term return on investment to ensure sustainability;
- Implementing global engagement initiatives through a series of persistent, manageable steps to make it less daunting for a broader range of partners, including other colleges and universities, to join us in pursuing an ambitious global agenda;
- Taking advantage of technology to enable innovation, idea- and talent-development capacity building without boundaries (The purpose of a university is to advance knowledge, creativity, and innovation. With today's technology, there is no excuse for not engaging with those who can further, or benefit from, this worthwhile enterprise, wherever they exist.); and
- Advancing institutional transformation as well as the transformation of our global and local partners' economies to facilitate increased, sustainable prosperity.

In terms of implementation, our experience has taught us some important lessons. First, global engagement must be seen as a team responsibility. Success requires an array of engaged leaders—particularly academic deans and key faculty, and leaders of campus support/service units from admissions to residence halls to the registrar. For us, this has meant continuous involvement and dialogue with all such leaders and offices as the international agenda unfolds. It requires ongoing presidential and provost engagement, in reiterating expectations to these leaders; it means paying greater attention to the international experiences or interests of candidates, in searches for new leadership and faculty; and it means giving clear notice of the importance of international engagement, not only in institutional mission and value statements, but in our institutional promotion and tenure guidelines.

It is also important to promote ongoing campus dialogue to build a shared vision and culture. A single set of conversations toward developing a strategic plan is insufficient. Widely ranging dialogue and communication is necessary to draw people into a growing understand-

ing of global engagement, its connection to core institutional missions and values, and the drivers and rationales behind it. This dynamic will enable the development of a shared framework for concrete actions and increase buy-in and ownership. This permits action to begin in one area while other areas are being developed.

## The Art of the Unreasonable

No longer can a university intending broader global engagement afford to wait for everything and everybody to be neatly in place before taking action. In today's competitive global higher education environment, opportunities will be lost. At MSU, we have found it important to build on strengths and existing institutional competitive advantages, but it is also exhilarating to be bold in addressing the chronic inertia that can impede reasonable progress of global engagement initiatives. The MSU strategy has been to build on strength, to set a bold long-range vision, to implement international engagement initiatives manageably through a series of unfolding projects that create momentum and lead to additional opportunities, and to ground all of this in a fundamental commitment to comprehensive internationalization.

Eli Broad (Broad and Pandey 2012) espouses the "art of the unreasonable" as the key to advancing change and innovation. Broad argues that being unreasonable is about having "outsized ambitions." For a university, global engagement is also about having outsized ambitions—goals that cannot be constrained by the traditional boundaries of campus and ivory towers. If American higher education is to retain its prominence in the world in the decades ahead, more presidents need to encourage practicing the "art of the unreasonable." I urge you to join me in being unreasonable about global engagement. Live the mindset, create the culture, and implement strategies that result, not just in more international linkages, programs, and places, but in truly global institutions.

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# 3
# A "Primer" for Global Engagement

*Robin Matross Helms and Laura E. Rumbley*

In late 2011, the American Council on Education's Blue Ribbon Panel on Global Engagement released its report, *Strength through Global Leadership and Engagement: U.S. Higher Education in the 21st Century*. The report noted, "In the 21st century, higher education is explicitly, and fundamentally, a global enterprise," and further that, "A prerequisite for success in this new era will be active, ongoing engagement on the part of colleges and universities in the United States with institutions around the world" (ACE 2011). As colleges and universities seek to prepare students to succeed in an increasingly globalized and interconnected world, they are recognizing the critical role of their relationships with institutions and other entities abroad in their internationalization efforts, and in the fulfillment of broader institutional missions and goals.

As interest in global engagement has proliferated, so too have the many forms such involvement may take. To some extent, each new collaboration or venture abroad by a US institution is unique, involving different players and different goals. However, as more institutions have entered the global arena, some common definitions and classifications for such ventures have emerged, which provide structure to the complicated landscape, and an analytical framework to help institutions better understand and evaluate global engagement opportunities.

### What Is "Global Engagement"?

Global engagement, at its essence, is about committing to meaningful relationships with partners in other parts of the world. It represents a movement beyond the mechanics of carrying out more traditional campus-based international activities and implies dedication to a deeper and more prolonged commitment to international partnerships for mutual benefit.

Among the many types of global ventures, the most basic and most common are relatively small-scale collaborations, often spearheaded by faculty. Research collaborations between individual faculty members or teams of researchers are generally intended to result in some form of joint scholarly output—a paper, a conference presentation, or general advances in the field. Teaching collaborations involve faculty in different countries working together to instruct their respective students, often with the help of technology. Such arrangements may or may not include the physical movement of faculty or students from one country to another.

More complex, both in terms of definition and execution, are program- and institution-level collaborations. These efforts involve more people, including high-level leadership; require more coordination and a greater resource commitment; and entail signing a memorandum of understanding or other formal contract with partners. Examples of such collaborations and their commonly understood definitions include the following:

*Joint degrees* are collaborative arrangements, whereby courses leading to a degree are offered jointly by two institutions. Usually students from either institution may enroll and take courses at both participating institutions, and upon graduation receive either a single diploma conferred by both institutions, or a diploma issued only by the institution at which the student is registered.

*Double/dual degrees* involve students taking courses and receiving a separate degree or diploma from *each* participating institution. A common model for such programs is "2+2," which requires students to spend two years on one campus and two years on the other campus. Double/dual–degree programs are sometimes referred to as "twinning arrangements," particularly in the European and Indian contexts.

*Branch campuses*, as defined by Jane Knight (2005), are a situation where a provider in one country establishes a "satellite campus" in a second country for the purpose of either delivering courses or programs to students from that second country and/or potentially serving home campus students with study-abroad opportunities. Often, institutions collaborate with a university or other existing entity in the host country to secure physical space and manage logistics (such collaboration can be required by law in some countries and possibly referred to as a "joint venture"). Any qualifications awarded by the branch campus are from the home institution.

*International "study centers" or "teaching sites"* are a somewhat smaller-scale variation of the branch campus and involve a more limited physical presence in another country. For example, an institution plan-

ning to deliver a professional certificate program to students in the host country may lease classroom space in an office building or on a university campus, to be used only when classes are in session. On yet a smaller scale, some institutions establish a physical office in another country, with a limited staff presence, to support study-abroad students, manage international recruitment efforts, and attend to alumni relations.

More difficult to define in concrete terms are emerging collaborations that cross these categories or fall outside of the traditional academic realms of teaching and research. Some US institutions, for example, are engaging with partners abroad to complete cooperative projects with social or economic development aims. These may involve collaborative teaching and research, but the ultimate goals of such projects extend beyond these areas. Institutions are also collaborating with partners outside of academia, such as businesses, government agencies, and nongovernmental organizations—again, with various goals, both academic and nonacademic in nature. Groups of institutions within and across countries are organizing themselves into consortia or networks in order to collaborate in a variety of areas, with varying degrees of success in terms of articulating purpose, engaging members, and achieving substantive aims. "Massive open online courses" (known commonly as MOOCs) and other on-line programs add yet another layer of complexity.

### How Globally Engaged Are We?

The American Council on Education's recently released *Mapping Internationalization on U.S. Campuses: 2012 Edition* report includes data on global engagement initiatives undertaken by US institutions in recent years and provides some insights into the shape and scope of these activities (ACE 2012).

Despite widespread media coverage of new and existing ventures abroad, the overall proportion of colleges and universities that have formalized, institution-level agreements with partners (e.g., joint and dual degrees) or operate branch campuses in other countries is still relatively small, and largely dominated by the doctoral and master's sectors. However, the *Mapping* data indicate that activity in this area is growing, with many institutions actively pursuing ventures abroad of various types.

For example, for those responding institutions that reported an accelerated focus on internationalization in recent years, global engagement activities have been part of the equation in many cases. Nearly 70 percent of such institutions reported that they are either beginning

partnerships, expanding them in terms of quantity or quality, or moving toward fewer but more wide-reaching collaborations. Institutions are also formalizing the process of establishing partnerships; among those institutions with an accelerated focus on internationalization, 40 percent have implemented campus-wide policies or guidelines for developing and approving partnerships or assessing existing partnerships. As good practices emerge, along with new and increasingly flexible models for partnerships and collaborations, it seems that the trend toward more engagement by more institutions is likely to continue.

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# 4
# The Complexities of Global Engagement

*Philip G. Altbach*

Once upon a time, not long ago, till the end of the 20th century, most American colleges and universities either did not think about global engagement and internationalization or considered study abroad as the beginning and end of such involvement. Just two decades later, global engagement stands at the top of the agenda of many academic institutions, and the scope of internationalization on campuses has expanded dramatically. It is time to consider the scope and nature of global engagement.

Uwe Brandenburg and Hans de Wit (*International Higher Education,* Winter 2011) argued that globalization, with its assumptions of economic inequality and competition, has become the evil twin of internationalization, which they see as a positive force. They point out that most aspects of global engagement and internationalization have taken on competitive and often commercial elements, and that a careful reconsideration of strategies and purposes is required. A recent meeting of G8 (group of 8 major economies) higher education officials exhibited an interesting contrast between the national strategies of the Anglo-Saxon countries and those of continental Europe. The English-speaking countries increasingly see international higher education involvement as a commercial venture, while a German official claimed—"The goal we have is to win friends for Germany," through international education strategies.

In the era of complex 21st-century global engagement, many institutions are neglecting the traditional aspects of internationalization—providing a positive overseas experience for undergraduates, encouraging international faculty research, and ensuring that foreign students, postdocs, and visiting scholars have a positive experience and contribute to campus life. While it may seem old-fashioned to think about these elements, they are as important as ever—and remain at the

core of global engagement. While there is emphasis on increasing the numbers of domestic students going abroad, in some cases less attention is paid to the quality of that overseas experience. Similarly, visiting scholars are welcomed but often forgotten once they are on campus. To fulfill its promise and potential, global engagement must be a two-way street.

**A Campus Foreign Policy**

Global engagement encompasses a vast range of activities, which seldom add up to a coherent strategy on campus. While many universities have included internationalization as part of institutional strategy, few schools go beyond platitudes. Few define the nature of global engagement or internationalization, and few operationalize how broad goals might be achieved. Seldom is a budget or staffing linked to whatever goals may be expressed.

Academic institutions need a foreign policy. Such a policy needs to answer fundamental questions about motivations and means, aspirations and expectations. Most important, *why* is the university involved? What kinds of initiatives should be undertaken? What parts of the world should receive priority? Is the focus on research or teaching? Is the focus on faculty, graduate students, or undergraduates, and in what proportions? How are initiatives to be funded?

A foreign policy will identify specific parts of the world with which to engage, as no university can cover the entire globe. Choices may be guided by past involvement with particular countries, strong academic programs with specific international connections or aspirations, or external support (e.g., donors' priorities).

A foreign policy must be realistic. Is there campus expertise on a particular part of the world? Are there appropriate financial resources available? Is there sufficient support from targeted overseas partners? Are there appropriate personnel on campus to ensure the success of relevant initiatives?

A foreign policy is a strategic vision, not a detailed blueprint of specific activities and programs. It is intended to guide the parameters of engagement. For example, if the strategy emphasizes Asia, but a professor, or even a donor, wants to focus institutional attention on Africa, there will be a rationale for responding to proposals and making decisions. Likewise, if the foreign policy emphasizes institutional collaboration overseas, a free-standing, branch-campus initiative is unlikely to be desirable but at least can be evaluated with clear priorities in mind. The point is that a foreign policy will drive broad institutional policy.

### The Advent of Commercialism

Despite a "free market" reputation in some quarters, few American colleges or universities have traditionally seen international activities in primarily commercial terms. A few large universities have long conducted money-earning international operations, and some small schools have relied on foreign students to fulfill enrollment targets. But most institutions have viewed global engagement in educational terms—when they have thought about it at all.

This is changing. At least one large American university system has emphasized the financial advantages of international activities, and many institutions are ramping up overseas enrollments, particularly from China. Links with for-profit providers of all kinds—to do recruiting overseas and to run "pathways" programs on campus for underprepared foreign undergraduates, among others—are increasingly common.

The commercialism on campus of international initiatives will inevitably create tensions between academic values and financial considerations. Will the institution cut corners to admit unqualified international students to fulfill enrollment targets? Will international students be provided with needed, and sometimes costly, support services? Will qualified domestic students be squeezed out to make room for high-fee paying international students? Will an international partnership be based principally on income-earning potential rather than on sound academic principles? All of these issues have, in fact, already been reported.

None of this is surprising in the age of state budget cuts and academic capitalism; but commercially focused global engagement is fraught with challenges—to the "brand name" among others—and may not succeed. The global image of American higher education may well change in the eyes of the international higher education community, as has happened to some extent to Australia.

### Global Engagement and the Academic Community

All too often, campus international initiatives come from the top or from the interest of one or a small group of faculty. Effective global engagement requires a "buy in" and commitment from all relevant institutional stakeholders. Relevant constituencies must be fully engaged. The faculty is the key group, since they must inevitably implement any international strategy. Faculty approval is also necessary; strong opposition among vocal sections of the academic community can jeopardize initiatives. Without faculty commitment, most kinds of global engagement will either fail or will create unwanted controversy on campus.

## A Commitment to the Long Haul

Often ignored in discussions of global engagement is the necessity of ensuring sustainability. Is there appropriate support on campus in terms of staff with relevant expertise? Is funding available—not just to launch a program, but to keep it going over time? Is faculty and student interest lasting? And does the foreign policy provide the effective framework for a global engagement effort that will stand the test of time?

Global engagement must be a central element of successful colleges and universities worldwide. The issues and strategies are, however, complex. Success requires a careful assessment of goals and depends on the specific realities of the institution and the academic community. A foreign policy brings together all parts of the campus community, in a coherent and realistic program. Good strategies, as with many other valuable products, do not grow on trees.

# 5
# Global Engagement at US Community Colleges

*Rosalind Latiner Raby*

In the United States, over 1,200 publically supported community colleges provide low-cost education and training for some 13 million students. Counterparts exist in some 80 countries around the world, variously known as polytechnics, colleges of further education, and TAFE (Technical and Further Education), among other terms. In many countries, these institutions serve a significant portion of adults and provide alternatives to highly competitive universities that are unable to absorb an increasing demand from nontraditional students.

The US community college sector is focused heavily on meeting local and national education and training needs. However, many of these institutions also actively pursue internationally oriented agendas. The focus is typically on producing graduates who can effectively navigate the complexities of the modern world and excel in a workforce based on a global economy. The American Association of Community College's (AACC) vision, Re-Claiming Community Colleges (2012), sets the current national tone in this vein, by defining the importance of a globally competent citizenry in an era of global competitiveness. And while AACC does not specifically refer to global engagement, it does set forth a foundation from which future practices can develop.

### A Mixed Report Card

Despite recognition of the need to educate for a global context, community colleges show uneven progress with regard to internationalization. For example, the international student population on US community college campuses grew from 70,616 in 1999 to 89,853 in 2010 (an increase of 27%) and has consistently represented between 11.1 percent and 12.2 percent of the total international student population in the

United States over the last decade. Meanwhile, the number of community college study-abroad students has remained small, ranging from 3,941 in 1999, to 6,857 in 2007, and to 4,030 in 2010. The recent drop in numbers appears to be due to the economic crisis in California, which is a major source of US study-abroad students at the community college level. Specifically, California's recent elimination of summer and winter sessions in almost all of its 112 community colleges has effectively closed the door on study-abroad experiences for many students.

Again, likely due to funding constraints within community colleges, recent years have also seen fewer programs for internationalizing the curriculum, fewer modern language courses/levels offered, and less integration of languages into occupational courses. Unlike a decade age, associate degrees in international studies and faculty/administrator mobility programs are rare. International offices, full-time positions focused on this work, and consortia membership are increasingly being eliminated.

Nonetheless, as a new generation of leaders takes the reigns at US community colleges, many of whom place a high priority on internationalization, global engagement is receiving renewed attention and support on many campuses.

**The California Example**

California hosts 112 community colleges, among which are many of the country's trendsetters for international education. California Colleges for International Education (CCIE), a leading US organization focused on internationalization for the community college sector, has conducted surveys on California community college internationalization since 1985. In 2008, responses to the CCIE survey on internationalization, from 76 community colleges, showed that 22 institutions were involved in global engagement programs, in 40 countries. Of these, 11 programs were of a nonprofit nature and focused on sustainable development activities, while 11 institutions had international contract education programs, designed as revenue streams. Another five institutions involved the establishment overseas of local business centers, and five also administered international training/retraining programs. Eight additional institutions had sister-city agreements. Examples of this kind of international engagement include College of the Canyons (in Santa Clarita, California) linking its honor student water project with fundraising to provide a water tank for Santa Clarita's sister city in Nicaragua; the delivery of a study-abroad program focused on literacy and volunteer activities in Santa Clarita's Chinese sister city; and facilitation by College of the Canyons staff of international delegation visits by sister city officials to the Santa Clarita community.

However, the questions on the CCIE survey about global engagement are often the ones left unanswered. This is likely due to the often passive nature of these programs in which overseas visits and even formalized agreements do not result in much substantive internationalization across the college and typically do not directly engage (many) students, since faculty and administrators are generally the targeted beneficiaries. Future research is needed to better understand these activities and the extent to which the California experience is replicated more widely across the country.

### The Challenges of Achieving Depth and Breadth

As with other institutional types, community colleges are engaging the world in various ways. Keen to learn more and to develop collaborative relationships, ministry representatives from around the world frequently visit community college campuses, as do educators and Fulbright scholars. For their part, US community college presidents participate in familiarization tours, often arranged by the AACC and other organizations. In general, the agendas of such trips abroad and meetings with international visitors stress leadership traits, daily operations, and curriculum. However, these activities rarely result in formalized agreements.

Where formalized agreements do exist—for example, in the context of community college support for sister-city relationships or individualized memoranda of understanding at departmental or college levels—an exchange of visits by senior administrators may take place. These formalized agreements are usually not accompanied by substantive interinstitutional engagement. Resource limitations and lack of internal advocacy for international initiatives may contribute to this result.

At times more dynamic than formal efforts at the institutional level is the work done by individual faculty to create synergies on an informal level. For example, in 2004, an interactive video conferencing program had US community college faculty from El Camino Community College (California) and colleagues from Dinpropetrovsk National University (Ukraine), University of Modena, Reggio Emilia (Italy), and Lebanese University in Beirut coteaching a "word cultures" class. Another example—now no longer operational but still illustrative—is a collaborative arts program that involved Los Angeles Harbor Community College (California), Los Angeles Pierce Community College (California), and Barnsley College of Further Education (England). This collaboration allowed students at each institution to participate in and put on plays via telecommunications and videoconferencing, culminat-

ing in student exchange programs for live productions. This initiative likely had an important impact on those students and faculty directly involved; however, little campus-wide institutionalization of collaborative engagement tends to result from such activities.

**A Unique Agenda: International Development**

Global engagement focused on international development is particularly relevant—but also challenging—for the community college sector. The first documented global engagement programs date from 1974 and involved a group of community colleges located on the East Coast. Since then, many community colleges have developed bilateral agreements to support the transfer of career skills pedagogy and programming to international partner institutions. These efforts have involved programs of various durations and included consulting activities or direct provision of support services to institutions overseas. Efforts have focused on everything from developing midlevel managers, to delivering paraprofessional, technical, occupational, vocational, and English-language programs and/or faculty training.

These programs are challenging because they require both support from senior administrators and active engagement of faculty. Still, more than 20 US agencies have provided grants for such activities, over the years. The consortium, Community Colleges for International Development (CCID), has helped to advance these programs.

International-development work involving community colleges may focus on a number of different priority areas. Some programs promote socioeconomic reform, for example, at the invitation of local educators, ministry representatives, or entrepreneurs. Others are part of a campaign of sorts that, since the late 1990s, has been aimed at exporting the US community college concept, largely through formalized outreach by the AACC and systematic programming by CCID in this vein. Examples of these types of efforts include the initiative to create a "college of the people" by Daytona Beach College (Florida) in the Dominican Republic; building new economic foundations in the Caribbean and Central America by State Center District (California) in the SEED (Scholarship for Education and Economic Development) program, and AACC's involvement in the amplification of community college counterparts in Vietnam.

Policies advanced by foreign governments and nonprofit agencies also shape global engagement opportunities for US community colleges. Examples here include Vietnamese government ventures and outreach from the Aga Khan Humanities Project. In 2012, the British Council supported the Global Hospitality Competition, which involved

community college counterparts with strong culinary programs from five different countries.

Branch campuses aimed at enrolling local students overseas, often for revenue generation for the home institution, are another global engagement trend of note. Community college branch campuses date back to the early 1990s; yet, due to cultural, economic, and political issues, few sustained programs exist. The Los Angeles-Tokyo Community College branch campus is an early example. More current initiatives include LaGuardia Community College's Chile branch and the Houston Community College (HCC) branch campus in Qatar. HCC's collaborative relationships with Saigon Institute of Technology (Vietnam), Riyadh Community College (Saudi Arabia), and a new program in Brazil are expanding experience in this area.

In addition to nonprofit models for international development activities, there are privatized for-profit approaches to such work. Such initiatives, which often intersect with international aid projects, provide payment to a community college—for its expertise in training, curriculum delivery, and management. Areas where an institution has a particular specialty—such as agri-business, English as a second language training, deaf studies, and specialized workforce-skills courses—drive these programs. For example, in Canada, Southern Alberta Institute of Technology's international revenue generation in the area of energy-related training remains exemplary. However, over time, few of these programs have proven to be the money-producing ventures as envisioned.

## Much to Do and Much to Learn

Global engagement for the community college sector makes sense in a context of shifting employment patterns and changing needs for skills and education across the globe. But, particularly in resource-constrained environments, there are fundamental challenges to implementing and sustaining this important work. Practical considerations begin with an assessment of how such engagement supports the college mission. Once engagement begins, institutionalization of practice needs to occur, with critical attention paid to moving beyond immediate interests, and ensuring these efforts are embedded in longer-term strategies for quality and relevance.

# 6
# The Strategic Management Challenge for Research I Universities

*Wolfgang Schlör and Timothy Barnes*

University planning documents and vision statements now routinely state the importance of internationalization. These statements often go beyond vague affirmations of global commitment and include specific goals for leveraging key international partnerships, to advance broader institutional strategic objectives and priorities. However, most major US research universities not only have innumerable existing international linkages but receive a constant stream of proposals for new student exchanges, cooperative education programs, establishment of branch campuses, and other activities. A deliberate, strategic approach is needed to manage these global engagements if they are to serve institutional goals.

Yet, as senior international officers and campus leaders attempt to transform these strategic goals into realities, they are often confronted with a paucity of tools to do so—policies, administrative structures, resources, and supporting consensus of key constituents. The highly decentralized governance and management structure common among US Research I universities, with considerable autonomy vested in deans, department heads, and individual faculty, can be a source of strength for broad-based, bottom-up internationalization. This structure also creates a formidable challenge for harnessing these international activities for strategic goals. In our global engagements, as in other campus-wide efforts, decentralized decision making inhibits strategic, institutional planning and action.

Thus, if global engagement is to become effectively integrated into all aspects of institutional cultures and inform all of the core values and missions, some degree of centralized coordination is both desirable and necessary. Management of institutional partnerships can be a key mechanism of such coordination.

## Cultivating Strategic Relationships

US Research I universities typically maintain hundreds of active partnership agreements with institutions around the world. Most of these are highly focused partnerships resulting from the interests and activities of a particular faculty member, department, or research lab. They are often short-lived—withering as personnel, research interests, and funding opportunities shift; and typically their impact is limited to the specific academic or research unit that initiated the relationship. These focused agreements play an important role in any research university's portfolio of international engagements, but alone they contribute little toward strategic internationalization goals nor toward aligning global engagement with other institutional priorities.

Such a contribution is only possible when the institution, as a whole, intentionally identifies and cultivates international partnerships that are both broadly and deeply impactful—in other words, *strategic* international partnerships. As with any other prioritized institutional strategy, the identification and cultivation of such partnerships must arise from consultation and consensus among key constituents, but ultimately must be coordinated by some central administrative unit. They should be few in number and should reflect a long-term commitment of time, effort, and resources at the campus level to grow, nurture, and sustain the relationship.

Establishing the necessary infrastructure to effectively identify and cultivate strategic international partnerships is a crucial first step. Elements of such an infrastructure may include:

*Information collection and management.* Collecting data about existing and recent past institutional linkages, assessing approaches that have worked well, linkages sustained overtime, and why this is the case is often a significant challenge. Maintaining an accurate database of the wide variety of international engagements in a comprehensive research university is a widely acknowledged challenge, and various database platforms and approaches have been developed to address it. Whatever the approach, overcoming the challenge is crucial: Informed decisions on global engagement must draw on knowledge of current and past linkages.

*Policy and oversight structures.* In order to develop and implement an international partnership strategy that is effectively integrated into the institution's core values and missions, what must be in place is some sort of advisory body, with representation from the key sectors of the research, education, and engagement enterprises. Both this advisory body and the central administrative unit charged with implementing its recommendations must be empowered by policy to make decisions, represent the campus to partners, and assess the outcomes.

*Explicit support from central leadership.* The senior leadership of the institution—its chief executive officer, chief academic officer, senior research administrator, council of deans, etc.—as well as its governing board of trustees, should be integrally involved in developing international strategies and publicly supportive of emerging strategic international partnerships. This will contribute significantly to the integration of international engagement throughout the institutional culture. Rather than being viewed as a specialized, somewhat marginalized collection of activities (learning abroad, international student recruitment and services, and specific research collaborations), international engagement must be communicated as valuable to the whole institution and as a natural component of all core activities.

*Resources.* Strategic international partnerships tend to develop gradually and must be sustained over time. Some investment of resources, both human and financial, is crucial, particularly in the early stages of cultivation. Ideally, this investment will come from a variety of sources across the campus, reflecting the integral role of the partnership in the institutional culture. Coordination and oversight may belong with the central campus international offices, but individual colleges and research institutes, as well as key administrative units, should be equally invested in the success of the partnership.

With these tools in place, a balance between some degree of central coordination and strategic planning with decentralized, dynamic implementation becomes possible. The end goal is a small, highly select network of prioritized institutional relationships. These strategic partnerships should be distinguished by breadth and depth of impact, strong faculty support, demonstrable mutual benefit, and sustainability over time.

### Faculty Support and Engagement

Significant faculty engagement in identifying, cultivating, sustaining, and evaluating strategic international partners is essential for maintaining a balance between centralized and decentralized investment in, and management of, the partnerships. Faculty must be engaged in both the broader planning and policy discussion and in support of specific strategic partnerships. At the planning and policy level, faculty governance leaders should be involved in the relevant advisory bodies. Faculty senates should not learn of major international engagement initiatives after the "deal has been cut," and then asked to endorse them. Representation of the faculty senate on international advisory committees can help ensure faculty input at all stages of the ongoing conversation about the institution's evolving international profile.

At the level of specific engagements, individual faculty advocates can play a key role in cultivating strong faculty support. For comprehensive research universities, at least two such advocates, from significantly different academic backgrounds, may be warranted for each strategic partnership. Enthusiastic faculty champions representing, for example, social sciences and humanities departments, as well as STEM (science, technology, engineering, and mathematics) disciplines or professional schools, can help broaden the partnerships to be truly institutional in scope and impact. These advocates should be actively engaged in collaborative activities with the partner institution; however, they should also have a "big picture" perspective and the ability to imagine and articulate the broader institutional goals of the partnership. They should be recognized for their service to the institution, in this capacity.

**Evaluating Partnerships and Assessing Potential**

In addition to the availability of effective faculty advocates, there are a number of other key criteria for distinguishing potential strategic international partnerships, from among the hundreds of focused institutional collaborations in an institution's portfolio. These include:

*Similar scope of activities.* Potential partners should be relative peer institutions, similarly focused or comprehensive in their research and educational programs, with at least some shared—as well as complementary—strengths in particular disciplines.

*Historical and existing connections.* A survey of past interactions between potential strategic partners will often reveal surprisingly long, if sometimes sporadic, relationships.

*Mutual interest and commitment.* The central administrations of potential partners should be equally vested in developing a strategic partnership and willing to allocate relatively equal amounts of human and financial resources, to ensure the partnership's success.

*Compatible administrative structures.* The international offices at the partner institutions must both be in a position to effectively advocate for the emerging strategic partnership.

*Student interest.* The study-abroad administrators at potential partner institutions should gauge the level of interest among their students in studying abroad at their particular locales.

*Potential for consortial activities.* Strong candidates for potential strategic partnerships will often share other institutional partners in common, providing a facilitated path for developing consortia of institutions, with shared collaborative activities.

*Potential for thematic focus.* In addition to considering the geographic distribution of a portfolio of strategic international partnerships, it may

be useful to focus particular strategic partnerships on specific themes. These themes should be multidisciplinary and inclusive enough to maintain a breadth of activities, but they can capture the attention of both students and faculty, who otherwise might not naturally seek to engage with the partner.

## Conclusion

Potential benefits for a major US research university, from a strategic partnership approach, are significant. They include access to alternative external funding agencies and grant programs; economies of scale in study-abroad administration; more sophisticated curricular integration of cooperative education activities; access to unique research equipment, facilities, and environments; and enhanced economic development through leveraging of shared multinational corporate relations. Higher education has become a truly "global industry," with increased competition for the best faculty, students, and external research support. Strategic international partnerships—which are effectively aligned with institutional strategic priorities and benefit faculty, students, and the civic and commercial societies served—have a critical place in the evolving role of Research I universities as global institutions of the 21st century.

# 7
# Internationalizing Learning Communities at Liberal Arts Colleges

*Jane Dammen McAuliffe and Susan Buck Sutton*

These are heady, exhilarating, and disruptive times for international education. In the United States, the globalization of our lives, professions, and communities, and an instantaneous awareness of international events press upon public consciousness. Colleges and universities are embracing new forms of internationalization that expand far beyond past practice. Internationalization now spreads across all facets of our institutions and draws us outward into emerging systems of global higher education. Today, colleges and universities must not only graduate individuals who are at home in and prepared to lead a globalized world, they must also understand their own institutional place in this world, examine their own global impact, and consider (and then shape) higher education as a force for global good.

## A Focus on Community

At liberal arts colleges, discussions of this new era for internationalization are centered on student learning. The most effective methods to educate students for a global future are also those that draw colleges—as institutions—into the broader world, as well. In the 21st century, robust learning requires knowledge to be constructed from global dialogue, collaboration, and mutual experience. The power of cross-national conversation to recast disciplinary assumptions and produce new insight is increasingly apparent. Thus, new globally developed understandings are needed, to guide increasingly globalized lives. Today, not just international learning but all learning requires serious conversation across national borders, tempered and tested by engagement, self-reflection, and critical analysis.

Generating these international conversations is not simply a matter

of sending more students to study abroad. A more systemic, institutional approach is required. One of the defining elements of liberal arts colleges could be invaluable in this regard—providing a laboratory for developing cross-national wisdom, which reverberates far beyond these colleges themselves. First, however, this element must be reworked for a globalized world.

The pedagogical core of liberal arts colleges is their emphasis on close-knit, campus-based, and immersive learning communities, which bring students and faculty together for sustained collaborative exploration. Such communities constitute a powerful pedagogy, for which liberal arts institutions are justly praised. Students and faculty interact both in and out of the classroom; campus life fosters conversations that continue over weeks, even years. Living is linked inextricably to learning. In these intellectual incubators, ongoing dialogue creates new knowledge and transforms thinking, while phases of personal development are intertwined with those of academic advancement.

This emphasis on residentially based learning communities has long shaped the kind of international engagement attempted by American liberal arts colleges. Faculty with international research agendas occasionally brought these into the classroom; some international students (usually 1 to 2 percent of total enrollment) studied on campus; and some other students (less than 25 percent on average) studied abroad, generally in the junior year, and—except for a few disciplines—with little connection to the conversations occurring on campus. For most students, the learning communities so critical to their growth and development were overwhelmingly mononational in composition.

The key issue now is how to refashion this model for a century that demands global dialogue and collaboration. Phrased another way, how can we build internationally constituted communities of learning and communities that preserve core elements of the residential model, but transfer these to more fluid, sometimes nonresidential, formats? For liberal arts colleges, global engagement means extending outward in ways that bring more international voices into the conversations that shape student learning, build disciplinary knowledge, and carry out institutional mission. How can more diverse communities be created, in which individuals from multiple nations come together to think in new ways, enlighten each other, advance human knowledge, and prepare themselves to make an impact in an increasingly globalized world? The answers are varied, and the actions they stimulate can occur both on and off campus.

## Strategies for Global Engagement

In the 21st century, students should graduate with the knowledge, skills, and experience to pursue their lives and careers internationally—best done through dialogue and collaboration and a network of international colleagues, with whom they are already in conversation. For this to occur, institutions must operate as deeply linked nodes in global networks of like-minded institutions, and multiple platforms must be constructed, on which students, faculty, and staff participate in multinational networks of action and discovery. What follows are four strategies for realizing this vision of globally engaged liberal arts colleges.

*Develop a robust partnership program.* The program should be developed with colleges, universities, and organizations located abroad and/or engaged in international work. The number of partners need not to be large. The goal is quality, not quantity. Partnerships should be cultivated to create common experiences that enhance the work of students, faculty, staff, and the participating institutions themselves. Some alliances will reflect institutional strengths and needs; others will tap the disciplinary diasporas in which particular faculty participate. Partnerships should be constructed to move beyond the transactional exchange of students toward more transformational collaborations that foster sustained conversation, deepened understanding, and expanded activities over time. This requires attention to relationship building, mutual benefit, open communications, shared decision making, resolving differences, confronting inequalities, flexibility, adaptability, and institutional support for partnership activities. Developed in this manner, partnerships can generate geographically dispersed, but intellectually focused, learning communities, which anchor and catalyze other international initiatives, including collaborative online teaching, curricular coordination (such as joint courses, degrees, and certificates), mutually developed conferences, research endeavors, and social action projects.

*Meaningfully engage faculty.* Constructing internationally engaged learning communities requires the active participation of faculty, in opening their courses to international dialogue and collaboration. This, in turn, requires institutional support for faculty development—ranging from grants for exploratory travel to the creation of multiple venues (both face-to-face and virtual) for conversation and relationship building, with international or internationally minded colleagues. Curricular partnerships must flow from faculty teaching interests and research agendas, and these can come from any discipline. Shakespeare can be read globally, discussions of environmental sustainability gain from global perspectives, and science labs benefit from attention to issues of intercultural teamwork. New knowledge can be created by

opening individual class sessions to dialogue with international colleagues; and entire courses or degree programs can be codesigned and cotaught using online, distance means. Clusters of courses, representing different disciplines, but focused on a common theme, can enable on-campus faculty to share their international expertise with those new to such work.

*Insure a vibrant, deeply international community of students.* Relatively few liberal arts colleges host significant populations of international students, but it may be time to increase the participation more widely through revamped recruitment, admissions, and financial aid processes; and increased attention to making campus classrooms sites of international engagement. Some colleges approach this goal by developing robust exchange programs, with selected international partners—thereby insuring that significant numbers travel back and forth, connecting institutions as well as individuals and building an ever-deepening understanding of each other's countries. Others are opening up "reverse" study-abroad options that welcome international students to their campuses for an academic year or semester. Another variant is the development of multinational study-abroad programs, where faculty and students from several institutions gather in a common location (sometimes apart from any of their home campuses)—to launch an international dialogue around a particular topic. In a related vein, it is equally important to ensure that more US students study abroad and that they have direct engagement with local communities when they do so. This calls for a wider range of overseas possibilities, including internships, service projects, short-term study trips, and international research—some directed at STEM (science, technology, engineering, and mathematics) and other fields where scholarship is internationally collaborative, but undergraduate education rarely is.

*Define a global role for the institution.* A final recommendation is that liberal arts colleges, as institutions, engage in mission-related global conversations and projects. It is important that students and faculty—as individuals—be internationally engaged. It is equally essential that liberal arts colleges—as institutions—be thus engaged. By understanding themselves as active agents in the broader world, defining their international footprint, and connecting international engagement to key aspects of institutional mission, colleges can model the kind of international awareness and citizenship they ask of their students. For example, our own institution, Bryn Mawr College, engages with key partners around the world on issues of women's advancement and empowerment, which have animated our college since its inception. Our core mission is now explicitly understood to be a global (and glob-

ally collaborative) project. While small liberal arts colleges cannot mount the large global development projects of big universities, they can use their convening power, raise their voices, model new approaches, and generate significant insight on major issues, powered by the intensive, reflexive dialogues of learning that are their distinctive strength and hallmark.

Ultimately, the kinds of global engagement described here will transform liberal arts colleges themselves. Students are expected to come back changed from their time abroad. If colleges construct their communities of learning more internationally, they, too, will be changed. Courses will evolve, faculty will see their disciplines in new ways, and unanticipated initiatives will spring forward—all as a result of broadening who sits at the table. Moreover, what is learned about sustaining meaningful international dialogue and engagement can give liberal arts institutions a significant role to play in shaping the emerging global system of higher education and generating new, collaboratively derived insights on critical global issues.

# 8
# Developing US Partnerships: Perspectives from Abroad

*Francisco Marmolejo*

Establishing international partnerships with US higher education institutions can be a rewarding and positive experience from an institutional perspective, but it can also be challenging, time consuming, and at many times a frustrating and futile exercise. In fact, most of the official partnerships established between higher education institutions in the international arena, including those involving US colleges and universities, become mere expressions of good intentions, with limited tangible outcomes.

Historically, US higher education institutions have had a relatively easier time, compared with peers in other countries, positioning themselves to explore and establish international partnerships. Certainly, it helps that the United States is a country with a higher education system that is well-regarded internationally. The perception of "prestige" and "quality" plays an important role. However, as international education has become much more sophisticated and competitive on a global basis, no longer can US colleges and universities rely solely on such reputation factors when establishing partnerships. Today, US institutions must abandon the preconceived notions of superiority, which they often bring to conversations with potential international partners, and instead act more in a genuine partnership-building mode. This requires that they have more relevant information available about their institutional strengths and weaknesses, as matched with the ones from potential partners. Furthermore, they must also have at their disposal flexible tools and incentives for international collaboration, which in the past were not as necessary.

