

IAU: BUILDING A WORLDWIDE COMMUNITY OF HIGHER EDUCATION

OUTLINE FOR AN ACTION PLAN FOR 2008-2012

A. Introduction

As a global association of universities, other higher education institutions and university organisations at the national, regional and international level, the **IAU has as its overall goal to serve its Members by remaining engaged in the important higher education issues of the day and offering quality services.** The proposed Plan of Action of the International Association of Universities (IAU) for the next four years is based on a number of key assumptions and constants that are unlikely to change. At the same time, the action plan is by no means set in stone as IAU must retain the flexibility to respond to new needs, react to opportunities and be proactive when needed. The elected IAU leadership – the President, Vice-Presidents and Administrative Board Members, has ample opportunity to influence the direction and activities undertaken, within the framework of the mission and mandate of the Association, which was renewed in 200-2006.

Among the constants that underpin the work of the Associations the following need to be highlighted:

- higher education institutions, through their leaders and other senior administrators are the primary target audience for IAU work;
- serving the Membership and offering value-added to Members – institutions and organizations, is a primary motivation;
- need to focus on only a few priorities in line with Membership needs, IAU expertise and resources;
- commitment to promoting the values on which IAU was founded;
- respect for the traditional partnership with UNESCO and a strong commitment to collaboration with a variety of actors in higher education and research;
- a responsibility to produce high quality results vis a vis those who provide support to the Association, for example Sida/SAREC.

During the past four years, the Administrative Board agreed upon a methodology that IAU can apply when choosing its priorities and, as the next Plan of Action is elaborated in more detail, this approach will be maintained. The **specific objectives** that will be pursued are:

- Continue to expand the membership of the IAU, in quantitative and qualitative terms, consolidating its inclusive nature also in the geographic sense and making a concerted effort to make the Association as representative as possible of the diversity and excellence of higher education institutions around the world.
- Give top priority to themes of importance to institutions of higher education, to topics on which a global forum for debate and sharing of experiences is likely to bring innovation and improvement and strive to remain at the vanguard of emerging challenges.
- Place emphasis on activities, which offer scope for increased Membership services and direct involvement of Members.
- Continue to play a central and facilitating role in the creation of a global higher education space for dialogue and networking among higher education organizations.
- Reinforce cooperation, solidarity and all actions that lead to assessment and implementation of reforms that strengthen the quality and availability of higher education and reduce inequities between people, institutions and systems.
- Expand external project funding and, through increased benefits and activities, consolidate and grow the Membership of the Association.

The proposed Plan of Action does not present a specific section on Membership Development, though the objectives that IAU will pursue are all linked to maintaining and increasing Members' satisfaction and collaboration. A section on Membership services and recruitment campaigns to increase the

number of Members would be somewhat redundant as this is a permanent preoccupation for IAU. IAU President, Board Members and all senior staff at the Secretariat are engaged in promoting increased Membership. Most of the activities presented in this document are linked to achieving this goal and will serve to consolidate the efforts to achieve it. Finally, as part of the IAU governance structure, it is proposed to turn the Board Standing Committee on Membership into a Membership Development Committee.

B. Strategic Choices – Themes/Policy Priorities, Partnerships and Activities

1. Addressing important higher education policy challenges

The IAU is continuously gathering information and building its knowledge base about the multiple challenges, transformations, opportunities and rapidly changing circumstances, which face higher education and research institutions around the world.

The 2008-2012 Plan of Action needs to address a number of these challenges and opportunities if it is to be of interest and use to the IAU Membership. It is also incumbent on the IAU to identify and act as an early alert system with regard to emerging topics, which are likely to be important to the leaders of higher education in the future.

In broad brushstrokes, and not necessarily in order of priority, **the current 10 policy issues or challenges** presented below seem to be on the minds of policy makers and higher education institution leaders alike. The relative importance of each may differ in light of the local, national or regional context, yet none of these issues can be ignored for long as all nations aspire to play an active role in the Knowledge Society. The IAU, while not having the capacity to address all of these preoccupations has, and will continue to situate its action on some of these topics.

