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Sida Decentralised Evaluation

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Evaluation of the Sida Supported Programme of the International Association of Universities

Final Report

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The views and interpretations expressed in this report are the authors' and do not necessarily reflect those of the Swedish International Development Cooperation Agency, Sida.

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Abbreviations and Acronyms

EFA	Education for All
HE	Higher Education
HED-BIB	International Bibliographic Database on Higher Education
HEEFA	Higher Education for Education for All
HEP	Higher Education Policy
HESD	Higher Education and Sustainable Development
IAU	International Association of Universities
IDEA-PhD	International Approaches to Doctoral Education in Africa
ISAS	Internationalization Strategies Advisory Service
LEADHER	Leadership for Higher Education Reform
MDGs	Millenium Development Goals
OECD/DAC	Organisation for Economic Co-operation and Development/ Development Assistance Committee
UN	United Nations
UNESCO	United Nations Educational, Scientific and Cultural Organisation

Preface

Indevelop was contracted to carry out this evaluation under Sida's framework agreement for reviews and evaluations. The review was carried out by Ian Christoplos (team leader), Kevin Kelpin (evaluator) and Lily Salloum Lindegaard (junior evaluator). Quality assurance was provided by Niels Dabelstein while Anna Liljelund Hedqvist was responsible for the project management throughout the evaluation process.

This evaluation has been a challenging undertaking. Assessment of outcomes among a global association such as IAU has involved a broad consultation with members who have varying levels of engagement and an exceptionally wide variety of needs and interests. The evaluation team hopes that this report reflects the range of perceptions and priorities in an accurate and representative manner. The evaluation would not have been able to achieve this overview without the active support of the IAU secretariat, which has shown strong insight and foresight into the changing nature of higher education.

The secretariat has also demonstrated a value-driven commitment to supporting the work of a group of institutions of higher education that are regrettably 'off the radar screen' of most actors in development cooperation. The evaluation team judges that IAU has a clear and important niche in addressing this gap, and also in ensuring that the debate on ethics and asymmetrical relations among different higher education institutions reaches a wide and important spectrum of actors. The evaluation team has tried to frame the findings of this report in such a way as to provide guidance on how this important work can continue in the future.

Executive Summary

The objectives of this evaluation of Sida support to the International Association of Universities (IAU) are:

- To assess the relevance, efficiency, effectiveness sustainability and impact of the programme in relation to its objectives.
- To assess results primarily at the ‘outcome’ and, if possible, ‘impact’ levels.
- The review will be undertaken using an evaluative lens that considers Sida’s policy on research cooperation and the broader context of global and regional trends in higher education.

The evaluation has found that IAU is largely relevant in relation to the needs and demands of higher education (HE) institutions in low and middle income countries. Board members are clearly attuned to expectations from these countries (even those Board members from high income countries). However, the responsiveness to demand is inhibited by the ‘supply driven’ nature of a range of programmes. Secretariat staff have a heavy workplan on a global level that may stand in the way of listening and learning from those who are *not* receiving or using these services.

With regard to Swedish policies for research in development cooperation, support to IAU is highly relevant as a way to support flexible dialogue and to create opportunities for placing small universities from low and middle income countries ‘on an equal footing’ with larger universities and those from high income countries. The secretariat and some Board members have, however, expressed concern that IAU may be moving in the direction of being perceived as an association of universities in developing countries, which would be extremely problematic in terms of retaining the engagement of universities in high income countries (and even in retaining the interest of universities in low and middle income countries that value IAU as a forum where all countries can meet as equals).

IAU in many respects creates an enabling environment for members to drive their own capacity development. This involves enhancement of their awareness of the global HE environment, their contacts and networks, and their confidence in pursuing internationalisation in a more proactive manner. IAU has contributed to the emergence of partnerships through which the universities are able to jointly develop their capacities. The evaluation team has found that this catalytic role consists of four aspects: (1) benchmarking in relation to quality and performance, (2) networking among peers, (3) awareness of overall trends in HE and (4) understanding the implications of trends in internationalisation in particular. This is in the face of what is an

inherently inequitable global context where the human and financial capacities to take advantage of opportunities for exchange and learning are inevitably skewed.

Despite the potentially catalytic support they receive from IAU, members have great difficulties to specify the outcomes of this support in their institutions. When asked about outcomes, most interviewees referred primarily to their satisfaction with IAU outputs and activities, particularly the programme Leadership for Higher Education Reform (LEADHER). Some mentioned that IAU products were used to stimulate internal discussions in their universities, but it was not clear whether these discussions led to tangible outcomes. Some members note that they have used the IAU policy statements (especially the recent work on ethics) to define norms within their own organisations, but in these cases it was difficult to elicit more concrete examples of the ultimate outcomes.

Of all the services that IAU provides, LEADHER is clearly seen as the most important and effective by interviewees. It is the only service provided where a significant number of interviewees were able to cite specific areas where their own internal capacities had been developed. Comments are overwhelmingly positive in terms of both design and effectiveness of the programme in providing opportunities for exchange, learning and eventual creation of partnerships that may extend beyond these short term activities.

IAU's level of efficiency can be understood in relation to its ability to build on membership engagement, rather than relying entirely on the secretariat as a de facto service provider. The most important and perhaps obvious indicator of this engagement is the large, fee-paying membership. The fact that IAU has been able to maintain a sizeable secretariat in Paris relying primarily on membership fees indicates that a large number of HE institutions perceive IAU to be 'good value for money'.

Another important indicator of IAU's efficiency as an association is its capacity to engage the Board actively in all activities. Several members of IAU's Board demonstrate very high levels of engagement. All working groups are led by members of the Board, which is intended as at least a partial safeguard against initiatives being overly reliant on the secretariat.

IAU has a relatively 'healthy' mix of revenue, primarily membership fees, complemented by sales of publications and services, occasional additional project support and Sida funding. IAU secretariat staff express satisfaction with the proportion of support received from Sida, and imply that an increase could be problematic in relation to IAU's identity as a membership organisation. Nonetheless, the secretariat and Board are aware of the dangers of having only one major donor. Efforts have been made to diversify support, but thus far without success. The secretariat, Board and active members are clearly aware of the obvious limits of these resources and implications for the scope of viable activities.

Conclusions: IAU's unique niche

Leadership

IAU informs university leadership about what they need to know to provide vision and direction reflecting emerging strategic issues and foresight.

Advocacy in relation to ethics, integrity and solidarity

IAU constitutes a unique voice for raising ethical issues as a professional organisation with a large membership. IAU's normative policy statements constitute a tool to raise attention to how the HE community is holding itself to account, which has potential for contributing to wider outcomes.

Benchmarking for quality

IAU is valued by its members for its role in creating opportunities for partnership and reflection among peers about what constitutes quality in HE today. IAU particularly helps small universities in low and middle income countries to meet peers, critically reflect and break their isolation; all of which support their capacities to make appropriate decisions.

Networking across regions

IAU provides value through its ability to offer global perspectives on issues confronted at national and regional levels.

Creating an environment and opportunities for peer-led capacity development

IAU's most successful initiatives contribute to the efforts of members (and even non-members) to learn from one-another. Participants in these activities stress the ways that IAU has enabled them to develop their capacities through dialogue with their peers.

Recommendations to IAU

The evaluation's overall recommendation to IAU is to prioritise and narrow the range of services and activities and in so doing look to (1) achieving economies of scale and greater efficiencies, and (2) present a clearer and more streamlined message to the membership about what IAU has to offer. A reorganisation and focusing of IAU services should highlight how peer-led coaching and mentoring can be reinforced as a core function of the association. IAU should also assess how it can contribute to member capacities to assess and follow how their work compares to international praxis.

Synergy and concentration could also be found in IAU's contribution to awareness-raising combined with its focus on ethics through explicit exploration of trends related to leadership and internationalisation amid commercialisation of HE. IAU could promote particular added value to the international discourse on the ways these commercialisation processes are changing the playing field for small HE institutions in low and middle income countries.