## Shifting Terrain

The most recent global survey conducted by the International Association of Universities (IAU 2010) shows that, from a regional perspective, North America (including the United States and Canada) is no longer seen as the top priority for higher education institutions, when establishing partnerships abroad. Among institutions in the Middle East that participated in the IAU survey, North America is a second priority, while institutions in Asia and Latin America listed North America as their third-regional priority. For institutions in Europe and Africa, the North American region was not included among the top-three-priority regions. Meanwhile, countries such as China, India, and more recently Brazil have suddenly become more popular for the development of partnerships. Likewise, although the United States continues leading the world as the top attractor of international students, its global share has been reduced from 22.9 percent in 2000 to only 16.6 percent in 2010 (OECD 2012).

While institutions worldwide will certainly continue to pursue partnerships with US institutions as they internationalize, many will also look for collaborative avenues in other regions—along with, or in some cases, in lieu of US collaborations. Also, some countries have developed aggressive international outreach policies and programs aimed at raising the profile of their colleges and universities in international education. US higher education institutions seriously need to be aware of these developments.

## Countering Myths and Stereotypes

Over the years, through the work done by the Consortium for North American Higher Education Collaboration (CONAHEC) in helping institutions to establish partnerships with peer institutions (what we refer to colloquially as a "dating service"), some identifiable communication missteps between potential partners and misconceptions about US higher education have been recurrent, at times compromising even the sincerest intentions for collaboration.

For example, the fact that US higher education is more than Harvard-type and research-type universities is not necessarily common knowledge around the world. Non-US institutions often have limited knowledge about the great diversity of the higher education system in the United States, especially as it relates to state colleges, teaching-oriented institutions, and two-year community colleges. US higher education institutions must work harder to make potential partners aware of the different types of institutions that exist in the United States and the specific advantages that the different actors may bring to the table.

The role of US college and university presidents is not always clear from the outside. Institutional leaders from abroad are at times not highly aware of the decentralized nature of the decision-making processes that exist in the majority of US higher education institutions. The assumption that meeting with presidents of US institutions and gaining their involvement is crucial for the success of a partnership diminishes the sometimes greater importance of connecting with faculty members and decision makers at the department level. When connecting with institutions abroad, it is always useful to familiarize partners with the organizational structure and decision-making processes within US institutions.

It is also frequently surprising to international partners that US higher education is characterized by many "rich but poor" institutions. Often, institutional representatives from abroad are puzzled when they realize that US institutions may have large budgets, but limited flexibility in contributing resources to international partnerships. Without proper clarification, this may lead to a misperception that a limited financial commitment implies limited interest on the US side.

The question of whether collaboration precedes formal agreements or vice versa may also be a sticking point. Institutions from abroad interested in developing partnerships with US institutions are always eager, and almost always ready, to sign a Memorandum of Understanding (MOU) or its equivalent. When they learn of colleges and universities in the United States which prefer to foster first some contact and collaboration among faculty members, and later to formalize it by signing an MOU, this situation may lead to frustration and even a perceived lack of interest.

Another concern is that international partners may perceive an egocentric approach on the US side. In negotiating partnerships, institutions from abroad often find it difficult to understand legal regulations defined in US institutions, which, not being properly clarified, tend to alienate and even offend peer institutions. A typical problem seen is one in which a US institution states that a potential conflict arising from the MOU should be resolved only in the United States in accordance with the legal system of the state in which the US institution is located (instead of an approach using a third-party conflict resolution process); that the institution abroad should demonstrate that it does not do business with "rogue" countries; or that the only valid version of the MOU is the one written and signed in English. Though the reasons behind these regulations may be legitimate, proper early communication and clarification, as well as more flexibility and a thoughtful, diplomatic touch, are always recommended.

Finally, reference by US institutional leaders to the US higher education system as the "best in the world" may hit a sour note with potential partners overseas. Even though this statement could be supported with data or research, not everyone agrees with it, and moreover, not everyone likes to hear it. A more humble attitude toward the system and its institutions is always helpful in developing trust with peer institutions.

## A Foundation of Trust and More

Of course, there is no single, simplistic formula that can be applied in establishing successful partnerships with institutions abroad. Nevertheless, it is useful to take into consideration some of the following recommendations.

International engagement should be linked with institutional priorities. Institutions cannot collaborate in every place and with everyone abroad. Being strategic in defining subject and regional priority areas, in which institutions are interested, helps them become more assertive and efficient when establishing international partnerships. Also, it is crucial to establish partnerships, based on mutual respect and mutual understanding of the strengths and weaknesses of both institutions involved. Ultimately, the creation of trust is the most important foundation of a successful and longstanding collaboration.

Being respectful of quality-assurance mechanisms existing in other countries and institutions is another key ingredient. Rather than "better" or "worse," it is vital to understand that institutions are often just different. This makes it critical to be clear but sensitive on matters related to financial, legal, and logistical considerations associated with the development of partnerships, respectful of codes of communication, mindful of different time lines, and open to recognizing that each country/institution has its own legal regulatory system. Utilizing support organizations familiar with institutions and organizational cultures abroad can be an excellent strategy for building a knowledge base in this area.

Ultimately, much can be gained from learning to ask questions and listen, fundamentally valuing and celebrating diversity as part of a partnership, and being patient. It takes time to build a partnership, but strong international partnerships are worth the effort.

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# 9
# When Partnerships Fail: Lessons from the United Arab Emirates and Singapore

*Spencer Witte*

Forecasting the eventual costs and benefits of an international partnership has not proven easy. Many partnerships are trumpeted with high expectation, only to sputter, scale back, or else collapse entirely. Low enrollment, unsatisfactory institutional support, misaligned admissions standards, differing teaching methodologies—these are among the most common factors that contribute to a change in course. Thus, there is no definitive template for successful global engagement by a university. Instead, many institutions are circumstantially applying a mixed model of experimentation, with varying degrees of success and failure.

Of the manifold possible international partnership arrangements, the international branch campus represents the highest degree of risk. Indeed, an international branch campus carries the potential for spectacular failure. In part because of this, institutions have recently shied away from the perils of the brick-and-mortar model, opting for less risky arrangements—such as research collaborations, student/faculty exchanges, and dual- and joint-degree programs. If we accept the inevitably of extensive and varied international partnerships in the present and future higher education landscape, the issue then becomes one of lowering the risk of failure and the potential for damage to the institutional brand.

### Different Partners May Have Different Means

Unlike some countries that provide substantial funding to foreign partners or education providers, the emirate of Dubai does not incentivize involvement in either of its two university cluster arrangements, with lavish and sustaining financial promises. Instead, Dubai's international

branch campuses operate in a "sink or swim" environment. Once established, each of those branch campuses pays rent on land privately held by TECOM Investments, a subsidiary of Dubai Holding. TECOM is neither a traditional education stakeholder nor a purely governmental entity. Its education-based investments operate under the same expectation of profit generation, relative to its holdings in other industries. In this way, the success of Dubai's branch campuses becomes directly contingent on the ability to attract a sufficient number of fee-paying students.

When it made the decision to settle into Dubai International Academic City in 2007, this self-sustaining model had certain attractive qualities for Michigan State University (MSU). Specifically, it would guarantee the autonomy needed to shape academic policy. Yet, it also encouraged a breakneck pace; it was paramount to get up and running as quickly as possible. Interviews with an MSU-Dubai executive in August of 2008 revealed concern for this pace as well as broader laments that TECOM operated too much like a real estate company, with inadequate attention given to the difficulties of creating a world-class institution. In addition, MSU-Dubai had the misfortune of entering the market at a time when the global economic downturn was taking an especially heavy toll on the emirate. High admissions standards and relatively high tuition costs contributed to an undersubscription of the five undergraduate offerings MSU-Dubai had tailored, to meet the needs of Dubai's economy.

Ultimately, MSU-Dubai was forced to operate in an extremely competitive environment at a hurried pace. The material and financial resources it felt it needed were misaligned with what TECOM was willing and able to give. And Dubai, in spite of its recent economic vibrancy, offered a shortage of students with the requisite combination of financial resources and academic preparation. With just 85 enrolled students going into its third academic year, MSU-Dubai was forced to shutter its undergraduate programs and was left holding a tab of between US$1.3 million and US$1.8 million in contractual obligations to its employees.

### And Yet Means Alone Do Not Guarantee Success

A different scenario presented itself halfway around the world in Singapore, where Johns Hopkins University (JHU) already had a relatively long-standing relationship when it decided in 2003 to establish a full academic division outside of Baltimore for the first time in its 127-year history. Johns Hopkins Medicine (JHM) already had ongoing, successful research and clinical collaboration in Singapore dating back to an agreement signed in 1998. That arrangement led to a facility focused

on clinical oncology research and treatment and held the distinction of being Singapore's first private medical facility. Clearly, there was a steady track record to go on when the subject of an expanded in-country relationship was raised.

The JHM Division of Biomedical Sciences in Singapore was the decided outcome. To sweeten the deal, Singapore's Agency for Science, Technology and Research (A*STAR) pledged a fully equipped, 40,000 square foot science building in the heart of Biopolis, a recently constructed US$290 million biomedical complex. The surrounding buildings could accommodate 1,500 biomedical researchers and provide easy links to the private sector. Novartis, the pharmaceutical giant, had 60 researchers in the building next door. Importantly, research in Singapore came with none of the US strictures against embryonic stem cell research. The joint-degree arrangement promised Singaporeans and students from the region a Singapore-based, full-time Johns Hopkins faculty of 12 and PhD training. A staff of 150 would be the aim at the end of a two-year period and PhDs would earn either a degree from Hopkins or the National University of Singapore, at the conclusion of their training.

Yet, even with the Johns Hopkins brand, established in-country familiarity, lavish resources that included an additional US$52 million from the Singapore government, and academic environs that were in many ways favorable, the arrangement faltered due in large part to issues related to faculty. A*STAR used a system of twice annual review of key, mutually agreed upon performance indicators, and determined JHM had failed to meet several of these benchmarks, the most important of which was the good faith recruitment of qualified senior faculty. For its part, Johns Hopkins may have had concerns about diverting human capital away from its home campus and also had difficulty recruiting faculty willing to relocate a full 12 time zones away. While the original oncology clinic remains open, the research and education components of JHU's Singapore operation were shuttered in 2007, at the insistence of A*STAR.

### Navigating the End

The end of the JHU Singapore program was abrupt. An anonymous JHM spokesperson claimed that Singapore had failed to meet its obligations, both financial and educational. Back-and-forth charges were leveled in the Asian press with great acrimony and damage done to the Johns Hopkins' brand. The program's 60 staff and faculty were told to wind down their projects inside of a year and to plan for relocation to Baltimore or search for alternate employment within Singapore. Ulti-

mately, tensions eased only after Johns Hopkins issued a statement of apology to the Singapore government, in August of 2006.

In contrast, the closure of MSU's undergraduate offerings in Dubai was a more incremental process, with a number of steps taken in 2008 and 2009 to adjust programs and sustain the operation. For example, administrators quickly realized the need to establish a preparatory English-language year and also sought to bolster numbers by offering half-priced tuition to potential transfer students. In spite of these efforts, however, enrollment remained low, and the recession took its toll on the home campus. Large financial losses were simply unsustainable, and eventually it became clear that closure was inevitable.

When the closure announcement was made, MSU-Dubai was on the receiving end of considerable negative press as well as justifiable dissatisfaction among its 85 undergraduates. However, MSU took immediate and carefully planned steps to mitigate the damage. Fifty of the 85 undergraduates accepted offers to study at the home campus in Michigan. The remaining students were offered partial scholarships to attend the American University Dubai, American University Sharjah, or Rochester Institute of Technology-Dubai. These gestures were not only ethically appropriate but also entirely necessary in light of MSU's continued goal of maintaining a long-term presence in the Middle East. As a result, this university has been able to maintain an important, albeit smaller, educational presence in Dubai, with a focus on the provision of master's and executive education programs as well as study-abroad possibilities.

## Conclusion

Even in instances when great resources are being offered and the partner is a known quantity, foreseeable and unforeseeable issues can contribute to the souring of international relationships of all sizes. One of the most important ways to avoid difficult partnerships is to ensure that the way into the relationship is carefully conceived from the start.

First and foremost, creating viable international partnerships requires a concerted market research campaign. What can your institution offer that is not already being offered? Will tuition be competitive? Programmatic considerations are also crucial, and institutions need to take an honest look at their financial situation. Will it be possible to create a dynamic scholastic and extracurricular experience? Are capable English speakers abundant or will a preparatory year be necessary? How long can your institution afford to take a loss? Is securing a nonrecourse loan to cover start-up costs possible? And is your local partner willing to help cover overall losses if things do not go as planned?

Once a partnership is underway, institutions and their partners must regularly reevaluate their ventures abroad and communicate proactively (but privately) to explain their understanding of the outcomes of these evaluations. Steps can be taken before a partnership is ended, either to scale back the relationship or address the shortcomings in its present form. If it is determined that a relationship needs to end entirely, a track-record of direct communication should pave the way for an orderly and respectful exit. The way out of a relationship must be well-understood before, and not after, a partnership is concluded. The inherent risks of international partnership demand nothing less.

# 10
# Institution-Industry Partnerships Abroad

*Joseph E. Aoun*

As higher education evolves, so do the relationships between universities and our external partners in the business and nonprofit spheres. In both research and education, many institutions and their partners are striving to make these relationships less transactional and more collaborative, with mutual benefits. For universities, they bring an engagement with the world that animates our mission, bridging the divide between the theoretical and the applied, between the ivory tower, and the rest of the world. This is especially true with respect to global partnerships that center around experiential learning for students and research collaborations, both of which offer many opportunities, as well as some unique challenges.

### International Experiential Learning Partnerships

The historian James Truslow Adams famously said, "There are two types of education. One should teach how to make a living, and the other how to live." The comment is instructive, but it assumes a false dichotomy: A 21st century education can and must integrate classroom learning and "real-world" experience. Through external partnerships—with the private sector, nongovernmental organizations, and nonprofits—the distinction can be eliminated between those two types of education and a singular experiential learning model can begin to be developed.

For more than a century, Northeastern University has been a leader in cooperative education—often called co-op—an educational model in which students integrate periods of classroom study and real-world experience. Through meaningful co-op and internship experiences with industry partners, students discover their interests and begin to chart their own paths, often surprising themselves with newfound passions, talents, and aversions. They develop the skills and expertise needed to "make a living" and to make an impact. Also, they gain the

knowledge and experience to deploy that expertise effectively anywhere in the world.

In this model, the curriculum must prepare students for their professional experiences—with substantive knowledge, cultural competencies, and critical-thinking skills. It must also provide structured opportunities, for them to reflect on these experiences, to share them with other students, and to apply and extend their workplace learning to a broader set of challenges. From the perspective of Northeastern University, the educational impact of this integrated approach is profound.

In a rapidly globalizing world, experiential learning partnerships must be global. The world is simply too interesting for students to ignore. The demand for global, mobile, flexible talent puts a premium on—and gives an advantage to—students who have lived and worked abroad and the institutions that support these educational experiences.

Such partnerships are welcomed in nations with developed economies such as Germany and the United Kingdom, as well as in countries with emerging markets, such as China and India. Both employment policies and political and business interests are aligned, facilitating the development of robust experiential opportunities. In the corporate sector, our students' experiences have ranged from working in a London-based bank to a stint at a technology company in China. There are also promising opportunities with international nongovernmental organizations and in the global nonprofit sector. For example, some of our students have completed co-ops at European Union headquarters in Brussels, while others have worked for antipoverty organizations in Africa.

While opportunities for rich and rewarding co-op collaborations are plentiful, there are some inherent challenges in such relationships. In some countries, local businesses—including many multinational corporations with local operations—are focused on domestic talent for both practical and political reasons. Visa restrictions may limit internship and co-op experiences, and this requires universities to develop some creative approaches. As in the United States, employers may need to be educated about the value of training and mentoring students who may not become permanent employees.

In order to meet these challenges and ensure the educational quality of student co-op experiences, a highly developed support infrastructure is needed. At Northeastern, this involves more than 100 co-op coordinators, who are both centrally located and based in specific academic units. These coordinators develop strong relationships with co-op employers and work closely with students to ensure a strong alignment of educational and experiential pursuits.

Fortunately, the time, effort, and investment needed to support a

successful co-op program often pay dividends that extend well beyond the experience of the individual students involved. For example, last year a Northeastern University student completed a successful co-op experience at IBM in Bangalore, India, which has opened the door to additional co-op placements for those students at IBM in Manila, Philippines, as well as other cities in India. Northeastern University continues to expand its relationship with IBM worldwide and is now exploring opportunities to work with IBM in China. The "ripple effect" created by successful co-op experiences has allowed this university to substantially broaden and deepen its engagement with partners around the globe.

**Research Partnerships with Industry Abroad**

On the research side, collaborations between higher education and industry are also increasingly significant. Funding is one reason. In a time of constrained budgets for universities, businesses, and nonprofits alike, these partnerships offer the obvious benefits of shared resources—the talent and infrastructure of the university and the capital investment by a business partner.

Yet, there is another reason, equally relevant. In the experiential learning domain, one sees the value of engaging with the world, integrating the theoretical and the applied through external partnerships. The same benefits are reaped in the research sphere. Creative research collaborations with business, as well as nonprofits, force people to pay attention to impact and output, to focus work on what the late Donald Stokes termed "Pasteur's Quadrant"—use-inspired research that seeks both to enlarge the fundamental understanding of the world and open a pathway to solving specific societal problems. Thus, this enriches our work.

An example of an international research collaboration that has espoused these ambitious goals is Jola Venture, a Northeastern University spin-off social enterprise dedicated to improving the agricultural sector in Cameroon, Africa, with culturally compatible, innovative solutions to age-old problems. Founded by a Northeastern graduate, with close advisement and collaboration from Northeastern faculty researchers, Jola makes use of technological solutions developed by this university's students.

Such successes are inspiring, but as is the case for international co-op and internship collaborations, research partnerships with businesses and nonprofits abroad also present some important challenges. In the global context, for example, the focus on outcomes and cost takes on added urgency, especially in the developing world.

Emerging economies and developing nations need new technologies that address the social and economic challenges of underserved communities, both rural and urban, and affordability is a key part of that equation. Cost considerations, coupled with a better understanding of local needs, have driven a "reverse innovation" approach, in which low-cost products are developed in and for the emerging world and then brought to Western markets. This presents a competitive challenge.

In addition, all partnerships with industry require a thoughtful and appropriate balance between collaboration and control: Will the industry agenda inhibit innovation or impede important fundamental research? Intellectual-property issues also require careful consideration, particularly in the global context. On one hand, in a country with weak intellectual-property provisions and lax enforcement, American universities are at a financial disadvantage. On the other hand, we must ensure that the intellectual-property rules do not stifle the collaboration and information sharing required for a healthy academic environment.

## Conclusion

The lesson here is that we must continue to move higher education beyond the traditional boundaries of the classroom and campus. External partnerships can no longer be on the periphery of what is done, because they enrich learning and discovery in ways that are critical to our society. Forming and sustaining these relationships does present challenges, especially in the global context. But the opportunities and benefits are significant.

# 11
# International Networks and Consortia

*Betsy E. Brown*

One way that institutions can expand their international focus is through participation in multilateral partnerships, international networks, and consortia, as these platforms may dramatically increase an institution's number of international partners and, with them, opportunities for expanded international education, research, and engagement.

International consortia are defined as "voluntary, participatory organisations of at least three higher educational institutions with a primary mission of disseminating and advancing knowledge on an international level" (Denham 2002). Important (if obvious), in this definition, is the fact that these partnerships are not bilateral; they are attractive based on the potential to multiply the activities and benefits of bilateral international agreements and to do so more economically, since the burden of establishing and maintaining programs and activities is distributed across multiple institutions. These partnerships are based on reciprocal benefits—student or faculty exchanges, tuition reciprocity, access to funds for research, or other activities—and assume that all participants are equal partners (e.g., able to both contribute to and benefit from the consortium's activities).

## Growing Popularity—and Caution

The number of international consortia increased in the 1990s and 2000s as institutions were attracted to these multi-institutional partnerships to achieve their institutional internationalization or globalization goals, improve their institutional profile, and use their resources more effectively and efficiently. Based on survey results from 180 international institutions and other sources, a dramatic growth was reported in international consortia, from approximately 25 in 1986 to 60 in 2000 (Denham 2002). Growth may have slowed in the past three to five years, as institutions around the world have had to assess the costs and

benefits of their commitment of time and resources. If the resources, both financial and human, that an institution invests in a multilateral partnership are not creating a satisfactory return on investment or no longer reflect institutional priorities, institutions may restrict their participation in these multilateral partnerships.

### Types of Consortia

International consortia, as well as domestic consortia with international agendas, develop in a number of ways. Membership may be determined geographically within a state (e.g., the UNC Exchange Program involving all University of North Carolina system institutions), a region (such as the Mid-Continent Consortium for International Education providing study-abroad options for member institutions in Tennessee and Kentucky), or nationally (International Education Association of South Africa—IEASA—coordinating a range of international programs for universities in that country). Consortia may be multinational such as CONAHEC (Consortium for North American Higher Education Collaboration), which fosters academic collaboration—among Canadian, Mexican, and US institutions—or ISEP, a worldwide network of over 300 higher education institutions in 50 countries.

Some consortia are discipline-based (such as the Global Engineering Education Exchange) or made up of institutions with similar missions such as research universities (Universitas 21, Worldwide Universities Network). They may also consist of institutions focusing on governmental, social, and industry collaborations (as exemplified by Academic Consortium 21, based in Japan but formed by 24 institutions from around the world that share a belief that universities should address "the rapidly transforming needs of society").

Consortia may be institutionally driven or they might involve centralized higher educational or governmental units, such as university systems or state, national, or multinational agencies. They may be formed as presidential or governmental organizations or they may be faculty-, discipline-, or even student-driven. Some may even be consortia of consortia (e.g., state university system program agreements with other system, state, or national partners).

### Characteristics of Successful Consortia

Successful international consortia share several characteristics: a specifically defined mission, a centralized secretariat or administrative office and staff, a clear leadership structure, functional and cross-functional networks, and opportunities for these networks to meet regularly. Funding, usually dues based, must be adequate to cover most of the cost

of the benefits offered to participants (e.g., student exchanges, research funding, or conferences).

These variables influence why an institution may be attracted to a particular consortium. For example, an institution might be more likely to continue participating in a multilateral partnership that is organized or operated by a larger educational organization or government entity (e.g., a university system or a federal department such as Commerce or Education), since there may be political pressure to participate. Organizations governed by institutional chief executive officers are more visible, more likely to involve a number of campus units and thus are more likely to be sustained if the failure of the partnership will reflect negatively on an institution's leadership.

Multilateral partnerships that are more narrowly based may actually be more sustainable because they support activities that the institution would probably continue on its own without the consortium. International consortia that contribute significantly to opportunities for student and faculty exchange, international student recruitment, joint research, or shared degree programs may save an institution staff time and money. Those that require an institution to develop a new set of activities (e.g., distance education, delivering existing degree programs at an international site, or developing new degree programs not offered at home) may be harder to sustain as reduced funding or other new initiatives redirect institutional activities and resources.

### Factors to Consider in Joining a Consortium

Before deciding to take advantage of the opportunity to become a member of an international network, an institution should clearly articulate for itself the following considerations:

- Similarities between the institution and others in the consortium (e.g., mission, institutional type, disciplinary interests, location, etc.);
- Expected institutional contributions in both time and money;
- Current involvement in the types of programming and activities that the consortium will provide (e.g., student and faculty exchange, international recruitment, international collaborative research, etc.) and the likely value added by membership in the consortium; and
- Institutional level at which commitment to the partnership resides and how much time and attention both the leadership of the institution and the responsible administrative units can commit to sustaining it.

In practice, while it may be relatively easy for an institution to join a multi-institutional international consortium, it might be harder for

the institution to leave it. Withdrawal may cause the institution and the other consortium partners to lose face, as well as their investment of time and money in the partnership and may affect the perception at home and abroad of institutional leaders, the leadership of the consortium, and its partner institutions. Thus, institutions should consider the costs and benefits of opting in and opting out of any new multi-institutional partnership.

The former chief executive officer of the World University Network, David Pilsbury, has stated, "The acid test of any international collaboration is that it generates genuine additionality. . . " (cited in Sternberger 2005). "Additionality" or value-added may be the most important concept in determining the initial and continuing value of any multi-institutional partnership.

AUTHOR'S NOTE: This article draws on information provided in a webinar, sponsored by the Association of International Education Administrators (AIEA) and presented by Betsy E. Brown and Francisco Marmolejo, "Promoting US Institutions' International Dimensions through International Consortia" (December 8, 2010).

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# 12
# International Joint and Double–Degree Programs

*Jason E. Lane and Kevin Kinser*

International joint and double degrees (JDDs) are an increasingly common component of global engagement strategies for many colleges and universities. They can serve multiple purposes for an institution—including allowing domestic students to gain international exposure, attracting foreign students to study with the institution, and serving as quality control or enhancement for a partnering institution.

## Definitions and Scope

Joint degrees are defined as two or more institutions sharing ownership over an academic program, usually providing students with the opportunity to take courses from each institution. Upon completion of the program, a single degree is awarded from the partnering institutions. Double-degree programs are similar. Students take courses offered by the partnering institutions; but separate degrees are earned from each institution; and each institution retains control over its own academic programs. Because faculty and administrators at each partnering institution need to agree on the requirements of the course of study and approve a unified academic program, joint programs tend to involve significantly more administrative engagement than double degrees. The administrative approval of dual degrees tends to be less cumbersome, as the participating institutions retain sole control over their degree; they only need to agree that certain courses from the partnering institution(s) can apply toward a degree.

No comprehensive listing of JDDs exists, but a recent survey of 245 institutions in 28 countries by the Institute for International Education (Obst, Kuder, and Banks 2011) suggests that such programs are located around the globe and interest continues to rise. China, France,

Germany, Spain, and the United States are the most common homes to institutions with JDDs. Eyes are also on India, as a possible top location for future JDD development, if that higher education system moves to "liberalize" its legal framework for international engagement. A majority of the JDD programs are at the master's level, though most US programs involve undergraduate degrees. Programs commonly focus on business, management, and engineering.

**Practical Considerations**

When developing JDD programs, the following five administrative issues should be considered:

*Selection of partnering institution.* Deciding on a partner is the most important aspect of a successful JDD program. The selection of new partners should be strategic, though often they are selected simply because of preexisting relationships or name recognition. Partners require comparable program offerings, ample resources for the program, full commitment of faculty and administrators, and collegial decision-making relationships. For example, the State University of New York, University at Albany offers a double MPA degree with Bocconi University (Italy). Both institutions have strength in the area of public management and have similar expectations regarding student admissions. Organizationally, each partner should designate one person as the point person, and both partners should agree in advance on areas of responsibility and authority.

*Degree-requirement compatibility.* No two degree programs are created the same, which makes aligning degrees across various institutions distinctly challenging. When creating JDD programs, institutions need to determine if differences in degree requirements exist and how to manage these disparities. This factor can be particularly problematic at the undergraduate level, where international expectations vary regarding the length of time to degree and types of courses required for earning the degree. For example, baccalaureate degrees in the United States usually require four years of full-time study and include a mix of general education and discipline-specific courses. In Europe, undergraduate degrees are often based on a three-year course of study, which does not include a general education requirement. Regional agreements that normalize degree requirements, such as the Bologna process, help ease obstacles to JDD partnerships. However, for institutions outside of the Bologna signatory countries, dissimilarities in degree structures can make such collaborations more difficult, though not impossible. Clemson University (South Carolina, US) and Université Catholique de Louvain (Belgium), for example, offer double undergraduate degrees in

economics. Students are required to take courses in both English and French, and the overall program is structured to comply with the varied degree requirements of both institutions.

*Developing sustainable programs.* The excitement and fanfare upon initiating JDD programs can quickly wane. If one partner places greater emphasis, whether real or perceived, on sustaining the program, tensions can rise. For example, partners may have different expectations regarding admission requirements and the type of knowledge or training students should have prior to entering a program; this is particularly true at the graduate level. Such discrepancies may create problems in the classroom for faculty and students, if the students possess vastly different abilities and/or background knowledge. Thus, partners should agree regarding target enrollment numbers, responsibility for recruitment, and expectation of minimum admission requirements.

*Program delivery.* Most JDD programs require students to actually attend courses at both partners' campuses. Technology can help alleviate the access barriers created by such requirements, if faculty are willing to engage in such endeavors and have the appropriate support to do so. For example, the State University of New York's Center of Collaborative, Online, and International Learning (http://coil.suny.edu/) provides support for faculty in different countries, who want to collaborate on teaching a course using online and other collaborative tools. The technology allows students in other countries to engage in meaningful real-time discussions, as well as to collaborate on group projects. Such efforts may be a way to enhance the internationalization aspects of JDD programs, while reducing the obstacles associated with having to travel abroad.

*Evaluation process.* There should be a clear means for evaluating the success and effectiveness of the program. JDD programs are often established without a clear set of goals or intended outcomes, and do not include any type of formal evaluation of the initiative. Such programs may linger on, well beyond their period of productivity, and draw resources away from other important endeavors. A formal evaluation process allows JDD partners to reflect on and assess the operation of the program, address shortcomings, or, if needed dissolve the partnership.

## Due Diligence Required

International joint- and double-degree programs are likely to become even more popular as a strategy for internationalizing the curriculum. In addition to the administrative concerns addressed in this article, such collaborative engagements are also subject to a host of regulatory, legal, and accreditation requirements and oversight, which adminis-

trators need to be aware of before agreeing to any partnership. While JDDs can have added value for students, faculty, and institutions, those responsible for such programs need to do their due diligence prior to starting such programs.

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# 13
# Global Engagement and Legal Issues

*David Fleshler and Peter M. Poulos*

Imagine the following scenarios. You hold a position of responsibility at your university—hypothetically named Prestigious U. A faculty member walks up to you on campus and proudly reports that she just signed a Memorandum of Understanding that obligates the university to accept students from an Afghan university after two years of study in Afghanistan, and the students then receive a diploma from your university. You find that the Afghan university does not have a position close to the academic standing of Prestigious U, and you are worried about academic reputation. Or you find out that Prestigious U has an employee in Israel, who has been terminated, and is now demanding a month of pay for every year that he worked for the university. Or you receive a call from the father of a study-abroad student that his son, who is studying abroad in Egypt, has been caught in the Arab Spring and demands that you get him out immediately.

These scenarios are all based on colleagues' real situations at universities in the United States and around the world. As leaders of increasingly international institutions, we must understand that there are a myriad of legal, moral, financial, security, communication, and other issues with serious consequences. A thoughtful preparation among those engaged in international activities—including faculty, administrators, and overseas partners and the Office of General Counsel at the university—is crucial to achieving the best-possible outcome when difficult situations arise.

### Key Legal Issues and Considerations

While dealing with the intricacies of laws and regulations may be a daunting prospect for many institutional leaders and administrators, a basic understanding of relevant legal issues and considerations is an important part of responsible global engagement. Because failure to

comply with local and national laws and regulations can result in both civil and criminal penalties for those involved, the stakes are often considerable. Though not exhaustive, the following list outlines a number of these issues and considerations and can serve as the beginning of a conversation among campus stakeholders.

*Licenses and registrations.* If a university is conducting activity in a foreign location, it needs to determine if that activity requires a license or registration from the local or national government. Many countries have license and registration requirements that need to be satisfied, once the activity reaches a certain threshold—such as having a physical space or full-time employees in the foreign location or receiving compensation in the foreign location for its activities. Significantly, the licensing issue is intertwined with the corporate structure for the activity. For example, requirements may differ depending on whether the activity is conducted as a branch office of the university, in affiliation with a foreign institution, or as a separate legal entity formed by the university. Different structures will have tax and business consequences for the university, which need to be thoroughly evaluated.

*Employment in a foreign location.* If the university employs a foreign national in his or her home country or assigns a domestic employee to work overseas, then the labor laws of the foreign jurisdiction will generally apply. The university usually cannot contract around the application of foreign labor laws, nor should it assume that those are similar to the laws of the United States (e.g., the Israeli example). In addition, even if a university employee only works for a limited duration, or sporadically, in the foreign location, certain work-visa requirements may need to be addressed.

*Export control laws.* When asking university employees to travel or work abroad or when executing affiliation agreements, the university needs to make sure it—and its employees—comply with federal export control laws. These laws restrict and/or prohibit the export of particular kinds of information to certain countries. This is often the case, for example, with information related to technology that may have direct or indirect military applications. Universities may need to obtain a license if such information is to be disclosed to foreign nationals or may be completely prohibited from exporting such information. Moreover, universities should understand that the definition of "export control" is quite broad and far-reaching. For instance, an export can include merely carrying a laptop containing data overseas or allowing a foreign national to have access to controlled information, while visiting a university laboratory.

*Intellectual property issues.* When faculty engage in research or other

academic activities with foreign faculty, one of the central issues is how to handle the involved intellectual property. Therefore, it must be specified which country's laws will determine ownership and the use of any created intellectual property and also whether and how the foreign jurisdiction protects the intellectual property that the university already owns. The intellectual property at stake covers not only patent rights but also trademarks and copyrights. The failure of the university to adequately understand if and how foreign intellectual property laws will apply can lead to the university losing valuable assets.

*Students studying abroad.* When the university sponsors or supports study-abroad programs, applicable state law generally imposes an obligation upon the university, for reasonable steps to protect those students. As a result, universities need to have an established process that analyzes their study-abroad programs and includes a due diligence review of the risks involved and the steps being taken to address those concerns. Those issues may include, for example, potential political unrest in the foreign location, underage consumption of alcohol or other controlled substances—possibly legal in the foreign location but illegal if used on campus—and students who may face challenges participating because of a physical or mental disability.

*Foreign Corrupt Practices Act (FCPA).* The FCPA may apply whether a university is executing an affiliation agreement, sending an employee to work in an international location, or having students study abroad. This law has an antibribery provision that prohibits giving, offering, or promising a benefit to any foreign official, for the purpose of obtaining or retaining business. As a result, when signing an international affiliation agreement, business terms need to be reviewed, in order to ensure that they cannot be construed as violating the antibribery provisions of the FCPA. When a university has an employee overseas, the employee must also understand the FCPA and not mistakenly violate its provisions. When arranging for students to study abroad, it should be examined whether there is any illegal quid pro quo involved with that exchange.

### Strategies for Managing Legal Risks

Because of their organizational complexity, universities are almost uniquely challenging institutions, with respect to addressing issues that require all personnel to follow rules. On most college campuses, governance and decision making are decentralized. Faculty, staff, and students work on an extensive body of disconnected work, and it is not always clear who represents the institution or has legal authority in any particular setting. The following strategies will help institutions gain a

robust international presence, while protecting students, faculty, staff, and the institution itself from legal harm.

*Educate top leadership.* As in almost any university activity, respected leadership is perhaps the key element. The independent thinkers on campus will only respond well to officials they respect. While the president, chancellor, and provost are perhaps the most relevant figures, faculty and staff will follow legal and administrative advice and rules if they feel other key administrators are knowledgeable and experienced—in particular, the chief administrative officer, the general counsel, and the senior international officer, or their staff.

*Develop an international legal plan.* To anticipate and resolve problems before they occur, faculty and administrators need to work together to develop a clear international legal plan with a well-articulated structure, clear lines of authority, and thoughtful methods of communication. For instance, a well-thought-out plan will specify whether faculty members are permitted to bind the university and, if not, will identify a clear process to approve a faculty project. The plan must distinguish between types of relationships. A research agreement made between one faculty member and a counterpart overseas and an institutional arrangement involving faculty and students should have quite different approval requirements. Any university-wide procedures should not only provide the university with a way to protect itself against liability but must also explicitly protect faculty and students. If faculty and students understand that the rules benefit them, they are much more likely to comply. It is also significant to determine whether there will be consequences for lack of compliance.

*Focus on communication.* Even if the university has a good plan, a well-articulated structure, and clear lines of authority, campus stakeholders can only comply with the procedures they are aware of and understand. In a decentralized institution, where so much depends on faculty, effective communication is particularly relevant. Administrators need to find ways to make faculty aware of the rules and the reasons behind them. Successful communication will differ from campus to campus. Newsletters, electronic periodicals, e-mail, and announcements at faculty meetings can all help. However, personal meetings with faculty and students—individually and in groups—are almost always the most effective approach. In addition to informing stakeholders of the procedures and the reasons behind them, such face-to-face discussions allow systems to grow and adapt, according to the people who work with the rules.

It is an exciting time for internationalization in higher education. Most experts are predicting increasing international engagement at many universities worldwide. With increasing engagement, however,

comes the need to recognize that staff and institutions as a whole have increased exposure. As a result, university leaders must establish well-articulated structures and procedures that are followed throughout the university—so that internationalization continues to thrive.

# Part 2
# **China**–*Emerging Opportunities and Challenges for Higher Education Cooperation*

# 14
# Introduction

*Patti McGill Peterson*

The American Council on Education is pleased to launch, in cooperation with the Center for International Higher Education at Boston College, *the International Briefs for Higher Education Leaders* Series. This new initiative provides policy-relevant analysis of international issues to its members in a dynamic new format. The series is in response to the report of the Blue Ribbon Panel on Global Engagement that recommended ACE should serve as a hub of information on global trends and international higher education. The recommendation was part of a wider analysis that focused on the rapid changes taking place in the global higher education landscape and the need for leaders to have reliable and timely resources to inform institutional strategies for global engagement.