Policy Issues/Challenges

1. **Increasing rates of successful participation** in higher education among a broader/more representative segment of the population, including through the application of information and communications technologies and diversification of modes of educational delivery;
2. Maintaining or increasing **high quality of teaching, learning and research** at institutional as well as system levels;
3. Finding successful models of **financial investment** for the expansion and/or improvement necessary to fulfill the two goals above, including by means of mission differentiation;
4. Offering **relevant higher education** and engaging in research activities that meet the sustainable development goals of society;
5. Gaining **public support and recognition** for these achievements through sound **accountability** and **quality assurance** measures and reporting, as well as by improved information dissemination and rankings which compare what is truly comparable and better reflect the missions of diverse institutions;
6. Reinventing **governance structures and management** methods suitable to higher education and responsive to times of rapid change;
7. **Balancing**, in their internationalisation efforts and at home, the push for greater competitiveness and **competition** with other higher education institutions with a commitment to **cooperation, capacity building**, reducing inequities and mutual learning especially in the context of developing country partners;
8. Acting as **model forums for learning through intercultural dialogue** and democratic citizenship in practice;
9. Building and promoting multiple, diverse and dynamic **linkages with society** – the world of work, of art and culture;
10. Remaining **creative, innovative and constructively critical** by reaffirming the fundamental values of academic freedom and institutional autonomy, values that can only be maintained through the responsible and successful fulfillment of the above-listed goals.

Each of these policy areas can constitute a vast programme of activities on its own. The IAU has, in the past, addressed several of these topics and may continue to build on these efforts. At the same time, given the changes that are taking place in higher education, the new President, Executive Committee and Administrative Board may determine that a shift of priorities to take on new topics is needed. In such a case, it will also be incumbent on the IAU leadership to determine which of the past thematic priorities can and should be set aside.

As outlined during the Strategic Planning exercise undertaken in 2005-06, the IAU Administrative Board, when making choices from among competing priorities will seek satisfactory answers to the following **strategic questions**:

- Will a global dialogue add value to the debate?
- Can IAU develop an activity focusing on the topic that translates into action with concrete deliverables?
- Does IAU have the capacity and track record to act?

2. Partnerships on the global higher education scene

IAU situates its action on a global higher education stage that is populated by an ever-growing number of diverse entities – associations, networks, alliances, leagues of universities etc. These groups exist or are being established alongside networks of individual scholars or researchers which too organize at national, regional and international level.

The IAU has recognized this development and sought to become a forum for facilitating the dialogue among the major national and international higher education associations – welcoming associations as full Members in IAU since 2000 and convening regular, biannual Global Meetings since 2005. During the next four years, IAU will develop a long-term strategy for collaboration with university associations, most particularly at the regional level. This will become necessary in order to situate IAU action most effectively within the dynamic development of regional integration movements in Europe of the Bologna Process but also in other regions of the world, including Latin America and Africa which too are moving towards the creation of regional higher education areas.

Almost all regional Associations of Universities are full Members of the IAU and enjoy all the benefits and rights of membership, including seats on the Administrative Board. The policy with regard to the regional and indeed national associations has been to avoid all possible competition by always focusing on the global nature of IAU Membership. In the four years to come, the IAU Administrative Board will determine how IAU may facilitate inter-regional cooperation and/or develop projects in specific regions in order to realize the full potential of having regional and national associations as Members.

In general, IAU will continue to act in line with its commitment to cooperation, to working in partnership with others and a strong belief in collective action to achieve results. In the years to come, it will also focus on developing a clear strategy to strengthen those activities that only a global association can offer – global surveys, worldwide data collection, convening fully international debates and expand those collaborations that:

- a) offer enhanced opportunities for the Membership;
- b) advance knowledge, reflection or advocacy on one of IAU's thematic priorities;
- c) have the potential to increase IAU Membership and or resources and finally d) allow IAU to increase its visibility and impact.

The increasing importance of such partnerships has been integrated in the list of planned actions presented below.

3. IAU actions – balancing successful on-going activities and introducing innovative actions

Notwithstanding the expectation that the newly elected IAU leadership will exert an influence on the activities that IAU will pursue over the 2008-2012 period, there are several initiatives whose planning is well advanced already. There are also regular, on-going activities, such as the publications of reference material, that will continue to be implemented, though of course changes may be introduced as in the recent past.