IAU should also develop a better approach to orientation for new members and/or new leaders of existing member institutions. The evaluation team judges that there are considerable potential active members who, if given the right ‘start’ in their membership, could and would engage much more actively.

Recommendations to Sida

Sida should continue its funding to IAU and focus support to: (1) IAU publications (while recognising that the rapid changes underway in digital media, etc. may require adjustments over time), (2) LEADHER, (3) bursaries to create opportunities for exchange at conferences, (4) support to spreading understanding and application of normative statements and (5) creating opportunities for peer-led capacity development in relation to internationalisation. Sida should design its support with a recognition that IAU should not become a ‘development organisation’ or an ‘implementing partner’ for a development donor.

Sida should consider ways to ensure wider awareness among its research partners of IAU’s (1) normative roles (by publicising its policy statements), (2) skills (in internationalisation and enhanced doctoral programmes in particular) and (3) networking/information functions (such as publications, most notably the Guide to African Higher Education, and opportunities to attend conferences).

IAU’s core commitments to raising a public discussion on how to address prevailing asymmetrical power relations among HE institutions and donors is congruent with Swedish policies. This, combined with access to the top leadership at a large number of universities, suggests possibilities for other joint efforts to raise these normative concerns.

1 Introduction

1.1 BACKGROUND

The International Association of Universities (IAU) was founded in 1950, with support from the United Nations Educational, Scientific and Cultural Organisation (UNESCO). It is a fully independent, non-governmental global association of higher education institutions and organisations. It is a membership organisation comprised of approximately 620 member institutions (universities and other higher education institutions) from all regions of the world and a number of national and regional university associations (<http://www.iau-aiu.net/content/institutions>). Of the member institutions, roughly 42% are in high-income countries, while about 56% are in low and middle income countries.¹ A large proportion of the membership consists of smaller, lesser known institutions and many universities in ‘the top 500’ are not members. IAU’s membership can be seen as representing a large sector of the higher education (HE) community that is rarely engaged in international collaboration among so-called ‘centres of excellence’.

IAU seeks to act as an international voice of higher education institutions.² In particular, its work is directed at providing a forum for leaders of institutions and associations to discuss, reflect, and take action in issues of shared interest. It is financed mostly by membership fees, and to a lesser extent on revenues from sales of publications and provision of expert services on a fee paying basis or under contract.

Sida has been supporting the IAU since 2002. Sida is the only major donor to IAU with a support amounting to 3 million SEK between 2005 and 2007, and 5,4 million SEK between 2008 and 2011. The current Swedish contribution of 11 million SEK covers the period July 2011 – June 2015. The Sida funding has been primarily focused on the following programmes/activities:

- Publication Programme. The production and publication of *The International Handbook of universities*, *The World Higher Education Database*; *Higher Education Policy* (HEP, quarterly academic journal), *Guide of Higher Education in Africa*, *IAU Horizons* (magazine), as well as an e-bulletin and a survey on internationalisation.

¹ This is according to World Bank country groups. The roughly two percent of member institutions not accounted for in this breakdown are listed in IAU records in locations not recognised as countries by the World Bank.

² Its role is fundamentally different from UNESCO in that IAU represents member institutions, whereas UNESCO represents member states.

- Membership support and leadership development for higher education reform (LEADHER). Through the LEADHER program collaborative partnerships of IAU member institutions are supported to exchange experience and initiate or act as catalyst for joint activities with the objective to improve university and research management.
- Innovative Approaches to Doctoral Education in Africa (IDEA-PhD). The focus has been on doctoral education leading to the development of the project entitled *Changing nature of doctoral programs in Sub-Sahara Africa* with the objective to improve the strategic management of doctoral programmes in the region.
- Strengthening linkages for improved education: Higher education and research working for Education for All (HEEFA).

In the Terms of Reference (ToRs, see annex one) for this evaluation the objective of Swedish support to IAU is stated as being “To contribute to the *inclusion* of the higher education institutions of developing countries into the *global dialogue* on higher education and research. Further assumption has been that research capacity will be strengthened by *information dissemination and the opportunities of experience-exchange and networking* provided within the Association’s programmes” (emphasis added). Some of these networking activities and services are designed in such a way as to be driven by South-South (and North-South) interactions that are catalysed but not managed by the IAU secretariat. In other services the secretariat plays a more direct role, but a principle of engaging the IAU Board and the active membership as the primarily source of expertise can be noted in almost all services.

Sida support to IAU is considered relevant within Sweden’s Policy for Global Development and “Research for Development” which includes the following principles:

- Flexibility
- Dialogue with other countries and international actors
- Implementation of the Paris Declaration
- Coordination with other research financiers
- Avoid the creation of parallel support structures
- The dissemination of research results and forums for dialogue
- Intellectual freedom and unrestricted communication
- Combating discrimination
- Research on an equal footing
- Knock-on effects in other areas

The current IAU logframe has the overall objective: To enable developing country higher education institutions to contribute successfully to evidence-based policy making for sustainable development, particularly through their research and outreach.

The respective specific objectives for the four components of support are:

1. To serve successfully as a voice and a comprehensive and structured global platform for improvement of higher education institutions;

2. To increase and improve cooperation among higher education institutions and active participation of developing country higher education institutions in all IAU work in order to strengthen research capacity and research management in particular;
3. To increase the visibility of developing countries concerns in global higher education agendas;
4. To increase the involvement of higher education institutions in achieving progress in *Education for All* and education related Millennium Development Goals.

These specific objectives are very broad and ambitious. A conclusion of the inception phase of this evaluation was that this structure is not an ideal way to highlight the actual outcomes that IAU hopes and expects to achieve. For that reason the analyses in this report have focused more on the outcomes identified in relation to i) the specific funded activities noted above, with special attention to ii) the themes that the team has identified as being central to understanding the role and *raison d'être* of IAU. The team tentatively identifies the latter as consisting of the following (which at times overlap):

1. Provision of private goods (e.g., advisory services, access to databases, etc.) to members and those paying for services
2. Provision of public goods for the HE community in general
3. Provision of normative guidance and advocacy in relation to ethics, influencing internationalisation processes to promote partnerships 'on an equal footing'
4. Reaching and supporting institutions of higher education that are largely 'not in the top 500 universities' and ensuring that their vital role is not overlooked
5. Maintaining an organisation that is broadly relevant for HE institutions in low, middle and high income countries
6. Ensuring that IAU remains an institution that relies on and is accountable to its members even when accessing other sources of financing

These factors highlight the potentially very high level of relevance of IAU's work in relation to Swedish development goals and in reaching a target group that tends to be overlooked in international cooperation that focuses exclusively on 'centres of excellence'.

In the IAU results framework the 'goal' of the Sida supported programme is to "provide higher education institutions, particularly in developing countries, with services that help improve their teaching, research and outreach as well as governance and management, thus enabling them to address global, national and local problems." This is aligned with IAU's overall purpose and goal. Sida's contribution to some activities undertaken by IAU has been limited, as has been, the proportion of IAU revenue provided by Sida overall, averaging 25-30 percent. Also the scope of IAU services in relation to the other services upon which IAU members rely has also been modest. Therefore, causal links between these financial contributions and intended

outcomes in the capacities, attitudes and practices of member institutions have been found to be tenuous at best. With this in mind, a primary focus of the evaluation has been on those activities funded directly by Sida, while noting that some of these activities are overwhelmingly financed by IAU's own core resources (largely membership fees).

Even though Sida funding for IAU's work with internationalisation and ethics has been very modest, the evaluation team judges that these are areas that are in many respects central to IAU's relevance in relation to Swedish research for development policy. Therefore these issues have also been highlighted. IAU is also involved in a Higher Education and Sustainable Development (HESD) initiative, which also raises core normative concerns about the future of HE. In addition to this primary focus on these specific Sida financed activities, the evaluation has also looked at IAU's overarching role as a normative global platform, and the ways in which this platform engages with and reflects the perspectives and needs of the IAU membership in general and that of universities in low and middle income countries in particular.