Just as its member institutions face the need to respond effectively to a changing environment for higher education, ACE is responding and updating its programs and services. Its newly formed Center for Internationalization and Global Engagement will continue ACE's hallmark programs and research on comprehensive internationalization. It is also developing new programs that are responsive to the principal recommendations of the Blue Ribbon Panel in the following areas:

- *Lead on critical global higher education issues*
- *Assume a broader advocacy role*
- *Conduct, gather, and disseminate research and analysis*
- *Provide constituent services in the global arena*
- *Deepen international ties and outreach*

The *International Briefs* Series is a new component of ACE's global initiatives. It will feature a collection of short articles, combined with relevant statistics. The *Briefs* will offer differing perspectives about a specific country or a significant international higher education issue. The purpose of the series is to provide information for productive policy

and strategic decision discussions on campus. The publication (delivered electronically) will be combined with a webinar made available to the campus community and feature authors of the current issue, who will make brief presentations to facilitate direct dialogue for a specific issue or theme.

Given the tremendous interest in higher education in China and the growing number of partnerships there with US institutions, it is fitting that our first issue focuses on China. It is the source of the largest numbers of international students in US colleges and universities. We are excited about bringing more information about China's complex higher education system to you and the challenges and opportunities that China's internationalization strategy presents.

# 15
# The World of Universities in Modern China

*William C. Kirby*

While home to an ancient civilization with a long tradition of education, China is also a new country, founded exactly a century ago. In the first half of the 20th century, China developed one of the more dynamic systems of higher education in the world—with strong, state-run institutions (Peking University, Jiao Tong University, National Central University, and at the apogee of research, the Academia Sinica), accompanied by a creative set of private colleges and universities (Tsinghua College, St. John's University, Peking Union Medical College, and Yenching University, on whose campus the current Peking University now sits). All these institutions would be swept away in the late 1950s and 1960s. But the traditions and memories of excellence remained, and they have helped to fuel the recent, extraordinary growth, in size and quality, of Chinese universities. In higher education, as in other realms, Chinese governments have followed international models. This has led to extraordinary opportunities and challenges for international universities in China.

## The Historical Background

The serious role of foreign universities in China, today, is nota new phenomenon. Rather, it is a permanent feature of modern China's educational landscape. China's oldest modern university, Wuhan University, was founded in 1893 as a "Self-Strengthening Institute," with European advice. Before 1949, China's state universities were created largely on German models, while many of the leading private colleges were supported and advised by American institutions. In the 1950s, all Chinese universities were reorganized on Soviet patterns. Since 1978, and especially since 1998, Chinese higher education has introduced

widespread experimentation, much of it in the context of new international partnerships. For a century, China has presented an ambition to create "worldclass" institutions of higher education. Today, many Chinese educational policymakers believe that the American system of higher education is in a position of global leadership, and they seek to learn from that system.

**Opportunities of the System**

After the disasters of early Communist Party rule, Chinese universities reopened in 1977/78. They grew moderately for the next two decades. Since the late 1990s, however, China has witnessed unparalleled growth in the scope, diversity, and quality of higher education. A system that educated perhaps 2 million students in 1990 now enrolls more than 30 million. Private universities (minban xueyuan) account for perhaps 15 percent of enrollments. Sino-foreign universities (e.g., the University of Nottingham, Ningbo) have brought higher education and research centers to cities, outside the plans of the Ministry of Education. Many public universities have established "independent" universities that operate as full-time extension schools and generate significant revenue. In short, this is a time of great expansion, outreach, and experimentation in Chinese higher education. These developments in China have promoted cooperation and competition across the realm of "Greater China": Hong Kong, Taiwan, and Singapore are all competing with Beijing and Shanghai, to be the educational leader of the Chinese-speaking world.

Opportunities for foreign universities in contemporary China exist everywhere, but perhaps especially in three realms. First, Chinese higher education has been so overcentralized in Beijing that other cities and regions are now highly entrepreneurial in recruiting international partners. Second, almost all leading Chinese universities are now developing American-style programs of "general education" and promoting curricula devoted to "liberal learning." Sometimes this takes place in new institutions (e.g., Fudan College, the liberal arts college in Fudan University); sometimes it is embedded in distribution requirements. Either way, it is a sign that pace-setting Chinese universities believe that China's next generation of leaders should be broadly educated in the humanities and social sciences, as well as in the sciences. This is an enormous change, but it has not diminished support for scientific research and the university rankings based on them. For, third, the Chinese government has committed to stunning levels of investment in scientific research and to international partnerships—in the physical, engineering, and life sciences.

What does this mean for American universities? Nearly every leading American university believes that it needs to have a "China strategy" and somehow be involved in the rapid growth of higher education in China. This has given rise to a healthy set of experiments and alternative models of engagement. Columbia and Chicago have opened an office and a center, respectively, in Beijing; Stanford is building a small campus within the campus of Peking University; New York University is establishing New York University-Shanghai as a "vertical university" (that is, in a high-rise), as part of its global network; the Harvard Center Shanghai promotes research, student internships, conferences, and executive education in China; and Duke University's 200-acre campus under construction in Kunshan, outside Shanghai, is the most ambitious international educational enterprise in China, since the days of Yenching University.

**Risks**

Of course there are problems in this engagement, many of which come from international actors. Faculty or fund-raisers may suppose they must work in China on terms that differ those at the home campus. Thus, an easy rule (for universities, as well as businesses) presents this: do not do anything important in China that would violate the principles on which you operate in the United States. The reputational risks in China are commensurate with the opportunities. Because leading American universities are so admired, their mistakes may be exaggerated, less by the official media than by the increasingly powerful blogosphere. At the end of the day, adherence to the values that have made international institutions admired in the first place is surely the best strategy.

A larger risk in China is whether it is possible to support the ideals of a liberal education in the arts, sciences, and professions, in a country that remains an illiberal political system. Yet, many Chinese university presidents, party secretaries, faculty, and students deeply value their international partnerships and seek greater institutional autonomy. Local and regional officials have large incentives to cooperate with international universities and are in a position to make major commitments.

The Chinese political system remains restrictive, while it has allowed, indeed enabled, universities to grow and flourish. If historical examples are useful, 19th-century Germany may be a model: world-class universities in an illiberal polity. Chinese universities do not yet have the comparative autonomy of their earlier German counterparts. However, the greatest risk for international universities may perhaps be if they are not involved, in some significant way, with the fastest-growing system—

in quality as well as quantity—of higher education in the world. For China, as for the rest of the world, the history of modern higher education is one of inescapable internationalization and partnership.

# 16
# Chinese Higher Education: Statistics and Trends

*David A. Stanfield and Yukiko Shimmi*

China's system of higher education has experienced significant growth over the past two decades. Increased student enrollment, faculty hiring, newly established institutions of higher education, and transnational education initiatives are indications of the changing nature of higher education in China. Despite a period of sustained growth, recent figures indicate a decline on the horizon. The following analysis offers a brief summary of higher education statistics and highlights key trends.

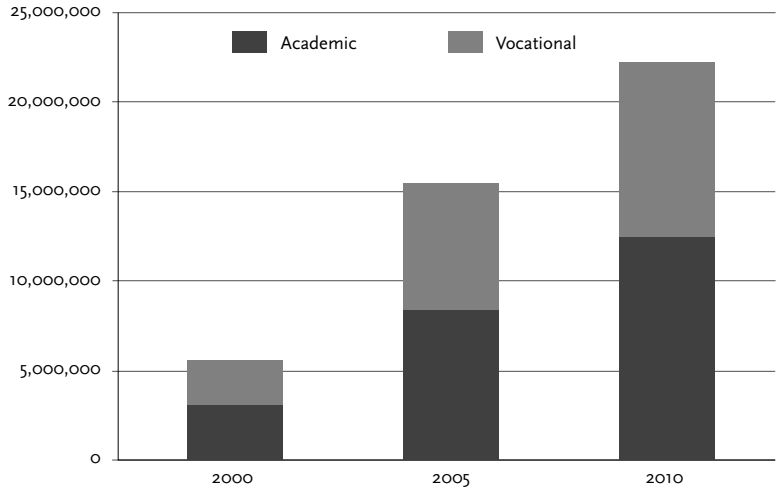
### Students

Undergraduate student enrollment doubled during the 1990s, from 2.1 million to 4.1 million. In the new millennium, enrollment grew at an even faster rate, bringing the total undergraduate population to a staggering 22.3 million by 2010 (see figure 1). Graduate enrollment grew at an even faster rate, from 283,000 in 2000 to over 1.5 million only 10 years later.

Furthermore, the percentage of China's relevant-aged population enrolled in college increased dramatically during these two decades. In 1991, the college participation rate or gross enrollment ratio was only 3 percent, increasing to 24 percent by 2009 (UNESCO 2011).

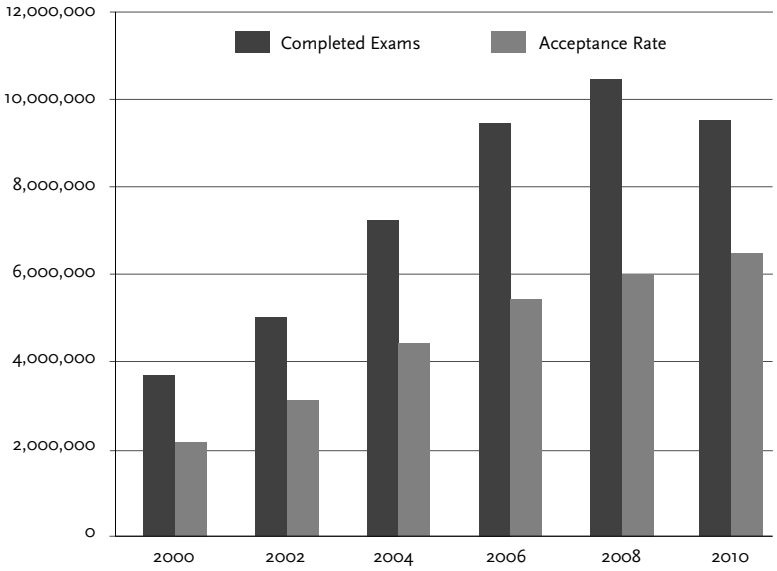
Student demographic data indicate China has achieved gender parity in undergraduate and master's degree enrollment, while the percentage of women in doctoral programs is only 35 percent. In 2010, the three most popular undergraduate majors were engineering, management, and literature, respectively. Eighty percent of students studying literature specialized in foreign languages or art.

**Figure 1.** Undergraduate Enrollment




*Source:* National Bureau of Statistics of China 2001, 2006, 2011a and 2011b.

**Figure 2.** National Higher Education Entrance Exam (Gaokao)




*Source:* People's Daily Online 2010; Chronicle of Higher Education 2010.

Though undergraduate student enrollment continues to increase, the annual growth rate has declined steadily from 2006 to 2010 from 11 percent to 4 percent, and data suggest the enrollment rate will continue to decline. From 2009 to 2011, the number of students completing the annual National Higher Education Entrance Examination, commonly referred to as the *gaokao,* declined leading to record high acceptance rates (see figure 2). The media offered a variety of explanations including fewer high school graduates, a depressed job market, and more undergraduate students studying abroad.

**Institutions and the Academic Profession**

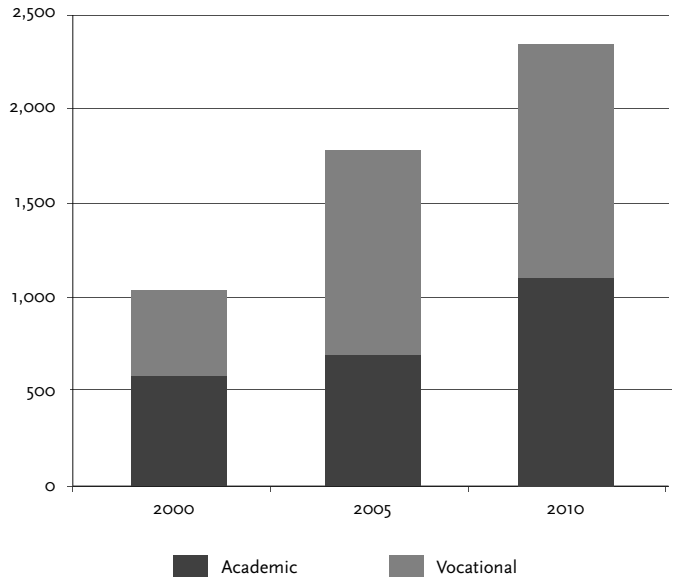
The increased demand for higher education led to the establishment of a number of new postsecondary institutions. In 2000, China had 1,041 colleges and universities, and that number more than doubled to 2,358 by 2010 (see figure 3).

Furthermore, the percentage of China's relevant-aged population enrolled in college increased dramatically during these two decades. In 1991, the college participation rate or gross enrollment ratio was only 3 percent, increasing to 24 percent by 2009 (UNESCO 2011). The number of institutions controlled by the central government, typically the most prestigious universities, remained constant from 2004–2009 at 111, while the number of provincial or locally controlled universities increased slightly from 1,394 to 1,538. The most significant increase occurred in the private sector, often perceived as the lowest rung in Chinese institutional hierarchy, which grew from 226 in 2004 to 656 in 2009. With a slowing enrollment growth rate, many private institutions will likely struggle to attract students in coming years.

Similar to the United States, China has traditional academic bachelor's-level institutions and vocational or junior colleges. In 2000, China had 599 academic institutions and 474 vocational colleges, and by 2010 the number of academic in-situations grew to 1,112 and 1,246 vocational colleges. Of the 22.3 million undergraduate students enrolled in 2010, 12.6 million attended traditional academic institutions and 9.7 million enrolled at vocational colleges.

To keep pace with increasing demand, Chinese colleges and universities hired 869,000 new full-time faculty between 1999 and 2009. The 2009 data indicated full-time faculty in China and were near gender parity (46% women). However, only 13 percent of China's faculty hold a PhD, while 33 percent earned a master's degree, leaving over half of full-time faculty teaching with only a bachelor's degree. The shortage of faculty with advanced degrees represents a significant challenge for Chinese higher education. However, thus far, China has avoided

**Figure 3.** Postsecondary Institutions




*Source:* National Bureau of Statistics of China 2001, 2006, 2011a and 2011b.

the troubling global trend of hiring a larger proportion of part-time faculty—only 20 percent out of 1.6 million total faculty are classified as part time.

### International Students and Cross-Border Education

Just as Chinese higher education has grown over the past decade, the number of international students studying at Chinese institutions has also increased. In 2009, China hosted 117,548 international students primarily from other Asian countries, followed by Europe, Africa, and North America. The number of Chinese students seeking higher education abroad has also witnessed a notable increase in recent years, with more than 500,000 reported studying outside of China in 2009 (UNESCO 2011). The number of Chinese students studying in the United States over the last 10 years increased from 60,000 to almost 160,000, despite 5 years of stagnant growth following 9/11 (Institute of International Education 2011). Currently, large numbers of Chinese students are also studying in Japan, Australia, the United Kingdom, and

South Korea (UNESCO 2011). Over half of the Chinese students studying abroad are pursuing advanced degrees. The return rate (students returning to their home country, divided by students leaving to study abroad) of Chinese graduate students from 2001 to 2010 increased from 13.4 percent to 47.3 percent, indicating that a rising number are returning to China after graduation. However, additional data paint a more complicated picture. In 2010, 82 percent of Chinese doctoral recipients (including students from Hong Kong) studying in the United States reported an intention to stay in the United States after graduation (National Science Foundation 2011).

Cross-border higher education initiatives have expanded rapidly in recent years. Currently, 18 international branch campuses operate in China, with host institutions primarily from the United States, France, and the United Kingdom (CBERT 2011; Lawton and Katsomitros 2012). Branch campuses are required to collaborate with a local Chinese university and offer dual degrees. Seven additional institutions, all from the United States and United Kingdom are in the process of setting up branch campuses or have expressed intentions to open a campus in the next few years. In addition to branch campuses, a substantial number of joint-partnership programs exist in China. Over 600 undergraduate and graduate joint-partnership programs are approved by China's Ministry of Education. The government has expressed concerns over the quality of such partnerships and has vowed to intervene when standards are not met. Authors' note: Unless otherwise noted, all statistics are retrieved from the 1999–2010 Web sites of the National Bureau of Statistics of China (http://www.stats.gov.cn) and the Ministry of Education, *Higher education statistics* (http:// www.moe.edu.cn)—(accessed January 17, 2012).

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# 17
# Chinese Challenges: Toward a Mature Academic System

*Philip G. Altbach*

Cross-border academic engagement is never an easy process. Cultural, administrative, curricular, and often political differences must be understood—and effectively considered in any successful collaboration. This article focuses on the complexities and some of the challenges of an expanding and developing Chinese academic system. To paraphrase Mao Zedong, the academic system is the ocean in which all academic collaboration swims.

**Unprecedented Expansion**

China's academic expansion in the past several decades has been unprecedented. In 1978, only 1.5 percent of the age cohort attended higher education. By 2010, the proportion had increased to 27 percent and is estimated to expand to 36 percent by 2015. China's higher education system is now the largest in the world, with more than 31 million students enrolled, the majority of whom attend tertiary nonuniversity institutions. The growth of a new private higher education sector has also been unprecedented. There are now more than 800 "nonstate" (private) higher education institutions, enrolling more than 4 million students.

This expansion, while extraordinarily impressive, has created some problems. Dramatic growth, combined with diffuse responsibility for higher education among ministries at the national, provincial, and municipal levels and now shared with the private sector, has created considerable confusion about goals, mission, and funding. While there have been efforts to create a differentiated academic system that identifies specific missions for institutions, considerable confusion remains. Further, a wave of institutional mergers and combinations, undertaken

to create more comprehensive universities and improve quality, has yielded mixed success.

China has been most successful in building its research university sector—by injecting massive resources through the 985 Project. These government-funded initiatives identified about 40 universities throughout the country and provided funding and other support to enable some of them to build world-class facilities and recruit the best professors and students. Perhaps a dozen of these universities are likely to compete with the best institutions worldwide, for talent and prestige. An additional initiative, the 211 Project, provided supplementary funds to an additional 120 universities.

It is, however, fair to say that much of the rest of the system is without direction and often starved for resources. Most universities strive toward a research mission, even if they lack the appropriate staff or financial resources. Many universities borrowed heavily from state-run banks, to build their campuses, and face unsustainable debts that cannot be repaid. The quality of many institutions toward the bottom of the Chinese academic hierarchy is questionable, and graduates of these institutions are finding it hard to obtain a job.

Much of the new private sector is problematical. Only a small minority of the min ban (people run) nonstate postsecondary institutions is authorized by the Ministry of Education to award academic degrees. Others provide certificates of various kinds. Quality varies tremendously, and many institutions are simply trade schools focusing on specific vocational fields, while most are for-profit.

### The Future of Expansion

China faces an uncommon problem. On the one hand, enrollment will significantly rise in the coming decades, as China fulfills its goal of educating 40 percent of the age cohort by 2020. It is estimated that 36 million students will study in postsecondary institutions, which will require continued expansion. At the same time, China's demographic profile is changing. For example, the population of 18-22-year-olds peaked in 2008 at 125 million, but will decline to 88 million by 2020. Postsecondary enrollments will continue to increase, because of the expansion of access. However, the rapid building of facilities that characterized the past few decades will no doubt decrease.

Currently, the access bottleneck seems to be at the top universities, where competition for entry is fierce, and all of the well-qualified students cannot be accommodated. Thus, a growing number of the brightest Chinese students, who might otherwise remain in China if seats at top institutions were available, are going abroad for under-

graduate study. Those who have lower scores on the *gaokao* (national entrance examination) may find it easier to attend a university—but harder to locate employment upon graduation.

### The Academic Profession

Professors are the core of any university. The Chinese academic profession faces significant problems. One-third of academic staff nationally hold only a bachelor's degree—the proportion increases to 60 percent in the new private sector. At the top universities, at least 70 percent of the faculty has earned a doctorate. Academic salaries are low—with the exception of a small percentage of highly productive academics at top universities. Chinese academics do not earn enough to live a middle-class style and must moonlight—that is, accept additional teaching responsibilities on campus or, otherwise, find additional income. In a recent study of academic remuneration in 28 countries, China scored lowest when measured by purchasing power parity measures. There is also a good deal of inbreeding in faculty hiring and a considerable use of *guanxi* (personal connections and networks), as well.

### Governance

Chinese universities are highly bureaucratic, and the concept of shared governance is limited. Senior professors seem to dominate internal decision making. Senior administrators are for the most part appointed by top management but usually with input from relevant departments or schools. The dual management system constitutes a president, with the main responsibility for academic affairs, and a party secretary (now often called the chairman of council), with control over budget, ideology, internal management, and promotions. The party secretary is appointed by provincial or national authorities. Top Chinese universities are moving slowly toward shared governance arrangements more familiar in the West.

### Building an Academic Culture

Effective universities need a vibrant academic culture. Most Chinese universities are still developing such a culture, although the top universities are making significant progress. The elements of an effective academic culture, generally taken for granted in the developed world, remain a challenge in many other parts of the world. Indeed, for China to develop truly world-class universities, the development of key elements of academic culture is required. Otherwise, a kind of glass ceiling is likely to be reached.

Some of the central elements involve a full commitment to academic

freedom—so that scholars and scientists are free to publish and communicate as they wish, particularly in areas of their academic specialty. Unfettered access to information via the Internet as well as in books and journals is also a requirement. The university in all of its functions must be both meritocratic and reasonably transparent. This means that personal, political, and institutional connections must not influence decisions regarding personnel, research, or other academic matters. The academic environment must be free of plagiarism, cheating on examinations, and other elements of corruption. All of these issues remain problematic in many sectors of Chinese academe. Efforts are being made to curb such practices, but they remain ingrained in the system.

## Conclusion

Universities and academic systems worldwide face an array of 21st century challenges. China's higher education institutions are not exempt to contemporary turmoil. As an expanding postsecondary system still in the process of building both enrollment capacity and academic quality, China's challenges are different from those facing the developed world. Yet, problems exist, and foreign institutions seeking to engage with China's expanding academic system must fully understand these realities, when considering possibilities for engagement.

# 18
# China's Elite Sector and National Projects

*Wang Qi*

Socioeconomic transformation and growth in China have led to unprecedented changes in higher education, in the last three decades. National initiatives to enhance leading universities' capacity and competitiveness include the 211 and 985 Projects. The history of such initiatives can, however, be traced back to the early 1950s, when the Ministry of Education recognized six universities as the "key universities." Since then, a system of key universities has been formed and developed, which has greatly influenced and shaped higher education structure and reform in China.

### Identifying "Key Universities" (1950s to 1960s)

Soon after the founding of the People's Republic of China, the government realized the significant role of higher education in nation building. Based on the Russian experience, the government issued the Decision on Key Universities and Terms of Reference. This program stipulated that the main responsibilities of key universities were to train a high-quality workforce and to develop a high-quality teaching force. Six universities were selected and recognized as the key universities for concentrated development. From the late 1950s to the 1960s, three further groups of universities were awarded a key university status by the government.

This stage was initiated and supported by the government, in response to national socioeconomic needs. Key university status was awarded by the government, but the criteria were not clear. Furthermore, instead of providing substantial funding support, the relevant policies and regulations only emphasized the role of teaching and training for the workforce, with no follow-up evaluation of these selected universities' performance.

### Resuming Key Universities" (1970s to 1980s)

These policies and initiatives were disrupted during the Cultural Revolution and resumed in 1978, when the Report on the National Key Universities Recommencement and Development was issued by the State Council. The report emphasized the role of national key universities as "the centers of teaching and research in higher education" and solving the key scientific problems regarding modernization. It reiterated that these model universities would lead higher education reform in China.

Since then, the system of key universities has been institutionalized. The number of key universities increased from 64 in 1963 to 97 in the late 1970s. In 1980, key universities were the first in the nation to offer graduate-degree programs. Attention has also been given to both basic and applied research in these universities. Regulated in policy documents, research funding was invested in key universities and research centers. Governance reform was also introduced in the key universities—in terms of leadership, teaching resource allocation, and student recruitment. In addition, the administration of these key universities was restructured. All of the key universities defined during this stage initiated public institutions, administered by the central ministries; but in the 1980s, the number of universities affiliated with the central ministries reduced substantially and a large number of which were relegated to a co-administration between the central ministries and provincial authorities.

### The 211 Project

Higher education expansion and restructuring in the 1990s produced a large quantity of highly skilled workers and, to some extent, served the skill demands of economic development. However, the government realized the country's relatively weak performance of knowledge creation and innovation, which required overall quality improvement in its higher education sector. It was in this context that the 211 Project was implemented in 1995 by the Ministry of Education and the Ministry of Finance.

The 211 Project objective is developing about 100 universities and a number of key disciplines by the early 21st century, to take a leading position in the country's socioeconomic development and in international competition. This funding scheme focuses mainly on four aspects of development: disciplinary and interdisciplinary programs, digital campuses, faculty, and university infrastructure. Currently, the 211 Project is in its third phase, with 109 universities listed in the project, so far.

The 211 Project differs from the earlier initiatives of simply "listing"

key universities both in their scale and by actually identifying and funding the means by which excellence in Chinese universities can best be promoted. Due to the large number of universities and research centers supported, however, the investment in each individual university has been rather limited, which has tended to reduce its institutional impact.

### The 985 Project

To further enhance the public funding for higher education, the government launched the 985 Project, in 1998. This project again reflects the government's goal and efforts to develop a tertiary education system of international stature. The Ministry of Education issued the Action Plan for Education Revitalization for the 21st Century and implemented the 985 Project to establish a number of "world-class" universities and to develop a number of key research centers of excellence. This project aims at exploring new mechanisms for higher education governance, improving universities' global competitiveness, and developing a path for building worldclass universities, but with Chinese characteristics.

The 985 Project has thus far supported 39 selected universities, with financial investment from both the central and the local governments. The accompanying policy document identified 9 of the selected universities—considered the "Chinese Ivy League"—as being at the top of the list and designated to be developed into world-class universities. The remaining 30 institutions are expected to develop the slightly lower status of the existence of "international repute." More than half of the central government funding was concentrated in the top 9 universities.

Both the 211 and 985 Projects intend to build excellence in teaching and research in Chinese higher education and are stimulated by both national and institutional needs to provide a solid base, to develop the elite sector. The 985 Project has provided the participating institutions with greater autonomy in governance to improve their national and international competitiveness and to narrow the gap in academic achievement, research performance, and science innovation with their counterparts in the world.

### Impact of Developing the Elite Sector

The development of key universities since the 1950s and the implementation of the 211 and 985 Projects have had significant effects on the development of higher education in China and of higher skills. It offers opportunities for an open discussion to improve quality and explore potential routes and mechanisms to adopt in future higher education reform.

These projects have created a culture of excellence in some Chinese universities and enhanced awareness of international competition. Universities in the elite sector have played an increasingly critical role, in rejuvenating higher education as a whole and implementing socio-economic reform in China. The overall capacity of leading universities, in terms of teaching and research, has been enhanced. A group of high-quality research centers has been built, which in turn have contributed to cutting-edge research and knowledge creation. The elite universities also act as models to nonelite universities.

This development of the elite sector, however, also raises issues and reflects weakness in the Chinese higher education system. First, the current policymaking mechanism lacks well-designed public participation. A top-down policymaking approach can save costs but may potentially neglect demands from the society, universities, and students. Second, the elite-sector development in general is managed and organized with little transparency in the process of institutional selection and evaluation and with no publicly available clear criteria and requirements.

# 19
# Reform at Peking University

*Min Weifang*

China's transition—from an ossified, centrally planned system to a dynamic market economy—coincided with the revolution of information technology and the rise of the knowledge-based economy. These dramatic changes provoked a series of reforms at Peking University

**From Overspecialization to More General Education**

Changes in teaching and learning have been the core of reforms. Under the centrally planned economy, students were enrolled, trained, and distributed as elements of production, which was characterized by overspecialization from the beginning. Students were usually locked into a narrow field of study and had little flexibility or capacity to adapt to the technologically and economically induced changes. As the transition to a dynamic market economy proceeded, the rapidly changing needs of the labor market and accelerated rates of technological renewal called for a more competitive, flexible, and adaptive labor force. Facing these challenges, Peking University took the lead in curriculum reform. In the mid-1980s, it proposed new guidelines for undergraduate teaching and learning, calling for broadening the focus of study, emphasizing a wider knowledge base through more general education.

In 2001, Peking University went further along this line, by setting up Yuanpei College, in which students study broadly in humanities, mathematics, Chinese and foreign languages, natural, and social sciences in the first two years; and beginning in the junior year, students choose a major field of study according to their interests, aptitudes, and career expectations. This special college has become more and more popular among students. Increasing numbers of prospective students apply to enter this college, each year. The graduates of the college said that this program helped them get a well-rounded education and provide a useful background to the other courses they took later, prepared them

for lifelong learning, and made them more flexible and adaptable to labor-market changes. Interdisciplinary studies have been encouraged: students in humanities and social sciences are required to have basic knowledge in science, mathematics, and informatics, while students in science and engineering are required to have basic knowledge of humanities and social sciences.

At Peking University, teaching and learning reforms marked a shift from emphasizing the memorization of factual knowledge to the cultivation of creative and critical thinking, problem solving, and information acquisition and generation as well as intellectual independence. The economic transition and the knowledge revolution changed the basic philosophy of teaching and learning. Reform in teaching and learning has not only encouraged students to acquire existing knowledge but also to develop the ability to explore and project what will happen in the future. Thus more heuristic and participatory methods of teaching were adopted. Young people should not be trained for short-term jobs; they should rather be assisted to learn to cope with upcoming challenges, throughout their life.

### The New Financing Patterns

The fast-growing economy, the rapid advancement of science and technology, and increased individual income place ever-greater demands for university education. The enrollment of Peking University increased from around 15,000 in the mid-1990s to about 35,000 in 2011/12 (almost 15,000 undergraduates, 12,000 master's, and 8,000 doctoral degree students). Previously, Peking University was completely financed by state appropriations. Given increasing financial pressures, regular state allocation could not meet growing needs. A new financing pattern at Peking University was gradually developed.

First, fund-raising has become one of the top priorities of university leaders. Through significant learning from international universities (mainly American universities), Peking University was one of the first in China to set up a university foundation, which has two functions—one is fund-raising and another is management of the endowment. When it started operating in 1995, the foundation had nothing but a desk. In the past 16 years, it has raised more than RMB 3 billion, built a dozen new buildings for the university, and accumulated RMB 1.6 billion in endowment. University leaders work together with the foundation staff on all the major gifts. The alumni network was strengthened for purposes of longterm resource mobilization.

Second, a cost-sharing system has been implemented. Peking University charged students no tuition, for most of its history. It also provided

free dormitory and other subsidies for students, which amounted to about 20 percent of the total recurrent expenditure. Along with economic transition, the private rate of return to university graduates has grown quickly. It is logical for individuals who benefit from university education to share part of the cost. Peking University began to charge tuition and fees in the late 1980s, as one of the strategies to address budget constraints. Current annual tuition equals about RMB 5,000, accounting for less than 20 percent of the unit cost per student. At same time, a financial-aid system was set up for students from needy families.

Third, Peking University also received a large amount of special funding from 211 Projects and 985 Projects, for upgrading to a world-class university. Peking University has been part of a reform effort to change the structure of government spending on education.

Fourth, the university has taken advantage of its scientific and technological innovations to generate revenue by licensing patents or by spin-off companies, such as the Founder Group—the largest spin-off company in China, with a business volume of RMB 50 billion and net profit of RMB 2 billion in 2010. Peking University has also generated funds through research contracts, technical consultation to private enterprises, and providing commissioned training for industries. With the new financing strategies, the total annual cash flow of Peking University increased from less than RMB 200 million in 1995 to more than RMB 7.5 billion, in 2011.

### Emphasis on Quality Assurance

Maintaining and improving quality during the rapid expansion of enrollment has become a major concern of Peking University leaders. They stabilized the enrollment at its current size and paid more attention to quality, by first setting up quality indicators for teaching including quality of graduates—with a wide-knowledge base, critical and creative thinking, intellectual independence, problem solving and innovation capacity and skills, team-work spirit and ability, sense of social responsibility, and aesthetical and healthy, well-rounded developed people. Emphasis on research is placed on knowledge creation, breakthroughs in a new and high-tech area, high-impact factor of paper published, and think tanks for national policymaking.

Senior administrators have focused on quality inputs—such as establishing leadership for quality-assurance procedures, quality faculty, and infrastructure; quality throughputs, such as close monitoring of the teaching and research; and evaluation of quality outputs against the established quality indicators. They do believe that quality, not quantity, will make Peking University a world-class university.

## Changing Attitudes and Culture

In implementing the reforms, Peking University has run into many problems and challenges, due to both structural and psychological inertia. The existing academic structure, the faculty-knowledge structure, and the old way of teaching engendered resistance to the curriculum reform. The university had to persuade and retrain teachers, get rid of the hopeless ones, and recruit a large number of new faculty members. When implementing financial reforms, university leaders and the deans did not know how to raise funds initially. The university invited international experts to run training programs, and staff were sent to American universities, such as Stanford, to learn how to produce such a course of action.

When tuition and fees were introduced—students, parents, and the society at large felt that "this is not a socialist way." The university faced pressure and criticism at the beginning. Even today, many people still oppose the charging of tuition. They believe that the state and university should carry the full burden of cost, as before. It was even more challenging to introduce standards of quality assurance, which first required massive faculty development programs and painful personnel reforms, especially when firing incompetent teachers. It also required updating of expensive teaching and learning equipment and facilities. More importantly, it had to embed the idea, in the mind of the teachers and students, that quality must be at the center of the university life, which was simply not the case before.

## Conclusion

The discussion above just touched a few major areas of reforms at Peking University. There are additional reforms at this university—in areas such as personnel policy and faculty development, student enrollment, job allocation, and internationalization. Along with the economic transition, all aspects of the university have been undergoing profound changes. Transformation is constant in order to fully appreciate Peking University, and today one has to assume a dynamic perspective.

# 20
# China's Internationalization Strategy

*Yang Rui*

Since the final period of the Qing dynasty at the beginning of the 20th century, internationalization of higher education has been regarded as essential to China's salvation. In the early stages, internationalization was seen as a process of attaining Western knowledge and technology, to make China strong—in the words of the Chinese intellectuals of the time, to "learn from the barbarians to ward off the barbarians." This understanding of internationalization remained largely unchanged, until China's recent rise to international prominence. During the past one and a half centuries, the priorities and measures of China's internationalization have changed in accordance with the global political economy and China's position within it. Over time, China's education system has imitated different Western nations, for standards—initially Japan, then leaned toward the structure of the former Soviet Union, and more recently turned to Western countries. While the central purpose of learning from the technologically advanced West persists, a most interesting trend in China's internationalization strategy is to export Chinese knowledge.

## Vigorous Strategies

The most striking feature of China's strategies for internationalization has been the initiative to engage actively with other nations. China's embrace of English language is particularly significant. Recognizing the dominance of English, China has initiated various policies to adopt the global language instead of resisting it. Examinations in Chinese schools at all levels include English-proficiency tests. English is widely required in the promotions of academics, including many whose work requires little use of the language. Scholars and students in major universities have little difficulty in communicating with international scholars. Their English proficiency has contributed

to China's current successful interaction with the international community. Peer-reviewed papers, published by Chinese researchers, rose in a 64-fold increase over the past 30 years, with over 80 percent published in English.

**International Integration and Imitation**

Internationalization in China poses various dilemmas and paradoxes, partially resulting from the tendency to imitate other countries. In China a concern exists of the potential loss of educational sovereignty, with an increase based in the expanding foreign activities in the country. This tension is reflected on the tightly centralized higher education system, with its nominal emphasis on socialist ideology. Thus, a policy requires foreign institutions to partner with Chinese institutions—with no fewer than half of the governing-body members of that institution to be Chinese citizens and the post of president (or the equivalent) to be a Chinese citizen residing in the country. This requirement has led to some ambiguity of the legal status of foreign activity. Rather than an integrated part of the higher education system, the Chinese tend to see foreign activity as a supplement to develop the national higher education system.

The dilemmas have caused contradictory decisions, as well as inefficiency. For instance, the central government aims to import the world's most-advanced educational ideas and practices to boost the capacity of Chinese universities. However, universities leverage the prestige of an international partnership when marketing programs to local students. This ambiguity of both purpose and legal standing reveals that foreign activity has not formed the desired upgrading of the national system of higher education or attracting foreign capital to Sino-foreign-joint programs. To date, China has failed to integrate foreign activity into its national regulatory framework. Furthermore, the central government approves the forming of joint education programs, in line with the existing legal frameworks and guidelines. However, the lack of ongoing supervision has left the responsibility for quality entirely to the hands of the local teaching staff and program coordinators.

There are significant patterns as well as disparities in China's purposes and strategy for internationalization. Diverse institutions within the system similarly pursue to partner with the same countries and institutions and even in setting the same goals and mechanisms for partnerships. The same names, especially Harvard, Stanford, and Massachusetts Institute of Technology, are repeatedly referenced by national flagships, such as Peking and Tsinghua University—by regional specialized institutions like the Ocean University at Qingdao in Shandong

Province and by Xinjiang University, in an ethnicity area neighboring Central Asian Islamic countries.

At the same time, differentiation among Chinese higher education institutions is increasing. China's best institutions have already integrated internationalization into their daily work and life—by teaching students from overseas, publishing in foreign languages outside China, participating in professional activities within the international community, and creating environments increasingly populated by people of various cultures and races. Yet, internationalization is hardly visible in regional institutions. As academics at major institutions are pushed to publish in English-speaking countries and collaborate with peers there, such pressure is nonexistent for their counterparts at regional institutions. A few quiet achievers, such as the institutions in Guangxi Autonomous Region and Yunnan Province, do have important collaborations and exchanges with counterparts in the Southeast Asian countries—regarding student exchange, joint programs, pre- and in-service civil service training programs and comprehensive teaching and research collaborations.