These on-going or planned activities are presented first, followed by several possible actions or ideas which will be further elaborated for discussion by the Administrative Board in the first years of its mandate. As has been stated already, resource re-allocation or new resources would be necessary to take on most new projects so it may be necessary to cease some activities in order to take on new initiatives.

i. Convening Meetings, Conferences, Acting as a Forum

Bringing the Members together as often as possible continues to be a priority as such events give a concrete and tangible sense to Membership, offer opportunities for networking and enrich the Association's knowledge base.

Three IAU events are already scheduled:

- 3rd Global Meeting of Associations – co-organized with ANUIES, hosted by Universidad de Guadalajara, April 20-23, 2009, proposed theme: ***Associations, Networks and Alliances: Making Sense of the Emerging Global Higher Education Landscape.***
- 2009 Annual International Conference – hosted by University of Notre Dame de Louaize, Tripoli, Lebanon, 3-6 November 2009, ***The Role of Universities in Promoting Inter-cultural Dialogue and Understanding.***
- 2010 Annual International Conference – hosted by Mykolas Romeris University, Vilnius, Lithuania, 20-24 September, 2010, ***theme to be determined.***

In addition, smaller, working meetings of experts will be organized to advance IAU work on topics such as Equitable Access, Education for All and other themes as they are taken up, including possibly Institutional Governance, and capacity building in the area of education for research (see section on the *Innovation Fund*).

Additional opportunities will be made available through IAU partnership or co-sponsorship of other events. Already, several are being planned as follows:

- ***Higher Education Collaboration: Local Responses in a Global Context***, CONAHEC's 12th North American Higher Education Conference, 6-8 October 2009, Monterrey, Mexico
- ***Global Connections – Local Impacts: Best Practices, Models and Policies for Cross-Border Higher Education***, The Observatory of Borderless Higher Education, UK, University of Nottingham and Malaysia Ministry of Higher Education, October 2009, Kuala Lumpur, Malaysia.

In light of IAU's continued interest in and mobilization for greater involvement of higher education and research in sustainable development, the Association will also seek to play an active and constructive role in the World Conference on Education for Sustainable Development, being organized by UNESCO in Bonn, Germany from 31 March to 2 April, 2009. The theme of this conference is ***Moving into the Second Half of the UN Decade on Education for Sustainable Development.***

Finally, IAU has committed itself to being an active partner and contributor to the conceptualisation and realization of the **UNESCO World Conference on Higher Education +10**, scheduled to take place on 6-8 July 2009 in Paris. Within the overall theme ***The New Dynamics of Higher Education for Societal Change and Development***, this conference will offer much scope for IAU to represent the voice of its Membership in the various thematic discussions.

ii. Advocacy, Policy Statements/Declarations of Principles

Serving as the collective voice and speaking out on issues of global importance and relevance for higher education and research development is a responsibility that IAU has assumed for many decades. The IAU will continue to promote its existing Policy Statements and the values they enshrine, though at present the Association will focus on the final approval of the policy statement entitled: ***Equitable Access Success and Quality in Higher Education*** and the creation and launch of follow-up activities that can turn this Statement into helpful resources for HEIs.

The Secretariat is developing a project for submission to external donors which would enable IAU, together with institutional experts, to elaborate an Institutional Access and Retention Self-Audit Instrument as a diagnostic tool to assess and/or draw up institutional policies, programmes and services designed to improve their current performance with regard to successfully integrating learners from under-represented groups.

It is expected that the UNESCO World Conference on Higher Education +10 will offer an important occasion to present the work of the IAU on this topic and hopefully to see the Statement widely endorsed and/or its substance integrated into the outcomes of this UNESCO event.

Another priority area in which the IAU advocacy function will be deployed in the future concerns the linkages between higher education and other levels of education, most particularly basic and primary education central to the UN's *Education For All* global programme. Building on initial data collection and the recommendations of an Experts' Meeting convened by IAU in 2007, the Association has formed an international Reference Group which will assist the Secretariat in the next phase of this initiative. Actions planned include:

- awareness raising (brochure/leaflet)
- provision of useful resources and an interactive forum (Portal for information exchange) and
- capacity building opportunities (meetings, workshops, databases of good practice and experts).