1.2 PURPOSE

The broad objectives of this evaluation, according to the ToRs, are:

- To assess the relevance, efficiency, effectiveness sustainability and impact of the programme in relation to its objectives.
- To assess results primarily at the 'outcome' and, if possible, 'impact' levels.
- The review will be undertaken using an evaluative lens that considers Sida's policy on research cooperation and the broader context of global and regional trends in higher education.

The scope of the evaluation focuses on analysis of Sida funded activities undertaken during the period 2010-2013.

1.3 METHODS

As noted above, IAU operates within a complex programming context where relations of cause and effect are not always fully understood or easily recognisable. IAU is involved in a broad range of awareness raising and capacity strengthening processes with multiple direct stakeholders and a potentially large pool of institutions (members and non-members) which could gain from this work. There is the real possibility that intended but long-term 'outcomes' have in fact occurred, but are far downstream from IAU activities in general, and those partially financed by Sida in particular. An attempt to understand and map these 'outcome pathways' (concerning outcomes seen as changes in knowledge, attitudes, practices and policies) has been critical to demonstrate how each supported activity or programme is linked to these outcomes through the influence of IAU.

The fact that outcomes are far downstream from actual activities is one reason that IAU outcome level reporting is rather weak. In complex environments, objectives and the pathways to achieving them are often unpredictable with theories of change modified as time passes. In the case of IAU, this has involved trying to understand and evaluate how individual outcomes contribute to broader system-wide changes (primarily through publications, promotion of normative policy statements and access to global data) and changes for the member institutions and those paying for services (The Internationalisation Strategies Advisory Service -ISAS, LEADHER, HEEFA, etc.). This evaluation has reviewed the documentation produced by IAU to gain an understanding of the breadth and depth of its publications. In addition to this documentation, the evaluation has drawn heavily on the knowledge of informants who understand the change that has taken place as well as their contributions to that change.

The inception phase focused on agreeing on questions to guide the evaluation and establishing a clearer understanding of the values and approaches that are central to IAU through discussions at the secretariat. The initial questions set forth in the ToRs were discussed to fine-tune the evaluation questions and areas of investigation. The objective of this step was to agree on what information was to be collected; what was the change in the social actors (primarily IAU membership) that the change agent (IAU secretariat, Board, working groups, those engaged in service provision) wished to influence; and how this change was assumed to come about. A revised intervention logic emerged as a basis for understanding the nature of these changes (see annex two). The inception phase also included interviews at the IAU secretariat to get an overview of the work of the secretariat, Board, working groups, members and the broader network. As well, this process involved assessing how best to proceed in analysing the association's governance, management and capacities to sustain initiatives if Sida would discontinue support in the future.

In the data collection phase, the evaluators worked to flesh out the understanding of the intended outcomes, collect information about changes that have occurred among members and others involved with IAU and how those involved in implementing IAU activities, including secretariat staff, Board members, working group members and other active IAU members contributed to these changes. This information was collected through reviewing documentation and publications, as well as by interviewing IAU staff, board members and IAU membership. Interviews strove to describe changes that IAU has influenced – in most cases among the broad IAU membership, but with regard to public goods this was expected to include the wider HE community.

A critical component of the construction of these outcome descriptions is the ability of evaluators to access documentation which actually 'documents' outcomes associated with the work of the intervention. In the case of IAU, the evaluation team found very few examples of documentary reporting where outcomes were discussed or listed. Even during initial interviews with IAU staff there were few specific and tangible outcomes that could be identified and linked to the ongoing work of IAU. Due to

this situation, the methodology of the evaluation came to focus heavily on the interviews undertaken with IAU membership and IAU Board members in the effort to identify and assess ‘outcomes’ associated with the work of IAU. Particular efforts were made to interview those who had received services such as ISAS, LEADHER and HEEFA.

A structured interview protocol was used and followed with each of the members who responded to our request for interviews. This call for participation resulted in 41 members agreeing to be interviewed. The interview protocol was structured to try to assess the extent to which the membership are engaged in the platform and if it is seen as representing their needs and interests.³ Special emphasis was given by the evaluation team to ‘draw out’ from the membership specific examples of where they felt that IAU had contributed to changes in the practices, actions or relationships of their institution. A similar interview protocol was also designed for the 11 interviews held with the IAU Board members.⁴ The goal here was to produce more robust outcome descriptions using the comments collected from board members concerning their perceptions and views on the interaction between IAU and its membership.

The evaluators also obtained the opinions and feedback from independent third parties who had knowledge of the area in question but no relationship with IAU. Requests were sent to Swedish embassies regarding potential interviewees among Sida research partners. Response rates were poor (4) and those interviewed had limited insights into the work of IAU, but were able to provide some perspective on how university leadership engages with other networks.

In preparing this evaluation report the evaluators have analysed the contribution of IAU in terms of the changes in the actions, practices, relationships, and policies of its membership. Findings from the interviews and documentation have been used to draw conclusions regarding the range of evaluation questions agreed upon in the inception phase. The outcomes assessed have been considered in relation to the scale of Swedish support and conclusions have reflected the role of Sida funding in relation to IAU’s overall role.

1.4 LIMITATIONS

Some of IAU publications are primarily oriented towards researchers in HE (the International Bibliographic Database on Higher Education -HEDBIB, HEP), and the evaluation team encountered only a few informants that worked in these areas. As such, the evaluation cannot draw conclusions about the value of IAU’s work in contributing to research into HE. Even more broadly, the evaluation team recognises that,

³ See Annex 5 for the IAU Membership Interview Protocol.

⁴ See Annex 6 for the IAU Board Interview Protocol.

due to the limited number of entry points in the member institutions it is probable that many key users of IAU outputs did not receive the request for interviews.

The response to requests for interviews included a number of recipients of (and applicants for) LEADHER grants. Unfortunately, response rates for other service recipients and applicants were very poor. The differences in response rates for LEADHER in comparison to other services is glaringly apparent. The reasons for this lack of response regarding the other services are difficult to ascertain or determine, but the overall impression of the evaluation team is that LEADHER has a far higher profile than these other services among members due to the relatively concrete investments it offers and the longer period that it has been running. The evaluation team cannot draw conclusions about the specific outcomes of the other services. We do view that this poor response should be cause for concern regarding the broader awareness of these services and perhaps even the extent to which service recipients have valued their engagement.

It is also difficult to draw conclusions about why there was such a poor response rate to the multiple calls sent out asking IAU members to participate in the interviews concerning the influence of IAU on their institution. This has however, impacted the ability of the evaluation to make more assertive claims about the influence of IAU.

The ToRs of this evaluation ask that “emphasis shall be given to reach both universities in Sida partner countries and regional associations of universities from regions where Sida has research cooperation.” The evaluation team followed up with interview requests to members (where these exist) and also followed up with Swedish embassies regarding their recommended contacts. The response rate was very poor, so little can be concluded apart from the implicit indication of this poor response that interest in IAU seems to be limited. The evaluation team judges that exploration of the value of IAU for Sida financed partners would require bringing together those organisations receiving Sida support (particularly those involved with institutional reform) for relatively intense brainstorming about possible areas of common interest.

A further limitation faced in this evaluation was the lack of substantive reporting by IAU on its achievement of outcomes associated with its programmes and activities. This could be due to the lack of a comprehensive monitoring and evaluation system. As the evaluation team experienced, the IAU’s membership are reluctant to participate in such evaluative activities. Furthermore, the secretariat staff are currently shouldering a huge portfolio of deliverables and may therefore lack the time and resources to ‘chase down’ respondents.