## From Importing to More Exporting

Lately, a new form of China's internationalization is taking shape, shifting from the one-way import of foreign (Western) knowledge to a much-improved balance for introducing China to the world. Since the early 2000s, China has begun to pay more attention to exporting Chinese knowledge to the world. In 2008, students coming to China to study (223,499), for the first time, outnumbered those leaving China to study abroad (179,800). The number of foreign students in China reached 265,090, in 2010.

The country's strategies for internationalization, during this new era, are innovative in many ways. With greater prosperity, China has shifted from being an aid recipient to a donor nation. China is offering many more scholarships to attract students from overseas, targeting much of its aid to developing countries, while establishing Confucius Institutes worldwide. Meanwhile, the country emphasizes leading roles for Chinese scholars in international collaborations, focuses more carefully on the reputation of international partners, and spares no effort to mobilize the Chinese diaspora more effectively.

## Conclusion

Few decisions of the 20th century have had as profound an impact on the 21st-century world as Deng Xiaoping's announcement of an open-door policy, in 1978. Deng was prophetic and ambitious, wanting

to create bridges by sending Chinese students to study overseas and encouraging Chinese universities to exchange and cooperate with their counterparts worldwide. Three decades later, China's rise is becoming increasingly clear. Considering the nation's growing global role, internationalization of higher education has an even more significant part to play. Its development in this new era requires a mixture of vision and boldness. Overall, China's strategies for internationalization have been effective and highly pragmatic, focusing heavily on initiatives with tangible and immediate results—from hardware and lab facilities to international publications and research projects. Nevertheless, there are challenges at all levels. China's eagerness for quick success often results in serious problems—such as, failing to consider different local needs or trying to transplant every iota of foreign educational policy and institutions onto Chinese soil, without a coherent and integrated plan.

# 21
# US and Chinese Partnerships and Their Dilemmas

*Kathryn Mohrman*

Thousands of partnerships exist between US and Chinese institutions of higher education, ranging from research agreements between two professors to branch campuses offering American degrees. Virtually every American institution is thinking about China—as a source of students, a study abroad opportunity, and a vehicle for internationalization of the home campus. This article offers several questions that academic leaders should ask about the partnerships they have and future partnerships that might arise.

### Does a China Initiative Align with an Overall Internationalization Strategy?

It is imperative to clarify your goals—for example, a plan to recruit more Chinese undergraduates as a budget-relieving strategy is quite different from the strategy to develop a joint-research program in engineering. Too often, the proposal comes from an enthusiastic individual, perhaps a faculty member pressing for an exchange agreement with his or her alma mater in China or a board member declaring: "My company is opening a plant in China so our institution needs to be there, too." Unless both sides see a link to institutional priorities, the partnership probably should not be pursued.

### How to Get Started?

If you are not already involved in a partnership, how should it be started? Often the initiative begins with personal contacts—one of your faculty members has colleagues abroad, conversations begin at a conference, or a delegation from a Chinese university asks to visit your campus. Perhaps your hometown has a sister-city relationship

with a city in China. You might read an article in the *Chronicle of Higher Education* about a Chinese institution engaged in something closely related to your priorities and thus make a contact with them. Admissions officers at your campus participate in a college fair for prospective Chinese students. Most higher education associations in Washington have international offices able to suggest potential partners. The initial activity should link to your overall internationalization strategy, but you may need to be opportunistic in determining the specifics. Once you have identified a possibility, you should ask the following questions.

**Are There Necessary Resources for a Long-Term Partnership?**
Financial investments immediately come to mind when talking about resources, from transportation to financial aid to printing brochures in Chinese. Do you have a realistic estimate of what it might cost? Are you prepared for a multiyear commitment before seeing a significant return on your investment?

Yet, human resources are often more relevant than money. Professors and staff members born in China understand the nuances well, but are they willing to accept responsibility for a partnership? Do you have someone who can evaluate Chinese transcripts, and how will you determine if they are legitimate? Are your faculty members interested in teaching in China? Many professors jump at the chance to visit China— once—but they are not prepared to do so year after year.

The human resources on the Chinese side are equally important. Do Chinese faculty interests and strengths align well with professors on your campus? If American faculty intend to teach in China, does the target student group have sufficient language skills? When the inevitable snags occur, is there someone in a position of authority at the Chinese university to untangle things? In general, department chairs and even deans cannot make independent decisions; seemingly simple problems go up to vice presidents and even presidents. All Chinese institutions have a parallel structure of Communist Party officials that play an important role in decision making; it behooves you to know who they are in addition to the academic officials.

**What Is Your Policy Regarding Limited Academic Freedom and Free Access to Information in China?**
The Chinese government has much tighter control over its colleges and universities than we do. Especially in the humanities and social sciences, some topics are very sensitive. The government might even intervene in something as seemingly innocuous as a student journal.

On November 28, 2011, Bloomberg News published an article entitled, "China Halts U.S. College Freedom at Class Door," outlining difficulties at the Hopkins-Nanjing Center—a long-standing program with strong guarantees on academic freedom—but only within the walls of the center. A proposed journal featuring papers written by Chinese and American students was to be widely disseminated but ran afoul of political sensitivities. Partnerships involving less prestigious universities are even more vulnerable to government sanctions on activities ranging from curriculum to movies included in the program.

Similarly, how will you deal with restrictions on Internet access, the so-called "Great Firewall of China"? It is important to be open with your partners about your expectations and then be prepared for uncertainties, on exactly where the line will be drawn.

**Are You Ready for Surprises?**

Even when Chinese partners speak fluent English language, the same words do not always mean the same thing across cultures. A signed agreement is a quasi-contract to most Americans but may be considered simply a statement of aspiration to Chinese.

There are many ways to say "no" in China, but rarely will you get a direct "no" to your question. Saving face is important, so "maybe" or "let's talk further" or "we will consider" might simply be a way to say "no" without doing so directly. Because everything seems to need approval by someone else, good intentions by the person with whom you are speaking may not be matched by his or her superiors.

Thus, things can change, sometimes 48 hours before you intend to get on the plane and fly to Shanghai. Chinese institutions are amazingly adept at putting things together on short notice, but the last-minute nature of Chinese organizations can be difficult for many Americans.

**How Will You Assess Program Quality?**

Unless professors from your own campus are teaching in China, you will be hiring local academics. Questions of equivalency can arise, especially with part-time faculty or persons educated outside of Western universities. It is vital to have the commitment of key faculty and administrators, on the home campus, who will help to assure quality standards. Chinese accreditation procedures are still in their infancy, and critics accuse the system of serving an "old-boy network," above enforcing recognized standards.

Recruiting Chinese students raises another quality concern: the nature of prior preparation. Many families use agents to help their child apply to American universities; some are legitimate, and some are less

so. Stories abound about phony letters of recommendation and even fraudulent SAT (Scholastic Aptitude Test) and TOEFL (Test of English as Foreign Language) scores.

The issue of program quality applies to any kind of Chinese partnership: Is the program a credit to your institution? Will your campus be more international as a result? Too many programs run on automatic or remain within the fiefdom of a few enthusiastic individuals.

**Do You Have an Exit Strategy?**

Even with the best of intentions on both sides, partnerships may need to end. Your decision may be financial, based on the number of students involved, the benefits to a global curriculum, or the dissatisfaction of a donor. A wise agreement has a fixed term, with options for renewal rather than being open ended.

**Conclusion**

Chinese partnerships require patience. It often takes longer to establish a program than optimistic Americans suspect. Chinese institutions must obtain official permission, simply to host an international speaker on campus. Thus, the bureaucratic hurdles are much higher to establish a formal partnership. Recently, Michigan State withdrew from offering degree programs at its campus in Dubai, because student enrollments fell below estimates in the initial years; similar problems arise in China.

Sometimes, however, expectations go the other way. Because China is a top-down culture, even degree programs can be established very quickly, once the leaders decide to move ahead, while the American academic decision making is slower. This mismatch in procedural timetables can cause real misunderstandings about the seriousness of the American commitment.

University leadership must examine whether a China initiative is the best use of scarce resources. What are the benefits to students and faculty on the home campus? These and other questions need to be asked and discussed thoroughly before venturing into unfamiliar waters.

In summary, you need to exercise due diligence, but you also want to connect with China—a rising power and one-quarter of the world's total population. For more suggestions, look at "International Partnerships: Guidelines for College and Universities," published by the *American Council on Education*.

# 22
# China and the Community College Connection

*Dona M. Cady*

For many community colleges, the first useful step in crafting an international strategy toward China is obtaining crucial institutional support from upper administration. Whether this initial academic and fiscal buyin occurs through mission statements, strategic planning, faculty advocacy, or with personal connections—what is key is a consistent institutional commitment.

### Building Internal Commitment and Capacity

In the case of Middlesex Community College, in Massachusetts, a visit to the East-West Center in Hawaii by the president-elect was foundational to a 22-year continuing relationship with the Asian Studies Development Program (ASDP), a joint effort of the East-West Center and the University of Hawai'i (http://www.eastwestcenter.org/education/asian-studies-development-program). ASDP offers programs to two-year and four-year colleges and universities—including summer residential institutes, field seminars, and mainland workshops—and an annual academic conference. Director Peter Hershock notes that "ASDP's model of curriculum development through faculty development has proven successful in meeting challenges that face schools committed to the more general goal of building Asian studies capacity, [and] this model has proven particularly effective in simultaneously generating 'bottomup' initiatives attuned to classroom and departmental realities and 'top-down' support sensitive to broader institutional needs and missions."

The importance of "bottom-up" initiatives cannot be overstated, for while administrative support may pave the way, it is the faculty who drive on it. And this is what happened at Middlesex. Several faculty

attended the first ASDP Summer Infusing Institute in 1991 and returned energized about China. They incorporated two- to three-week modules into their curriculum and began to spread the word in and out of the classroom. There were bumps. One early, enthusiastic faculty member traveled alone to China for a teaching exchange and found herself isolated, sleeping on a cold floor, and in desperate need of an electric blanket, which our president promptly overnighted.

**Sustaining Initiatives**

With any global outreach, and not just China centered ones, institution-to-institution relations can be relatively weak in the absence of person-to-person connections. An advantage of the ASDP approach includes an emphasis on developing faculty knowledge through a summer institute, often followed the next year by a month-long field seminar; a group activity with 14–16 faculty traveling together and staying on university campuses across China, so that participants interact personally with faculty at various Chinese universities in ways that are quite open; and establishing personal connections that enable institutional ties to begin with concrete plans rather than abstract ones.

Concrete plans demand coordination—somebody's got to do it. At Middlesex, an early adopter faculty was given release time to facilitate faculty applications for outside funding—such as ASDP, National Endowment for the Humanities, and Fulbright-Hays programs—as well as to organize Asian focused workshops and conferences. The associate provost handled international outreach and budgetary concerns—key to making that way smooth. A small cadre of faculty volunteers assisted this efficient and effective approach—all good work. However, as players retired and budgetary and international priorities shifted, the initial enthusiasm toward China waned. China was the sleeping giant; other countries were more interesting. The two-week student travel to China—a yearly trip offering three credits funded by the Middlesex Community College Foundation—gave way to other trips. Personal connections in China, fostered throughout the years, faded until several years ago, when a new generation of faculty emerged, who were interested in China. Mentored by an early adopter, they volunteered their time to organize five workshops, one national conference, secure a spot in an ASDP Chinese Language and Culture Program and a National Endowment for the Humanities Bridging Cultures grant.

Looking at organizations, then, such as ASDP, the National Committee on United States-China Relations, and the recently launched Confucius Institute initiative of the Chinese Ministry of Education

Hanban provide valuable connections to resources and exchange opportunities for faculty and students.

### Integrating the China Initiative

At any institution, but particularly at community colleges that primarily focus on first- and second-year course work, there needs to be a clear and unified programmatic strategy—not an approach solely dependent on personnel changes or silo activity by faculty. Identifying key faculty and administrators to move the global agenda forward, while supporting their work with a dedicated budget, is absolutely fundamental to programmatic success. Constant scurrying for uncertain funding saps time, resources, and faculty/student trust in programs.

In the past year, Middlesex's new strategic plan recommits to globalization and in particular, through a dedicated administrative position, to Asian Studies. The college has also approved a liberal arts and sciences Global Studies Concentration with an Asian studies (China focused) option. Because of this work, the college has recently received significant scholarship funding from a local company with China interests to underwrite Chinese-language instruction and student travel to China, including the possibility of a long-term internship program.

### Conclusion

The primary outcome, often forgotten, is the student experience. As instructors bring new and diverse perspectives into their scholarship, curriculum development, teaching and leadership, and as they build great programs that make a difference in the classroom, what happens if no one enrolls? While faculty and administrative efforts are key—the bottom-up and top-down dynamics—without the horizontal, peer-to-peer buzz about international studies, it is very difficult to begin giving more than lip service to internationalizing undergraduate education. Students are the best marketing and sales force on campus when it comes to ensuring the kinds of enrollment that ultimately allow for truly sustained institutional commitment. Top-down, bottom-up, and side-to-side—you will need it all.

# 23
# Planning a Physical Presence in China

*Andrew Scott Conning*

When many universities are considering how to structure their future engagement with China, it is useful to consider the various legal, institutional, and financial models used by foreign universities for establishing a permanent physical presence in China and the lessons their experience offers. This article discusses only permanent facilities, and excludes language and study-abroad programs hosted by Chinese universities.

### Legal Models

Foreign universities operating in China may legally incorporate themselves in three ways. A *representative office (daibiaochu)* status allows a university to maintain staff in China, for the purpose of conducting unremunerated activities—such as, developing contacts, recruiting, fund-raising, and providing logistical support for study-abroad programs or faculty research. A representative office status may be used as an inexpensive method for establishing a simple liaison office, as an initial presence to expand activities. However, in 2011 the central government issued stricter regulations on the scope of activities for such offices—as well as, additional compliance requirements, including an annual reporting scheme. Moreover, capital requirements for incorporating—under the more flexible status of "wholly foreign-owned enterprise"—have declined, making the latter option preferable under most circumstances.

Wholly foreign-owned enterprise status allows a university to engage in for-profit (but nondegree) educational, training, and consulting activities and to expatriate funds. Unlike representative offices, these enterprises can sign contracts, issue invoices, and hire local employees without going through a local middleman. However, a wholly foreign-owned enterprise may only be registered as a for-profit, taxable

enterprise, established as the university's corporate affiliate—a prospect that may not appeal to a university's board of directors. Unfortunately, it is not possible, at present, for a foreign university to establish itself as a nonprofit entity in China.

To offer formal-degree programs in China, a foreign university must establish a joint legal entity, with a Chinese partner institution. Any such program must be approved by the Ministry of Education and subsequently operate under the ministry's supervision. This includes annual reporting and auditing processes, as well as penalties for regulatory infractions or mismanagement. A joint legal entity is even more strictly regulated than a wholly foreign-owned enterprise, which may operate nondegree educational programs without being subject to government supervision.

**Institutional Models**

In accordance with their specific priorities, foreign universities have pursued a variety of institutional models for establishing a permanent physical presence in China. The least ambitious operational model is the liaison office, which allows a university to conduct the activities listed above under the representative office corporate status. A somewhat more ambitious model for a physical facility in China is the university center, which allows an institution to engage in a broader array of activities—such as, (nondegree) executive education, training programs, and consulting (all of which require the wholly foreign-owned enterprise status). A university center may be located on a Chinese campus (as the Stanford Center at Peking University), near one or more campuses (as the University of Chicago Center and the Columbia Global Center, both located in the Haidian university district in Beijing), or in a central business district (as the Harvard Center in Shanghai). These centers are designed to accommodate study-abroad courses, host academic gatherings and training programs, support faculty research projects, promote interuniversity collaborations, and serve as a base for engagement with alumni, prospective students, and the Chinese public. By providing permanent facilities and logistical support for such activities, centers can be a more efficient and cost-effective way to coordinate a range of activities, rather than requiring separate units within the university, to make ad hoc arrangements. Like a liaison office, a center can be run as an independent entity, without the need to enter into a joint venture. If run independently, a center is relatively easy to restructure, relocate, or close—should conditions change or the venture prove unsuccessful.

Unlike liaison offices and university centers, formal degree programs must, under Chinese law, be run jointly with a Chinese institution.

Among joint ventures, it is useful to distinguish between focused joint ventures and full-scale jointventure campuses. A focused joint venture is typically or a degree program or a research institute managed in conjunction with a Chinese partner. The oldest such program is the Johns Hopkins University-Nanjing University Center for Chinese and American Studies, established in 1986, which offers certificate and master's degree programs in a single discipline—International Studies. Another example of this model is the University of Michigan-Shanghai Jiao Tong University Joint Institute, established in 2005, which offers bachelor's, master's, and PhD degrees in engineering. The most ambitious model of foreign university presence in China is the full-scale, joint-venture campus, offering degree programs, in a wide range of disciplines. The first two of these were the University of Nottingham Ningbo China, which opened its doors in 2004, followed soon after by Xi'an Jiaotong-Liverpool University (in Suzhou), in 2006. Two new joint-venture campuses are scheduled to begin operating in 2013: Duke Kunshan University (with Wuhan University) and New York University Shanghai (with East China Normal University). These campuses have for the most part been established—under a model, in which the foreign partner provides expertise in how to structure and administer a research university in exchange for land, facilities, and/or local administrative staffing.

### Financial Models

Although few foreign universities are looking to generate net revenue from their China operations, all aim to be financially sustainable. Revenue models include tuition fees, research commercialization, private fund-raising, executive training programs, and government funding—each of which presents its own set of challenges. Tuition fees may only be collected by universities offering degrees jointly, with a Chinese partner, and are subject to government approval. A tuition-dependent revenue model may end up far from secure, because the population of college-age Chinese will decrease in the future. Growing prosperity in China will give more students the means to go overseas for college, and competition from Chinese universities will continue to improve. In this environment, most types of educational programming will require substantial subsidies from program partners or philanthropists, although business education programs may be self-sustaining.

At the other end of the spectrum, the commercialization of research has not yet proven viable as a revenue model in the Chinese setting. Similarly, private fund-raising is still relatively weak within the People's Republic of China, and some potential donors may be seeking to buy a

seat in the next freshman class. Some foreign universities have earned income through non-degree-executive education and other training programs. However, such programs are subject to heavy taxation and may not be advertised for open enrollment unless offered in partnership with a Chinese educational institution. Finally, government funding has been critical to numerous foreign university ventures in China, but funding for the construction of capital facilities has recently been curtailed. Moreover, foreign universities have had mixed results in applying for government research grants. Despite the various sources of funding mentioned above, most programs will require substantial subsidies over the short term at least.

## Conclusion

International universities have experimented with a variety of models for operating in China, in accordance with their own priorities and in response to Chinese laws that force them to operate in awkward or unaccustomed ways. Numerous institutions have established liaison offices as an initial presence, aimed at coordinating various unremunerated activities. Other universities have begun opening university centers to support a broader range of activities—including, consulting and nondegree training. To date, these have been top research universities, serving a broad range of engagement with China. Still, other universities have chosen to establish joint ventures focused on a single-degree program or research institute, while the most ambitious universities have opened or planned full-scale, joint-venture campuses, aiming to maximally expand the institution's international profile and impact. As government funding for university expansion tightens, it will become more difficult to finance the construction of new Sino-foreign campuses. In this environment, an increasingly popular model may form the university center, allowing a foreign university to increase its engagement with China and earn revenue from nondegree educational programming, while maintaining institutional independence and flexibility.

# 24
# Applying to US Institutions: The Chinese Student Dilemma

*Linda Serra Hagedorn and Zhang Yi (Leaf)*

Students from China choose to study in the United States for a quality college experience, as well as a prestigious degree. While the wide variety of US colleges and universities and the assortment of majors that they offer is enticing, it may also be overwhelming to those not familiar with the country's system. Thus, many Chinese students choose to use an education agent to assist their college application process.

### Growing Reliance on Agents as Intermediaries

Also known as education consultants, education agents are third-party entities paid (either by students, foreign universities, or both) to assist students to find, apply to, and/or prepare for college overseas. In fact, the use of education agents to assist in finding a US institution fitting academic goals and personal interests is a prevalent practice for Chinese students. It is also common for students to use agents to assist in the application and visa processes.

Chinese societal changes, specifically the "one-child per family" rule, have increased the possibility that Chinese families might have the monetary resources to send their only child to US colleges. Most of the students are the first in their families to study in the United States. Just like first-generation US college students, these students lack the familial guidance and self-assurance to embark on a complicated process without additional support.

Due to the lack of understanding of the college application process in the United States—typically complicated by English-language difficulties—a large number of undergraduate and a smaller number of graduate students, often spurred by their families, choose to seek help from professional education agents. Hundreds of thousands of Chinese

students have been admitted to US institutions, with the assistance of agents. Education agencies have become a booming business in China and elsewhere. As of January 2012, over 400 registered agencies were viewed in China; many of them with multiple offices in various major cities. How many agents actually operate in China is unknown.

**Ethical Concerns**

The use of agents is a controversial practice that has been criticized by the US Department of State. Organizations involved in the college admissions process—such as, the National Association for College Admission Counseling, Internationalization, American Association of Collegiate Registrars and Admissions Officers, Higher Education Consultants Association, and Independent Educational Consultants Association—have issued strong statements against the use of agents. These warnings are a direct response to the reality that not all agents practice with the main ethical standards. Some agents prioritize monetary gains over students' education opportunities and thus may mislead students, cause them financial losses, and negatively impact their futures. In our past research, evidence was found of an unethical practice: students were overcharged, paid for unnecessary services, and in some cases—to insure admissions—the agents wrote false recommendation letters and forged students' personal statements.

Because they are not aware of the application process, both parents and students could easily be misled by agents, uncertain about the required criteria, and may overestimate the difficulty of the college application process. Many parents and students mistakenly assume that their visa application is more likely to be approved if they are working with an agent. They may also have difficulties understanding the contract, necessary procedures, or which services to request from the agent. Thus, in the relationship with agents, students heavily depend on the agents and have limited resources and knowledge to prevent unethical practices.

On the other hand, education agents who operate ethically and with the best interests of students in mind could help students in choosing a country, institution, major field, preparing college application materials, initiating contact with necessary personnel, translating documents between English and Chinese, preparing visa application materials, and even providing training for English-language tests (i.e., the Test of English as a Foreign Language or International English Language Testing System).

Typically, agencies operate through payments from the students, using their services. Typical costs may be as high as several months of salary for a middle-class Chinese worker. In addition, many agen-

cies also rely on commissions paid by colleges or universities, who are seeking international students. Institutional policies vary greatly and are currently under serious scrutiny. Typically, public universities have policies against paying education agents but may pay a commission, when agencies bring students to their language institutes. For the monetary gains, unethical agents may merely send students to those institutions that provide a commission—rather than researching the best opportunity and destination, after assessing a student's needs.

**US Universities Begin to Get It**

This article encourages US institutions to reach out to prospective international students from China and provide them with a less-complicated, application experience. For example, institutions might consider creating welcoming and informative Web sites, in multiple languages, that clearly document the steps to admissions. While prospective students should be able to understand the information in English, their families and other mentors may not. Consider also, perhaps with the use of currently enrolled international students, answering e-mail queries in the native language of the applicant. Webinars and other local recruitment strategies may also lessen the need for prospective students to rely on external agents. Finally, we remind admissions officers to keep the EducationUSA center, sponsored by the US Department of State, informed about university programs that are seeking additional students.

Despite these targeted recruitment efforts, admissions officers and others must come to the reality that even though their institution may not be paying commissions to agents, many of their international applicants have worked with an agent in the admissions process. Colleges and universities should not become complacent with the existence and growth of the use of education agents. However, they must realistically acknowledge that the practice is likely not going to disappear and will only strengthen, unless universities develop systems to better serve Chinese applicants.

# 25
# US Universities Serving Chinese Students: A Culture of Accountability

*Tim Hathaway*

Chinese students are currently the largest foreign population at American universities, and they present unique challenges to faculty and administrators. Knowledge of how they select and apply to universities and the problems for adapting can help universities integrate them more fully into campus culture. It will also aid in maintaining the high standards that compelled Chinese students to study abroad, in the first place.

### Selection and Application

This fiercely competitive domestic job market is the primary concern of Chinese students, who apply to foreign universities. According to government data, 28 percent of graduates did not find employment in 2010. Of those who did obtain jobs, many earn wages equivalent to that of migrant workers and live in urban poverty. Many applicants seek to reside abroad, permanently. Since study abroad restarted in 1978, only one-third have chosen to return.

The competitive advantage of an American education, in the Chinese job market, is largely defined by *U.S. News and World Report* rankings. Chinese employers put undue emphasis on the reputation of degree-granting institutions. They place little value on liberal arts education and soft skills developed in extracurricular activities. Chinese students, therefore, generally lack motivation to participate in a variety of activities across campus. They tend to view education as the pursuit of knowledge rather than a transformative experience. Many of these students are baffled at certain aspects of American campus life—particularly sports, such as football.

This intensely pragmatic approach to study abroad begins with the parents, who are perhaps the single-most-influential factor in the

selection process. It is not uncommon for them to decide their child's undergraduate major field, even at a foreign university. If they do not choose the major, it is usually a compromise that is often unrelated to the students' actual interests. Recruitment efforts should include parents as much as possible and educate them at the same time.

Prospective students and their parents gravitate toward agents because they lack knowledge of the application process, and most high schools do not have guidance counselors. A typical contract for an agent's services runs about $4,000, which is equivalent to the average costs at the Independent Educational Consultants Association of the United States.

Parents who demand acceptance to highly ranked schools are a driving force, behind a proliferation of application fraud. Altering transcripts and ghostwriting personal statements are common practices. Agents or applicants may also create false e-mail accounts and forge letters out of consideration for teachers, who agree to be a reference but have neither the English-language skills nor the time to navigate online forms. Applicants are aware of the ethical concerns but may view them lightly in the absence of a culture of accountability comparable to that of Western nations.

**Adaptation**

One of the greatest challenges for Chinese visiting Western countries is the diet. Some tour groups in Europe and the United States, for example, are known to patronize Chinese restaurants only. Having their own kitchen is one motivation for some students to move off campus, even if this means breaking school rules.

Learning to adapt to the norms of American classrooms, however, is an even more significant challenge. Like other east Asians, Chinese are known for excellent study habits, but they do not necessarily have superior library skills. Research from the University of California-Davis, published in *Journal of East Asian Libraries*, indicates that newly arrived Chinese students struggle with library services, due to inadequate English and unfamiliarity with the organizational culture of American libraries—including the Library of Congress Classification system.

Chinese academia is notorious for cheating and plagiarism, but this may be more a reflection of the character of the education system, rather than the character of individuals. Chinese teachers are reluctant to punish cheaters in light of the enormous pressure of constant high-stakes testing. Also, the majority of plagiarism in Chinese schools may be based on the fact that students simply do not understand this phenomenon. Quoting or copying without attribution is the norm in

Asian education and journalism. A one-semester, advanced English as a second language course in basic research and academic writing can remedy many fundamental problems, including learning how to write without plagiarism.

Chinese students also have difficulty adapting to relationships with instructors, who view themselves primarily as facilitator of learning, rather than authoritative source of knowledge. A 2006 article, in *Canadian and International Education*, on Chinese graduate students coping strategies in North American universities found that this is a persistent challenge, even after many years, as well as critical thinking. Critically analyzing a text or even an instructor's argument is a counterintuitive learning strategy for students.

Faculty may be tempted to accept less classroom participation from Chinese students who tend to be reticent. But contrary to common belief, Chinese students can and do engage in dynamic discussions in the classroom, albeit much less frequently than Americans. They feel comfortable exchanging ideas freely when they are in small groups and slightly removed from the professor's monitoring of the information or opinions they discuss. Other effective methods are for the professor to keep track of participation and call on students directly. Similarly, universities that propose to increase Chinese students' integration in campus life should not rule out a top-down approach, such as requiring participation in extracurricular activities.

Universities need to comprehend the temptations Chinese face too. Stealing sensitive information or planting software bugs may be a way to gain an advantage in securing employment back home. A recent report to Congress, from the Office of the National Counterintelligence Executive, warns that Chinese individuals and organizations are "the world's most active and persistent perpetrators of economic espionage." Chinese students may be motivated by an acute sense of historical wrongdoing on the part of Western nations. They also tend to distrust American institutions, notably government, and the notion that the United States actively seeks to keep China down is widely accepted by many in China.

## Conclusion

Administrators and faculty need to understand the attendant cultural influences on the process of selection, application, and adaptation to US universities for Chinese students.

This understanding is critical for addressing application fraud, which is likely to continue at high levels until the process is tailored to local Chinese conditions and more resources in US admissions

offices and elsewhere are devoted to detecting fraudulent credentials. It is also important for addressing issues in the classroom, which may be resolved with advanced English as a second language training in academic writing, research, and critical thinking. In other words, the most important way US universities can serve Chinese students is to focus on maintaining a culture of accountability, as they learn to adapt to each other.

# Part 3
# INDIA–*The Next Frontier*

# 26
# Introduction

*Patti McGill Peterson*

The third in our series, *International Briefs for Higher Education Leaders*, is devoted to an examination of higher education in India and the amazing array of opportunities it presents for engagement with colleges and universities in the United States. The Indian government has signaled in a variety of ways, if not always by empowering legislation, that it welcomes partnerships and other forms of cooperation with US higher education institutions. Yet, along with these opportunities comes a complex set of challenges. Understanding both the opportunities and the challenges will be important preparation for mutually beneficial and long-lasting partnerships. This issue seeks to provide well-informed perspectives from India and the United States that will support successful higher education relationships between the two countries in the years ahead.

India has a rich and complicated history of higher education, beginning with its ancient institutions of higher learning—such as Nalanda University and Vikramshila University. Its colonial period broke with those early moorings. T. B. Macaulay's famous derogatory statement—that all the books of India would fit on one shelf of an English library—signaled a shift to the West for higher education models. In the post-Independence period, India's first prime minister, Jawaharlal Nehru, viewed the development of higher education as critical to India's self-determination and future development.

Economic growth has been a major feature of India's development over recent decades. Yet, the capacity and quality of higher education has not kept pace with many of the essentials for India's modernization. The numbers are overwhelming. There are nearly 34,000 colleges and universities serving about 20 million students (excluding students involved in open and distance learning). Enrollment ratios for the college age population are low and face increasing pressure from

population growth and greater completion rates at the secondary level. Access to higher education has been a tenacious issue for India. Equally important has been the need to set standards for quality and accountability, as higher education attempts to address its access problem.

Leaders and policymakers in India are well-aware of the depth and breadth of this challenge. There is a long tradition of government commissions being tasked with these issues. Many reports have been issued, but the accompanying recommendations for reform of higher education have often fallen on fallow ground. The latest of these, the National Knowledge Commission, faces similar hurdles. While many laud its recommendations, the jury is still out on whether they will be fully implemented.

For those US institutions that take the long view on the establishment of partnerships with their Indian counterparts, it will be an exciting as well as daunting experience that has the potential to benefit both sides of the relationship. We hope this *Brief* will help light the way forward. We are grateful to the US-India Business Council for its sponsorship of this installment.

# 27
# India's Strategic Importance

*David J. Skorton*

For US colleges and universities that aspire to international engagement, India is a vibrant, intriguing, strategically important country. It is a place of great potential for mutually rewarding partnerships, as long as all partners fully understand each institution's educational and research cultures—and provided US educators understand and respect the conditions and priorities of higher education in India.

### India's Intrinsic Importance

For centuries, India has contributed richly to the world's music, art, literature, philosophy, religion, mathematics, and medicine. Its booming population is now the second largest in the world, with a Hindu majority but also the world's third-highest Muslim population, as well as many other religious and ethnic groups. This enormous human diversity is one of the reasons that India is so relevant and important to all of us.

Significant economic and political ties bind the United States to India. Not only is India a market for US business, but Indian entrepreneurs and industrial conglomerates are major contributors to the global economy—and a source of employment for some American students and graduates. The subcontinent is also crucial to US interests in global and regional economic and political stability.

Anything but stagnant, India is engaged in rapid urbanization and profound economic and social change. By 2030, India will have over 600 million people living in cities, which is 218 million more than it had in 2011. As a result, it faces daunting challenges in the immediate need for infrastructure (sanitation, water, transportation, housing) as well as health care and education. Meanwhile, the old social order is being disrupted by the erosion of the caste system and the rise of a new system, based on a meritocracy and on economic success.

## Common Interests

Engagement with India offers several direct and obvious benefits to US colleges and universities, as well as more subtle ones. India and the United States share some common challenges, representing opportunities for fruitful joint research and scholarship. Students, staff, and faculty at US institutions seek better understanding of India and the surrounding area. Partnerships with Indian institutions may be sources of increased global presence and prestige, larger enrollment, and in some cases additional revenue. Also, India is a major source of science and engineering graduate students, who are crucial to research programs in US universities.

In many respects, India is ready for further US engagement, given the current state of its higher education system. Indians greatly value education and have a high regard for many universities in the United States and elsewhere. With a rapidly growing young population (the college-age cohort will reach 400 million by 2030), the country is very short of places for eligible students who wish to further their education. The proportion of college-age students actually enrolled has been increasing rapidly, with estimates ranging from 17 percent to just over 20 percent. Industry faces skill shortages in many science, technology, engineering, and mathematics areas. In short, the country needs many more high-quality institutions, faculty, and skilled graduates. At the same time, India has many well-respected sectors—including agriculture, medicine, technology—as well as some top-quality education and research institutions.

India also presents an opportunity for meaningful public engagement—a way for US colleges and universities to contribute to the lessening of global inequality. We can help to build the capacity of Indian institutions by enhancing education through joint programs, by initiatives aimed at faculty development, by making faculty available as mentors, and by enhancing research capacity. Yet, leadership for planning these efforts must come at least as much from Indians as from Americans, who must recognize that their Indian counterparts know best what they need and to what they aspire.

In general, international partnerships work best when the partners have complementary strengths (skills, knowledge, resources) and when the resulting gains are ones that neither organization could have achieved on its own.

## Challenges for US Universities

Cultural differences abound in any international partnership, and this is true between the United States and India. But these differences

are narrowing as the world becomes more interconnected.

More significant are the challenges presented by the structure of government and education in India, which features divided responsibilities between the central government and state governments, with greater power vested in the states. Laws prevent foreign universities from setting up independent branch campuses (a proposal to change that has been in Parliament for some time). Foreign institutions can partner with Indian ones, but a complex government bureaucracy (two-dozen agencies regulate higher education) means the partner needs to be a strong one, and it can be hard to choose in a country with more higher education institutions than anywhere else in the world—nearly 34,000.

In August 2012 India announced new regulations for joint- and dual-degree programs involving foreign universities, including a rule that only institutions in the top 500 of the world rankings are allowed to partner with Indian institutions (Neelakantan 2012).

As elsewhere, international partnerships can be costly in terms of resources, time, and energy. And their effectiveness may suffer if the partners do not feel equally empowered and respected, or if benefits are distributed unequally.

All in all, such conditions mean that apparently well-designed projects can sometimes fail, despite the best intentions of both partner institutions.

### Avenues for Cooperation

US universities currently engage with Indian colleges and universities through student exchange, research collaborations, and joint- or dual-degree programs; they also collaborate on development initiatives with nongovernmental organizations.

US institutions enrolled nearly 104,000 Indian students in 2010/11; however, only 4,300 US students studied in India that year. India was the largest origin of international students studying in the United States for 2001–2009 and is still second, after China.

Numerous research collaborations are ongoing between US and Indian institutions. Cornell's College of Agriculture and Life Sciences, for example, has a long history of working with agricultural institutions in India. These partnerships include the Tata-Cornell Agriculture and Nutrition Initiative, which aims to accelerate India's agricultural productivity and reduce malnutrition, and a collaboration with two Indian institutions involving faculty exchange and curriculum development (Bakum 2012). Cornell also is part of the Agricultural Innovation Partnership, a consortium of Indian and US universities and agribusinesses cooperating to bolster food security in northern India (Bakum 2011).

About 340 Indian institutions offer joint or dual degrees with international partners. US-Indian programs are usually at the master's level and represent 14 percent of US colleges' collaborative degrees with foreign institutions. Cornell conducts a dual master's degree program in food science, entomology, horticulture, and plant breeding with Tamil Nadu Agricultural University. This program has helped Cornell faculty learn about education in India and appreciate the problems of Indian colleagues and students.

According to the chair of India's University Grants Commission, the number of foreign institutions operating in some way in India has been growing rapidly, rising from 144 in 2000 to 631 in 2010.

## Looking Toward the Future

Although the possibility of India opening its doors to branch campuses of foreign universities presents interesting opportunities, many factors need to be considered. In addition to the challenges of working in India, mentioned above, universities contemplating branch campuses must consider whether the US university model needs modification to function appropriately in this culture. And branch campuses will not immediately build the capacity of Indian institutions, although they may contribute in the long term as graduates become the next generation of faculty, researchers, and leaders.

Other types of engagement with India demand far less investment by universities and may build capacity more effectively. Research collaborations can advance knowledge, while giving valuable experience to Indian and US graduate students alike. Joint- and dual-degree programs, though involving a greater administrative burden than research collaborations, may benefit more students and faculty and, even if eventually terminated, may leave a legacy of strengthened programs. In either type of engagement, committed faculty leadership is essential.

With appropriate understanding and leadership on both sides, US and Indian institutions have a valuable opportunity for productive and mutually beneficial engagement. Such endeavors are complex but eminently worth pursuing.

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# 28
# Creative Solutions to India's Higher Education Challenges

*Pawan Agarwal*

India's challenges in higher education are not merely about access and equity, where significant progress has been made in recent years—but rather of colonial legacy, poor academic culture, and faulty assumptions. Several countries face similar challenges. India's case is unique, however, due to its huge size and many contradictions.

The legacy of an affiliating college system, in which India's more than 34,000 undergraduate colleges affiliate to universities that control curriculum and examinations, has prevented curricular innovation. It has resulted in fragmentation and leaves students with little choice of courses. Cumbersome governing structures make curricular revision an extremely arduous task.