These efforts will all aim to strengthen and demonstrate the effective contribution of HEIs to achieving the EFA goals as well as the education-related Millennium Development Goals.

iii. Research, Analysis and Information on Higher Education Policy Developments

a) Internationalisation of higher education

The primary raison d'être of IAU from its early days has been to promote international cooperation, mutual learning and solidarity. Such a commitment has naturally translated into a major focus on the internationalisation of higher education and the many forms this increasingly important activity is assuming around the world. In the 2008-2012 period IAU will carry out the 3rd Global Survey on Internationalisation of Higher Education. IAU has created an international expert Task Force to help design the questionnaire for this third survey, building on the two highly interesting and valuable previous surveys. It is expected that data collection will begin and be completed in the fall of 2008, the data analysed in early 2009 and the report published during the course of that year. The report will be widely disseminated in 2010.

b) the IAU journal- *Higher Education Policy*

Higher Education Policy, the independent, peer reviewed journal of scholarly analysis of higher education published by IAU will continue to provide Members as well as the much larger academic and policy community with high quality research on a variety of topics. Published on a quarterly basis, the thematic and internationally comparative HEP relies on a network of experts in its Editorial Advisory Board and welcomes submissions from researchers and scholars worldwide. Generally speaking, the themes tackled by researches whose papers will be retained for publication in HEP are likely to be found in the list of policy issues presented earlier in this document (Section B.1). For the coming year (vol. 21 and 22), at least two special issues are planned; one on globalisation (editors Ka Ho Mok and Rosemary Deem) and one on gender and higher education (editor Louise Morley).

The long-term objective for *Higher Education Policy* is to maintain its position as a respected international higher education journal addressing issues of policy, governance and management. It

will continue to cater to scholars, institutional leadership, practitioners and administrators at all levels of higher education. The journal Editor will attempt, with the help of members of the Editorial Advisory Board, to increase the number and quality of manuscripts submitted. Overall submission rates are satisfactory (given page number limits and the number of special issues), but the quality could be somewhat higher.

As well, together with the Editor of the journal and Palgrave MacMillan, Ltd., it is envisaged to increase quite significantly the marketing efforts of the journal and to make even more advances in the use of the on-line availability of the contents to generate revenues. Despite a rather difficult time for scholarly journals, HEP has maintained its sales levels and has seen increases in the online revenue stream.

c) Research Essay prize

In the four years to come, at least two IAU/Palgrave Macmillan Research Essay Prize competitions will be organized and the themes will be determined in discussion with the Editor, the IAU Administrative Board. Linking the Prize to other IAU activities is being urged by the Secretariat which would like to see at least one such Prize focus on issues related to Access and Success, in line with this on-going and important thematic priority of the Association.

d) Other IAU information resources

There are several other ways in which IAU will continue to offer informed opinion and information from around the world on higher education policy, trends and new issues. The *IAU Horizons* newsletter, published four times a year, will continue to be a thematic information source which also highlights IAU activities. Among the upcoming themes, several are listed below but other topics may also be considered. As with other IAU activities, building synergies with initiatives that are undertaken or IAU events may impact on the timing of certain topics.

- Vol. 14 n°2 (September 2008): ***Higher Education and Research Addressing Local and Global Needs***, highlighting the outcomes and high points of the General Conference and all decisions that will have been reached including the elections.
- Vol. 14 n°3 and n°4 (December 2008): ***Mergers and Rationalization in HE***, implemented in various forms and countries will be examined to learn about some of the processes used and outcomes achieved – both good news and bad.

Other *IAU Horizons* issues may include:

- **Measuring Higher Education Learning Outcomes**
- **Making sense of the Global Higher Education Landscape**
- **The World of Higher Education Blogs**

During the course of this 4-year period, IAU will investigate the possibility of using select advertising to supplement the resources available for the production of *IAU Horizons* which has a circulation of about 2,500 readers and is offered free of charge. Moving towards the provision of an e-version of the newsletter, already being tested now, will continue to be pursued.

e) IAU Website

The IAU website, widely consulted and open to all will continue to be regularly updated and adjusted as projects and activities are completed and new programmes developed. IAU will investigate the feasibility, value and cost of moving away from the UNESCO server, partially or fully, in order to gain the capacity to offer improved services (more interactivity, databases, sections reserved for Members). This may become not only desirable but indeed necessary, as UNESCO's own policy on providing open access to the server is evolving. IAU will investigate the possibility of housing its website on a private sector server or perhaps at an IAU Member institution willing to cooperate with the Association.