As noted above, the evaluation team has collected the views of a few non-members of IAU, which has provided useful insights. However, this input does not constitute an overview of the views of the vast number of institutions that chose not to join IAU.

2 Relevance

2.1 NEEDS AND PRIORITIES OF UNIVERSITIES IN LOW AND MIDDLE INCOME COUNTRIES

Interviewees from low and middle income countries mention few efforts to explicitly solicit feedback on their needs and priorities. In most cases, when IAU members were asked by the interviewers if “they had ever been consulted formally by the IAU on the needs and priorities of their institution”, the response was negative. In a few cases, interviewees responded that they had provided information to IAU in order to receive services or to apply for grants and such, but had not been approached for information.

Nonetheless, the large Board (30 members) includes broad representation, and interviews indicate that Board members are clearly attune to expectations from low and middle income countries (even those Board members from high income countries). The IAU Board has effective responsibility to represent the membership and to monitor the relevance and quality of activities led by the secretariat.

The evaluation team judges that the responsiveness to demand is inhibited by the ‘supply driven’ nature of a range of programmes. Secretariat staff have a heavy work-plan on a global level that may stand in the way of listening and learning from those who are *not* receiving or using these services. The weaknesses in IAU outcome reporting (see section 4.3 below) is related to the fact that huge portfolio of deliverables stand in the way of providing space for secretariat staff to reflect on the extent to which outcomes are in line with the needs and priorities of HE institutions in low and middle income countries, especially those which are passive members or not members at all.

It should also be noted that IAU is very conscious of the dangers of losing members from high income countries if it is seen as only responding to the needs and priorities of low and middle income countries. Some Board members and secretariat staff in particular make clear that they do not wish to see IAU become a mere vehicle for development programmes.

It can be furthermore noted that retaining members from high income countries and meeting the priorities of member institutions from low or middle income countries are not necessarily competing goals. Some respondents from institutions in low and middle income countries have pointed to the presence of member institutions from high income countries as a benefit in itself, as they have an opportunity for dialogue

as equals. Some see the presence of institutions from high income countries as legitimising IAU and its activities and in extension their own institutions through IAU membership.

The counterfactual for this issue is the perspective of those institutions that have chosen not to join IAU. A very high ranking official from a country with no IAU members stated that he felt that membership in regional and more specialised networks was more relevant for his country. Another non-member informant recognised potential benefits from IAU membership, while also stressing that for closer, more concrete support he chose to work with networks with a narrower, more focused mandate.

2.2 CORRESPONDENCE WITH SWEDISH POLICIES FOR RESEARCH COOPERATION

Swedish policy for research in development cooperation⁵ states that the implementation of this support should be guided by the following principles:

- Flexibility
- Dialogue with other countries and international actors
- Implementation of the Paris Declaration
- Coordination with other research financiers
- Avoid the creation of parallel support structures
- The dissemination of research results and forums for dialogue
- Intellectual freedom and unrestricted communication
- Combating discrimination
- Research on an equal footing
- Knock-on effects in other areas

The evaluation team has judged that these are a largely appropriate framework for assessing the relevance of IAU support in relation to Swedish policy, while noting that IAU works to support higher *education*, an area of focus that is not entirely congruent with *research* per se. Indeed, some interviewees stressed specifically that the value of IAU lies primarily in its contributions related to education, given that there are other specialised networks dealing with research. One non-member interviewee mentioned that his research group was engaged in other networks specifically focused on his areas of research. On the other hand, IAU's work with doctoral education is a field that bridges the research and education aspects of HE.

Regarding these principles, the evaluation team draws the following conclusions:

⁵ Government Offices of Sweden, 2010, Research for Development: Policy for Research in Swedish Development 2010-2014 and Strategy for Sida Support in Development Cooperation 2010-2014

Flexibility

IAU support can be seen as a contribution to flexible enhancement of HE in that the leaders of the member institutions, through the IAU Board, are able to address core concerns as they emerge. Furthermore, the awareness and transparency supported by the publications (especially IAU Horizons) can be seen as relevant in providing a basis for actors to adapt their work to emerging ‘hot topics’ in the HE field.

Dialogue with other countries and international actors

Perhaps the strongest finding from the evaluation has been that members appreciate the opportunities created by IAU for direct personal exchange at conferences and through other interfaces, not the least through the South-South and North-South services facilitated by IAU.

Implementation of the Paris Declaration

IAU is highly relevant in relation to alignment with concerns of the HE community, albeit not entirely with those actors in low and middle income countries due to the make-up of the membership. IAU is by no means a ‘donor driven’ institution, and the Board clearly sees itself as leading the work of the association. Given that Sida is the only major outside donor, harmonisation is not a relevant issue in relation to IAU.

It might be assumed that IAU’s association with UNESCO would provide a vehicle for greater alignment, but (apart from a few interviewees who thought IAU was more formally linked to UNESCO) this is not something that arose in discussions.

Coordination with other research financiers

IAU’s support to developing better internationalisation strategies among members can be seen as highly relevant in that these strategies can contribute to the capacity of the recipients of this support to coordinate their approaches to financiers. It does not appear that Sida has specifically drawn on these strategies in designing support, but this can be seen as a latent and potential benefit for Sida as well.

Avoid the creation of parallel support structures

IAU is in no respect ‘created’ by Sida, as it is owned by its members. However, the range of other HE associations suggests that a danger exists that it may represent a parallel institution to other global and regional bodies. Many interviewees highlighted that IAU was unique in several respects (for example, its trans-regional focus, member diversity including members from low to high income countries, and its consistent provision of materials on cross-cutting issues and current events in global HE).

IAU’s HEEFA initiative seeks to ensure that HE is seen to be part of a more holistic approach to education systems through EFA. They effectively try to address a gap in this regard that is not being addressed by UNESCO, that treats EFA an issue unrelated to HE.

The dissemination of research results and forums for dialogue

IAU does not primarily engage in dissemination of research results per se (with the very notable exception of research on HE through HEP). However, it does work to create conditions for such exchange through the information provided in the reference publications. IAU research and Global Surveys on internationalisation have enhanced

knowledge about these processes. It also provides fora for face-to-face dialogue and more public exchange through IAU Horizons in important topics related to research. It provides entry points for members in low and middle income countries to engage in the global HE dialogue. This was perhaps one of the most mentioned areas of ‘influence’ by the IAU membership. Many members noted how they ‘kept up to date’ with changes and advances in their field through the information channels offered by IAU.

Intellectual freedom and unrestricted communication

IAU does not work explicitly and directly with issues of intellectual freedom, and few interviewees were able to cite examples of engagement in these areas. Some interviewees mentioned that the flow of information from IAU, including the monthly E-Bulletin and IAU Horizons, enables them to reflect on developments in HE beyond their national boundaries. However, the normative role of IAU as embodied in its promotion of Policy Statements can be interpreted as being relevant in relation to intellectual freedom.

Combating discrimination

IAU’s normative Policy Statements provide a potentially powerful tool for addressing discrimination by providing ethical guidance and also by drawing attention to the importance of working to overcome asymmetrical power relations in the ‘partnerships’ between universities in high income countries and those in low and middle income countries. Support to capacities for developing internationalisation strategies is also highly relevant as these strategies can also enable small universities in low and middle income countries to decide how they wish to mitigate the risks inherent in asymmetrical ‘partnerships’.

However, a large realm of discrimination occurs in-country and within universities. Apart from providing access to policy statements it does not appear that IAU has the capacity or institutional mandate to provide significant guidance at these levels.

IAU is weak in collecting gender disaggregated data on participation in activities. There is therefore little evidence of a commitment to combatting gender discrimination in IAU’s work.