In the absence of an effective incentive structure, it becomes difficult to ensure that the faculty can perform effectively. Neither teaching nor research is carried out efficiently, since these are not linked. Similarly, general education is segregated from skill-based or professional education. Addressing these problems requires creative solutions.

### The Need for Systemic Reorganization

India's higher education system needs fundamental reorganization, particularly in regard to responsibility for the curriculum, which has profound implications for systemic innovation and responsiveness. The affiliating system has provided a semblance of quality control since 1857, when the country's first universities were established. However, decentralization of part of the curriculum holds great promise. With greater academic autonomy, the core courses could be retained by the university, while the entire responsibility for the remainder could be devolved to the colleges. This would create the desired innovation

culture in the colleges. Clustering and even merging colleges that are small should also figure into this reform. In addition, universities that affiliate a large number of colleges need to be reorganized into two or more universities, with each of them affiliating a reasonable number of colleges in order to improve overall academic effectiveness.

Historically, research in India is done in research institutes and laboratories outside the university system. It is essential to connect teaching with research—bringing India's large research laboratory system into the fold of the university system is crucial for creating a vibrant research ecosystem in the country.

Similarly, India has a binary system where vocational training is done in institutes and centers that do not fall within the purview of the universities, and thus vocational education is separated from general higher education. It is necessary to merge general higher education with skill-based and professional education in order to bring in greater curricular diversity and to ensure the mobility of students, scholars, and academics between these sectors.

### Improving Academic Culture

Despite a very large academic profession, India has failed to establish an academic culture that promotes meritocracy, honesty, and academic freedom. Indian academics acquire full-time appointments early in their careers and have a predetermined career path, leaving them with little motivation and no incentives to perform.

As a result—and notwithstanding the fact that academics in India receive decent salaries on a comparative global scale (and on average much higher salaries than those in China)—academic research performance is poor; and teaching standards have consistently fallen over the years.

There are a large number of vacancies and, despite thousands of applicants for each position, selection committees often find it difficult to appoint qualified faculty. There is very little mobility of academics among institutions. Hiring practices are highly centralized and suffer from inbreeding and nepotism. It is encouraging to note that several institutions, particularly new central institutions and well-regarded private universities, are adopting innovative hiring practices; these include instituting probation periods of five to seven years for young faculty and offering top-up salaries and variable pay to motivate the faculty. However, much of the rest of the system is inert.

Academics are not very enthusiastic about their evaluation based on academic performance indicators, a process that was introduced after the recent pay revision. They rightly feel that this assessment is exces-

sively focused on research and not suited to most of them. It is feared that this practice will become nothing more than a "ritual" after a while. Few universities conduct student evaluation of teaching and, even among those that do, it generally has little impact.

Improving academic culture based on professional ethos, merit, and competition is critical to higher education reform. This would require repositioning the academic profession to attract the best-qualified people to work in universities. Furthermore, in order to enthuse and motivate college teachers—as well as promote innovation and experimentation—their involvement in curriculum design, pedagogy decisions, and in examination matters is essential.

### Creating a Diverse Higher Education System

It is wrongly assumed that all institutions of higher education in the country must engage in both teaching and research. This is both unfeasible and wasteful. A mass higher education system is necessarily comprised of diverse types of institutions. These institutions must meet a variety of economic and social needs within the country and provide a range of alternate paths to success for young people. While the country must have some world-class research universities, it must also have a large number of sophisticated teaching institutions and of institutions that impart vocational or generic skills.

Left to themselves, all institutions of higher education gravitate toward a research orientation. For this reason, government at the central and state levels must assure, through policy and funding mechanisms, that different types of institutions focus on their defined missions.

### New Developments and Ongoing Challenges

India faces other key challenges. For example, the country has to regulate its increasingly dominant private sector. At the same time, it must govern its public system better and address the problems of coordination, duplication, and complex bureaucratic requirements. More than 90 percent of students study in academic institutions controlled by India's 28 state governments. These institutions require special attention. Growing divergence and tensions between the central and state systems of higher education require skillful coordination. In tandem, the rapidly expanding system of higher education in the country requires much higher levels of funding, from both public and private sources.

On the opportunity front, India could better leverage technology and turn several of its disadvantages in higher education into significant advantages. For example, the affiliating college structure provides an

obvious "hub-and-spoke" arrangement that could ensure that the lectures from the best teachers are available to hundreds of thousands of students through synchronous video streaming. Facilitated by trained instructors located on-site to enable interaction, this method has the potential to bring about a significant improvement in teaching and learning processes in the affiliated colleges. The structure also provides opportunities for large-scale use of massive online courses.

There are also prospects of learning from the experiences of other countries and peer learning within the country—from one state to another and from institution to institution.

## Moving India Forward

Change in higher education cannot be brought about through top-down policy, but only by engaging the system's various stakeholders in the change process. Legacy issues require reconsideration in the context of new developments. Fundamental and systemic reforms will take time and demand significant (and sustained) efforts to bring about the necessary changes in mind-sets, behaviors, and the overall culture of higher education.

The Indian government's recent 12th Plan (2012–2017), prepared through a long and elaborate process of consultation, is based on the above philosophy. It adopts a systemic approach that will enable the country's higher education system to reach its full potential by raising the overall quality of midlevel institutions and creating new pinnacles of excellence.

# 29
# India: The Dilemmas of Reform

*Philip G. Altbach*

India's higher education achievements since independence in 1947 are impressive. With some 20 million students enrolled in postsecondary education, India has the third-largest higher education system in the world and is about to overtake the United States and become number two—although it serves approximately 18 percent of the age group. Continued expansion is inevitable. Further, higher education institutions are located throughout the country, including in many rural areas. India, through its various "reservations" (affirmative action) programs, has been able to provide access to disadvantaged students. Without question, the higher education system—and particularly the world-renowned Indian Institutes of Technology—has educated the brains that fueled India's impressive technology development, as well as a significant part of Silicon Valley.

Yet, on the whole, India's higher education system suffers from a quality deficit, is poorly organized, overly bureaucratic, direction, and does not yet serve a large-enough proportion of young people demanding access. This article takes a "glass half empty" approach in order to highlight the challenges facing India's higher education future. Those wishing to interact with India's colleges, universities, and research institutes need to have a realistic picture of the country's dynamic yet troubled higher education environment.

### A Pattern of Inadequate Investment

Higher education has never been adequately funded. In 2011/12 India spent a modest 1.22 percent of its gross domestic product on postsecondary education—a more modest investment than some other rapidly expanding economies and well below European levels of expenditure. Much of this expenditure comes from students and their families, through tuition payments, rather than from the state. From the begin-

ning, emphasis was placed on meeting the demands of mass access and expansion, rather than building up a meaningful high-quality university sector; and even financial support for mass access has been inadequate.

### Gigantic and Poorly Organized

It is estimated that half the world's postsecondary institutions are in India—more than 34,000 undergraduate colleges, 174 universities, and in addition 12,748 diploma-granting entities. In most cases, undergraduate colleges do not have the authority to grant their own degrees; they must be "affiliated" to a university that supervises the curriculum, examines students, determines entrance requirements, and ultimately awards degrees. To some extent the affiliating system provides quality control but also eliminates autonomy from the colleges. As Pawan Agarwal points out in his article in this *Brief*, the affiliating system prevents innovation. Of the universities and other degree-awarding institutions, 152 are centrally funded and most of them do not have colleges to supervise—these tend to be the best ones. One-hundred-thirty additional institutions hold "deemed" status; and they are recognized by governmental authorities to grant degrees. These vary from low-quality private universities to top-quality specialized institutions in a variety of fields, from fundamental research in the sciences to management schools.

A variety of governmental entities have authority over higher education. Higher education is a shared responsibility of the state and central governments, but most funding comes from India's 28 states. The states have varying policies and differing abilities to provide financial support. Few of the states have coherent policies concerning postsecondary education. The central government sponsors 40 universities and 112 other prominent institutions—such as the Indian Institutes of Technology, the Indian Institutes of Management, National Institutes of Technology, and others—among these the best in India. The central government funds innovation, much of the country's research, and has some control over standards. The University Grants Commission, for example, funds innovation and has some regulatory responsibility. The All-India Council for Technical Education has authority over the nonuniversity postsecondary technical institutions. There is a veritable alphabet soup of central (i.e., national-level) agencies providing various kinds of support to higher education. This shared responsibility often leads to a lack of coordination, duplication, and complex bureaucratic requirements.

In part, as a result of this lack of clear authority and planning, India has no higher education "system." All of the universities are free to

compete for resources and seek to develop a research mission, even if this is impractical. At the same time, most of the undergraduate colleges are prevented from innovating because of their tight administrative controls.

### Politicization

Significant segments of Indian higher education are highly politicized. Colleges and universities are, in much of the country, coveted local institutions. They have significant budgets and offer employment to many—from professors to janitors to tea-wallahs. Thus, local and state political authorities want to control academic budgets, staffing decisions, and other aspects of academic life. Politicians like to establish colleges in their districts as sources of patronage. Academic life, in many colleges and universities, is also politicized. Academic appointments, election to governance bodies, and other decisions are sometimes influenced by local or party politics.

### An Increasingly Dominant Private Sector

India's higher education system has always been a curious, and perhaps internationally unique, combination of public and private institutions. Almost from the beginning, most undergraduate colleges were established by private interests and managed by private agencies—such as philanthropic societies, religious groups, or others. Most of these private colleges received government funds and thus were "aided" institutions. The universities were all public institutions, for the most part established by the states.

This situation has changed dramatically in recent years. Most of the private colleges established in the past several decades are "unaided" and thus fully responsible for their own funding through tuition charges or other private sources of funds. Some "in demand" colleges, particularly in medicine and health professions, charge "capitation" fees—up-front payments to secure admission. Similarly, many of the "deemed" universities are also private institutions—receiving no government funds. Some of the unaided colleges and universities seem to be "for profit," although management and governance is often not very transparent. Most, although not all, are in the lower ranks of the academic hierarchy. The unaided private colleges are affiliated to a university in their region, and it is increasingly difficult for the universities to effectively supervise the large number of colleges, particularly when the financial aspects of the institutions are not obvious. There is also a small but growing number of mainly nonprofit private institutions moving toward offering high-quality and usually specialized higher education.

## Conclusion

India has, without doubt, a functioning higher education establishment, which is characterized by, as India's new Minister of State for Education Shashi Tharoor has noted, both a "sea of mediocrity" as well as significant "pinnacles of excellence." The basic challenge is to improve the sea while supporting the pinnacles. This will require a lot more resources, new ideas, and a commitment to both access and excellence.

# 30
# India's National Knowledge Commission

*P. J. Lavakare*

Over the millennia, Indian civilization has been known for its scholarly contributions to fields as diverse as religion, philosophy, medicine and surgery, mathematics, and astronomy. In fact, India was home to one of the world's first universities, established in the 5th century AD—the Nalanda University, which drew scholars from around the globe to study and learn together. Unfortunately, India has seen substantial turmoil in the subsequent centuries, and political and cultural upheavals have resulted in a higher education system that has not fulfilled the promise suggested by its grand beginning.

The National Knowledge Commission (NKC) was established by the Indian prime minister in 2005, with the goal of reviewing the current Indian higher education system and making recommendations for improvements. This article will focus on the NKC's findings and recommendations, as well as progress toward implementation and future prognosis.

### Establishing the NKC

While setting up General Electric's largest research and development center in India in 2000, Jack Welch (then General Electric's CEO) famously stated "India is a developing country with developed talent." His comments were a clear nod to India's 16 Institutes of Technology and 13 Institutes of Management, which are among the country's most prestigious higher education institutions and have garnered worldwide attention for the quality of their graduates.

While the elite institutes of technology and management undoubtedly produce graduates of the calibre that inspired Welch's comment, the information technology (IT) boom of the 1990s also resulted in the establishment of a plethora of poor-quality professional institutions. Many of these institutions are adequate in terms of infrastructure, but

the quality of teaching and research is far below the expected standards. In fact, a 2005 study by McKinsey & Co. found that, "Currently only about 25% of technical graduates of Indian higher education institutions and 10-15% of general college graduates are suitable for employment in the offshore IT and IT related Business Process Outsourcing (BPO) services" (NASSCOM-McKinsey Report 2005, 16). The report was a blow to India's pride in its higher education system and highlighted the pressing need to focus on quality assurance.

It was these concerns that inspired India's Prime Minister Manmohan Singh, to establish the NKC in June 2005, under the dynamic leadership of businessman-technocrat Sam Pitroda, who is viewed as having brought the telecom revolution to India. The mission of the NKC was to prepare a blueprint for India to capitalize on its intellectual resources and enormous knowledge base in order to meet the challenges of the 21st century. Indeed, the NKC's final report (National Knowledge Commission 2009, 62–151) covered the full gamut of Indian education, including literacy and adult education, primary and secondary education, and vocational and higher education.

## The NKC Report on Higher Education

The commission acknowledged that Indian higher education has some important strengths and has contributed substantially to the economic and social development of the country. But in a frank assessment, the NKC's report stated that the system "has weaknesses that are a cause for serious concern. . . . There is, in fact, a quiet crisis in higher education in India that runs deep. It is not yet discernible simply because there are pockets of excellence." The report goes on to make recommendations for improvement in three key areas: expansion, excellence, and inclusion.

*Expansion of the higher education system.* The commission recommended an increase in the gross enrollment ratio from the 2009 level of about 7 percent to more than 15 percent by the year 2015. This would require the creation of an additional 1,000 universities during that period, building on an existing base of approximately 564 in 2010, by both restructuring existing institutions and creating new ones. Table 1 illustrates the magnitude of the expansion that has taken place and what is envisaged.

**Table 1.** Higher Education Expansion in India

| Year | 1950 | 1970 | 1990 | 2010 | 2015 (projected) |
|---|---|---|---|---|---|
| Number of universities | 30 | 103 | 190 | 564 | 1,500 (including some restructered colleges) |
| Number of colleges | 695 | 3,604 | 7,346 | 33,000 | |
| Enrollment in millions | 0.4 | 1.95 | 4.93 | 17 | (Expected gross enrollment ratio–15%) |
| Teaching staff | 24,000 | 128,876 | 263,125 | 817,000 | |

The government has increased its budget outlay for higher education considerably; and with the addition of funding from private sources, a large number of new institutions and universities have already been created or proposed. However, key concerns remain about quality-assurance mechanisms and the ability of institutions to recruit an adequate number of qualified teaching staff.

*Excellence and regulation.* An important concern of the commission was that the current system of higher education regulation involving multiple agencies at the national and state levels has eroded the autonomy of institutions and created barriers to innovation and growth. Institutions, they argue, have been prevented from making curriculum changes and introducing new courses; and in some cases, the establishment of much-needed new institutions has been hindered.

To address these issues, the NKC recommended the creation of a single national regulatory body called the Independent Regulatory Agency for Higher Education (IRAHE). The IRAHE would be independent of all stakeholders, including the government. This recommendation was not well-received in some disciplines—such as medicine, law, and agriculture—each of which demanded a separate regulatory body for its area. As a result of these objections, the IRAHE proposal has been shelved indefinitely, and the present multiagency regulatory regime continues.

However, the IRAHE in another form has been proposed by a separate body, the Yash Pal Committee, which was established by a former education minister, who disagreed with the approach of the NKC. The Yash Pal Committee recommended the establishment of a National Commission for Higher Education and Research (NCHER), which is now pending in the Indian Parliament in the form of a legislative bill. The intention of NCHER was to reduce bureaucratic regulations, give autonomy to academic institutions, and enhance the quality of education. However, the proposal has not yet caught the attention of the government, as the bill has not yet come to the Parliament for discussion and approval. The bill has become entrenched in a more legislative

and regulatory approach, which continues to keep the academic community on the fringe of reforms in higher education.

*Access and inclusion.* The commission very strongly advocated for providing access to higher education to all deserving students, irrespective of their socioeconomic background. Its recommendations included establishing well-funded scholarships and implementing affirmative action measures that address the multidimensionality of student deprivation. In particular, the commission suggested a "deprivation index," which would take into account factors such as social background, family education history, family income, type of secondary school attended, place of residence, and physical disability.

This comprehensive approach to inclusion is an innovative but complex one that deviates from the religion- and caste-based "reservation quota" system currently used throughout the education system. Thus far, however, the government has not given any attention to this approach, due to political sensitivities related to voting patterns of various constituencies and an entrenched system of dispensing political favors based on the existing caste-based quota system.

## Conclusion

The NKC's extensive analysis and exhaustive recommendations have provided a very laudable road map for India's higher education, for the coming decade. Unfortunately, the academic community and the government have not supported these recommendations with their full moral commitment. The community has been lulled into the dictates of the government machinery that runs the Indian higher education system with authority and control. Private education providers, not receiving financial support from the government, but still under its control in many ways, have been struggling to make the system more self-supporting. However, in the process of enhancing quantity, they have often cut corners that have affected the quality of education.

India may have fulfilled, to a certain extent, the agenda of "Expansion" set forth by the NKC, but it is certainly far from fulfilling the other objectives of "excellence" and "inclusion." It is unfortunate that the NKC was disbanded at the completion of its term in 2009. As of now, the various education reform bills that are supposed to be the outcome of the NKC's work are all in the hands of India's parliamentarians. In order for progress to be made, the academic community should assert its rightful ownership of the higher education system in India and advocate for the implementation of the NKC's recommendations.

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# 31
# Higher Education and the Indian Labor Market

*Lakshmi Narayanan*

The Indian labor market is in the midst of an era of rapid expansion. Recent studies—by the International Labour Organization (ILO), Lieberman Research Worldwide (LRW), and McKinsey Global Institute—have characterized India as one of the world's "young" developing economies that are expected to lead global labor force growth through 2030, with a nearly 60 percent share. India alone will account for a net addition of 174 million workers to the global labor force between 2010 and 2030, compared to 132 million between 1990 and 2010.

As a number of the articles in this publication attest, Indian higher education is also growing rapidly, in order to meet the education and training needs of this expanding labor market. Currently, an enviable 4.4 million new graduates and postgraduates are joining the county's labor force each year. India's sizable young population presents a demographic advantage, in that the labor market's high growth rate is potentially sustainable over time and may give India an edge over competitors in many sectors of the economy.

### Supply and Demand: A Mismatch

For this growth to translate into meaningful differentiation for India, however, the country must not let the euphoria of quantity cloud the need for attention to quality. The aforementioned LRW study points out that 40 percent of Indian employers attribute job vacancies to their inability to find candidates with the right skills (McKinsey Global Institute 2012). While almost 60 percent of graduating students in India find jobs within three months of their graduation (compared to 55% in the United States), in many cases the job obtained is unrelated to

the student's field of study. In addition, many graduates secure only interim jobs, leading to significant turnover.

Such statistics indicate not only a mismatch in demand and supply but also a more worrying reality of recruits with less than adequate skill levels. The 2012 LRW study identified four key skill gaps among Indian graduates, in terms of meeting the needs of the labor market: English proficiency, problem-solving skills, written communication skills, and theoretical training. The need for institutions to take action to address these deficiencies is pressing, and the challenge is amplified by the absence of quick-fix solutions.

While the McKinsey report focused primarily on the higher education and skilled labor sectors, the mismatch between education provided and the needs of the labor market is even more pronounced in the vocational sector. With the "farm to factory" shift expected to accelerate over the next 10 years, the demand for medium-skilled workers is expected to rise significantly. Yet, when it comes to vocational training, only 10 percent of the workforce in India is formally trained, compared to 96 percent in Korea, 80 percent in Japan, and 68 percent in the United Kingdom. First and foremost is a quantity issue; there simply are not enough vocational education providers. In addition, the current public perception of vocational programs is problematic; such programs are often seen as a refuge for those who have failed to make a mark in mainstream education.

Complicating matters even further, the needs of the labor market are essentially a moving target. As India's economy evolves and aspiration levels go up, workers with vocational skills are likely to want to move into white collar jobs and will seek opportunities to hone their knowledge and skills midway through their careers, in an effort to increase their value in the labor market. This will likely put additional pressure on the already stretched higher education system; and given the current challenges in terms of both quantity and quality, it is questionable whether the system as a whole will be able to adapt to the continually changing needs of the labor market going forward.

## Bridging the Gaps

While the challenges presented by this mismatch are daunting, there is mounting indication that employers, educators, and the labor force itself are becoming increasingly cognizant of this unfolding reality. The marked consensus is that India must invest in building capacity in education, research, and entrepreneurship. Fortunately, there are already initiatives underway, as well as opportunities for new entrepreneurial models and innovative solutions.

*Expanding and revamping the vocational education sector.* In order to address the need for more vocational training, India has established, through a government mandate, a National Skills Development Corporation and tasked it with creating a skilled labor force of 150 million in the next 10 years. The target may seem ambitious, but the magnitude of the challenge more than warrants an approach of this scale. The government has committed more than US$1 billion to this effort, and it is expected that a number of vocational training institutes will be funded through this program. Several key industry players are already participating in it. Tantamount to creating an entire ecosystem very similar to the country's current mosaic of colleges and universities, this is a mammoth undertaking by any standard.

While the National Skills Development Corporation initiative addresses the quantity issue, the public perception issue still requires attention. One key requirement for broadening the footprint of skills development programs is to rid vocational training of its negative public perception, by showcasing its successes and redefining its role as a conduit to further education, including tertiary education. This can be better achieved by aligning vocational training—at existing and newly created institutions alike—closely with the current needs of the labor market, and complementing the curriculum with practical work experience and internship opportunities. The private sector can play an important role in these efforts.

*Cultivating relationships with education providers abroad.* An important concern as India expands its vocational and tertiary education sectors is a potential lack of expertise needed to design and deliver high-quality programs. Partners abroad can be an excellent resource, particularly in the vocational realm. Many recognize that advanced economies such as Germany, Japan, and the United States have proven capability in the area of vocational training. Countries such as Brazil, South Korea, and Finland have, in recent years, done a great job of catching up and can potentially provide guidance.

Technology-led learning has yet to reach a critical mass in India. This arena offers exciting opportunities for collaboration with US universities that look at India as the next frontier for higher education and research. It is not impossible to adapt such technology-based models—for example, Coursera or MITx—to the Indian milieu, perhaps through the Indian Institutes of Technology.

*Building teaching and research capacity.* In India, research and education as career options are often seen as unattractive to graduates, in practically all disciplines. That is because the job market is lucrative and an academic career much-less rewarding in comparison. The result

is a dearth of new researchers and teachers who can staff newer colleges. The inevitable fallout is deterioration in the quality of education. In building expert faculty capacity for higher education teaching and research, China offers an interesting example. By way of a centrally driven and meticulously managed program, which includes significant incentives for visiting faculty, China has been able to attract acclaimed international academics (under the Cheung Kong program) and young PhDs of Chinese origin to help spearhead education and research in the country.

In India, the opening of higher education and research to international institutions and freeing them from government regulation mark the first step toward attracting global talent and facilitating global mobility.

## The Way Forward

First and foremost, institutions educating Indian students must engage much more effectively with the fast-changing realities and quality expectations of the job market. While recruiters and educational providers align well on the importance of different skills, there is significant divergence in their quality expectations. It is imperative for education institutions to scale up their teaching and learning processes, in keeping with the current and future needs of the job market.

Encouragingly, institutions that have made an effort to establish and nurture ties with industry are making significant strides in meeting employer needs. However, the number of such institutions is still insignificant, compared to the mammoth task that lies unaccomplished. If India seeks a premium position in the global labor market, it is the private sector, led by industries and education institutions, which will need to lead the way in raising the employability quotient. Perhaps drawing upon the rich experience of the likes of Babson College (Massachusetts, US) in training entrepreneurship educators around the world, the fast-growing services industry will take more spiritedly to incubating new types of enterprises.

By aligning skills development with industry expectations, fostering entrepreneurship and ties with partners abroad, and revitalizing teaching and research as attractive careers, India can unlock its full potential and define the next paradigm of competitiveness and growth.

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# 32
# Partnerships in India: Navigating the Policy and Legal Maze

*Rahul Choudaha*

Higher education in India has expanded at a breakneck speed. Over the last decade, nearly 20,000 new colleges were established and student enrollment has more than doubled, from 8.4 million to around 20 million. Unfortunately, the rapid pace of this much-needed expansion has made it difficult for policy- and lawmakers to keep up. Indeed, at best, the current state of policy and the legal frameworks that guide higher education in India are complex; at worst, they are inadequate and incoherent.

As a result, foreign institutions interested in establishing partnerships in India face a dizzying and frustrating array of legal and policy questions. For example, are foreign universities allowed to start branch campuses in India? What is the impact of existing regulations and various proposed regulations on the expectations of foreign institutions? What rules govern higher education financing? This article focuses on key legal and policy issues that US institutions need to understand in order to successfully navigate partnerships and other ventures within India and with Indian counterparts.

## Policy and Legal Developments

The roots of complexity of Indian higher education policy and law stem from the structure of higher education where hundreds of "teaching" colleges—private or public—are "affiliated" with one public university, which in turn could be funded by state or central (national) resources. To further complicate the matter, universities could be under the purview of central or state regulation, depending on how they came into existence. If they were enacted by a state legislature they are not required to comply with the central body—University Grants Commission

(UGC)—which is a statutory body responsible for "the coordination, determination, and maintenance of standards of university education in India." In addition, there are regulations specific to fields of study. For example, the All India Council of Technical Education is a statutory body responsible for the planning and coordination of technical education, including engineering and management, for colleges affiliated with universities. Thus, the complex structure of higher education reflects a regulatory and legal framework, where multiple authorities at both the central and state levels have their own agendas and turf to guard.

Additionally, new regulations are being proposed regularly, some of which pass and some of which do not, while others languish in limbo, awaiting decision. Consequently, foreign institutions seeking to establish operations in India need to not only understand and stay abreast of rules and laws that pertain to international ventures, but also broader regulations that impact higher education institutions more generally.

Former minister of Human Resources Development, Kapil Sibal, fueled momentum for improving the quality of higher education and coherence in regulatory structure by proposing nearly a dozen legislative bills. This included two policies and regulations of particular importance to foreign institutions: the 2011 Higher Education and Research Bill and the 2010 Foreign Education Institutions Bill.

The 2011 Higher Education and Research Bill proposed to subsume multiple specialized regulatory bodies under one overarching umbrella regulatory body, called the National Commission for Higher Education and Research. The major opponents of this bill are state governments and professional education bodies, especially in law and medicine, which are concerned about a potential loss of autonomy. In December 2012, a parliamentary committee that studied the provisions of the bill released its report, stating that the proposed umbrella body will not be able to get on with its work without the active participation of the state governments. It also asserted that "a tendency in the Bill is that of centralization of power which militates against the principles of federal polity. There is a danger of the new body becoming an authoritarian one in nature and functioning." In other words, the idea of a central regulatory body looks futile, and foreign institutions need to continue to work within the existing regulatory structure.

The 2010 Foreign Education Institutions Bill proposed "to regulate entry and operation of foreign educational institutions imparting or intending to impart higher education" in India. While the intent of the bill was to create an enabling pathway for foreign universities to engage with India, it created more confusion, higher barriers, and ultimately

a political deadlock. Some of its clauses (such as the requirement of a corpus fund of nearly US$9 million) represented major stumbling blocks for institutions, while the very notion of "foreign" institutions operating in India was not politically acceptable to some segments of society.

In June 2012, given the stagnancy in movement of the Foreign Education Institutions Bill, the UGC attempted a work around by drafting its own version of regulations for facilitating partnerships with Indian universities under its purview. The draft bill was called UGC (Promotion and Maintenance of Standards of Academic Collaboration between Indian and Foreign Educational Institutions) Regulations, 2012, and was applicable to already existing and future foreign partnerships of any kind. It also laid down two criteria for eligible institutions: foreign institutions must rank in the top 500 globally, and Indian universities must receive the highest accreditation grade from one of the two accreditation agencies in India. The proxy of ranking as an eligibility criterion for foreign institutions to enter India received a lot of criticism. As a result, in December 2012, UGC came up with an updated draft to drop ranking requirements.

While many reforms were proposed by Minister Sibal in the last four years, a cabinet reshuffle in October 2012 led to his departure. Now, with the new minister in place and the political reality of elections in 2014, no major legal and policy changes are expected anytime soon. Overall, higher education in India will most likely maintain its status quo on policies, legal perspectives, and foreign institutions for the near future.

### Working with the Regulations

Given the context of the regulatory landscape and developments, Indian and foreign institutions are uncertain about their future modes of engagement. Of course, the general rule for any foreign institution is to work within the framework. However, as noted, the framework is complex, which often forces institutions to find creative ways to accomplish their goals within the regulations.

An example of working with regulations through an entrepreneurial approach are twinning programs of "2+2" and "1+1" with institutions abroad. These continue to grow as they bypass regulatory confusion created by the Foreign Education Institutions Bill. Under this model, an Indian institution articulates its curriculum with the foreign partner institution and serves as a feeder for transferring students to the foreign institution. One such example of an innovative approach is Shiv Nadar University, which partnered with Carnegie Mellon University to offer a

dual undergraduate degree program in electrical and computer engineering.

However, some institutions have gone far beyond their entrepreneurial intentions to ignore the existing rules, by suggesting that the rules do not apply to them. For example, partnerships between Lancaster University and GD Goenka, Leeds Metropolitan University (MET) and Jagran, and Strathclyde University and SKIL India all offer business programs that are not approved by respective regulatory bodies. In fact, at Leeds MET India's campus, several students have filed petitions in the Indian High Court accusing Leeds MET India of misrepresentation, as the degrees they confer lack recognition from accrediting bodies in India. The High Court directed the Ministry of Human Resources Development and the Higher Education Department to explain "the law governing the functioning of foreign universities on petitions filed by students of Leeds MET India, Bhopal," according to the *Times of India*.

This is a prototypical example of how the unresponsive legal and regulatory structure of higher education in India could not provide a clear entry pathway for foreign institutions, while at the same time, some institutions did not exhibit enough due diligence to safeguard their brand. As a result, students are left dissatisfied, and the institutional reputation was compromised.

## Conclusion

Many foreign institutions interested in India already know that it is not an easy country to navigate and that its higher education system is even more complex, due to its political and legal environment. At the same time, opportunities to grow and engage are very high.

Effective engagement in India not only requires an understanding of the legal and policy framework but also the ability to translate this knowledge into practical and successful models for partnerships unique to each institution's mission and needs.

There is no one-size-fits-all solution for building international partnerships in India. As the Leeds MET case demonstrates, institutions are often caught in a "Catch-22" scenario. They can attempt to navigate through India's regulatory and legal labyrinth haplessly, or ignore it, and expose themselves to considerable risk.

While it is important to be cautious and vigilant in finding partners, it is also critical to take an entrepreneurial approach by starting with low-risk engagements in order to experiment and evolve. Above all, be patient! It is no surprise that India is the birthplace of yoga.

# 33
# International Partnerships: An Indian Perspective

*Fazal Rizvi*

India has a long history of international links with systems of higher education, stretching back to the precolonial period. Indeed, the modern system of Indian higher education is largely a British construct. Between the 1950s and 1970s, a large number of Indian students went abroad to study under various programs of development aid, while a number of mature systems of higher education assisted India in establishing major centers of learning—such as the Indian Institutes of Technology. Since the late 1980s, this developmental mode of collaboration has, however, been largely replaced with a more commercial approach—with an increasing number of fee-paying Indian students going abroad for studies and overseas universities expressing an interest in establishing a presence in India. As India becomes more economically open and globally networked, new partnership models are emerging, involving student and staff mobility and joint academic and research activities, while further possibilities continue to be explored.

### Leveraging Global Resources

From an Indian perspective, the national interest in developing partnerships is located within a broader higher education policy agenda. The focus is more on the question of how global resources might be utilized to increase access, equity, and quality of Indian higher education, rather than on the commercial opportunities associated with the fast-growing global trade in higher education. Indian authorities recognize that the governance structures of Indian higher education need to be reformed and that neither a centralized bureaucratic strategy nor a devolved market-based approach will work on its own. New ways of thinking about the management of resources are required. Similarly, the government

acknowledges the need to forge new approaches to curriculum, pedagogy, and evaluation around a notion of quality that goes beyond audits and accreditation.

The Indian government views international partnerships as one instrument for addressing these issues. To effect a major improvement in India's weak academic culture, it is now widely believed that Indian higher education cannot rely on its own traditions of reform but needs to engage critically with global trends and debates about strategies of reform. Higher education leaders in India have at last recognized that for India to unleash the energy and creativity of its young people, it needs universities that are innovative and globally networked. They have noted that just as India has benefited from opening its economy to the world, so could its system of higher education benefit from international partnerships. Such partnerships could not only help to meet student demand but also enable Indian students to develop greater awareness of global issues. International experiences could also prepare them to participate more effectively in the global economy. Fresh thinking about the graduate attributes appropriate for the next stage of India's participation in the global economy can only emerge when Indian academics and administrators are exposed to the world's leading ideas about how higher education can be both economically productive and socially useful.

### Internationalization's Obstacles and Opportunities

While more and more stakeholders in Indian higher education are recognizing the importance of international engagement, this view is certainly not universally accepted. Over the past five years in India much of the debate about internationalization has been highly ideological and has taken place against the backdrop of the Foreign Educational Institutions Bill, designed to permit the entry of overseas universities in India. The bill has been widely resisted and languishes in the Parliament due to the fear of exacerbating inequity, destabilizing India's own institutions, or reproducing practices of neocolonial dominance. Yet, the bill has also, perhaps paradoxically, created a space in which it has become possible to explore a variety of other forms of partnerships, given the eagerness on the part of both Indian and overseas universities to work together.

Many overseas universities have been keen on these partnerships, possibly as a way to get a foot in the door of India's lucrative education and training market, given its large middle-class population and the respect accorded to foreign university degrees. Indian higher education leaders argue that these partnerships represent the country's larger geo-

political interest in becoming an economic force, a crucial market, and a significant political player in the region.

Thus, in spite of the ongoing controversy surrounding the Foreign Education Institutions Bill, the Indian government has welcomed high-level delegations from various countries to explore new partnerships and enter into a variety of new bilateral arrangements. The US-India Higher Education Dialogue, for example, is now an annual event to plan strategic partnerships in education between the United States and India; and these and other discussions have resulted in concrete action and programs, including the Singh-Obama 21st Century Knowledge Initiative and an expansion of the Fulbright-Nehru partnership. The Indian government has actively pursued and supported similar programs and initiatives with Canada, Australia, the United Kingdom, Germany, and other countries. This kind of ongoing engagement is a departure from the earlier ad hoc signing of agreements that did not result in sustainable benefits.

Reflecting the Indian government's enthusiasm for collaborations, many individual Indian institutions are eager to pursue partnerships with counterparts abroad. These encompass a variety of arrangements, from twinning (where Indian students enroll for a program in which a part of their education occurs on a campus in India and a part overseas), as well as dual- and joint-degree program options. Benefits accruing to Indian institutions from these efforts may include savings to students (for example, when only part of the study is required to be done overseas), as well as the laying of foundations for broader institutional ties—such as joint research projects, often in collaboration with industries. In some cases, Indian staff are trained in the partnering university and use courses developed by overseas institutions.

## Considerations of Quality

Given the issues of quality of programs and teaching in India, international partnerships have the potential to steer quality improvement in Indian universities. However, it is important for the Indian government and individual institutions to recognize that the positive impact of partnerships in terms of quality enhancement should not be taken for granted. Not all foreign institutions that seek to engage in such arrangements are necessarily of high quality themselves. Indeed, some are of very poor quality and are even exploitative, taking advantage of the value placed on foreign degrees in India to provide substandard education. Monitoring the quality of such organizations and programs is a major challenge for India's creaky regulatory system. In addition, while there may be great enthusiasm for partnerships within

individual institutions, many find that the day-to-day working of such programs is more challenging than expected. For example, differences in expectations and motivations—in language, as well as resources, and institutional culture—can pose major problems, hampering the positive impacts of collaboration. Even those institutions with a track record of successful partnerships need to carefully maintain their focus on quality; international universities interested in developing partnerships in India often approach the same set of institutions, potentially overloading the capacity of these Indian institutions to negotiate meaningful and sustainable links.

**Essential Ingredients**

Maximizing the potential benefits of international engagement by India's higher education system will require a deliberate and sustained effort by the Indian government, individual Indian institutions, and their foreign partners alike. Major rewards are possible, if the time needed to set up and run robust partnerships is not underestimated, when there is clarity about the contrasting academic and cultural traditions, and provided patience to work through the differences prevails. In an educational exchange, for example, it is important to reconcile and coordinate nomenclature, grading systems, and accreditation processes. Even more important is the need to ensure clarity in the purposes, responsibilities, and rewards being sought by each party. In identifying the synergies, it is essential to negotiate and resolve issues of evaluation, especially against competing interests and goals. Understanding and accommodating academic and cultural differences are also crucial, as is taking care to avoid a neocolonial approach, in which partners are not equally treated. In the end, mutual trust is essential.

# 34
# India's Relationships Beyond the United States

*Neil Kemp*

Universities around the world are enthusiastic to grow partnerships in India and for similar reasons as their US counterparts: the quality of Indian students and academic staff; the enthusiasm of Indian counterparts, keen to build new relationships for research and teaching; the high English-language proficiency found across the Indian higher education system; and, of course, the attractions of Indian cultures and cuisine. Building long-term relationships with a country destined to assume a larger role in the world—politically, economically, and educationally—is a most compelling proposition.

Notwithstanding the exciting possibilities, some find it very difficult to navigate their way around the Indian sector and identify partners. The system is immense, the regulatory environment is perceived as challenging, and the many layers of bureaucracy frequently sap the will of all but the most determined. The net result is that foreign institutions frequently end up clustering around those Indian universities already internationally known. A consideration of successful experiences from around the world, however, yields some useful insights.