New additions, such as the Portal on EFA and Higher Education will be added as well as other possibilities investigated. Access to the IAU reference publications online (see in section (v.) below), may increase the number of site users and could prove beneficial for membership development.

f) IAU E-Bulletin

The monthly electronic guide to what is new and interesting on the web concerning higher education and research worldwide - the *IAU E-Bulletin* will continue to be sent out on the first of each month 10 times a year to all subscribers. The *IAU E-Bulletin* was one of the first tools of this type and even if a number of information tools of a similar nature are now emerging, it is still the most comprehensive instrument prepared by non-journalists. The *IAU E-Bulletin* remains a short but comprehensive world overview which allows each reader either to glance quickly at all the news or to investigate selectively those items of interest. It provides both the conduit to the original Internet source and a brief description of the contents.

During the next four years, IAU will strive to **increase the input from IAU Members** into all of these information and communications instruments. For this purpose IAU will seek to establish direct contact with the Public Affairs or Communications personnel in each Member institution and organization.

Finally, a survey of IAU Members will be undertaken, covering all communications instruments of the Association, to ascertain how known and how useful these tools are.

iv. Information Clearing-House on Higher Education Systems, Institutions and Credentials Worldwide

Among many in the higher education world, IAU remains known as the publisher of the *International Handbook of Universities*. IAU will build on this history but move more firmly into the era of information technologies by:

- replacing the *International Handbook of Universities* by the far more comprehensive **World Higher Education Database** (WHED) CD-Rom as the benefit offered to all IAU Members in good standing;
- concentrating its effort on facilitating the on-line updating by information providers, be it staff of ministries or other competent bodies in various nations or by the higher education institutions;
- pursuing a new agreement with Agence universitaire de la Francophonie (AUF) to offer an updated version of the information on education systems in French;
- preparing the 5th and perhaps the 6th edition of the Guide to African Higher Education; developing specific approaches to collect and disseminate information about those countries from which up-to-date information is difficult to obtain;
- investigating with Palgrave Macmillan Ltd., the feasibility of creating an expert advisory group to assist in the continuous improvement of these reference sources. Such a group would assist IAU in positioning the reference publications in a context in which new products – both free and commercial, are continuously being developed to provide information on higher education.

The IAU information clearing-house role extends as well to the provision of bibliographic information on higher education. IAU houses an important reference documentation centre and coordinates the International Bibliographic Database on Higher Education (HEDBIB) which is available on-line. The manager of the documentation centre will retire at the end of 2008 after a long career at IAU. IAU will use this opportunity to reconsider the future of the documentation centre, the needs of Members and the wider community in regard to bibliographic information and what role and how IAU should play in the dissemination of scholarly knowledge on higher education. The Administrative Board of IAU, but also UNESCO will be engaged in this reflection as historically, operating the documentation centre and offering bibliographic services forms part of a more general agreement on the IAU/UNESCO Information Centre on Higher Education signed in 1989.

v. Capacity Building and Support to IAU Members

a) LEADHER

Indirectly, all IAU activities are designed to contribute to capacity building in institutions that are undertaking reforms or those that are searching for solutions to the challenges they face. However, in the past, IAU has not offered specific and direct support to institutions with one or two exceptions, such as, for example, the workshop organized in 2006 with and for the benefit of Addis Ababa University in Ethiopia. The **Leadership Development for Higher Education Reform (LEADHER)** programme, launched in 2007, is thus a new project that IAU will offer for the next three years. Every effort will be deployed not only to maintain the programme but, on the contrary, to expand it and add different aspects to its implementation.

The LEADHER programme offers grants on the basis of an annual competition open exclusively to IAU Members. Grants are offered to institutions that have developed North-South or South-South partnership projects on a particular aspect of institutional reform. At the heart of each partnership project is a set of Learning Visits undertaken by the senior managers of the participating institutions. Reports on the ways that these Learning Visits serve institutional change are being collected by IAU and will contribute to improving the Association's understanding of the challenges experienced by the Members. These reports will also strengthen IAU's appreciation for some of the solutions being applied and more generally allow the IAU to develop additional services and projects more in line with demand.