Research on an equal footing

This is the primary justification for Sida support to IAU. It can be understood as encompassing two perspectives. First, IAU’s relevance in bringing universities in low and middle income countries into the global dialogue on HE. Second, IAU’s contribution to enhancing the voice of those institutions that are not in the ‘top 500’, universities that are largely excluded from international development cooperation efforts that focus on ‘centres of excellence’. The evaluation team judges that IAU’s work is highly relevant in relation to both of these areas. IAU members interviewed stress that IAU activities provide relatively unique opportunities to meet as ‘equals’, in comparison with other fora that are largely restricted to either the high or low/middle income countries. Regarding the second aspect of equality, enhancement of the voice of HE institutions that are otherwise overlooked, judging from the membership this is an obvious area of relevance, but it is a largely unintentional aspect of IAU work. The association is struggling, with limited success, to bring in more members from the ‘top 500’.

Knock-on effects in other areas

The evaluation team judges the potential relevance to be very high of IAU activities in enhancing doctoral programmes, ensuring that HE is not forgotten as part of EFA efforts, promoting greater understanding of HE roles in sustainable development, etc. There is potential to use these programmes as a modest stepping stone towards much broader engagements outside of IAU related efforts. Indeed, the approach to LEADHER is based on efforts to catalyse relations among universities that will then continue in other forms without IAU support. The evaluation team could not assess the extent to which this has occurred.

2.3 ADDED VALUE OF SIDA SUPPORT

It is not possible to clearly assess the added value of Sida support given that the hypothetical counterfactual of how IAU would re-distribute its resources if it did not receive Sida funding cannot be accurately assessed. The IAU secretariat and Board are strongly committed to the objective of enhancing the voice of HE institutions in low and middle income countries and this commitment would not be diminished if Sida support was not present. Difficulties would almost certainly arise in maintaining the LEADHER programme and in producing the Guide to Higher Education in Africa. Given that LEADHER in particular appears to be a potential service that is a major incentive for IAU membership, judging from interview responses, the attractiveness of IAU could be significantly diminished if Sida support was to be discontinued.

3 Effectiveness

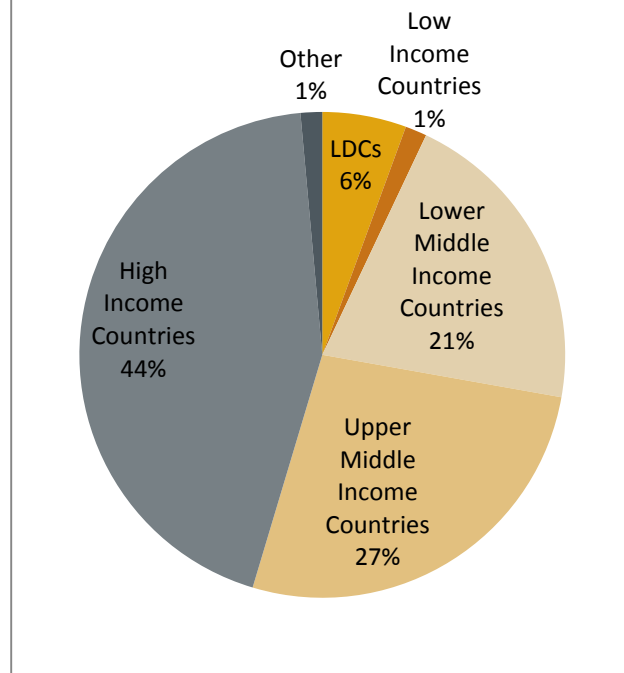
3.1 ENGAGEMENT OF UNIVERSITIES FROM LOW AND MIDDLE INCOME COUNTRIES

As can be seen in Figure 1, universities from low and middle income countries make up over half of IAU's institutional membership. Middle income countries (including both lower-middle and upper-middle) are particularly well-represented, with 48% of institutional members, slightly higher than the 44% of membership from high income countries. The low representation of universities from least developed countries may be attributed to the very low number of countries (only 5) in that OECD/DAC grouping.

Regarding services offered by IAU, the breakdown of participating institutions according to DAC criteria varies. HEEFA and IDEA-PhD only have participants from low and middle income countries, which corresponds to the developmental focus of these initiatives. ISAS, on the other hand, is disproportionately focused on upper middle income and high income countries, which make up 27% and 64% of participants, respectively. HESD participation is also skewed towards high-income countries, which make up just over half of participants. Participation in the LEADHER programme is slightly more evenly distributed, with LDCs and low and upper middle income countries each representing roughly 20% of participants and high-income countries making up 40%.

These percentages, however, hide large disparities in numbers of participants and level of engagement. ISAS and HEEFA, for instance, have both had around 10 member participants, while LEADHER and HESD have had closer to 70. IDEA-PhD falls somewhere in the middle, with almost 30 member institutions listed on the IDEA-PhD portal. Another distinction to make is that of engagement. LEADHER, ISAS and

Figure 1
Membership Breakdown
According to DAC Groupings



HEEFA seem to require much more concrete activities and participation from the institutions involved than HESD or IDEA, where universities can ‘participate’ without necessarily taking any specific actions.

Most member universities interviewed from high income countries see IAU as being an ideal vehicle to create interfaces with universities in low and middle income countries. Some however (and presumably many non-members) see IAU as irrelevant as it is seen as too focused on parts of the world where they have little interest or engagement. Some European members see IAU as an important voice advocating for overcoming this lack of interest and solidarity among their European peers.

The secretariat and some Board members have expressed concern that IAU may be moving in the direction of being perceived as an association of universities in developing countries, which would be extremely problematic in terms of retaining the engagement of universities in high income countries (and even in retaining the interest of universities in low and middle income countries that value IAU as a forum where all countries can meet as equals). Some members express concerns that IAU is overly Africa focused. Others disagree and highlight that the fact that IAU was holding their 2014 Annual Conference in Peru is an opportunity to develop contacts with the HE community in Latin America.

The evaluation team judges that IAU publications reflect an appropriate mix of publications that are strong in terms of explicitly engaging and highlighting perspectives from low and middle income countries (IAU Horizons and the Guide to African Higher Education) and others that provide a more global perspective (HEP, the International Handbook of Universities, etc.).

The evaluation team was unable to obtain an overview of levels of engagement from HE institutions supported by Sida programmes more generally or in partner countries. There are different reasons for this, the foremost of which has been the lack of response from these institutions to requests for interviews. Engagement with other Sida funded programmes is not an explicit aim of Sida support to IAU, and the secretariat has therefore not given explicit priority to these countries and institutions. One factor influencing the lack of linkages between IAU and Sida’s overall portfolio of university support is the fact that IAU targets the top leadership of universities, whereas Sida primarily works through other entry points for its support. Therefore explicit linkages between IAU support and Sida’s overall portfolio would be unlikely to emerge. A notable exception, however, is the universities where Sida is supporting overall reform processes, where IAU’s work would seem to have high potential utility.

Furthermore, some interviewees stress that IAU is especially important for bringing the smaller universities in low and middle income countries into international discussions. As most Sida support goes to somewhat larger institutions, this may also reduce the likelihood of finding synergies.

3.2 AN ENABLING ENVIRONMENT FOR CAPACITY DEVELOPMENT

Both interviews and review of reporting suggest that the IAU secretariat has limited direct contributions to capacity development, and it was difficult for interviewees to specify how their capacities had been directly strengthened through their membership. Instead, the outputs IAU produces are in many respects described as *creating an enabling environment* for members to drive their own capacity development. This involves their awareness of the global HE environment, their contacts and networks, and their confidence in pursuing internationalisation in a more proactive manner. All of which has led to the emergence of partnerships through which the universities are able to jointly develop their capacities. The evaluation team has found that this catalytic role consists of four aspects: benchmarking, networking, awareness of trends and understanding the implications of trends in internationalisation.