### Student Mobility and Recruitment

Many foreign universities have targeted Indian student recruitment; but while some have been successful (including from the United Kingdom and Australia), all fall short of the United States. US universities enroll over half of all globally mobile Indian students, although the US proportion of the total has been steadily declining—it was 67 percent in 2003. Motivations are complex and varied, with some universities (and countries) seeking Indian students for revenue generation, others for campus internationalization, to attract quality researchers,

or grow long-term relationships. From the student's perspective, international employment opportunities can be a strong pull; and Indian student mobility generally reflects immigration policies in the destination countries, particularly for access to post-study employment. The ups and downs of Indian students flows to Australia and the United Kingdom clearly illustrate this.

Education agents have also proved to be critical in India, and many foreign universities employ them. Serious concerns have been voiced regarding the probity of employing agents, particularly as some have proved to be quite unscrupulous. However, feedback from Indian students indicates their important role. In addition to direct recruiting, good agents will meet with families (crucial in India) and offer first-line filtering of applications for the university they represent, including against immigration requirements. If an institution abroad chooses to employ agents, it is important to contract carefully, require conformity to a code of conduct, and monitor activities.

**Research Partnerships**

Like the internationally renowned Indian Institutes of Technology and the central universities, the country's government-funded laboratories, including those of the Council of Scientific and Industrial Research (CSIR), are in demand for research cooperation. Engagement with these entities normally occurs on the basis of some form of foreign government initiative or through the independent activities of a foreign university. The latter approach might seem easier; however, the reality is that few Indian government universities have sufficient autonomy to commit funds for international activities. Indian research partners generally need to secure their counterpart funding from a public source, including CSIR or the University Grants Commission.

While Indian private-sector universities are independent of government and might offer research opportunities, these are currently limited and are confined to a few older and wealthier institutions, such as Manipal University. However, it is inevitable that many private universities will grow research capabilities, driven by the need for quality enhancement, to match leading public universities, to differentiate from competitors, and to generate new revenue streams.

European and Australian universities look jealously at their counterparts in US universities and their ability to fund large numbers of young Indian researchers. As a response, many countries have sought to grow India-specific initiatives. Examples include:

*Australia.* The Government of Victoria has an Indian doctoral program

targeting recruitment of Indian researchers, with individual awards totaling about US$93,000.

*Germany*. The German government has strongly promoted opportunities for Indian doctoral researchers in German universities and research centers, charging no fees and offering stipends to cover living costs. The Indo-German Science Express Train, showcasing science, technology and Indo-German projects, attracted 2.2 million visitors during its 15,000 km journey around India in 2008.

*France*. The Indo-French Centre for the Promotion of Advanced Research was established in 1987 and has supported over 400 cutting-edge research projects, linking French and Indian institutions.

*European Union (EU)*. The EU supports partnerships with India, including through the Erasmus Mundus program and a special program, India4EU, which supports Indian mobility to Europe. The EMMA2012 initiative provides financing for Asian academics to spend time in European universities. Additionally, there are research initiatives, such as the joint project between the EU and the government of India for collaborative research in biosciences and water, with a budget of €32 million.

### Foreign Degrees in India

The fitful progress of the Foreign Education Institutions Act through the Indian Parliament has been a fascinating reflection of the political tensions in the country. Currently, the legislation seems stalled. However, while many foreign universities have been awaiting the passage of the act before initiating work in India, over 600 are already reported by the Association of Indian Universities to be active in the country—with a few well-known foreign universities identified as operating outside the regulatory requirements!

Most teaching collaboration involves Indian private providers. While public universities welcome foreign partnerships, generally they are unable to charge sufficient student fees to meet the partnership costs. A study of foreign provision in India, supported by the British Council (Dhar, Bhushan, and Kemp 2008), offered insight into the variety of foreign programs available; over 600 were identified and these involved 161 non-Indian institutions. Most of the foreign institutions were based in the United Kingdom, United States, Australia, and Canada, although small numbers of Swiss, German, French, and Singaporean entities were also represented in the mix. Research undertaken in 2010 for the Association of Indian Universities (Rahman, Mishra, and Bajpai 2012) identified 114 foreign programs and also indicated those ones that were operating outside the regulatory framework of India.

In terms of program structure and scope, the British Council study (2008) identified that 60 percent were full-time, degree-level offerings delivered by the Indian partner; 12 percent reported "flying tutor" support (whereby foreign faculty were occasionally physically present in India); and others included distance delivery. A limited survey of students indicated average fees of about US$2,300 per year, although there were examples of some annual fees over US$5,000. The low fee level suggests that reputable foreign providers would struggle to meet costs, if not working with one of the Indian "high-fee" providers. However, as many programs involve study at the foreign partner's campus, typically within an articulation/ twinning arrangement, these likely result in enhanced fees for the foreign partner.

### The United Kingdom and India

Both the UK government and UK universities have in recent years prioritized growing relationships with India, building on significant historic and contemporary ties between the two countries. A primary example of this commitment is the UK–India Education and Research Initiative (UKIERI), a jointly funded Indo-UK program supported by both governments. UKIERI is now in its second phase, with about US$40 million committed to partnerships. Funding supports schools' "twinning" initiatives, research and teaching cooperation, student and researcher exchanges, vocational education and skills collaboration, and work placements in both directions.

Additionally, to support UK-India research growth, Research Councils UK (RCUK) opened an office in Delhi in 2008; this is one of only four RCUK overseas offices, the others being in the United States, China, and Brussels.

Most UK universities now have some form of Indian partnership and more than 30 have representative offices in India. These offices have varied roles but the priority for most is to grow research and teaching partnerships. They might also monitor the activities of their Indian recruitment agents and support staff and student exchanges. The complexities of Indian employment and taxation regulations mean that most foreign universities opt to manage their office through a local Indian company.

### Understanding the Rules of the Game

It is immensely challenging to capture the full scope of the large number of foreign partnerships across Indian higher education. However, one simple observation is that research cooperation tends to involve India's publicly funded institutions, while collaborative degree delivery

is mainly through partnerships with Indian private providers. Given the complexities associated with engaging with the latter (and Indian higher education, more generally), any foreign university seeking to develop programs is advised to seek local advice—including for appropriate partners and regulatory requirements (All India Council for Technical Education 2011). Patience and a commitment to relationship building for mutual benefit, over the long term, should also guide any serious approach to an "India partnership strategy."

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# 35
# Indian Bilateral Higher Education Development Initiatives

*Yukiko Shimmi and David A. Stanfield*

Two groundbreaking governmental funding programs attempt to cultivate higher education collaboration and strengthen bilateral relations between India and the United States, as well as India and the United Kingdom. The UK India Educational and Research Initiative (UKIERI) and the Obama-Singh 21st Century Knowledge Initiative (OSI) hope to capitalize on transnational partnerships to enhance educational links and address significant global challenges.

Established in 2006, UKIERI aims to develop higher education connections between the United Kingdom and India. UKIERI sponsors a number of programs in four primary focal areas: education leadership development, innovation partnerships, vocational skill development, and student mobility. For financial support and unique expertise, the initiative relies on a number of partnerships with governmental organizations and related associations—such as the British Council, University Grants Commission, and the Indian Department of Science and Technology. In five years, the program has established 182 research partnerships and granted 55 PhD scholarships and fellowships.

The success of UKIERI led to the development of the Trilateral Research in Partnership (TRIP) awards, a new initiative to promote multidisciplinary research collaboration between the United States, the United Kingdom, and India. Grants of approximately US$75,000 each will be awarded to 10 initiatives for a period of two years. The TRIP awards specifically aim to increase the mobility of doctoral and postdoctoral students among these three countries.

OSI is an education fund designed to encourage faculty exchange and research collaboration between American and Indian higher education institutions. Priority research areas include: energy, sustainable

development, climate change, environmental studies, education and educational reform, public health, and community development and innovation. Selected participants use a variety of activities to accomplish their goals—such as curriculum development, joint research, team teaching, and seminars.

In 2012, the first batch of winners (consisting of eight US- and India-led partnerships) received grants of US$250,000 each for a three-year period. For instance, a partnership led by Rutgers, State University of New Jersey, will work alongside the Tata Institute of Social Sciences in Mumbai to enhance talent development capacity in both countries. In another example, Banaras Hindu University is researching renewable energy sources with the University of Pittsburgh. OSI plans to continue sponsoring 8–10 projects per year with a fund of US$10 million jointly established by the governments of the United States and India. A special working group of Indian and American representatives will select the grant recipients each year.

UKIERI and OSI strive to create mutually beneficial partnerships and provide an opportunity to strengthen bilateral relations between countries. With several years of experience, UKIERI has a number of noteworthy successes and, as a result, the program was recently extended to 2016. Although much newer and with far fewer partnerships to date, OSI follows a similar model of mutuality and will likely increase in scope and size. Following in the footsteps of these programs, other countries will consider approaching India to establish similar programs in the near future.

# 36
# Addressing Global Challenges: The University of Nebraska in India

*James B. Milliken*

Many of the world's most pressing challenges are global in scope and will require solutions that transcend national borders. These challenges include developing more sustainable agricultural production, so the world can feed itself; creating new approaches in public health; grappling with the causes and effects of climate change; exploring second- and third-generation sustainable fuels; and advancing early childhood development and education, to ensure that all people are better positioned to succeed.

As part of its mission as a 21st century land-grant university, the University of Nebraska is committed to addressing some of these great global challenges. We cannot solve any of the big problems confronting the world by ourselves. We are confident that solutions will come from important collaborations between American universities and their international partners who share a commitment to addressing these big issues. India is certainly one such partner, offering excellent opportunities for collaboration and advancement against global challenges.

Not surprisingly, collaboration with India today is taking a form different from many of the university's international activities over the last century. India presents us with some knotty issues to untangle if the promise of equitable advancement is to be realized. But in the long term, we believe the effort and the risks are more than worth it.

### Why India?

Over the last few years, Nebraska has been developing and implementing a new strategic global engagement plan. That plan identified a number of the key elements related to choosing target countries with

which we could collaborate to the greatest effect. India meets our criteria on several fronts:

- We have enjoyed a reasonable level of Nebraskan and Indian faculty engagement in research and benefitted from the flow of Indian talent to Nebraska for research, teaching, and study.
- We felt our students could be better prepared to play responsible roles in life with a deeper understanding of the dynamic and influential Indian nation and could find educational opportunities there to complement what our own university offers.
- The quality of many Indian higher education institutions provided excellent opportunities for peer-to-peer collaboration.
- In general, at the government and popular levels, India regarded the United States in a positive light, and there was great appeal to us in working with another diverse society with a strong commitment to democratic principles.
- Lastly, it was apparent that India's current leadership recognized the role of higher education in achieving economic prosperity and enhancing the quality of life. Though implementation will take time, India's plans to invigorate higher education and enhance its contributions to the nation marked India as the place we should seek partnerships.

**Mutual Interests, Mutual Benefits**

Throughout our approach to global engagement, we remain focused on our institutional mission: a 21st-century land-grant institution, charged with serving the people of our state—and the world—through teaching, research, and outreach. Our initiatives must first and foremost serve the people of Nebraska. But we and our stakeholders also recognize and embrace the fact that in doing so, we will have a role in helping to find solutions to some of the great challenges facing the world.

At the foundation, our agenda abroad is driven by mutual interest and mutual benefit. With India and other emerging global partners, we have shifted from traditional notions of development assistance. We believe what will sustain our collaborations in the long term—and attract other partners, as well—is our mutual interest in these areas, a mutual commitment of effort, and the mutual benefits we will experience working shoulder to shoulder toward solutions.

Thus, in India our areas of focus include improving agricultural productivity and water management in order to assure food security; developing treatments for diseases and enhancement of public health; identifying new energy sources; and providing opportunities for vulnerable children to succeed. Advances in these areas are important in both

the United States and India, and they benefit the world at large. They are also areas in which the University of Nebraska has built significant strength.

**Strategic Engagement**

The key to our efforts in India has been our adoption of a strategic approach—not following up on every promising idea that comes along but rather taking advantage of targeted opportunities to really make a difference. Having identified our thematic focus areas, we needed to choose the right partners—including partners on our own campuses and across the state. These include:

*Faculty.* At the University of Nebraska we have made it a high priority to break down traditional academic barriers through initiatives in our strategic focus areas that cross many disciplines on four campuses. Widening the stage for participation also allows us to draw in faculty with a personal commitment to India as well as those devoted to the disciplines of strategic focus.

*Indian partner institutions.* Careful discussion and negotiation has marked each of our successful and developing partnerships that have resulted in agreements and program activities. Face-to-face meetings in India and the United States between institutional leaders, including leaders in government, have been a necessary step to align specific agendas and reach agreement.

We sponsor symposia and joint discussion groups with prospective partners and invite representatives to speak at major conferences or on sponsored international meeting panels. An important element in our collaborative approach has been our willingness always to share full responsibility for leadership with our Indian partners.

We convey our seriousness of commitment through follow-on visits and invitations for students and staff to visit us in Nebraska, as well as requests for our students to participate in short programs at partner institutions or internships at business facilities.

*Industry experts.* Our efforts in agriculture also necessarily include farmers, ranchers, and industry across Nebraska, as well as scientists, policymakers, and farmers from India. We have engaged relevant leading private-sector partners—both Indian and US—governmental bodies in both countries, charitable foundations and nongovernmental organizations and, of course, leading universities.

*International organizations and associations.* Also, we find we can advance our joint objectives by involving international organizations and associations to magnify the importance of research and policy initiatives in India and the United States. For example, in the water

for food area, we have worked with the United Nations Food and Agriculture Organization, UNESCO-IHE, and the World Water Forum to help us identify the most-pressing priorities to address in sustainably increasing productivity, with less water.

We have been asked, as have other American universities, to create replicas of our institution in India. However, to a great extent the talent and institutional capacity allowing significant progress already exists and is growing in India. We want to strengthen capacity and work with the public and private sectors there to advance their new ventures.

**Challenges**

Advancing our partnerships will require more than scholarship. We need to consider a number of issues that make collaboration in India less than easy. First, India is an institutionally complex society where decision making, even in the for-profit sector, proceeds at a pace and with a number of institutional and regulatory entities very different from those in the United States and in many other developed and/or developing countries.

Second, there is sometimes a lack of experience with or expectation of the need for bilateral equity of investment in new ventures, as well as a lack of understanding of the cost US public institutions must sustain to advance results-oriented research and practice. Although not insurmountable, such obstacles pose risk to even the most obvious cases for mutually profitable cooperation.

Finally, in the current economic climate, resources from the traditional US government development-assistance agencies for partnership building in India are limited, compared to the past. Where US government resources exist, they are not necessarily aligned with the specific global priorities identified by Nebraska and our Indian partners. The foundation sector, multilateral donor agencies and institutions, as well as US-backed entities—such as the National Institutes of Health and the US-Indo Science and Technology Forum—have helped in essential ways; but much of investment from our side is provided directly by the University of Nebraska.

**Conclusion**

We believe our work in India is an important investment that will pay long-term dividends for our university, our state, and the world. India is an indispensable partner in the transnational effort to address the truly big issues facing the world. At the University of Nebraska, we are confident that by engaging our faculty and those from higher education institutions in India in careful dialogue with representatives of the

Indian government, the nongovernmental sector, and Indian and US business sectors we can make advances to meet global challenges and identify the resources necessary to support our shared priorities.

# 37
# India and US Community Colleges

*Miriam J. Carter, DeRionne Pollard, and Sanjay Rai*

At the Wardha Conference in 1937, Mahatma Gandhi outlined several core ideas for an independent India—entitled *Nai-Taleem*, meaning "new education." He described a model of holistic education for the masses that promoted vocational skills and social transformation. Education was seen as a tool to help eradicate poverty and build an egalitarian society. The community college model being envisaged in India today aligns with Gandhi's ideals to democratize education, promote self-sufficiency, and encourage lifelong learning. Fulfilling the promise of *Nai-Taleem* means that 21st century community colleges must be flexible and responsive to meet the diverse social and economic challenges of India's multilingual, multicultural, and multifaceted landscape.

**Community Colleges: Multiple Needs and Roles**

India is the world's largest democracy, with over 1.2 billion people and an indisputably robust emerging market economy. Over the last two decades, India has experienced impressive economic growth and expects to add nearly 300 million people to its middle class by 2020. However, 37 percent of the population lives below the national poverty line, 70 percent lives in rural areas, and approximately 46 million Indians are currently unemployed. Eighty percent of new labor-market entrants have limited formal education and training. The gross enrollment ratio for higher education is only 12.4 percent, compared with 81 percent in the United States. Annually, 7 million youth complete secondary education; yet, only 36 percent enroll in colleges and universities. Also, a mere 25 percent of all postsecondary technical institute graduates are employable. This statistic is emblematic of a more pervasive disconnect between Indian higher education and the country's workforce needs.

India has one of the youngest populations globally: the median age is 24, and around 40 percent of the population is under the age of 18. By

2025, India will have approximately 25 percent of the global workforce, a potential demographic dividend. Investing in high quality, affordable, and flexible education and training models is a national imperative.

### Current Initiatives

To address educational inequities and massive workforce skills shortages, India has an ambitious goal to train 500 million of its citizens by 2022, with requisite skills and competencies for participation in the present and future labor market. Although 17 different ministries have training and skills development portfolios, making coordination difficult, the Ministry of Labour and Employment, and the Ministry of Human Resource Development (MHRD) are the primary drivers of change. In an effort to integrate higher education and skills, the MHRD has an ambitious agenda to pilot 200 community colleges in the next 12 to 18 months. These institutions will be located in all 28 states, with a few additional colleges sanctioned for the northeast region. The amount of available funding has not been announced; however, rollout activities include a national conference on community colleges in the first quarter of 2013. Community college leaders from the United States will be among the keynote and content-specific speakers.

### Adopting an Indian Approach

The Indian community college model is evolving after careful consideration of vocational education and skills development models around the world. The US community college is of particular interest due to its strong track record of preparing students for middle-level jobs. Adapting the American model to fit India's diverse sociocultural and economic milieu while delivering scalable, relevant, and sustainable vocational education and training is the present need, challenge, and opportunity for bilateral partnerships between Indian and US counterparts.

Unlike universities, US community colleges have historically provided open admissions to diverse populations, including marginalized students, adult learners, as well as first generation college students. Likewise, access and affordability will be key tenets going forward in India for community colleges to succeed in offering much-needed opportunities for educational and employment mobility, capable of nurturing and supporting the social and economic aspirations of all learners, and preparing them for the myriad challenges of a rapidly changing workforce.

The multiple missions of US community colleges—to provide career and vocational education, to offer transfer pathways to higher levels of education, and to stimulate economic and social development through

community partnerships—will also have a central role in the Indian context. US colleges are tightly coupled with business and industry. Workforce development and career education programs align curricula to the needs of local employers within the knowledge economy, the service occupations, and the skilled, high-demand, blue-collar trades. Middle-class jobs are a specialty of community colleges, including those in construction and manufacturing, nursing and allied health, and green industries. US community colleges also partner with local stakeholders to advance development and growth. The American model fosters the possibility to connect. Practitioners in India will have to connect with students and their families, helping them to understand the transformative role of the community college.

**Immense Challenges**

Like their US counterparts, community colleges in India will probably follow a modular, credit-based system that keeps abreast of technological and other workforce changes. Proposed courses and programs must have strong practical skills and general education components linked to global industry standards and requirements. Given high drop-out rates and a strong informal labor market, multiple entry and exit points, and establishing systems for competency-based recognition of prior learning are essential in India. Transfer credit, however, is currently a novelty. Developing articulation systems and related policies and procedures between community colleges and anticipated vocational universities present multiple challenges in terms of bringing all stakeholders to common ground.

Moreover, another part of the equation is the need to change existing negative public perceptions toward vocations, in the face of the longstanding preference among many Indians for white-collar jobs. Obsolete training equipment needs to be replaced and with this are endless possibilities for innovative uses of technology and telecommunications, new pedagogy, and partnerships. Also, it is estimated that over 400,000 qualified community college instructors will be needed in the next 10 years, making teacher training an urgent concern.

**Testing the Waters**

Collaborative initiatives between Indian and US partners may prove useful for Indian advocates of a community college model for India—although US and Indian partners will need to bridge differences in work cultures and values to sustain multiple and often nuanced relationships with communities, government, and the private sector. One example of such collaboration can be seen in the relationship between Montgomery

College (MC) and OP Jindal Community College (OPJCC), at the heart of which is an effort to build teaching and administrative leadership capacity. MC—one of the largest undergraduate institutions in Maryland—is a comprehensive, multicampus community college, which serves over 60,000 students from 170 countries annually through a combination of credit and noncredit continuing education programs. The college's curricula have traditionally emphasized global and cultural perspectives. The Bureau of South and Central Asian Affairs at the United States Department of State awarded MC a US$195,000, 12-month grant in 2010 to organize and coordinate a two-day national symposium on community colleges in New Delhi—to visit vocational and trade schools in India and to host a delegation of Indian vocational instructors. The grant cultivated an enduring collaboration with OPJCC, a pioneering, philanthropic, nation-building initiative of Indian Industrialist Naveen Jindal. With five campuses and four adopted Industrial Training Institutes located across three states in India, OPJCC is a vanguard community college focused on developing a technically skilled, globally competent workforce among marginalized, rural youth. A shared vision and complementary capabilities have strengthened the bond between the two colleges.

**Keeping an "Eye on the Prize"**

The scale of need offers unique opportunities for US-Indo partnerships. Institutionalizing effective community college models will take time, staunch commitment, due diligence, and tactful tenacity to navigate differences in work ethic, infrastructure, and numerous practical implementation challenges. Bilateral knowledge exchanges and professional development, however, augur to be a win-win situation. Developing more employable learners for Indian and global industries will strengthen systems for international accreditation, student development, technical and curriculum/material development capacity, leadership development, continuing education, and educational research. These are a few new frontiers for US community colleges in India.

In today's context of globalization, India and the United States have become natural allies with a history of successful collaboration in key sectors, notably the Green Revolution and the establishment of the globally renowned Indian Institutes of Technology. Collaborations in the development of a dynamic community college model for India have the potential to be of far-reaching global significance for US higher education and skills development in India.

# 38
# Exploring Future Student Recruitment in India

*Wesley Teter*

Driven by demand for quality higher education and well-paying jobs, approximately 226,000 Indian students studied abroad in 2010, according to the Organization for Economic Cooperation and Development. Each year, over 100,000 of those students choose the United States, investing US$2.9 billion annually in the US economy. It is worth noting that the Indian Institutes of Technology, Indian Institute of Science, Indian Statistical Institute, and Indian Institutes of Management are high-quality local institutions, among others. However, due in part to a weak quality-assurance system, second-tier schools are of widely varying standards. As a result, students that do not make it into the top Indian schools are likely to explore their options abroad. Given limited local access to quality higher education, an increasing number of students will search for opportunities in Southeast Asia, Australia, New Zealand, Europe, and the United States. As the top destination for study abroad, the first question most of these students ask is not *why* study in the United States, but *how*.

## Current Challenges

Despite the popularity of the United States as a study abroad destination, a number of challenges have led to a decline in degree-seeking students from India. In fact, most US institutions are now facing a steep decline in new student enrollment.

Over the past three years, participation in Optional Practical Training (OPT) increased 36 percent, offsetting a 14 percent drop in degree-seeking undergraduate and graduate students (see figure 1). OPT allows up to 12 months of practical training to foreign students enrolled full time in degree programs, plus an additional 17 months to STEM (science,

technology, engineering, and mathematics) students. In other words, Indian students are staying in the United States longer through OPT while new enrollments have declined, which is detrimental to future trends. The latest enrollment figures paint a similar picture. According to a State Department official, preliminary statistics show approximately 23,400 F-1 visas were granted to Indian nationals from October 2011 to September 2012, a 9.6 percent decline from the previous year.

This downward trend is linked largely to financial and economic challenges in India. Increasing costs, as well as additional scrutiny during the visa interview (see below), are perceived as significant barriers. Facing market insecurity and weak investment, the Indian rupee dropped 24 percent against the US dollar from January 2011 to June 2012. Families are budgeting and leveraging resources, but many cannot keep up.

According to a survey of prospective international students by World Education Services, 27 percent of Indian respondents had adequate financial resources to afford an overseas education, compared to 60 percent of Chinese respondents (World Education Services 2012). Obtaining information about tuition, living costs, and financial aid was important for respondents from India: 46 percent selected "tuition and living costs" and 38 percent selected "financial aid opportunities" among their top three information needs. Common recommendations to better serve these students include consolidating partial scholarships and promoting aspects of degree programs that enhance career prospects—such as internships and career counseling. The following section highlights these considerations and emerging recruitment opportunities.

**Recruitment Strategies**

Recruiting in India can be invigorating and exhausting and sometimes both at the same time. Student recruitment agents offer few certainties, yet they thrive in major cities like Hyderabad. Many of them guarantee admissions or visas to their students, but none of them should. Regardless of whether an institution uses agents, EducationUSA should be the first point of contact for accredited US institutions recruiting in India. The network of six advising centers and roughly 20 staff supported by the US Department of State offers US higher education fairs, country briefings, outreach presentations, and free counseling services to over 18,000 student contacts a year. From Bangalore and Chennai in the south to Kashmir in the north, EducationUSA can be a bridge to diverse and highly motivated applicants throughout the country.

India is a complex recruiting environment, with seemingly endless promotional tools and services; and yet no single approach will be

universally effective. One of the few unifying facts is that prospective students and their families are looking for a high-quality degree that will lead directly to a promising career. Short of guaranteeing professional success, there are several key ingredients to attracting high-quality applicants.

*Develop a clear and simple recruitment message.* Most Indian students, families, and the government as a whole are sensitive, and rightly so, to being perceived as a "cash cow" for foreign colleges and universities. Emphasizing the high quality of the academic experience will help parents understand the value of a once-in-a-lifetime investment. Campus resources—like expensive athletic facilities, dorms, or dining halls—can raise questions about the academic rigor or seriousness of the institution, not to mention cost implications. Messages about academic quality, internship opportunities, and a vision for long-term career success should be deeply integrated into outreach presentations and customized materials. Institutions that deliver a clear recruitment message year after year will have long-term success.

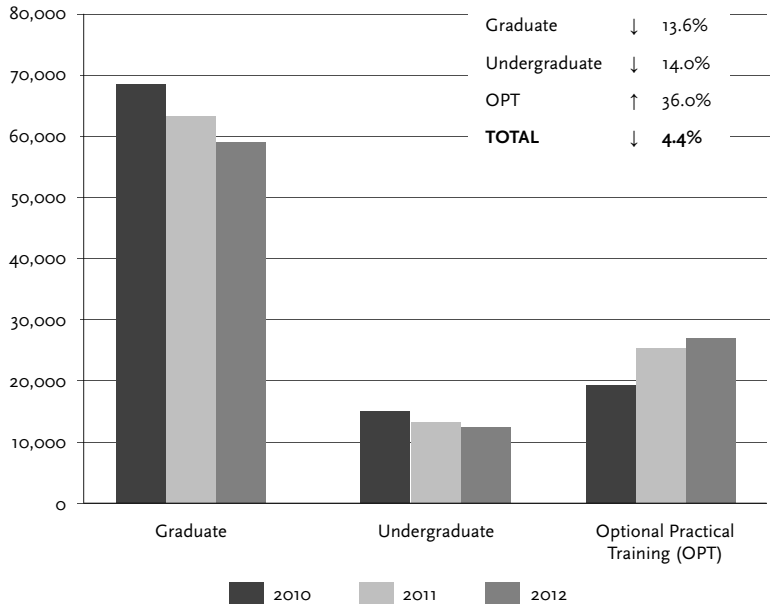
*Come to India (and visit "Tier II" cities).* As prosperity spreads, more recruitment fairs and groups of peer institutions will be traveling to "Tier II" cities—such as Ahmedabad, Pune, Jaipur, Lucknow (and many others)—which are worth visiting in person. An increasing number of people living in these large urban areas have high aspirations for social mobility. However, they may face barriers such as a lack of proficiency in English and are more susceptible to misleading information, which make an in-person visit all the more important. Wherever possible, visiting recruiting staff should partner with alumni, parents of students, and other potential institutional ambassadors to help set up visits and meetings. US faculty travelling overseas or Fulbright Scholars can also be powerful advocates. These personal contacts and leads should be actively cultivated across a recruitment plan of three to five years.

*Leverage new technology and traditional media.* The US Embassy in New Delhi maintains close contact with India's bustling media complex, in addition to an impressive 142,000 contacts on Facebook and a popular e-magazine called SPAN. When US scholars or presidents visit, they should consider requesting a Facebook Q&A interview or offer to go on local television and discuss new research, relevant technology breakthroughs, or broader topics such as study in the United States. Previous TV and newspaper interviews have generated a buzz for the United States and raised the profile of institutional leaders.

*Take the long view on student recruitment.* In 2009, after suspicion that crimes in Australia against Indian students were racially motivated, the number of university applicants to Australia from India fell by half.

There are no shortcuts to recruiting prospective Indian students; news about any missteps or abuse spreads rapidly. Ethical recruiting and strong international student services support the outstanding reputation of US higher education. The reverse is also true—a focus on commercial interests alone, both in the United States and India, poses a significant threat to confidence levels and mutual understanding. The full recruitment and enrollment cycle requires a somewhat conservative and long-term approach.

**Figure 1.** Indian Student Enrollment Trends 2010–1012




*Source: Open Doors* (IIE 2011, 2012)

As recruitment efforts increase, it is important that international student services and career support on campus adapt and grow, as well. For example, international students need additional career services as they prepare for OPT and explore future employment opportunities, both of which are incentives to study in the United States. The additional engagement and emphasis on international student support will lead to long-term rewards and benefits, especially as students face the final hurdle of getting a coveted US student visa.

*Play an active role on student visas.* US consular officers aim to approve every legitimate student visa application. However, due to the well-publicized Tri-Valley visa fraud case in 2011 and related concerns, officers are on the lookout for students who may have been deceived by fraudulent institutions or who themselves intend to enter the United States for nonacademic purposes. Visa fraud and misinformation are persistent challenges, which the embassy proactively addresses through student outreach. Nevertheless, students express frustration with visa interviews, describing them as "brusque" and "terrifying," creating a regrettably tense environment for qualified students.

To help address these concerns, consular officers at the US embassy and consulates are willing to meet with university and college representatives during their visits to India. These can be invaluable meetings to discuss visa-related trends, questions, and opportunities to help legitimate students reach the United States. Each US institution recruiting in India should track its visa refusal rates and monitor student perceptions of why they were approved or denied. These data can inform decision making about recruitment spending and enrollment management.

## Planning for the Future

The trends and recommendations above outline a framework to evaluate and enhance student recruitment activities in India. With a deeper understanding of the rising middle class, institutions can confidently build on their plans to attract the next generation of leaders from one of the world's great economic powers. The current student mobility trends also illustrate the urgent need for universities and colleges to work together to raise the profile of study in the United States and develop long-term goals for India-US cooperation. EducationUSA and the US Mission to India will continue to play a supporting role in ensuring the visibility and accessibility of US higher education to qualified Indian students.

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# 39
# US Study Abroad in India

*Shannon Cates and Jonathan Ferguson*

US study abroad has had a presence in India for decades. The University of Wisconsin has run a program in India since 1961, and Antioch College's semester-length Buddhist Studies program began operations in 1979. More recently, however, there has been a surge of US students studying in India. Over the past 10 years, study abroad enrollment in India has increased by 479 percent, from 750 in 2000/01 to 4,345 in 2010/11 (IIE 2012). While students in India represent only about 1.5 percent of the 273,996 US students studying abroad annually, demand for programming in India has risen to new heights, and a variety of programs are now available to students.

## Increasing Presence

Part of this growth is due to general increases in study-abroad participation, which grew 78 percent from 2000/01 to 2010/11. But there are also other factors at work. For example, the economic reforms of the 1990s have led to India's increased participation in the international community, along with deeper engagement with the United States in diverse areas. As a result, more and more US students perceive India as a location of rapid change and development in a multitude of areas. This is a shift from just a decade ago, when the US students going to India tended to be largely focused on religious studies, anthropology, and the humanities. Now, students come from a wider swath of disciplines, including international relations, economics, business, journalism, and the health sciences. Today's US students perceive India as a location of rapid change and development in areas like public health, environmental studies, social entrepreneurship, and women's studies. Interestingly, undergraduate students majoring in engineering, math, and computer science continue to be underrepresented across study-abroad destinations, including India, despite India's strengths in these fields.

The two countries' higher education communities are also now coming together more frequently, and in a concerted way. Recent US-India Higher Education Dialogues have examined and sought to correct the imbalance of student flows between the two countries (McMurtrie 2011). In recent years, the United States-India Educational Foundation (USIEF) has supported efforts to improve ties between American and Indian institutions by engaging and connecting institutions through its Office of US-India Higher Education Cooperation. USIEF also serves as one of the administrators of the Obama-Singh 21st Century Knowledge Initiative (OSI), which distributes funding to American and Indian institutions that support faculty exchanges, joint research, and other collaboration. The US Department of State has also launched its Passport to India program, an initiative that seeks to build the next generation of leaders with India expertise by increasing opportunities for American students in India.

**Program Models**

In terms of undergraduate study abroad, the widespread institutional efforts to engage with India are usually manifested through one of three program models: direct enrollment; short-term/faculty-led programming; and programs administered by university consortia and/or third-party providers. It is important to keep in mind that the boundaries of these models often blur as many US universities now work together with consortia and program providers to provide students with a curated academic experience through customized programming.

*Direct Enrollment.* Direct enrollment, either through a bilateral exchange or a "one-way" institutional agreement, can provide undergraduates with an experience that is both unfiltered and inexpensive. This model affords participants a high degree of academic immersion and often represents the least expensive approach for universities in terms of tuition export. However, such arrangements may carry significant administrative commitments. Also, direct enrollment may provide only limited cultural orientation, student support services, and academic options focused on learning about India.

*Short-Term/Faculty-Led.* The faculty-led program model can meet both student- and faculty-focused institutional internationalization goals. Faculty-led programs are usually short-term, between two and eight weeks in length, in order to accommodate the faculty member's on-campus teaching responsibilities. Such programs provide students with a more supportive environment than direct-enrollment options. Students may also feel less daunted because they are accompanied by a familiar faculty member. Short-term programs, including faculty-led

options, continue to grow in popularity. During the 2010/11 academic year, students engaged in short-term programs accounted for 58 percent of all study-abroad participants (IIE 2012).

In the case of both direct-enrollment and faculty-led programs, operating in India requires a high level of administrative expertise, encompassing legal issues, employment policies, visa procedures, and banking regulations. In many cases, these factors will require collaboration with a service organization like the American Institute of Indian Studies (AIIS), in order to manage complexities related to visa issuance and money transfer, and to ensure that a given program operates legally in-country. In other cases, institutions with ample support from upper administration and a desire to commit to a presence in India for the long term can take the steps necessary to operate more independently, as a legally recognized entity in India.

*University Consortia and Third-Party Providers.* Due to operational challenges, a lack of dedicated staff and resources on US campuses, and the relatively small numbers of undergraduates seeking study in India, the US study-abroad landscape in India is largely made up of students participating in programs offered by consortia or program providers.

In general, most students going to India want to "study India" just as much as they want to study a specific discipline. Facilitated programs managed by organizations—such as CIEE, SIT, IES, SITA, AIFS, ISA, and the Alliance for Global Education—can offer courses designed to introduce US students to India. Often taught by Indian faculty, these are courses such as "Contemporary Indian Society" or "Introduction to the History of India," which would not be offered by Indian universities for their own students. Through field visits, directed research, internships, apprenticeships, and homestays, the courses also help students access areas of Indian culture that they would not otherwise find on their own.

## Challenges for Students and Advisors

Typically, US students have very high expectations regarding all aspects of the university experience, from academic rigor to student services. Few US students are prepared for a direct enrollment experience in India. Indian universities and the Indian higher education system are rooted in the British model, affecting assumptions about preuniversity preparation, calendar and scheduling, professor-student dynamics, style and delivery of lectures, difficulty of readings, assessments, and student services. And of course, the cultures are different: gender roles, issues of personal space, sense of time, bargaining, curfews, etiquette, and the emphasis on the community over the individual. There are

physical challenges, too: living spaces are different, the climate is different, the food is different, pollution in cities is prevalent, and population densities can be overwhelming. Students often fall ill early in their stay and find themselves exhausted at the end of each day. All of this adds up to a very demanding study-abroad experience.

Helping students to manage and process their experience throughout their time abroad is critical to their success in India. Equally important is the predeparture advising and preparation they receive before they go. Ethan Merritt, Senior Study Abroad Advisor at American University (AU) in Washington, DC, has seen students deal with these challenges firsthand. Over the past few years, AU has sent dozens of undergraduates to India. Mr. Merritt says that, "Students come back from India in almost unanimous agreement that it was one of the most difficult things they had ever done, but also that the experience was immeasurably rewarding and one they would do again." He requires students going to India to meet with him before applying, and he conducts a required India-specific predeparture orientation for students each semester. Such orientation programs typically address issues ranging from health and safety to host family and classroom etiquette.

Advising is especially important given the differences in academia and the practical challenges of daily life in India. Advisors must help students temper romantic and "orientalized" assumptions about India and present a balanced picture of what to expect. They must also work with students to set loose expectations for what they can accomplish during their time abroad. It is important to emphasize the ongoing need to be flexible, anticipate contradictions, and embrace ambiguity while in India.

## Room for Growth

Establishing a presence in India can be difficult and full of obstacles, and US students do typically find their experiences in India academically, culturally, and physically challenging. But, these challenges yield unique rewards. The potential for higher education collaboration between the United States and India is immense, and while the American study-abroad presence in India has more than quadrupled in enrollment over the past 10 years, there is still plenty of room for future growth.

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# Part 4
# ARGENTINA, BRAZIL, CHILE: *"Engaging with the Southern Cone"*

# 40
# Introduction

*Patti McGill Peterson*

This fourth installment of International Briefs for Higher Education Leaders marks the two-year anniversary of ACE's collaboration with the Boston College Center for International Higher Education on this series. From the beginning of the project, our goal has been to provide timely information and thoughtful analysis to inform higher education leaders' thinking and decision making about global engagement by their institutions.