In the LEADHER programme, over the next four years, IAU will focus on:

- Solid management and monitoring of the Programme;
- Ensuring that the lessons learned by grant recipients can benefit others;
- Developing other dimensions, *inter alia*, possible creation of a network of people who took part in LEADHER visits, organizing a workshop for LEADHER grant recipients to share experiences beyond their partnerships
- Fund-raising to grow the Programme overall or to develop special sub-programmes focusing on narrower reform areas.

b) Innovation Fund

The grant proposal, which the IAU submitted to the Swedish International Development Agency (Sida) for 2008-2010, includes a new opportunity for IAU to increase its capacity for research based policy discussion. The Innovation Fund represents a modest amount of funding (20,000 Euro per annum) designed to enable IAU to play a more proactive role by mobilizing research efforts on new or emerging issues affecting higher education and research, most particularly in developing country institutions. The choice of subjects on which to work and the decision how to operationalize each Innovation Fund activity rest with IAU and already two topics have been discussed by the Executive Committee in this regard. These are:

- The changing nature of institutional governance in HEIs;
- Developments in doctoral programmes and their impact on training for research

The specific modalities of how these topics may be addressed and what outcomes IAU will pursue are still to be finalized, yet the Innovation Fund offers the IAU a good opportunity to mobilize Members to investigate questions of common interest and emerging importance, most especially for institutions in developing countries.

C. IAU Governance, Management, Operations and Budget

i. Decision-making structures

IAU relies on several levels of **decision making** to plan and implement its programme of activities.

- The General Conference approves the major strategic goals the Association will pursue, the Constitutional rules that govern its operations and the major Statements or Declarations voiced on behalf of the Association.
- The President and Administrative Board identify, debate and approve the objectives, strategies, specific projects and main lines of actions or policy positions that the Association adopts, as well as the practical aspects of the implementation of new or changed rules of operations.

- In most cases, the Board's discussions are based on recommendations of the Executive Committee (composed of the President, four Vice-Presidents and the Secretary General), which meets twice a year and is most directly engaged in developing the strategies and the reflections needed for IAU to make choices.
- Two Standing Committees of the Board are also part of the governance structure – a Finance Committee chaired by the IAU Treasurer (one of the Vice-Presidents) to supervise the financial operations of the Association and a Membership Development Committee to advise on strategy for membership growth. Both of these committees make recommendations to the Board.

This work is supported by the Secretariat which prepares all background material to facilitate discussions and make it possible for the Board to reach decisions efficiently. The Secretariat implements the actions approved and reports on progress to the Executive Committee and to the Administrative Board.

ii. Expert Advisory Bodies

To supplement the expertise and broaden the linkages with IAU Members, **Expert Task Forces**, advisory committees or reference groups are established in an *ad hoc* manner to focus on specific areas. IAU also creates programme and logistical committees when planning conferences and meetings to ensure that collaboration with the host institution is as effective as possible.

It is proposed to pursue this approach in the next four years, with the creation of Task Forces or experts groups to advise the Board and Secretariat on the main thematic priorities or specific projects as they are adopted. Some are mentioned below:

- Task Force on Equitable Access and Success in Higher Education
- Task Force for the 3rd Global Survey on Internationalisation of Higher Education
- Reference Group to guide the IAU project linking EFA and Higher Education
- LEADHER Programme Selection Committee
- IAU/Palgrave Research Essay Prize Jury
- IAU Reference Works Advisory Committee
- Small 'Special Initiatives' Task Forces

The 'Special Initiatives' Task Forces would act in an advisory capacity, working with the Secretariat and reporting to the Board. They are being proposed in order to assist with the further development of a number of potential activities or services which will require guidance and more in-depth reflection. Among these are:

- a) Possible creation of an International Universities'/Higher Education House in Paris, allowing interested Members to locate representatives in Paris without needing to deal with all the aggravating details of setting up an office.
- b) The development of a strategy for IAU to expand and broaden its interaction with its Members to overcome two persistent weaknesses. First the relative weak knowledge of IAU activities in much of the higher education community due to the fact that the Secretariat's key points of contact with Members are Executive Heads. Second the relative weak knowledge at IAU of the Association's Members, since often, Executive Heads are too busy to communicate with the IAU Secretariat. By expanding the points of contact to other offices in the HEIs, for example to international offices, public affairs offices, VP research, etc. and inviting these and others to engage in our Task Forces as appropriate, it may be possible to address both of these aspects.
- c) The initiation of one or two new projects/activities with partner organizations, investigation of possible staff exchanges with partner organizations and secondments or sabbaticals at IAU by faculty from Members.

iii. IAU Staff

The staff of the **IAU Secretariat** remains small (16 full time staff equivalents) and is unlikely to grow in a significant manner unless new, externally funded projects are found and additional office space secured. However, given the shifting thematic priorities and the development of project activities, it

is possible that specific positions will be re-assessed and redesigned to ensure that they correspond to the expertise and capacities required. Use of more temporary staff and consultants, to supplement permanent staff members will also be increased in order to secure the expertise needed. Such expertise may be specifically on higher education topics or on such areas as project design and/or fund-raising.

As can be seen in the expanded number of Task Forces and committees, a major push for **greater involvement of Members** will mark the next four-year period. Starting with Board Members but going well beyond. IAU needs to expand and improve the ways in which Member institution and organizations can interact and be involved in the work of the IAU. This is a challenging objective given the already heavy workload of all higher education leaders; yet it is an imperative for IAU, if it is to stay pertinent and visible to its Membership.

iv. Budget

Table 1 presents the **budgetary proposal for 2008-2012**. It offers a realistic, though slightly conservative financial outlook for the Association. The mainstay of IAU revenues will continue to be membership fees, though grants from donor agencies such as Sida and project funding from Foundations and other organizations will be pursued continuously.

IAU proposes to change the membership fees in two ways during the upcoming four years:

- a) the current 12 categories of membership fees (a matrix composed of 3 categories linked to GNP and 4 categories linked to size of student enrolment) will be streamlined to 6 categories. The 3 categories linked to GNP will be maintained but only 2 categories based on size of student enrolment will continue. The Administrative Board will determine the specificity of these categories.
- b) In order to remain on par with inflationary trends, IAU may increase the fees by a modest percentage.

As in the past, efforts will be made to generate revenues (increased sales of publications, possible advertising revenues, sponsorships etc) while also keeping down costs. Given the number of Task Forces being proposed, the IAU will need to increase its capacity and use of ICTs to hold small group meetings. Other than teleconferencing, this has not been the case in the past and may offer only a limited scope for success since face-to-face meetings have usually been needed to consolidate even small groups' capacity to work well together across linguistic and cultural differences.

D. Conclusion

The IAU has introduced numerous new initiatives, increased its activities and expanded its outreach during the recent past. This direction will be continued in the future. At the same time, it is unlikely that the next four years will allow the IAU to carry on simply in a 'business as usual' manner. The notion of 'steady state or status quo' today includes continuous and indeed rapid change, which requires the Association to act and react quickly to challenges and opportunities. For this reason, this proposed Plan of Action presents merely an outline offers merely a glimpse at what IAU is already planning to do. There is much scope for introducing new projects and innovations, though these may have to be introduced at the expense of some other activities which will either be completed or set aside for a while.

The General Conference is invited to consider this proposed Plan of Action carefully and to provide feedback and comments immediately or, in writing, later. This document will be made available on-line after the General Conference so that IAU Members who did not attend the Utrecht Conference may also be able to review this Plan of Action and offer their comments as well. **All feedback received within the next 3 months will be communicated to the newly elected IAU President and Administrative Board for discussion during their first meeting in December 2008.**