Benchmarking

Some interviewees (albeit few) note that the reference publications and other outputs enable them to benchmark (rank) their work in relation to other institutions and better recognise where and how they should focus their development efforts. Internationalisation surveys, with coaching support from IAU, have been noted as important. The ISAS self-evaluation is seen as very beneficial, but its use is not widespread. From interviews at the secretariat it appears that IDEA-PhD has created opportunities to benchmark experience within Africa on doctoral programmes. Members state more generally that with IAU support they have been able to understand and access an evidence base for quality assurance by assessing what constitutes ‘best practices’ in their work. One member noted that this benchmarking was not in relation to unrealistic levels achieved by top universities, but rather local ‘beacons’ of good performance. Another stated that her university used this to ensure that they were asking the right questions internally when judging quality in an international perspective.

Other members noted specific use of different reference publications for their benchmarking, but the awareness and use of these varies greatly and the evaluation team has not been able to discern any patterns in responses.

A few interviewees note that they have also been able to benchmark their work in relation to ethics and integrity.

Networking

Those members who could afford (or access support) to attend conferences see this as a unique way to establish contacts in institutions from both high and low/middle income countries for further collaboration. Others recognise this as a potential opportunity, but note that they lack resources to benefit from it. In general the considerable number of comments about the prohibitive cost of conferences indicates that these are seen as important, but largely out of reach financially. The small range of attendance expected at the IAU 2014 International Conference, which was being held in a relatively isolated location in the Amazonas region of Peru, could be seen as indicating a

failure in planning to fully take into account the implications of holding the conference in a location where these costs are particularly high for most members. The evaluation team recognises the importance of holding meetings in all global regions, but questions the added value of holding meetings in isolated locations given the heavy pressures on members' time.

The member interviews did not encounter significant evidence indicating the value of the reference publications for networking, even though publications such as the Guide to Higher Education in Africa in particular are well suited to this purpose. Despite this lack of evidence, the evaluation team suspects that this value does exist. Interviews with secretariat staff gave indications that these publications are used extensively (beyond the membership) and this is a unique and potentially valuable service provided by IAU. It was mentioned, for example, that the reference publications were used by universities and even donors to find out if queries from other universities originated from 'real' or 'scam' institutions.

Awareness of trends

Various respondents described how IAU provided a flow of information on trends in HE that they would otherwise have difficulties to access. There were no expressions of dissatisfaction with the quality or scope of the publications, though it was clear that many only read IAU Horizons and the e-bulletin. IAU Horizons appears to be the most effective source of information for most, though some were more interested in the in-depth analyses of HEP. Interviewees referred to the benefits of 'exposure' to trends as an important benefit they receive from IAU. A few also mentioned HEP as a way to inform colleagues about topics that they should be attuned to. The HEP special issue on doctoral education in Africa may have created synergies with the IDEA-PhD support, but this cannot be confirmed.

When specifying the trends wherein IAU has contributed significantly, the emphasis has largely been on the changing role of university leadership in an environment where universities are increasingly being run as 'businesses', where commercial interests may be displacing core values.

The HESD initiative is intended to promote awareness of the importance of a sustainable development perspective among the leadership of HE institutions. The evaluation recognises the potential importance of this agenda, but was unable to confirm whether IAU has been effective in this regard, largely due to this initiative being relatively new. It was almost never raised in interviews, despite this being a central theme in recent communication efforts (IAU Horizons) and the IAU 2014 Annual Conference that was being held as the evaluation was being completed. It is likely that the outcomes of the 2014 Annual Conference will provide a basis for stronger direction regarding HESD in the future.

Whereas these are current core concerns, there are emerging areas that could soon expand in importance, most notably Massive Open Online Courses (MOOC), which could contribute to a shift of roles among different types of universities. Indeed, the

economies of scale of large, well-known universities may become less, increasing the relevance and competitiveness of education provided by the smaller institutions that make up most of the IAU membership.

Understanding of implications of internationalisation

A large number of interviewees made statements indicating that IAU helped them to understand trends in internationalisation. The Global Surveys on Internationalisation of Higher Education are seen as important tools for this. An understanding of the implications of internationalisation could be particularly important for the current membership who, being largely outside the 'top 500', otherwise feel isolated from the global discourse in internationalisation.

ISAS however, only serves a small number of members. According to the information provided by IAU, only 12 universities have received ISAS services. Of these, 5 accessed the services through a Government of Romania programme, leaving only 7 that have initiated ISAS activities themselves.

Overall contribution to an equitable enabling environment

Some Board members and secretariat staff have stressed that in all of the above functions IAU's provision of access to information contributes to more equitable relations. This is in the face of what is an inherently inequitable global context where the human and financial capacities to take advantage of opportunities for exchange and learning are inevitably skewed. The Board takes a clear stance in promoting equity, while also recognising problems that will arise if IAU was to alienate members (in high income countries) that do not share these values. The evaluation team judges that IAU can make a modest contribution to equity, but the difficulties reported by members from low and middle income countries in taking advantage of the opportunities offered by IAU for exchange, etc. illustrate the inherent limits to IAU's capacity to create an equitable environment.

Undertaking capacity development

Though ISAS and LEADHER, IAU facilitates peers to support one another in mutual capacity development processes. As described above, even if the evaluation has not been able to draw verifiable conclusions regarding effectiveness from ISAS, the team judges that prospects are promising. Outcomes from LEADHER are described below. HEEFA in many respects represents a greater outcome challenge, as it is anchored in a local, multi-stakeholder, highly interactive process and less on the broad peer support that characterises ISAS and LEADHER. The plans for HEEFA workshops describe these considerable challenges as follows:

While a change is slowly emerging on the global agenda and international commitments, the question remains how this is translated locally and in concrete terms and actions. IAU findings from previous projects and discussions at the IAU Conference on higher education for EFA (December 2010, Paris, France) revealed that:

- The higher education community as a whole is still insufficiently aware of EFA;
- The full potential of the different missions of higher education institutions and the variety of expertise they house and produce are still not systematically exploited in the pursuit of EFA;

- If linked, the channel from higher education to EFA remains primarily dominated by and narrowly limited to teacher education.

While reiterating that evidence was not found regarding the extent to which these challenges were overcome, the evaluation team judges that this may be too great a task for IAU given its structure (with a small Paris based secretariat) and the priority areas for engagement expressed by the membership in the interviews. The approach applied, with a relatively ‘hands-on’ engagement from the secretariat during the workshops, followed by assumptions of an intense local processes afterwards in implementing extremely ambitious action plans, is presumed to be difficult to maintain and scale-up. It should be stressed that the evaluation team received no clear reporting on the extent to which the action plans have been implemented.

Regarding IDEA-PhD and HESD, the evaluation team judges that these initiatives are in such an early stage that it is not possible to draw any conclusions regarding even prospective outcomes.

Synergies within broader Swedish research cooperation

IAU has not proactively sought after broader synergies with Swedish financed research cooperation. This is not an explicit objective of the Swedish support to IAU. Given the risks noted elsewhere in this report of a potential decline in ownership from the members if IAU was seen to be acting in any way as an ‘implementing partner’ for a development agency, this suggests that IAU has been wise in not giving explicit priority to linkages with Sida partners. In essence, Sida’s partners have had the opportunity to judge the benefits of IAU membership and most are either unaware of IAU or have determined that membership/engagement is not worthwhile. Given the sensitivities just noted, the evaluation team judges that it would not be appropriate for IAU to take a more proactive stance in this regard, but Sida could of course help to provide information to its partners about IAU.

The evaluation team is hesitant to speculate, but as IDEA-PhD activities expand this could be particularly worthwhile for Sida partners, and engagement in internationalisation activities could also be valuable.

4 Impact

4.1 OVERALL OUTCOMES

Access to services is important for attaining tangible outcomes via IAU support, but this access is uneven in the membership. Some feel that IAU has not been proactive in informing about the opportunities provided, whereas many are confused about what is offered (especially regarding possibilities for financing) or are largely passive.

It is also clear that many members do not expect significant outcomes from their membership in IAU, being satisfied to feel part of a global organisation and to have access to publications and databases. The evaluation team judges that the confusion that prevails in relation to the different services provided by IAU may stem from the diverse range of small programmes and the somewhat fragmented impression given by the website(s).