The series has struck a responsive chord in the higher education community. Motivated by an imperative to prepare students to live and work in the globalized environment of the 21st century, institution leaders are seeking ways to increase student and faculty mobility, internationalize the curriculum, and promote cross-border research through partnerships and collaborations with their counterparts abroad. International ventures take many forms and range in scope from faculty-to-faculty teaching and research collaborations, to exchanges, to joint and dual degrees, to full branch campuses.

Regardless of the type and scope, institution leaders need to consider the broader national higher education context when planning and establishing partnerships and other collaborations in a given country, to ensure success. Previous installments in the Briefs series have explored both the various modalities for collaboration and the realities of their implementation in specific countries and settings.

In this issue, we turn our attention to the "Southern Cone" countries of Argentina, Chile, and Brazil. The higher education systems in these three countries are developing rapidly, and share a common interest in internationalization and expanding their global reach. However, the top

priorities and specific challenges facing higher education in the region vary by country.

In Argentina, increases in government spending on higher education combined with high levels of overall economic growth have given rise to larger budgets and greater financial freedom for many institutions. However, persistent low graduation rates, the need for further development of graduate education, and an economic slowdown are significant challenges. Though Chile currently boasts a gross enrollment rate of 55 percent—one of the highest in Latin America—the accreditation system established in 1998 has been called into question following alleged corruption, raising new concerns about quality. The Brazil Scientific Mobility Program has jump-started internationalization activities in that country, but other opportunities for cross-border cooperation are less clear. Access and affordability are still important challenges on the home front.

The following articles explore these and other key issues country by country and turn a critical spotlight on what all of this means for US higher education interests in the region. We hope the information and insights provided by our authors will help institution leaders assess the current landscape and make well-informed decisions about how best to create paths for student and faculty mobility and establish mutually beneficial partnerships and other collaborations in this rapidly changing area of the world.

# 41
# The Southern Cone of the Americas: Higher Education at a Crossroads

*Jorge Balán*

A century ago, US diplomats and scholars called Argentina, Brazil, and Chile "the ABC countries." These nations, together with Uruguay, seemed different from the rest of Latin America due to a strong European presence, rapid economic development, democratization, and the structure of their political institutions. The modernity of the region's higher education systems set it apart as well. A handful of publicly funded higher education institutions in each country—often modeled after and built in collaboration with European universities—aimed to train the professionals in law, medicine, and engineering required by governments to staff the state apparatus and lead the nations into the modern world of knowledge and ideas.

## Historical Perspectives and Recent Developments

While academic ties to Europe were strong during this period, higher education collaborations between the United States and the Southern Cone were rare, with a few exceptions (e.g., the Rockefeller Foundation's programs with medical schools in São Paulo and Buenos Aires). The US presence became stronger only after World War II, when these nations engaged in a new wave of modernization efforts aiming to introduce elements of the increasingly visible and prestigious American university model—such as academic departments, differentiated undergraduate and graduate cycles, and the research ethos. Daniel C. Levy wrote about the 1960s as a "golden age" of US assistance for university development in Latin America, sponsored by private foundations, the United States Agency for International Development, and the Inter-American Development Bank (Levy 2005). Leading US public universities became actively engaged in cooperation, as in the

Chile-California program launched in 1963, which promoted technical cooperation in areas such as agriculture, education, water resource management, and transportation.

Momentum for such collaborations, and for the further development of the whole higher education sector, slowed, however, during the period of the mid-1970s through 2000, when the Southern Cone experienced lower average rates of economic growth than during the postwar period, marked economic cycles and chronic inflation, and a breakdown of democratic institutions—an unfavorable context for university modernization and international cooperation. More attention was focused on basic education during this time, with universal access at this level as a main education policy goal.

Since 2000, economic reforms have brought macroeconomic stability, fiscal surpluses, and a new wave of expansion of international trade to the Southern Cone—all of which have created a renewed energy for higher education development. Universal basic education, an increasingly urban population, improved labor market conditions, and a growing need for highly skilled workers have resulted in greater demand. More effective taxation systems have allowed governments to increase their investment in higher education; in addition to focusing on access, Southern Cone countries have doubled their support for research and development between the mid-1990s and today, expanding research capacity and advanced training within the universities. National research agencies have increased funding for intraregional as well as international collaboration with North America and western Europe; greater research output and more citations for joint publications have heightened the region's presence and participation in the international scientific arena.

**Quantity Without Quality?**

In spite of these positive trends and rising enrollment levels in recent years, the quality of higher education is of increasing concern to academics and policymakers in the region. To the extent that rankings are indicative, the overall performance of higher education in the Southern Cone can be described as "fair." In the 2013 Universitas21 ranking of 50 national higher education systems, Chile shows up slightly higher than Argentina and Brazil; all three systems are ranked below those in North America, western Europe, Australia, and several eastern European and Asian countries, but above those in other emerging economies such as Turkey, India, and South Africa (Williams et al. 2013). SCImago's 2013 list of the top 20 research universities in Latin America includes 16 from the ABC countries (three are in Mexico and one in Colom-

bia) (SCImago 2013). No Latin American university, however, is listed among the top 100, or even 200, in the global rankings.

Latin America's global ranking performance may be partly explained by the fact that teaching remains a main focus of universities in the region. The professional schools are still the core academic units within Latin American universities and tend to employ part-time faculty with only marginal involvement in research to teach the bulk of undergraduate courses.

Beyond rankings, there are significant concerns about the quality of teaching and learning taking place on campuses in the region. Poor quality at the primary and secondary levels, combined with relatively unselective admission procedures for much of higher education, result in a large proportion of enrolled students who are unprepared for college-level coursework. Low graduation rates at many institutions, particularly in Argentina, suggest that students are not gaining the skills and knowledge needed to overcome this initial lack of preparation. Overall, more information is needed about student progress and learning outcomes in the region, particularly given the rapid growth in number and size of primarily teaching-focused institutions in recent years. Mandatory accreditation for first-degree programs in the regulated professions in Argentina and Chile represents a major step forward in terms of quality control, and may serve as a model for broader regulation going forward.

### Institutional Differentiation

Argentina, Brazil, and Chile legally regulate "universities" as different from other higher education institutions, although in the real world the boundaries are often fluid. Universities are authorized to issue long-cycle, academic degrees in a variety of areas—including the prestigious professions—and to develop research and graduate programs. There are many fewer universities than other higher education institutions. The universities enjoy greater academic autonomy and prestige than institutions in other sectors. Although none of the three countries has formally defined what is a "research university," research capacity within higher education is heavily concentrated in just half a dozen or fewer universities in each country, most of which are publicly supported and administered.

The private/public dimension is unique to each country. As a rule, private higher education dominates the nonuniversity sector, but even among universities, a majority of students in Brazil and Chile are enrolled in private institutions that employ mostly part-time faculty and pay lip service to the research function. Public universities are

almost entirely publicly funded in Brazil and Argentina; undergraduate studies at public institutions are tuition-free in both countries and graduate education as well in Brazil. In Chile, older universities benefit from small institutional subsidies and receive indirect public support tied to student aid, but all charge tuition and have other sources of income. The nonuniversity sector is entirely dependent on student tuition payment.

Brazil has authorized private for-profit higher education institutions since 1996, a segment that has tended toward concentration and rapid growth. The recent merger of the two largest for-profit providers resulted in a giant system, with 1 million students in total. The next largest system emerged from acquisitions by Laureate International Universities, a US-based corporation. Chile and Argentina formally limit the operation of for-profits to the nonuniversity sector, although it is often assumed that many nonprofit universities find a way of distributing benefits to their owners, the topic of a recent congressional investigation in Chile.

## The Near Future

In the coming years, improvement in secondary education is expected to result in more and better-prepared high school graduates applying to higher education in the Southern Cone countries, though growth rates in the undergraduate sector are likely to be tempered somewhat by demographic trends. The potential for growth is greatest in Brazil since the quality of secondary education is only recently emerging as a policy priority, and net enrollment rates in higher education are considerably lower than in Argentina or Chile. Enrollment in graduate education is expected to continue growing at very healthy rates in all three countries, in particular at the master's degree level.

Quality concerns throughout the education system will become increasingly urgent over the next few years. Higher education is expected to play a strategic role in this regard, since enhancing the quality and quantity of graduates is considered crucial for society and the economy at large and is also a key input for quality improvement in primary and secondary education.

International engagement is also a priority for institutions and governments throughout the region. In Brazil, academics and policymakers are keenly aware of the need to increase the international flow of students, faculty, and researchers from the current low levels of participation. Language barriers, however, are a more serious challenge in Brazil than in Chile (where English is now mandatory from primary school) or in Argentina, countries that are attracting large numbers

of study abroad students and faculty from the United States and elsewhere.

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# 42
# Argentine Higher Education: Main Features, Key Issues, and Challenges

*Ana García de Fanelli*

From the late 1800s until the military coup of 1930, Argentina ranked among the world's richest countries. Led by a strong increase in agricultural exports during this period, Argentina's economy became integrated with international markets. Prosperity led to a wave of immigration from Europe, especially from Italy and Spain. As a result, Argentina's population rose from 1.7 million inhabitants in 1869 to almost 8 million in 1914.

Economic growth spurred rapid social progress and greater political importance for the newly developed middle class, which in turn produced an expansion in urban population and state bureaucracy. This early economic development also fostered the public university sector and, especially, one of the major players in elite and professional training, the University of Buenos Aires (UBA), which was founded in 1821. UBA's alumni have been awarded four Nobel Prizes—two in physiology or medicine, one in chemistry, and one in peace.

The disarticulation of international trade flows, generated by the crisis of the 1930s, interrupted the expansionist process in Argentina; and political upheaval and frequent fiscal crises between 1950 and 1980 had a significant negative impact on Argentine universities. However, 30 years of political stability following the restoration of a democratic government in 1983, coupled with a period of strong economic growth between 2003 and 2011, have shaped a favorable environment for the consolidation and quality improvement of a differentiated and expanded higher education system.

## Institutional Landscape

The Argentine higher education system consists of 55 public and

65 private universities and "university institutes" (which specialize in only one field of study, for example, in medicine). There are also approximately 2,000 small tertiary public and private nonuniversity institutions whose purpose is to train primary and high school teachers and offer short vocational programs. Public universities and university institutes are funded by the federal government, whereas private institutions depend almost entirely on student tuition and other private funding (donors, the Church, firms, etc.).

Although all public and private universities perform the same kinds of teaching and research functions, they differ according to their prestige and enrollment. Also, within each public university, there are some research-intensive faculties (mostly in the basic and agronomic sciences) and other teaching-oriented ones that train students in the main traditional professions (law, public accountancy, administration, psychology, architecture, medicine, and engineering).

The private universities and university institutes encompass a variety of both secular and religious institutions. Only a few universities—like Torcuato Di Tella, San Andres, and Austral, among others—fit the elite type. They are small institutions with a critical mass of full-time professors with PhDs, full-time students, research activities, high-quality facilities, and good libraries. According to Argentina's Higher Education Act, all private universities, including foreign institutions like the Bologna University that established a campus in Buenos Aires City, should be not-for-profit organizations.

**Enrollment**

Argentine higher education showed strong development well before other Latin American countries. As a result, Argentina now boasts a significantly higher gross enrollment rate than most other countries in the region—72 percent in 2010—more than half of which are women. With almost 1.7 million undergraduate students in 2010, the university sector—including both public and private institutions—is by far the most important in terms of enrollment, social prestige, political visibility, and functions. Although the private sector has more institutions overall than the public sector, it represents only 20 percent of the total student body.

In spite of its land mass of almost 3 million square kilometers, one-third of both the Argentine population and the university student population are concentrated in the capital city of Buenos Aires and its periphery (known as Greater Buenos Aires). Of particular importance is the University of Buenos Aires (UBA), the largest and most prestigious national university in Argentina. With an enrollment of about 260,000

undergraduate students and 15,000 graduate students, the UBA consists of 13 faculties, which are located throughout the city. UBA alone captures around 18 percent of the country's undergraduate and graduate enrollment, as well as its alumni. In 2010, approximately 13,000 international students were studying in undergraduate and graduate programs at UBA.

The UBA and other public universities have seen a remarkable rise in undergraduate enrollment since the 1970s, which is largely explained by free tuition and open admission policies. Though some universities or schools administer entrance examinations or require students to take specific courses (this is true of medical schools in particular), all high school graduates are eligible to attend a public university. In reality, however, underprepared students are effectively filtered out in the first year, when about half of enrolled students drop out.

### University Governance and Academic Structure

According to the 1995 Higher Education Act, national universities enjoy substantial autonomy, which is codified in their individual charters or statutes. Public universities have the authority to select their own leaders (presidents and deans) and collegial bodies with the participation of professors, students, and alumni. Among the collegial bodies, the most important is the higher council that is comprised of the deans of each faculty and representatives from professors, students, and alumni. The universities' authorities also manage their own human resources, allocate funds, and design the curriculum.

Private universities also enjoy autonomy once the National Commission of Evaluation and Accreditation (CONEAU) has recognized that they meet its official standards. During their period of provisional authorization, CONEAU monitors private universities' annual reports and modifications introduced in their activities. If the steering reports indicate that the university is performing well after six years, the institution is granted autonomy.

Compared to public universities, private universities are more hierarchical in their organization, with less participation of the faculty senate in decision making. Private university presidents are elected by university boards, whose composition reflects the orientation of the founding organization (for example, religious or business orientation). Faculty representation is very limited, and university presidents appoint deans and other administrative staff.

In terms of academic structure, the majority of Argentine universities are organized in professional or discipline-based schools or *facultades*. Faculty at these schools are hired mostly on a part-time

basis, their principal job being the practice of their profession in the external labor market. This characteristic of the Argentine university faculty negatively affects the development of research functions, as well as the consolidation of an academic profession committed to the planning and implementation of the curriculum and the counseling of students.

Academic programs are based on the long-standing European model, which features long, specialized undergraduate degrees with few elective courses. These include *Licenciado* degrees and professional degrees in medicine, law, dentistry, engineering, psychology, and other fields, which can take between five and six years to complete. In many respects, undergraduate degrees of this type are equivalent to a combined bachelor's degree and professional master's degree in the United States.

Graduate programs promote further specialization (especially in engineering and medicine), with master's and doctoral degrees in a wide variety of disciplines. While undergraduate education at public universities is tuition free, including courses taken by foreign students, tuition fees are generally charged at the graduate level.

CONEAU accredits all professional undergraduate programs (the so-called "state regulated" degrees) and all graduate programs, in order to guarantee a level of quality. Moreover, the degree accreditation is promoting changes in the programs of study. Universities are reforming the undergraduate programs, in order to comply with CONEAU's standards and external peers' recommendations. For example, admission into medical programs is now more restricted than in the past, and many state-regulated undergraduate programs have begun to include supervised internships within the curriculum.

All graduate and several regulated undergraduate programs must be accredited in order to have national legitimacy. Institutional accreditation was addressed in the 1995 higher education legislation, although it has not been widely implemented. CONEAU conducts a voluntary external evaluation of public and private autonomous institutions to promote quality improvements.

**Internationalization and Consolidation**

In general, government policies and events of the last decade have bolstered the development of Argentine higher education and created a positive climate going forward. The government and institutions have prioritized internationalization, resulting in increased student and faculty mobility, agreements with prestigious foreign universities that offer new opportunities for both undergraduate and graduate students, and the creation of international research networks.

More broadly, in 2010, public expenditure on higher education exceeded one percent of Argentina's gross domestic product; increases in government spending on higher education combined with high levels of overall economic growth have given rise to larger budgets and greater financial freedom for many institutions. This scenario offers an opportune moment to consolidate the Argentine higher education sector, focusing on quality improvement.

In order to enhance the overall quality of the system, three areas will require particular attention. First, universities should increase their graduation rates to boost the country's stock of advanced human capital. Second, compared to higher education structures in North America and Europe, the undergraduate level is quite developed, while graduate education is seriously underdeveloped and needs substantial improvement. Finally, it is important to encourage greater enrollment in basic sciences and engineering. To address the latter, the Argentine government launched a Strategic Plan for the Training of Engineers in 2012 and, in 2009, a scholarship program targeting low-income students who major in science, technology, engineering, and mathematics fields. This scholarship program also tries to promote retention and graduation in these fields. Unfortunately, the improvement of graduate-level training in these areas has not received enough attention by the government.

In sum, in order to continue improving both productivity and innovation, Argentina should continue to pursue a high-quality higher education system that trains more scientists and professionals, both at the undergraduate and graduate level. Thus, experience and collaboration with developed countries will be crucial.

# 43
# Argentina: Student and Scholar Mobility

*Karina Felitti and Andrea Rizzotti*

Argentina is known worldwide for tango, soccer, its beef and wine, Eva Perón, and the *madres* and *abuelas* of the Plaza de Mayo struggles. More recently, for the last 10 years the country has been engaged in a process of social and economic transformation, following decades of political upheaval and a major financial crisis at the beginning of the new century. Today, Argentina's universities are placing a growing emphasis on internationalization and global engagement, creating a relatively positive context for student and scholar mobility going forward.

## A Receptive Host

According to official statistics, the number of foreign students studying in Argentina doubled between 2006 and 2013; currently, there are approximately 50,000 undergraduate students from abroad enrolled in Argentine colleges and universities, along with several thousand graduate students (Pintos 2013). About 70 percent are from other Latin American countries, with the remainder coming mostly from the United States and Europe. Within Argentina, the most popular destinations for foreign students are the city of Buenos Aires (79.5 percent), followed by the Cuyo region (7.1 percent)—which includes Mendoza City—and the region surrounding the city of Córdoba (4.9 percent) (SEA & CAT, n.d.).

According to *Open Doors*, 4,763 US students studied in Argentina during 2011–2012, which represents a 3.8 percent increase over the previous year (IIE 2013). In the capital city, specifically, 14 percent of the students who responded to the Buenos Aires city government's *First International Student Survey in Buenos Aires* between September and October 2011 were from the United States (Buenos Aires Observatory for International Commerce 2013).

Typically, US students who choose Argentina as a host country stay

for one or two semesters, living with host families and combining their formal studies with travel around Argentina and to neighboring countries. In terms of academics, Spanish-language study is a main focus; indeed, in recent years Argentina has become the most popular destination in Latin America for Spanish-language study, overtaking other more "traditional" study-abroad destinations—such as Mexico, Ecuador, and Costa Rica, which were favored in the 1990s.

Argentina offers a number of advantages for both short- and long-term foreign students. The quality of higher education is generally high, and the country's public institutions offer free undergraduate education. Health care throughout the country is also free, and foreign students who stay for at least two years and wish to continue their studies can obtain a resident visa that allows for employment. International students and others from abroad generally find easy acceptance in Argentine culture; and in response to increasing international enrollments in recent years, many universities are focusing more attention on enhanced teaching methods and other strategies to create a positive learning experience for students from diverse backgrounds.

**Argentine Students Abroad**

Because undergraduate education in Argentina's public universities is tuition-free, study abroad often does not make sense for Argentine students, from an economic perspective. Even at the graduate level, for which Argentina's universities do charge tuition, the cost is relatively low compared to many other countries. Nonetheless, the number of students going abroad has increased somewhat in recent years and most leave for only a semester or a year in order to complement their degree program at home, with a short-term international experience. At the graduate level, for instance, just 3 percent of Argentine students complete a full degree abroad. The most popular destination countries for Argentine students (in order of preference) are Spain, France, Brazil, the United States, Italy, Germany, Mexico, the United Kingdom, and Chile.

In line with global trends, the Argentine government has begun implementing new policies and programs designed to increase outward student mobility. Examples include the BEC.AR program—a name that is a clever play on the Spanish verb *becar*, which means to award a scholarship. BEC.AR aims to support 1,000 Argentines to study abroad in the next four years (with a focus on graduate students and professionals), as well as cooperation agreements signed by the National Scientific and Technical Research Council to facilitate exchanges and collaborations with higher education institutions in Germany, Austria, Belgium, Japan, Slovakia, Spain, China, Mexico, and other countries. Universi-

ties, too, are offering more scholarships and programs to encourage study abroad; currently, engineering and technology are a primary focus for both government and university initiatives, though support is also available for students in other fields—including economics, business, education, and social sciences.

**Scholar Mobility**

According to the International Organization for Migration, Argentina has seen an increase in both immigration and emigration rates in the past 10 years. This is due at least in part to bilateral and multilateral migration policies—implemented by the national government to promote engagement with the world and encourage social and economic development at home. Among these policies, the program known as RAÍCES (*Red de Argentinos Investigadores y Científicos en el Exterior*, or, in English, Network for Argentine Researchers and Scientists Abroad) addresses scholar migration in particular. Launched in 2007, the program is intended to encourage repatriation of scientists who left the country during the 2001–2002 social and economic crisis and to reintegrate them into the country's science and technology infrastructure. Target fields include agroindustry, energy, health, social development, sustainable development, and others identified in the National Plan of Science, Technology, and Innovation as strategic priorities for the country. As of October 2013, 1,000 scientists had returned to Argentina as part of the program (Ministry of Science, Technology and Productive Innovation 2013).

In terms of short-term mobility, the Fulbright Commission works continually to develop and promote scholar exchange between Argentina and the United States. Each year, Fulbright provides seven research grants for US scholars to work in Argentina and sponsors 15 English Teaching Assistantships that bring US citizens to Argentina as language instructors. In addition, US faculty members, scholars, and other professionals come to Argentina through the Fulbright Specialist program to engage in short-term collaborative research projects.

At the institutional level, many Argentine colleges and universities are introducing initiatives to promote faculty exchange and engagement in international research networks. An increasing number of institutions, for example, are creating "international cooperation departments" to facilitate connections. The new FAEI (Argentine Forum for International Education) aims to bring together Argentine institutions to promote international education within Argentina and abroad.

Though national, international, and institutional policies and programs are positively impacting scholar mobility to and from Argentina,

there are still a number of challenges. Gender is an important issue; women scholars, particularly in the science and technology fields, are less likely than their male counterparts to pursue opportunities abroad. Policies and programs that target women scholars and provide opportunities to spend time abroad at various stages of their careers should be a priority. More broadly, policies are needed to increase investment and human resources in fields critical to national economic and social development. There is a need to establish clear pathways for young scholars—both from Argentina and from abroad—seeking to build their careers and continue their professional development as part of the country's scholarly workforce.

## Future Possibilities

Last year, Argentina celebrated the 30th anniversary of its return to a democratic government in 1983. Nonetheless, the social and economic crisis of 2001 brought substantial upheaval and continuing change—as well as new barriers to change in some areas. As Argentina navigates these changes and charts a course for itself going forward, student and scholar mobility can play an important role by creating connections with the rest of the world and bringing fresh perspectives and new ideas to the process.

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# 44
# Pursuing Partnerships with Argentina

*Liz Reisberg*

As the best and worst of times, these are certainly challenging times for collaborations with Argentina, due to government policies and various systemic and logistical issues. Nonetheless, interest in global engagement is growing in the Argentine higher education sector, and efforts to connect with counterparts in the United States and other countries are underway at a variety of institutions.

The most common type of collaboration is informal and takes place at the level of professor-to-professor. Few universities offered PhDs (or even master's degrees) until recently. Senior faculty in Argentina who hold advanced degrees are likely to have earned them abroad and maintain contact with colleagues at the institution they attended. Master's degrees are ubiquitous today, but the availability of high-quality doctoral programs is still limited; and this continues to motivate many serious scholars to go abroad. The relationships cultivated during study abroad often become the basis for joint research, joint presentations at conferences, and other academic activities.

Institutional partnerships are relatively new in Argentina. It is becoming increasingly common, however, for universities to have offices to promote and support international activities at the institutional level, but still with limited funding and staff. The following examples of global engagement activities come from only a few of the Argentine universities with a global reach, but the models and activities are indicative of broader trends.

### Public Institutions

With 22 percent of Argentina's higher education enrollment, the University of Buenos Aires (UBA) sets the tone and establishes trends for the system as a whole. In 2010, UBA created an office of the Secretaría de Relaciones Internacionales (Secretariat of International Relations) to

implement UBA's international strategy, an administrative model that is gaining popularity among other institutions.

As part of this strategy, UBA has allocated funds for a number of new programs to encourage global engagement. Money is available to support faculty participation in international conferences, such as the annual meetings of NAFSA: Association of International Educators and the European Association for International Education (EAIE), as well as for short "missions" of up to 15 days to develop contacts at universities abroad. The UBA has signed a number of agreements for faculty exchanges, under which it pays the cost of travel, and the host institution abroad covers living expenses for the visiting professor while in residence. The reverse is also true; UBA will cover living expenses for visiting faculty when the home institution pays travel costs. Funding is available for PhD students to conduct research abroad, and the UBA has also established partnerships with universities in France to support and supervise doctoral study for young UBA faculty.

Global engagement activities are also taking place at the unit level. UBA's School of Agronomy offers a course in English every July, which is open to both domestic and international students. An important purpose of the initiative is to build ties with institutions abroad; the University of Illinois–Urbana Champaign, for example, has been a key source of enrollments. Past courses taught in English have included Management of Agro-ecosystems, Global Change and Ecological Consequences of Human Impact, and Introduction to Crop Physiology.

Smaller public universities, such as the Universidad Nacional del Litoral (UNL), are also developing international strategies and are often easier to approach than a behemoth like the UBA. These institutions tended to focus on Europe and other Latin American countries in the past, but are increasingly interested in new initiatives with the United States. Like the UBA, smaller public universities are establishing International Program Offices and attending NAFSA and other international conferences to meet potential partners. Dual degree programs are a particularly attractive kind of partnership.

### Private Institutions

In the private higher education sector, a handful of comparatively small, young, and elite institutions are most likely to have the motivation and infrastructure to pursue international partnerships and initiatives. These universities tend to have larger percentages of full-time faculty and more stable leadership than public universities; many of the professors have completed graduate study abroad and are fluent in English. The Universidad San Andrés (UDESA) and the Universidad Torcuato

Di Tella (UTDT) are good examples. The UDESA enrolls approximately 900 undergraduates and has signed well over 50 agreements with universities in more than 20 countries, primarily for the purposes of student exchange; the UTDT enrolls approximately 1,500 undergraduates and has signed 87 exchange agreements.

Beyond student exchange, the UTDT offers ample opportunities for faculty to go abroad as visiting professors, as well as to welcome faculty from abroad to give seminars and contribute to the curriculum. As at other institutions, one-to-one collaborations established by individual faculty members are also prevalent; the university is currently hoping to develop dual degree programs with partner institutions abroad, and such relationships may form the basis for these types of program or institution-level ventures down the road.

**Practical Challenges**

While there is growing interest in global engagement among Argentine institutions, there are an array of factors that make it challenging for them to establish partnerships and collaborations at the institutional level; a number of these pertain particularly to relationships with counterparts in the United States.

*University staffing.* At Argentina's public universities, senior officers are elected. When rectors or deans leave office, many members of their team leave with them, which makes the long-term planning and commitment for successful partnerships very difficult. In addition, with the exception of a handful of small, private elite universities, the preponderance of faculty appointments are part-time, and faculty members' presence on campus is often limited to the time they spend in the classroom. Given this situation, it is difficult to integrate faculty participation into institutional agreements, and faculty rarely have the time (even if they would wish it) to establish relationships, let alone rapport, with visiting international students.

*Currency restrictions.* The Fernandez de Kirchner government has imposed severe currency restrictions that have made it somewhat tricky to move US dollars in and out of Argentina. With an "unofficial" parallel market for currency exchange, it is difficult to establish the value of foreign currency, and there are cumbersome bureaucratic procedures to obtain foreign currency for study or research abroad.

*Academic calendar.* The academic year in Argentina begins in March and ends in December. Summer session in the United States overlaps the first and second semester (cuatrimestre) in Argentina. The summer term in Argentina is January and February. Only the second semester in Argentina comes close to aligning with the US calendar, which is

problematic for exchanges and other activities lasting more than a few weeks.

*Reciprocity.* Another complication for student exchanges is that coursework done by Argentine students abroad is rarely recognized for credit toward a student's degree, hence adding time (as well as cost) to degree completion. Nonetheless, there is greater interest in US study among Argentine students than there is among American students for study in Argentina; this imbalance is problematic for Argentine private institutions in particular, which like their counterparts in the United States are dependent on tuition revenue and therefore strive to maintain a balance of outgoing and incoming exchange students.

## Looking Ahead

The current environment in Argentina is not ideal for new collaborative initiatives. In addition to the practical challenges outlined above, the rhetoric of the current government is decidedly anti-United States, although the same government is interested in sponsoring talented Argentines in US graduate programs. It should be kept in mind that with galloping inflation and a very controversial president, the economic and political environment is somewhat unpredictable for the short and mid-term.

Despite these caveats, however, there is great interest in and support for academic collaboration with the United States and for global engagement more broadly. The agreements governing these activities may just require more creativity and flexibility to address Argentina's unique circumstances and particular challenges.

# 45
# Overview of the Brazilian Higher Education System

*Marcelo Knobel*

Brazil has attracted much attention as a strong emerging economy. With a gross domestic product (GDP) of US$2.2 trillion in 2012, Brazil is the world's seventh wealthiest economy. It is also the largest country in the region, with a population of nearly 200 million inhabitants. Despite some important achievements in the last decades, inequality remains at relatively high levels for this middle-income country. After having reached universal coverage in primary education, Brazil is now struggling to improve the quality and outcomes of the system. The postsecondary education scenario is also changing rapidly, balancing an interplay between history and tradition, economic development, regulation, and accreditation. Higher education plays a fundamental role in the huge challenges that Brazil faces in order to assure both economic growth and social justice.

## Organization of the Postsecondary System

Brazil has an unusual postsecondary educational system, with a relatively small number of public (federal, state, or municipality) research universities (completely tuition free), and a large number of private institutions—both nonprofit and religiously affiliated as well as for-profit oriented. Almost two-thirds of the private institutions are for-profit, many of which are of questionable quality. There is also a small but growing segment of vocational post-high school education (about 10 percent of the total enrollment figures).

Differentiation in the private system has resulted from an education law passed in the 1990s. Private institutions can be established as for-profit or non-for-profit, and can be single faculties (*faculdades*), university centers (bringing together several schools, with a focus on

teaching), or universities (conducting some research). The "university centers" were supposed to have better qualified teachers than nonuniversity higher education institutions, as well as superior quality (thanks to greater autonomy in the creation of new programs). However, three-quarters of these centers are for-profit, quality has been undermined by other objectives, and autonomy misused.

Higher education institutions are organized according to the European tradition. Undergraduate students choose their majors prior to taking the entrance exam (the so-called *vestibular)*. Once they are accepted to a specific course, it is extremely difficult to change majors, unless the student starts over again from the beginning. There are only fledgling experiences of "college" type undergraduate programs, similar to the North American or British model, but the acceptance of general education by Brazilian society is still unclear (Andrade et al. 2013).

**Enrollment—Expansion, but with Unequal Opportunities**

In 2012, there were more than 7 million students enrolled in Brazil's undergraduate programs—73 percent in private institutions and 27 percent in public institutions. Some 31,866 different undergraduate programs were offered by 2,316 institutions (304 public and 2,112 private). Meanwhile, Brazil offers a total of 3,600 master's and PhD programs. In 2012, out of 200,000 graduate students, 93.4 percent studied in public universities. More than 12,000 PhD's and 41,000 master's degree certificates were awarded in 2010.

The enrollment capacity of public institutions is limited by their high per-student cost and dependence on federal or state funds. Generally, few applicants to public higher education are accepted (only 11 percent of the total). Success is strongly linked to family circumstances (i.e., parents with tertiary education) and access to high-quality secondary education (frequently private). Thus, students from wealthier families have advantages over those from poor backgrounds, who end up attending less-selective and less-rigorous private institutions.

Many research universities have an extremely competitive selection process as well as a *numerus clausus*. For example, the 2014 *vestibular* at the University of Campinas (Unicamp), one of the more important public research universities, had approximately 73,000 candidates for just over 3,300 vacancies.

Overall, the higher education system has witnessed unprecedented growth, with enrollments doubling in the last 10 years. From 2011 to 2012, enrollment increased by 4.4 percent, while the number of freshmen increased 17 percent (from 2.3 to 2.7 million students). The number of graduates is around 1 million per year, indicating a rather

high dropout rate. Although the numbers seem impressive, only 15 percent of 18- to 24-year-olds are currently enrolled in an undergraduate program. If growth continues at the 2012 rate, the cohort enrollment will only reach the OECD average of 34 percent, in 2022.

### Making Sense of Quality

Brazil has separate systems for quality assessment at the undergraduate and graduate levels. The National System of Higher Education Evaluation (SINAES) evaluates undergraduate education, including a test for assessing learning outcomes called the National Exam of Student Performance (ENADE). Graduate programs are evaluated by the national Graduate Education Agency (CAPES).

SINAES bases its evaluation on three assessments—institutional, program, and undergraduate student proficiency evaluation. The ENADE exam, taken by graduating students, assesses proficiency on topics determined by the National Curricular Authority for Undergraduate Programs. Institution and program evaluation are based on data collected by the Ministry of Education and on self-evaluations conducted by the institutions. A full assessment cycle is completed every three years. Despite limitations and issues of validity, the system aggregates data from institutions, grouped according to various criteria, and provides useful information.

The graduate system encourages good-quality research, both in quantitative and qualitative terms. The expansion of research is evidenced by the number of published articles in ISI Web of Science indexed journals, which has increased by 18 percent in the last few years. In 2009, Brazil was ranked 13th globally for the number of articles in this database (32,100 articles), which represents 2.7 percent of the articles produced in the world. These figures are notable, considering that only 1.1 percent of Brazil's GDP is currently spent on science and technology, a low percentage compared to other developed or developing countries. Much of the country's research success, particularly in the fields of biofuels, agriculture, and aviation, can be attributed to sustained investment in public research universities, graduate education, and research institutes.

### Future Developments

Although an integrated and diversified system of higher education in Brazil is still far from reality, important trends are slowly changing the country's higher education landscape. Notably, three-year technical/vocational programs—(both public and private) that focus on training in areas and subjects not offered by traditional academic institutions—

have grown significantly in the last few years. For example, enrollment in the Federal Institutes of Education, Science and Technology (IFETs) increased from about 31,000 to 101,600 between 2006 and 2011. The public technical colleges of the State of São Paulo (known as FATECs) saw enrollment grow from 10,000 to 20,000 from 2001 to 2011.

There has also been substantial growth in undergraduate distance programs. Enrollment increased from 5,000 in 2001 to 1,113,850 in 2012, accounting for 15.8 percent of undergraduate enrollment. Most of the enrollment in distance education is in the private sector (83.7 percent in 2012).

## Conclusion

The demand for postsecondary education in Brazil has grown significantly as a result of such factors as improved educational attainment at other levels of the educational system; a growing perception (particularly among the middle and lower classes) that higher education is an important element of social advancement; and the introduction in recent years of affirmative action programs in public universities that reserve places for underrepresented social and ethnic groups, as well as graduates of public high schools. All signs point to continued growth in demand for higher education in the coming years.

Brazil will likely see continued strengthening of the quality and range of program offerings at all of its institutions. This will involve further internationalization of its universities and a gradual increase in the number of distance learning programs. The Brazilian government, the private sector, non- Brazilian partner universities in the United States and elsewhere, and nonprofit organizations of various stripes will all play crucial roles in the advancement of the country's higher education system.

AUTHOR'S NOTE: Most statistics are drawn from the Higher Education Census, INEP/Ministry of Education (see '*Censo da educação superior,*' http:// portal.inep.gov.br/web/censo-da-educacao-superior/resumos-tecnicos).

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# 46
# Brazil: Student and Scholar Mobility

*Maria Krane*

President Dilma Rousseff's announcement that the Brazil Scientific Mobility Program (BSMP—formerly Science Without Borders) would make 101,000 scholarships available to Brazilians, for study and research abroad, captured the attention of the world in 2011. Her bold decision signaled the Brazilian government's intention to internationalize its universities and fuel the country's development by accelerating an already growing mobility trend between Brazil and other countries, especially the United States.

## Mobility by the Numbers

*Brazilian students abroad.* The year before the BSMP was launched, 9,029 Brazilians were enrolled in US universities, an increase of 2.9 percent from the previous year and 65 percent from 1995–1996 (IIE 2013). With the start of the BSMP, the number of Brazilians studying on campuses across the United States jumped to 10,868, a growth of 20.4 percent from the previous year, making Brazil the 11th top country of origin for foreign students in the United States.

*International students in Brazil.* According to *Open Doors 2013*, Brazil was 14th among the most popular study-abroad destinations for American students, hosting a total of 4,060 US students (IIE 2013)—almost 10 times the number of students from the United States who studied in Brazil in 1995. The number of students coming to Brazil from other countries is increasing, as well. For example, the number of Colombian students in Brazil grew from 972 in 2011 to 1,333 in 2012. Other countries of origin are Portugal, France, and Angola.

*Scholar mobility.* Limited data are available to measure the mobility of scholars between Brazil and the United States, as well as between Brazil and other countries of the world. According to *Open Doors* (IIE 2013), US universities reported a total of 2,627 scholars from Brazil

(the leading Latin American country of origin) on their campuses in 2011–2012, an increase of almost 20 percent over the previous year. The presence of scholars from different nations in Brazil has not been recorded. Through BSMP, however, scholar mobility will be more easily measured, as the program will give impetus to inbound mobility by funding scientists from various countries to come to Brazil to conduct research. Over the life of the program, 390 "special visiting researchers" will be in Brazil at least one month per year for a period of three years or longer, and 860 "talented young scientists" will spend up to three years in Brazil.

## Challenges to Mobility

*Language issues.* Brazilians have recently been ranked 38th in the world among countries with "low proficiency" in English. This is not surprising, given the fact that in Brazil the old grammar-translation method of teaching is still prevalent in schools, and teachers lack training in communicative approaches to foreign-language learning. Low English proficiency can make it difficult for Brazilian students to enroll and succeed in institutions abroad.