IAU - Proposed Budgets for 2009-2012

in Euros 1000				
	1	2	3	4
	Budget 2009	Budget 2010	Budget 2011	Budget 2012
TOTAL INCOME	1572	1742	1657	1857
TOTAL EXPENDITURE	1572	1742	1657	1857
Balance	0	0	0	0
INCOME	1572	1742	1657	1857
MEMBERSHIP FEES	(a) 940	(a) 960	(a) 980	(a) 1020
OTHER INCOME	(b) 632	(b) 782	(b) 677	(b) 837
Unesco Office Rent	72	72	72	72
Publications	80	80	80	80
Contracts and Grants	310	360	300	310
Conferences and Meetings	100	200	150	300
Miscellaneous	70	70	75	75
EXPENDITURE	1572	1742	1657	1857
STAFF COST	(c) 970	(c) 1000	(c) 1030	(c) 1060
Salaries	660	680	700	720
Consultants	20	20	20	20
Social Charges	290	300	310	320
ADMIN. BOARD	(d) 50	45	45	(d) 55
ACTIVITIES PROGRAMME	(e) 382	(e) 522	(e) 402	(e) 557
Information, Communication and Studies	15	15	15	15
Working Groups, Conferences and Meetings	267	407	282	437
Publications/Translation	70	70	75	75
Travel	30	30	30	30
OVERHEADS	(f) 155	(f) 160	(f) 165	(f) 170
Office Rent	72	72	72	72
Communication	25	25	25	30
Office expenses/printing	21	23	25	25
Equipment	15	17	18	18
Maintenance	6	7	8	8
Hospitality	3	3	4	4
Audit	7	7	7	7
Bank charges	4	4	4	4
Miscellaneous	2	2	2	2
OTHER CHARGES	(g) 10	(g) 10	(g) 10	(g) 10
CONTINGENCY	5	5	5	5

Notes : Estimated positive cumulated result as of 30 September 2008 Euros 558.000
of this amount Euros 200.000 are in the reserve account.

Explanatory notes on proposed budgets for 2009-2012

INCOME

- a) Membership fees are expected to continue to rise slowly due to the new structure implemented in 2007; due to streamlining being proposed for 2010 and due to the usual increase in the year of the General Conference (2012). Fee increases may be introduced only as part of the suggested streamlining in 2010, three years after the last adjustment to fees.
- b) In addition to in-kind support offered by UNESCO as free rent whose monetary value is estimated and included as income, other income in the IAU overall budget comes from the following:
- Publications, including royalties from sales of Higher Education Policy and past books in the Issues series, sales of all reference works including CD-Rom, direct sales of Internationalization Global Survey Report.
 - Contracts and grants from various sources, including Swedish International Development Agency (Sida), UNESCO and others. This budget line includes both funds which contribute to work of the Secretariat and program funds which IAU distributes to the membership as part of LEADHER or the Innovation Fund. Amounts included are those that IAU is quite likely to secure and for which project development is already underway.
 - Conferences and Meetings which IAU will organize or co-organise over the next four years in Mexico, Lebanon, Lithuania and elsewhere; most revenues generated by Conferences and meetings are off-set by expenditures.
 - Interest revenues, exchange rate gains as well as membership fee revenues from previous years.

EXPENDITURE

IAU expenditure is divided into 4 broad categories as follows: Personnel, Administrative Board Meetings, Activities Programme and Overheads.

- c) Staff costs presented includes an estimated 3% annual increase and an estimated 3% annual increase in social charges paid by IAU as an employer in France. They do not include an increase in the overall staff complement, though restructuring of current positions may result in additional staff and/or increased use of consultants
- d) IAU covers the costs of annual Administrative Board meetings and semi-annual meetings of the Executive Committee. Though some costs are offset by international conferences held at the same time, meetings held in Paris (2009, 2012) are more costly.
- e) Activities Programme expenses cover work related to production of the IAU publications (reference and HEP), communications (E-Bulletin, IAU Horizons) and studies such as the Global Survey on Internationalization. It also covers the cost of purchasing those publications that IAU Members receive as part of their benefits package. Conference and meeting preparation as well as work of all Task Forces and development of all new projects is included in this budget line as are the resources IAU makes available in the form of grants to LEADHER recipients. IAU staff travel is also included in the Activities Programme budget line.
- f) UNESCO in-kind support for rent is estimated here at the same level; other overhead costs include the general maintenance of infrastructural costs and the expenses of communications, translations, printing and IT and other equipment required by the secretariat.
- g) IAU operates in Euro but not all income or expenditure is made in this currency; exchange rate losses and charges on previous years are accounted for under these charges.