In some specific areas it has been possible to specify capacity development outcomes. Returning to the intervention logic matrix developed in the inception phase (see annex two), the evaluation draws the following conclusions:

Programme area	Intended (hoped for) outcomes	Findings
Reference publications and the academic journal HE Policy	• Evidence based HE policy reform processes • Empirical basis for more global analyses of trends and institutions (breaking Northern biases and biases toward elite universities in other available data sources) • Enhanced ability for institutions, students and financiers to recognise « scam » universities • Ability to identify potential partners within regions (especially Africa) and across regions • Greater engagement of researchers from low and middle income countries in	• Possible achievement, but insufficient evidence to confirm • Achieved (existence of a range of high quality research, analysis and data) • Probable achievement, but insufficient evidence to confirm • Achieved (reference publications provide relevant and useful information) • Possible achievement, but insufficient evidence to confirm

Programme area	Intended (hoped for) outcomes	Findings
	global debates on HE policy	
IAU Horizons, e-bulletin	• Awareness of and ability to respond to emerging critical issues in HE • Participation in global dialogue (especially for authors from low and middle income countries) • Engagement in global dialogue through awareness of and potential participation in major HE events • Understanding of HE developments and reforms in developing countries on an equal footing • Keeping HE issues related to countries in different parts of the world in the limelight for all	• Achieved (Appropriate selection of topics and positive response from membership) • Achievement noted, but extent not verifiable (Significant number of authors, but evidence of subsequent dialogue more difficult to assess) • Achieved (Activities offered) • Achieved (Feedback from interviewees on value of these outputs) • Possible achievement, but insufficient evidence to confirm
LEADHER	• Spread of knowledge and application of effective practices • Partnerships that may then lead to other learning and collaboration	• Achieved (Feedback from interviewees on perceived outcomes) • Achieved (Feedback from interviewees on perceived outcomes)
IDEA-PHD		• Insufficient feedback received to draw conclusions
HESD		• Insufficient feedback received to draw conclusions
EFA		• Insufficient feedback received to draw conclusions
Ethics	• Changes in attitudes and practices stemming from greater awareness of ethical norms (especially among institutions that may otherwise have little understanding of these issues) • Overcoming of existing barriers in the discourse on	• Possible achievement, but insufficient evidence to confirm

Programme area	Intended (hoped for) outcomes	Findings
	ethics in HE (e.g., between natural and social sciences) and widening it to all other spheres of HEI activities Enhanced attention to human rights issues (non-discrimination, accountability, transparency and participation) as ethical commitments	- Possible achievement, but insufficient evidence to confirm - Possible achievements in participation, accountability and transparency; doubtful in relation to non-discrimination
Internationalisation – (ISAS, and global survey)	- Increased voice and capacities among institutions in low and middle income countries in ensuring that « partnerships » reflect commitments to equitable and mutually beneficial relationships - Capacities and actions to design more effective, efficient and broad ranging internationalisation structures that overcome departmental barriers - Reduced transaction costs among HE institutions and their financiers through more transparent plans and structures	- Possible achievement, but insufficient evidence to confirm - Possible achievement, but insufficient evidence to confirm - No evidence of achievement

As the matrix above suggests, despite the potentially catalytic support from IAU, members have great difficulties to specify the type or level of outcomes in their institutions. When asked about outcomes, most interviewees referred primarily to their satisfaction with IAU outputs and activities, most notably LEADHER (see section 4.2 below). Some identified modest contribution of these outputs to the outcomes that they were striving to achieve at their universities. Some mentioned that IAU products were used to stimulate internal discussions in their universities, but it was not clear whether these discussions led to tangible outcomes.

Some members note that they have used the IAU policy statements (especially the recent work on ethics) to define norms within their own organisations, but in these cases it was difficult to elicit more concrete examples of the ultimate outcomes. The

commitment of the Board to take an active role in ensuring that these policy statements are discussed in public fora is reported to be uneven, indicating that capacities are limited for translating these IAU outputs into outcomes driven by HE institutions themselves. The role of a global association in translating normative statements into institutional reforms within a vast array of HE institutions can be seen as being inevitably a situation wherein ‘you can lead a horse to water, but you can’t make it drink’.

The evaluation’s request for interviews received very limited response from those who had participated in HEEFA, HESD, IDEA-PhD and ISAS support, and as such no conclusions can be drawn.⁶ This relative silence regarding these services must be cause for concern given that pride in outcomes would be expected to stimulate a greater willingness to respond to an evaluation. The main exception to this dearth of evidence on outcomes from services has been LEADHER.

4.2 LEADHER OUTCOMES

LEADHER is undoubtedly IAU’s main capacity development tool, and is also the IAU programme most often cited by respondents as leading to enhancement of the capacities of their institutions. The stated goal of the LEADHER programme is to strengthen research capacity and research management in universities with particular focus on developing countries. Responses from participants in the evaluation interviews and in the 2014 LEADHER survey conducted by IAU suggest that LEADHER activities strongly support this goal.

Increased research capacity for LEADHER participants is evident in a variety of ways. One of the most commonly cited is building of staff capacities through exchanges by which staff members are exposed to the institutional set-up, organisational processes and curricular content of other universities’ doctoral programmes, helping them generate new ideas on how to create such capacities in their own institutions. The importance of generating new ideas on capacity development was made evident through the IAU LEADHER survey. A request to identify the areas in which the respondents’ LEADHER project focused resulted in 50% marking ‘innovative approaches to research capacity building via cooperation...’.

Enhanced organisational research structures and improved practices are also evident. One respondent indicated that the LEADHER programme had contributed to the establishment of new research centres for all faculties at his institution and reallocation of staff time from teaching to research. More generally, creation of both formal and

⁶ The exception to this was two (very positive) responses regarding ISAS. The evaluation team interprets this as indicating the potential for building on this service, but it does not provide sufficient evidence to draw broader conclusions. Also, the evaluation team notes that the ways in which IDEA-PhD built on and was inspired by LEADHER may have led to some confusion regarding the distinction between these two initiatives.

informal institutional linkages and networks seems to be important in supporting research capacity internationally. Strengthening of doctoral programmes is also a key outcome in this respect, supported, for example, through curriculum sharing.

It is notable that capacity development was not just a matter of technical assistance from high to low and middle income countries, but was often seen as a clear outcome benefiting all partners in the activities. Interviewees indicate that providing training and other capacity development services to other institutions also provided an opportunity for them to reflect on their own research capacity and activities. In addition, events and exchanges held under the auspices of LEADHER projects were seen to provide mutual benefit to both partners. Respondents specifically describe LEADHER seminars and workshops opened to students and staff as leading to enhanced capacity for all partners.

Perhaps the most important output in the long-term is changing attitudes regarding research. Multiple interviewees described an increased importance placed on research activities among staff and administration due to LEADHER. This can be seen in the increased resource flows directed to research in participating institutions, and will be a key factor in sustaining development of research activities and capacities in the long-term.

In addition, respondents have described LEADHER as enabling international collaborations and improved educational programmes. International collaboration was commonly cited in both evaluation interviews and the LEADHER survey. 73% of respondents list this as an outcome of their LEADHER project, the highest response rate for any of the answer options for this question. Of the partnerships created, the majority were new partnerships, suggesting that LEADHER could be a valuable stepping-stone to further collaborations with the new partner institutions. A number of respondents indicate LEADHER contributing to international cooperation and linkages that would not have been possible without the financial support LEADHER provides. Continued collaboration among partners after project completion have been described by several LEADHER participants. Such collaboration includes, for example, doctoral student exchanges and co-supervision, staff exchanges, continued joint research activities, continued meetings and visits, joint conferences and partnerships in new, non-IAU supported projects.