At the same time, few US students attain sufficient proficiency in Portuguese to study at Brazilian universities. Of the 4,634 institutions of higher learning in the United States, only 30 offer a Portuguese major. Overall, the 2009 enrollment in Portuguese-language classes in the United States was 11,371; in spite of modest enrollment gains in recent years, the number of Portuguese learners continues to be a small fraction of the number of Spanish learners—864,986.

*Cost.* The cost of US higher education continues to climb, and many students in the United States rely on scholarships, loans, and other financial aid, which may not cover a study abroad experience—in Brazil or anywhere else. Conversely, Brazilians pay no tuition to attend public higher education institutions in the country; so, study abroad is an extra expense. Rising tuition rates in the United States are certainly a potential deterrent to mobility, particularly for students who do not receive BSMP or other scholarships.

*Scholar preparation and support.* Studies focusing on the mobility of US and Brazilian scholars have shown their insularity as compared to their peers in other areas of the world. Many lack fluency in a foreign language and are reluctant to venture abroad—due to concerns about their careers, families, and expenses (both at home and abroad). According to interviews with two Fulbright scholars—a Brazilian who is currently teaching at New York University and a US faculty member who conducted research at the Universidade Federal da Bahia in

2011—their international experience is primarily for their own satisfaction. Both scholars expressed frustration that their home universities' incentives for participation in international experiences have been indirect and minimal; in their eyes, the publications resulting from their work abroad were their only "rewards" in terms of recognition and potential career advancement.

### Making Greater Mobility Possible

*Interinstitutional initiatives.* A variety of models at the institution level is emerging to facilitate greater mobility. To address the issue of cost and make study abroad more affordable, bilateral or multilateral exchange programs facilitate the mobility of students between two institutions or among several institutions within a consortium. Among the multilateral exchanges, the International Student Exchange Program (ISEP) stands out as a model for consortia. Besides giving students from member institutions the opportunity of studying for a semester or year at any one of the 300 ISEP institutions in 50 countries, the consortium offers them a support system on each campus and allows students to pay tuition, fees, room, and board to their home campus and receive the equivalent at their host institution.

Another model that is gaining traction is dual degree programs that bring Brazilian students to partner institutions in order to complete degree requirements. Recent examples of such programs are the partnerships between Rice University and the Universidade Estadual de Campinas, Brazil, for a joint PhD in history; Sciences Po of Paris and the Escola de Administração de Empresas de São Paulo da Fundação Getulio Vargas (EAESP-FGV) for a dual master of science degree in international relations, management, and international business.

*Government initiatives.* In 2011, the same year President Rousseff launched the BSMP program, President Obama announced the "100,000 Strong in the Americas" initiative to increase student exchanges between institutions in the United States and Latin America and the Caribbean. To make "100,000 Strong in the Americas" financially possible for students, the project counts on institutional collaboration among universities, governments, and the private sector.

On the Brazilian end, a key player is CAPES (Coordination for the Improvement of Higher Education Personnel), a foundation linked to Brazil's Ministry of Education and Culture. CAPES coordinates the BSMP application process and selection of awardees and administers other programs designed to reduce the challenges to mobility and

foster international academic cooperation. To address the language-proficiency issue, for example, CAPES is sending hundreds of high school English teachers to the United States for a professional development program, to improve their teaching skills. CAPES is also selecting 45 Brazilian professors of Portuguese who will help develop, during a nine-month period, the teaching of Portuguese in US universities and strengthen relations between the two countries.

Other CAPES programs that focus on international academic cooperation include the NEXUS Program (Brazil-US Fulbright Program-Nexus of Regional Networks for Applied Research) and BRAGECRIM (*Iniciativa Brasil-Alemanha para Pesquisa Colaborativa em Tecnologia de Manufatura*—in English, the Brazil-Germany Initiative for Collaborative Research in Manufacturing Technology). In partnership with the Fulbright Commission, CAPES will coordinate the selection of Brazilian researchers in the area of sustainable energy and climate change to work with colleagues from the United States, other countries in the Americas, and the Caribbean as part of the 2014–2016 NEXUS Program. Through the BRAGECRIM program, German and Brazilian groups will work on projects leading to innovative solutions for enhanced industrial productivity, quality, and sustainability.

## Future Trends

Past data on US-Brazil mobility indicate significant gains, even prior to the launching of such initiatives as Brazil's Scientific Mobility Program and 100,000 Strong in the Americas. With these programs now fully operational, it is not difficult to predict a surge in the mobility of Brazilian students and scholars.

The first contingent of Brazilian scholarship holders—23,000 who studied in 39 countries—already returned home. Press interviews with 52 of the returned students and researchers provide the best predictor of increased mobility: Besides opening their eyes to cutting-edge research and scholarship, the experience made them eager to continue to interact with the world (Borges 2013). This new generation of mobile Brazilians will be well positioned to help internationalize the country's universities and bring these institutions from the fringes to the center of global education.

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# 47
# Collaboration Between Brazilian and US Institutions: The Time Is Ripe

*Rita Moriconi*

Brazil and the United States share many similarities that make the countries natural partners for collaboration in a number of areas, including in higher education. Brazil and the United States are both nations of continental proportion with immense regional differences; both are democratic powers with shared goals and values; and both value investment in science, technology, and research and development.

### A History of Engagement

US and Brazilian universities already have a history of higher education partnerships, many of which have been focused in the fields of science, technology, engineering, and mathematics (STEM). For example, in the 1950s the Brazilian government invested in bringing scholars from the Massachusetts Institute of Technology to teach at the Brazilian aeronautics university. A fruit of this exchange was the creation of Brazil's aviation company, EMBRAER, a multibillion dollar enterprise that produces aircraft for companies around the world—including the US military.

More recently, the US and Brazilian governments have established several formal agreements and programs to further increase collaboration. The 1997 Memorandum of Understanding on Education—relaunched in 2010 and reaffirmed in 2011 under the US-Brazil Global Partnership Dialogue—is one of them. Another is the 2008 Joint Action Plan to Eliminate Racial and Ethnic Discrimination and Promote Equality. Focusing on student mobility, in 2011, President Obama announced, the "100,000 Strong in the Americas" presidential initiative, aimed at encouraging 100,000 students from Latin America and the Caribbean to study in the United States and 100,000 US students to study in Latin America and the Caribbean by 2020.

## A New Level of Commitment

While all of these programs have strengthened ties between Brazil and the United States, Brazilian President Dilma Rousseff's launch of the Brazilian Scientific Mobility Program (BSMP) in July 2011 signaled a new level of commitment to deeper engagement between Brazil and the rest of the world, including (though not limited to) the United States.

Although BSMP's primary focus is mobility, its long-term goals are broader; it is hoped that by building on the connections established by individual students and scholars, increased mobility will lead to institutional partnerships that endure beyond the program itself and encompass an array of collaborative activities. The intended result is greater internationalization of Brazilian higher education institutions, research centers, and curricula.

In order to accomplish its mobility goals, BSMP requires the involvement of a number of organizations and institutions, so in this sense it is already fostering collaboration. In the United States, the Institute of International Education (IIE) and LASPAU–Academic Programs and Professional Programs for the Americas, with the help of the Fulbright Commissions and EducationUSA, have assisted Brazilian counterparts with making sense of their options for student placement in US institutions. Later, a community college consortium established by Northern Virginia Community College, and the Historically Black Colleges and Universities' (HBCU) association, signed separate agreements with the Brazilian government to receive Brazilian students under the BSMP.

## More Pathways for Collaboration

In addition to the direct partnerships involved in the program, BSMP has heightened interest in higher education collaborations of different types between the United States and Brazil. Government officials and agencies in both countries—notably, EducationUSA and the US Department of Commerce, the US Mission in Brazil, and the Fulbright Commission, as well as CAPES (Coordination for the Improvement of Higher Education Personnel, a foundation within the Brazilian Ministry of Education) and CNPq (the National Council for Scientific and Technological Development, a unit within Brazil's Ministry of Science and Technology)—have been actively involved in these efforts. In 2013, for example, the US Embassy in Brasilia worked with the White House representative on HBCUs to bring several HBCU groups to Brazil to explore partnership opportunities.

Higher education associations and other organizations are also establishing collaborations. The Brazilian Association of State Universities

(ABRUEN) and its counterpart in the United States, the American Association of State Colleges and Universities (AASCU), have joined forces to promote student exchanges between member universities of the two organizations and are considering the possibility of a joint-degree program based on a similar AASCU initiative in China. On the US end, connections have also been initiated at the state level. Three delegations of representatives from institutions in Georgia, for example, have visited six cities in Brazil with the goal of fostering partnerships. Some of the HBCUs that participated established ties with similar institutions in Brazil, such as Zumbi dos Palmares, as well as with Afro-Brazilian associations.

An interesting recent development at the institution level is the creation of small offices that serve as outposts of their home institutions in the United States. Examples include the Columbia Global Center in Rio de Janeiro, the Harvard Rockefeller Center, University of Southern California in São Paulo, Kent State in Curitiba, and others. These offices can play a key role in facilitating various types of collaborations, particularly among faculty. The Columbia Global Center in Rio, for instance, inaugurated its office with a week of workshops and other events that included Columbia's president and 18 deans from public health, public policy, Latin American Studies, business, education, and other fields, as well as the mayor of Rio de Janeiro. Since then, Columbia faculty in a wide range of disciplines have been coming to Brazil to work with their Brazilian counterparts, as well as government officials.

### Practical Considerations for US Universities

US universities interested in developing partnerships with Brazilian institutions should consider different approaches, depending on their specific goals and interests.

*To engage with the BSMP program.* Here, the wisest advice is to engage with the facilitating organizations responsible for placing BSMP students in the United States—IIE for BSMP's one-year undergraduate study-abroad program and the various professional master's opportunities; LASPAU for the four-year PhD program. In tandem, an excellent way to establish ties for your institution is to have faculty delegations visit Brazil and engage directly with STEM faculty. Finally, consider connecting with EducationUSA advising offices in Brazil to explore options for using webinars to address prospective BSMP students.

*To increase the number of partnerships with Brazilian universities outside the BSMP program.* You will be cherished by Brazilian university officials, especially those inside international offices, if you do not mention BSMP every time you visit. Brazilian universities are more interested

in establishing long-term partnerships that will result in true student mobility between the two countries—i.e., both sending Brazilian students *and* receiving US students on their campuses. Working with your study-abroad office to establish two-way programming will give you a strong head start in establishing these partnerships, as will taking advantage of your admissions representatives to also wear a study-abroad hat, and working with prospective universities to pass on information about possible strong partners.

US universities should also consider participating in the FAUBAI, a Brazilian NAFSA-like conference. Other smart partnership development strategies include working with state consortia or other US associations (such as those noted above) to organize visits to Brazil, and joining EducationUSA Fairs and matchmaking events. To identify potential research partners, US universities should consider using various Brazilian agency Web sites, such as "Finding partners in Brazil" and "Opportunities for individuals from abroad" (Ministry of Science, Technology and Innovation, n.d.a and n.d.b).

### Focus on Rapport

Take your time in building a relationship with Brazilian counterparts. Experience shows that engagement between US and Brazilian universities can be challenged by issues of poor communication, limited resources and infrastructure, lack of language skills, credit transfer issues, limited knowledge in the United States regarding the strengths of Brazilian institutions, etc. In terms of cultural differences, US universities often seem to approach Brazilian universities first to gather factual information and then to establish rapport and possibly a future partnership. Brazilian universities' representatives want to build rapport first and then share details with future partners. More visits on both sides will help alleviate any mistrust and establish ties.

The moment is ripe to establish, expand, and strengthen educational partnerships between universities in Brazil and the United States. There is a meaningful history of engagement, and new initiatives, such as the BSMP, provide an unprecedented opportunity to begin a relationship with Brazilian institutions and ultimately establish long-term partnerships.

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# 48
# Chile: An Overview

*Andrés Bernasconi*

Though feeble roots were established during the colonial period, higher education in Chile began in earnest when the University of Chile, a public institution, was founded in 1842. For most of its trajectory since, Chilean higher education remained a rather small system. As of 1980, it included two public universities based in Santiago, the capital city, with regional branch campuses throughout the country, three Catholic universities, and three private universities organized by local elites in the provinces. There existed, also, a largely unregulated vocational sector comprised of both public and private institutions, which was not considered part of higher education.

### The Current Structure

The present day configuration of the system was initially drawn at the beginning of the 1980s by the Pinochet regime that ousted Salvador Allende in the 1973 coup. With the intention of expanding enrollments, differentiating the higher education system, and bolstering competition, an administrative process was designed to create new private universities and nonuniversity tertiary level institutions—called "professional institutes" (offering undergraduate education in applied professional fields) and "technical training centers" (offering two-year technical and vocational programs). Further, the regional colleges of the University of Chile and the State Technical University (now, University of Santiago) were transformed into 14 small, independent public universities. By 2000, the number of institutions had expanded to 64 universities (only 16 of them public), 60 professional institutes, and 116 technical training centers, all of them private. Total enrollment was 450,000, with over 70 percent of students attending private institutions.

A legacy of these reforms is the distinction made in Chile between universities predating the 1980–1990 expansion, and those created

as a result of it. The former, conventionally referred to as "traditional universities," are members of Chile's Council of Rectors, an advisory board to the Minister of Education, while the latter are not. It gets more complicated, though; the Council of Rectors includes not only the 8 universities created prior to 1980 but also 17 other newer universities—the 14 former branches of the University of Chile and the University of Santiago and three now-independent former branches of the Pontifical Catholic University of Chile. These are also considered "traditional." The rest are "privates."

**Funding**

The funding scheme for higher education in Chile was also redesigned in 1981. Public financial support decreased, and universities were required to cover a growing portion of their costs by collecting tuition at levels as close as possible to actual unit cost. A subsidized public loan program was created to assist students unable to make the tuition payments. Finally, a National Fund for Scientific and Technological Research (FONDECYT, by its Spanish acronym) was set up in 1982 to distribute research funding to individual researchers on a competitive, peer-review basis.

New private universities were to be funded entirely through tuition revenues; only since 2006 do their students have access to the state-supported subsidized loan program and to some government scholarships. Also since 2006, these institutions are allowed to compete for research funding and to present proposals for government grants to foster innovation and development in higher education.

**Enrollment**

There are now 1,130,000 students enrolled in Chilean higher education, which amounts to a gross enrollment rate of 55 percent, among the highest in Latin America. The number of institutions has decreased somewhat from a record high of close to 300 in 1990, but not the private dominance in number of institutions and in enrollments. About half of all students receive government financial aid in the form of tuition scholarships or loans, still insufficient for a country second only to the United States in cost of tuition as a proportion of family income. Overall, private sources represent over 60 percent of funding for the system, whereas public moneys account for less than 40 percent.

The last few years have seen an effort to expand graduate education, with increased funding for slots both in Chile and abroad. An ambitious program of scholarships for graduate study abroad was inaugurated in 2008, and currently sponsors some 5,000 students pursuing master's

or doctoral degrees across the globe. Including both graduate students in Chile and those studying abroad (self-funded, supported by the Chilean government, or receiving financial assistance from non-Chilean sources), there are some 60,000 Chileans pursuing higher degrees.

### Faculty

Despite the increasing number of graduate students, the stock of highly trained scholars and professionals in Chile is still small; the estimated number of PhD holders in the country hovers around 8,000, with the vast majority working in universities and the rest divided among government and the private sector. As a result, among the over 60,000 academics in universities, only 14 percent have a PhD degree. If one considers only full-time professors in universities (20 percent of the whole university professoriate), the proportion with doctorates rises to one-third.

There are two main reasons for the relatively high prevalence of part-time faculty. One is a result of the main function of the system, which is not to provide a general humanistic or scientific education, but to educate professionals, who obtain a license to practice directly from the university. Hence, much of the professoriate consists of practicing professionals. Second, universities funded solely through tuition (the privates) or mostly through tuition (the state, Catholic, and older private universities) cannot afford to hire more full-time staff than they currently have. These conditions are even more prevalent in professional institutions and technical training centers.

### A Vision for the Future

Chile's higher education system will likely continue to improve in terms of quality and diversity of institutions, students, and outcomes. The rate of growth in enrollments, however, will probably abate somewhat, due to demographic trends as well as economic limitations. In addition, there are some important challenges for the system as a whole going forward.

First, expansion has created more opportunities for access but, along with them, greater difficulty in retaining and graduating an increasingly diverse student body. On average, university students take over six years to graduate, and only about half of them actually graduate at all. Improving the efficacy and efficiency of the system will require greater emphasis on teaching methods, increased curriculum flexibility, more credit transfer opportunities, and enhanced sensitivity to the needs of students who also work.

Second, although Chile's researchers are the most productive in the region as measured by papers per capita or per dollar invested in research and development, the size of the research enterprise is still small, and wholly dependent on universities, with very limited contribution from the private sector. Further expansion will require additional financial support from public and private sources, as well as an increase in the number of doctorate holders available as research personnel.

Third, accreditation of institutions and degree programs, which begun in Chile in 1990, making Chile a pioneer in the region, is currently undergoing a crisis of legitimacy—as a result of the perception that it became too lenient and therefore allows for poor quality institutions to be accredited. This is indeed paradoxical, given that Chile has been, with El Salvador and Ecuador, one of the few countries in Latin America to actually close private universities due to poor quality, after an initial period of explosive growth in the private sector. Following a case of alleged corruption by one of the members of the National Accreditation Commission, the whole quality-assurance framework is now undergoing a revision.

Finally, affordability is as much a concern in Chile as it is in the United States. Much of what caused the student protests of 2011 derives from loan exhaustion. Proposals to return to free tuition and to expand the size and quality of the public sector of higher education are being entertained in the policy arena but, regardless of their viability, the issue of who pays for what is very much in public debate these days.

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# International Academic Mobility in Chile

*Nuria Alsina*

Chile has a long-standing tradition of promoting academic internationalization, particularly through mobility of students and faculty. Fostering internationalization—supported in various ways by the Chilean government—has been seen as a key means to facilitate the academic development of the university system, which, in turn, is viewed as a principal driver of economic development in the country. The Chilean government has been motivated to develop the country's human resources to the highest level through access to top institutions around the world.

## Chilean Students Abroad

*Graduate students.* Becas Chile is a scholarship program that supports full-degree doctoral studies in the world's best institutions. The government spends US$100 million annually on this program; in the period 2008 to 2012, 1,684 PhD scholarships were awarded.

Scholarship recipients have tended to come from the social sciences (representing 42.6 percent of the awards given out), followed by the natural sciences (22 percent), and, to a lesser extent, the humanities (13.2 percent), engineering and technology (10.6 percent), medical and human sciences (7 percent), and agricultural sciences (4.8 percent).

The United States has been the third most popular destination country for Becas Chile scholarship holders—20.6 percent of the awardees have chosen to spend their time abroad in the United States, just behind Spain (22.2 percent of awardees), and the United Kingdom (20.8 percent).

In the period 2008 to 2012, Becas Chile also awarded 2,159 scholarships to students pursuing master's degrees abroad. The United States is the second most popular destination for this group, receiving 25.3 percent of these students. Universities in the United Kingdom enrolled

the most (28.8 percent of these scholarship recipients). Australia (receiving 19.5 percent) and Spain (15.2 percent) were other popular destination countries.

In addition to funding provided by their home country government, Chilean graduate students abroad also benefit from other opportunities and sources of support, including from foreign national agencies, binational organizations, and the institutions at which they enroll. Double degrees are also gaining in popularity.

*Undergraduate students.* Increasing numbers of Chilean undergraduates are studying abroad, but support is still limited and most participate in short-term (often one-semester) exchange programs, rather than pursuing degree programs abroad. The Chilean government sponsors just a few specific programs at the undergraduate level, all oriented toward special purposes, such as training for teachers of English. From 2009 to 2011, for example, 360 students focused on pedagogy in English received state scholarships to spend one semester abroad. Just over half of those students opted to study in the United States.

In addition, a small number of scholarships provided by several German and Japan universities, as well as the Government of Canada, foster mobility to these countries. However, the limited number of scholarships (which do not always cover all costs), and some language requirement challenges, present obstacles to increasing Chilean undergraduate mobility.

## Foreign Students in Chile

*Foreign graduate students.* Chile has a long tradition of training foreign graduate students from other parts of Latin America. These students are attracted by the reputations of some of Chile's oldest and most prestigious universities, as well as some special scholarship programs created by the Chilean government. The Organization of American States and the Inter-American Development Bank also provide scholarships to Latin American students in graduate programs in Chile. Some Chilean universities provide matching funds for these programs, contributing tuition waivers of up to 50 percent.

Altogether, almost 3,000 students from 10 different Latin American countries are currently pursuing graduate studies in Chile (IIE/Ministry of Education Chile 2013). Students from Colombia, Peru, Ecuador, Bolivia, Argentina, Mexico, and Venezuela are heavily represented in this group. The most popular areas of study for these students in Chile include business administration (specifically, the master of business administration degree), economics, agriculture, social sciences, engineering, and urban studies among others (IIE/

Ministry of Education Chile 2013). Very few foreign students from outside of Latin America pursue full graduate degrees in Chile, but those who do so study in areas in which Chile has competitive advantages, such as astrophysics, marine sciences, political science, and economics.

*Foreign undergraduate students.* Across much of Latin America, undergraduate studies (in public institutions) are free, but not in Chile. Thus, Chile is a comparatively expensive option for undergraduate degree study, and students from the region who can afford the tuition often prefer to study in the United States or Canada if they go abroad. Nevertheless, at present more than 6,000 Latin American students from 10 different countries are pursuing undergraduate degrees in Chile, largely originating from Peru, Ecuador, Argentina, Colombia, Bolivia, and Brazil. Popular fields of study for foreign students in Chile include business and management, the health professions, social sciences, and engineering, among others. Although there are no official data, the number of non-Latin American undergraduate students coming to Chile to pursue undergraduate degrees appears to be negligible.

Aside from degree-seekers, since 1990 the country has seen an explosive increase in the number of foreign students coming for short-term semester abroad experiences. Many are attracted to Chile by high-quality Spanish language programs, the opportunity to study Chile's fascinating transition to democracy, and strong programs in economics, political science, and literature. Special extracurricular activities, tuto-rial programs, and other support services help these students integrate smoothly.

In recent years, some of the largest exchange programs in various Chilean universities are estimated to have hosted 3,500–4,000 students a year. US universities provide the great majority of exchange students to Chile—about 60 percent of the total—although exchange students from Germany, Spain, France, and the United Kingdom, and indeed 40 different countries (including from Asia and Latin America), are also present.

### Scholar Mobility

The Chilean government provided 135 scholarships for postdoctoral activities abroad during the period 2008 to 2012. The majority of recipients (41.5 percent) have opted to pursue opportunities in the United States. Smaller numbers have undertaken their postdoctoral work in the United Kingdom (15.5 percent), Spain (14.8 percent), France (12.6 percent), and Canada (10.7 percent). These statistics do not reflect the

numbers of Chilean postdocs who obtain their support from a host university abroad, rather than from the government of Chile.

In terms of support for collaborative international scholarly activity, approximately 40 percent of the research projects approved by the most important national fund, the Chilean National Science and Technology Research Fund (FONDECYT), involve international partners. Between 2008 and 2012, 9,003 FONDECYT projects received budget moneys to foster international participation, and 6,319 scholars are reported to have visited Chile under this framework. Visitors from the United States accounted for 14 percent of the total, though visitors from over 60 countries were involved in these projects.

The Fulbright Commission in Chile is another notable actor in terms of scholar mobility. With its mission to promote academic exchange with the United States, the Commission provides support for 17 scholars and 16 senior specialists from the United States to spend time at Chilean universities. Similarly, the German Academic Exchange Service (DAAD), the British Council, the Japan Cooperation Agency, and the embassies of France and China, among others, foster collaboration between Chile and their respective countries by offering different study opportunities for faculty and other scholars.

## More Mobility on the Horizon

It is clear that Chile is keen to attract international partners and to foster mobility. Since 1997, technical and economic support to promote the Chilean university system abroad has been provided by the Trade Commission of Chile (ProChile), a division within the Ministry of Foreign Affairs, with more than 15 regional offices and 54 commercial offices around the world. ProChile has undertaken missions across Latin America to foster collaboration with universities and to showcase undergraduate and graduate programs in Chile; organized seminars and conferences; and supported Chilean university attendance at international academic fairs and conferences (such as NAFSA and EAIE).

All signs indicate that mobility between Chile and other countries will increase. Many universities are incorporating mobility objectives into their institutional goals; the government is committed to supporting graduate training abroad, and the Chilean academic community values ongoing efforts to internationalize.

AUTHOR'S NOTE: Unless otherwise noted, most statistics are drawn from CONICYT, Chile's National Commission for Scientific and Technological Research (in Spanish, Comisión Nacional de Investigación Científica y Tecnológica).

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# 50
# US-Chilean University Partnerships: Why Is Chile a Model for the Future?

*Ned Strong*

In Latin America, Chile is emerging as a leader in academic exchanges and collaborations. In addition to a growing portfolio of traditional student and faculty exchange, Chile has a strong university system, a notable ease of doing business, emerging financial resources, and an environment that encourages innovation. These advantages have fostered new models for collaboration that have far-reaching impact well beyond Chile's borders.

### Traditional Programs: A Growth Industry

Chile is experiencing phenomenal growth in the area of traditional student and faculty exchanges. Chile's English-language newspaper, the *Santiago Times*, recently reported that the number of international students in Chile had grown 700 percent in the last decade. *Pro Chile*, a component of the Chilean government's export promotion efforts, reported a total of 12,383 international students in the country in 2012.

The number of Chilean students who study abroad is also growing. Since its inception in 2008, the Chilean Government's *Becas Chile* program has provided scholarships for 3,449 students for graduate education around the globe, more than three times the total number who studied abroad during the previous five years. Chilean students enrolled in US universities (funded by *Becas Chile* as well as other sources) increased from 2,203 in 2011–2012 to 2,349 in 2012–2013, a 6.6 percent increase (IIE 2013).

The American-Chilean Chamber of Commerce has also noted an increase in educational exchange activities in Chile, especially the emergence of dual degree master of business administration programs. The University of California, Los Angeles and Universidad Adolfo Ibañez,

Babson College and the Universidad del Desarrollo, and Tulane and Universidad de Chile are examples. University of Notre Dame and Pontificia Universidad Católica de Chile are establishing a joint degree in engineering.

**New Models for Collaboration**

Beyond traditional exchanges, many universities in the United States and other countries are developing new and innovative program models that take advantage of Chile's unique environment and build ties with the local scholarly and business communities. Such models include:

*Regional offices.* Ten years ago Harvard University opened a regional office in Chile, in order to link the institution more closely with Argentina, Peru, Bolivia, Chile, and Uruguay. Its mandate was not limited to creating study-abroad programs, which was the model for many offices of US universities in Chile at the time, but encompassed an array of entrepreneurial activities that would "bring Harvard to Latin America and bring Latin America to Harvard." To date, more than 100 faculty members and 1,000 students have participated in activities initiated by the office, which have included collaborations with nearly one-third of all Chilean universities.

Building on Harvard's success, in the last two years, Columbia University and the Massachusetts Institute of Technology (MIT) have leveraged their strong alumni and programmatic bases in Chile to develop similar offices with like mandates. The University of Notre Dame is also expanding its presence in Chile beyond student exchanges, and the dean of the Division of the Physical Sciences at the University of Chicago was in Chile recently to explore similar opportunities. The value of the regional office model is the potential for deep connections and innovative programs that bring together top scholars, across disciplinary and geographic borders, to address some of the most difficult world programs.

*University-Community Collaborations.* In 2006, when Chile's president, Michelle Bachelet, announced the improvement of preschool education as a key priority for her government, faculty from Harvard's Graduate School of Education and Chilean colleagues established *Un Buen Comienzo*, a program to improve preschool learning and health outcomes. Harvard faculty members and graduate students have worked with Chilean colleagues to improve the classroom practices of hundreds of teachers in 80 public schools in Santiago and the Rancagua Region. In terms of broader impact, three Chilean universities are working with the *Fundación Educacional Oportunidad* to evaluate the program and expand it to new areas of Chile. Data collected as part of

the program's comprehensive evaluation have contributed to at least 20 graduate school theses; and, based on its success, the model is being replicated in Brazil.

In a very different example of university-community collaborations, Harvard faculty and students in a number of disciplines, along with staff from the Chile office, joined local efforts to rebuild after the powerful 2010 earthquake and tsunami. Public policy students learned postdisaster intervention techniques, by working directly with local residents to produce disaster recovery plans for small businesses. Medical school faculty worked with local universities to address child and family health. Oceanography faculty worked to restore artisan shellfish production. Design school faculty worked with local architecture students on earthquake resistant buildings. Again, the impact of these collaborations went beyond the program itself; one participant went on to lead White House efforts to address losses resulting from Hurricane Sandy, and faculty involved in the program have applied lessons learned in disaster situations in Japan, New Zealand, and Haiti.

*Entrepreneurship and Innovation.* MIT established the worldwide MIT International Science and Technology Initiative (MISTI) in 2003. The largest and most active MISTI program is in Chile, where funding was recently awarded for 24 new collaborative projects, led by faculty and students. The program's chairman, Arnoldo Hax, has stated that MISTI partnerships in Chile are the strongest worldwide because of the country's robust spirit of entrepreneurship, and a commitment on the Chilean side to achieving success in each of the projects. Chile's MIT office works closely with the MISTI program and facilitates much of its work on the ground.

Over the past two decades, university collaborations have helped Chile become a regional leader in innovation. The Chile-California Agreement, begun in the 1960s, revolutionized fruit production and exports in Chile—thanks to collaborations between the University of California Davis and the Universidad de Chile. A similar agreement between Chile and Massachusetts was signed in October 2012 and has already resulted in new collaborative programs focusing on innovations in energy, biotechnology, and education.

In addition to encouraging innovation through institution-level programs, the Chilean government is also focused on individual entrepreneurs. *Start-up Chile*, a government program established in 2010, provides US$40,000 grants to recent graduates of universities all over the world who come to Chile to begin new ventures. By 2013, 888 entrepreneurs from 36 countries have been awarded grants. The program

contributes to a growing venture capital culture and is expected to result in countless collaborations, technologies, patents, and products.

These examples show how unique approaches to local engagement—particularly via regional offices with an entrepreneurial focus—can connect faculty, students, and institutions to address pressing local needs. While the immediate effects of such projects are important, the broader impact is equally powerful. Faculty and students, from both the home university and local partner institutions, discover new techniques, establish new research areas, and contribute to the development of disciplines well beyond the borders of Chile.

## Why Chile?

With an annual growth rate of around 5 percent for the last 5 years, Chile has one of the strongest economies in Latin America. Significant growth in exports over the last 20 years has created wealth and increased the country's tax base, allowing for greater public and private investment in higher education and research. Now, some of the region's top universities are in Chile, providing a strong base for international collaborations, particularly in areas such as biology, astrophysics, agriculture, forestry, mining, and engineering.

On a logistical note, Chile ranks #1 in Latin America and the Caribbean on the World Bank's "ease of doing business" index, and entrepreneurial ventures are welcomed. Opening a representational office in Chile is a fairly straightforward proposition; unlike in neighboring countries, red tape is relatively minimal.

In many senses, Chile is a perfect student and faculty laboratory. A combination of willing and able university partners, the ease of doing business, and an environment of entrepreneurship create a strong foundation for successful collaborations. Establishing an office on the ground that can catalyze these programs and relationships leads to the advancement of disciplines, higher quality student experiences, and new opportunities for faculty involvement.

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# 51
# Southern Cone Countries: Global Engagement Beyond the United States

*Leandro R. Tessler*

Argentina, Brazil, and Chile (ABC) have struggled to be part of the international higher education scene for many years. Some very recent developments have caught the attention of the United States, including the Program for Promotion of the Argentine University (PPUA) and its constant presence at international events since 2006; the Bicentennial Becas Chile program, operational since 2008; and Brazil's Scientific Mobility Program (BSMP, formerly "Science without Borders") launched in 2011. However, many important internationalization projects, involving mainly Europe and other parts of Latin America, have been in place for years. Indeed, the United States has not been the only—nor, up to now, even the most important—partner of many ABC higher education institutions.

## Understanding Internationalization

Although Brazil and the Spanish-speaking Latin American countries have rather different higher education histories, international influences have been a factor from the beginning. In the former Spanish colonies, universities were established in the 16th century and largely inspired by the models of Alacalá de Henares and Salamanca in Spain. At that time, these colonial institutions depended on receiving scholars from the metropole. They were the precursors of today's private and public universities across Spanish-speaking Latin America.

In Brazil, universities were established only in the 20th century. In 1934, the State of São Paulo commissioned a mission of French intellectuals to help create the first bona fide Brazilian university, the University of São Paulo. More recently, during the 1960s and 1970s, the ABC countries all suffered from military dictatorships, where civil

rights were not guaranteed and academics were persecuted and even killed by governments supported by the US administration of the time. In this context a feeling of latinidad, or Latin brotherhood, among the ABC countries (and the rest of Latin America) flourished, especially in universities' humanities departments. The universities became the places where a genuine Latin American culture was to be forged. Latin America would finally be able to end its relationship of dependence on the richer northern hemisphere countries.

In this context, it is not surprising that cooperation within Latin American universities grew with a strong political component. For example, local university leaders maintained strong sympathy for French universities and the outcomes of the May of 1968 movement. In many cases, the use of the English language by intellectuals was (and, for some sectors, still is) associated with submission and giving up national sovereignty, posing a barrier for cooperation with the United States even today.

During this same period, local scientific agencies (CONICET in Argentina, CNPq and CAPES in Brazil, CONICYT in Chile) were focused on providing scholarships for their own students to pursue doctoral-level study all over the world. Europe, especially Spain (for Argentina and Chile) and France (for Brazil) were popular destinations. Once a critical mass of researchers was reached, the funding agencies switched priority to supporting PhD students almost only in domestic institutions, with the goal of consolidating graduate programs at home.

### Intra-ABC/Latin America Internationalization

Internationalization of higher education returned to the political agenda in the ABC region with the creation of Mercosur in 1991. The Associación de Universidades Grupo de Montevideo (AUGM) was established in the same year to bring together selected public universities within the member countries. AUGM currently has 11 members in Argentina, 2 in Bolivia, 10 in Brazil, 2 in Chile, 3 in Paraguay, and 1 in Uruguay. AUGM promotes student mobility among its member universities, both at undergraduate and graduate levels, as well as faculty mobility, and scientific and academic cooperation. Every year, one member university hosts the Young Researchers Meeting, which brings together more than 1,500 undergraduate students involved in research projects. AUGM is a model for successful cooperation between universities in the area.

Other associations like the Chilean Interuniversity Center for Development (CINDA) and Brazilian Universities Coimbra Group (GCUB) have programs to facilitate student and faculty mobility within the

region. GCUB has established BRAMEX (Brazil-Mexico) and BRACOL (Brazil-Colombia) programs to exchange graduate students and is currently negotiating a similar initiative with Peru. It also runs a program that annually sends up to 280 Brazilian undergraduate students to Portuguese universities for a year of study.

Although the exact figures are impossible to obtain, there is relative "free mover" circulation of undergraduate and graduate students within the ABC countries. Public universities in Argentina (at the undergraduate level) and Brazil do not charge tuition fees. Portuguese and Spanish are close enough to permit students rapid language acquisition. There are no restrictions for foreign graduate students to apply for scholarships in Brazil.

Cooperation has also been encouraged by open research facilities in the ABC countries. These resources (including such examples as the Pierre Auger Observatory in Argentina, the National Synchrotron Light Laboratory in Brazil, and the Cerro Tololo Inter-American Observatory in Chile) are regularly used by faculty and graduate students of all countries in the area.

### Europe: Double Degrees and Beyond

France and Germany have a tradition of providing PhD scholarships to ABC students in science and engineering (more recently also at the undergraduate level). Once back in one of the ABC countries, young PhDs tend to establish links with their former laboratories in Europe. This has induced very fruitful cooperation, particularly given that such connections often benefit from regular funding. As a consequence, since the early 2000s, a group of Brazilian universities has maintained double-degree programs in engineering and basic sciences at the undergraduate level with French and, more recently, Italian and German universities. More than a thousand Brazilian and European students have participated in these programs. New programs and new areas are added all the time. A similar situation occurs in Chile, while in Argentina the main partners are Spanish universities.

The European Erasmus Mundus program has also furthered internationalization in the ABC countries. Although the numbers associated with this initiative are still relatively small, they have connected institutions that would not otherwise exchange students. At the present time, much of the international engagement with Europe involves research projects and the exchange of graduate students. The European Union Framework Programs have been an important funding resource for these arrangements.

### Africa, Oceania, and Asia

Of the ABC countries, only Brazil has a strong (albeit tragic) historical and cultural bond with various African countries, in light of the slave-trade history. Only very recently did a Brazilian cooperation begin with former Portuguese colonies in Africa. The Lusophone Afro-Brazilian University of International Integration (UNILAB), a federal university devoted to cooperation with the lusophone community, was opened in 2010.

Institutional cooperation with Australia and New Zealand has been hindered by the incompatibility of financing models, although much progress has recently taken place.

Due to language issues, cooperation with Japan traditionally has been limited to involvement by Brazilians of Japanese heritage. Cooperation with China and South Korea is incipient but gaining momentum, especially as far as research is concerned. Three Brazil-China research centers were opened recently.

### The United States: One Option Among Many

The ABC countries recognize a "world of opportunity" when it comes to options for international engagement. In this context, the United States is one of multiple potential partners for possible collaboration—and one that, not incidentally, carries with it difficult historical "baggage" for some. US institutions considering international engagement in the ABC countries would be wise to inform themselves about the various dynamics at work in the region and to approach their ABC colleagues with both thoughtful awareness of the many dimensions of internationalization already in play and sincere appreciation for the evolving needs and interests of the region's universities. If done well, the Southern Cone higher education systems are likely to provide a vibrant and ready environment for true, sustainable partnerships.

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