Another main outcome respondents have pointed to is improved educational programmes generally. This includes the development of new activities and improvement of existing activities. New activities mentioned include international exchange programmes and new quality assurance measures. Improvement of existing activities was particularly attributed to curriculum sharing and sharing of best practices.

Of all the services that IAU provides, LEADHER is clearly seen as the most important and effective by interviewees. It is effectively the only service where a significant number of interviewees were able to cite specific areas where their own internal capacities had been developed. Comments are overwhelmingly positive in terms of

both design and effectiveness of the programme in providing opportunities for exchange, learning and eventual creation of partnerships that may extend beyond these short term activities.

4.3 ISSUES REGARDING MANAGEMENT FOR RESULTS

This evaluation has brought to light a crucial missing component of IAU's work. There seems to be strong support for IAU (among those that participated in the evaluation interviews), however the ability to substantiate this support through evidence documented in IAU supported and/or produced monitoring reports is minimal. This evaluation has recognised (and encountered) the challenges in building such reporting in a global organisation with a broad portfolio of outputs. However this dearth of outcome reporting can have profound effects on both IAU's ability to demonstrate the reach and effectiveness of its work to external audiences. It also limits its ongoing ability to scale up its successes and to manage those areas in its work that seem to be less successful. IAU's current ongoing monitoring of its activities does not provide it with the information needed in order to improve its implementation of activities and to more adequately report on its successes.

5 Efficiency

5.1 IAU'S CAPACITY TO LEVERAGE ENGAGEMENT

IAU's level of efficiency should be understood in relation to its ability to build on membership engagement, rather than relying entirely on the secretariat as a de facto service provider. The most important and perhaps obvious indicator of this engagement in the large, fee-paying membership. The fact that IAU has been able to maintain a sizeable secretariat in Paris relying primarily on membership fees indicates that a large number of HE institutions perceive IAU to be 'good value for money'.

The second important indicator of IAU's efficiency as an association is that the Board actively engages in activities. Several members of IAU's Board demonstrate very high levels of engagement. All working groups are led by members of the Board, which is intended as at least a partial safeguard against initiatives being overly secretariat driven. Based on this evidence the evaluation team judges that IAU as an association is certainly more than the secretariat. The secretariat has made clear that they are prepared to drop initiatives where Board members do not indicate readiness to provide leadership. These findings may be seen as self-evident in any well-functioning association, but are regrettably not universal in development cooperation financed civil society and professional association initiatives.

At the same time it is important to highlight that such a large Board would seem to suggest that the governance structure could be rather unwieldy. The evaluation team did not have an opportunity to attend any Board meetings and cannot draw clear conclusions about the quality of the governance structures, but does note that there may be trade-offs between having a large Board that can provide broad representation of the membership and which has enough individuals to lead the working groups; and a smaller Board that would presumably be able to provide firmer and more efficient leadership. Furthermore, the weak response to requests for interviews and the fact that a large proportion of interviewees effectively described themselves as passive recipients of IAU materials suggest that the extent to which members could be mobilised for greater levels of engagement is inevitably limited.

5.2 HAS IAU FOUND AN EFFICIENT ROLE?

There are inevitable questions of efficiency and economies of scale in managing small grant programmes such as LEADHER. However, there are presumably limits to IAU's ability to call on pro bono efforts of Board members in reviewing the applications for LEADHER, which suggests that as long as initiatives remain small, quality

and efficiency can be maintained. If they were to be scaled-up these pro bono efforts would not be sufficient. Another area where IAU has been able to leverage near pro bono engagement (and where the extent to which this can be mobilised may be limited) is in the coaching support provided by members in services such as ISAS. However, it is also noted that the opportunities shared learning among all parties is said to be a strong motivating factor in inspiring this collaboration.

The evaluation cannot draw verifiable conclusions regarding the efficiency of IAU's small-scale grant and service provision management, as these efforts are undertaken as an integrated aspect of the work of secretariat staff and due to the considerable pro bono efforts of members and the Board. It is, however, clear that the existence of opportunities for small-scale funding is key to IAU's capacity to leverage engagement from its members in low and middle income countries.

The evaluation team judges that the collection of a range of publication functions (reference publications, HEP, popular products such as IAU Horizons, the e-bulletin, and the websites) within the organisation appears to provide economies of scale. The quantity and quality of outputs is very impressive when seen in relation to the quantity of staff.

IAU's association with UNESCO does not appear to provide significant added value in terms of a defined role for the association. Very few respondents mentioned UNESCO and those that did seemed to hold the misconception that IAU was formally associated or even a part of UNESCO. The evaluation team recognises that HESD and HEEFA are obviously partially inspired by the link to UNESCO, and even a desire to compensate for UNESCO's weak engagement in relation to some critical topics. Given the resources available within IAU, capacities to compensate for weaknesses within UNESCO are of course extremely limited.

A core question regarding efficiency is whether other global or regional associations would be better placed to provide the services currently managed by IAU. The evaluation team judges that IAU has a unique global niche. It is impossible to assess, however, whether individual activities, publications and services could be managed more efficiently through, for example, a regional university network or a network focused in a narrower membership (e.g., Commonwealth universities, francophone universities, specific disciplinary networks). IAU does, however, have a more obvious comparative advantage in activities related to its core functions of supporting members with benchmarking, networking, awareness of trends and understanding the implications of trends in internationalisation. This could be seen as suggesting that areas that interviewed members do not refer to as being an obvious part of these functions could perhaps be more efficiently undertaken by other institutions. Furthermore, IAU's role in leading purely regional initiatives (such as IDEA-PhD) could be questioned. As noted above, with the exception of LEADHER the evaluation team received very limited feedback on most of IAU's smaller service initiatives, which can be interpreted as indicating weak ownership for or awareness of these activities among the membership. They may also be seen to be of limited value.

6 Sustainability

6.1 INTEGRATION OF SIDA SUPPORT IN THE IAU WORKPLAN

There are currently some deviations between the structure and content of the logframe of Sida supported activities and the main IAU workplan. In the inception phase the evaluation team identified this as a possible concern in relation to sustainability if IAU was to treat the Sida supported activities as somehow separate. IAU secretariat staff report that they and the Board perceive the objectives for the use of Sida funds as being in harmony with the overall IAU workplan. There is an intention to fully integrate all Sida financed activities and objectives in the main IAU workplan over time.

6.2 POTENTIAL TO SPIN-OFF ACTIVITIES TO THE MEMBERSHIP

As noted in section 5.2 above, IAU already relies on a considerable input from the membership to undertake activities. It could be presumed that one path to sustainability would lie in spinning off some current activities to be run by members in the future. This would presumably involve member associations learning from and running these activities themselves. A reduction in services requiring major input from the secretariat and Board would reduce the workload and costs to the association. The evaluation team judges that the current levels of engagement from the associations in IAU services suggest spinning off of activities is highly unlikely.

6.3 SUSTAINABILITY AND SOURCES OF REVENUE

IAU has a relatively 'healthy' mix of revenue, being primarily reliant on membership fees, complemented by revenues from sales of publications and services, occasional additional project support and Sida funding. IAU secretariat staff express satisfaction with the proportion of support received from Sida, and imply that an increase could be problematic in relation to IAU's identity as a membership organisation. Nonetheless, the secretariat and Board are aware of the dangers of having only one major donor. Efforts have been made to diversify support, but thus far without success. The secretariat, Board and active members are aware of the obvious limits of these resources for undertaking viable initiatives.

The evaluation team judges that sustainability is relatively good due to IAU's primary reliance on membership fees. The organisation does face significant risks as some of the fee-based services and publications may encounter competition in the future from other service providers and media. It is beyond the scope of this evaluation to measure these risks, but this, together with what some interviewees described as a crowded field of competing associations, suggests that IAU will face constant challenges to prove its value and retain its membership. Performance thus far has been excellent, but risks remain.

7 Conclusions and lessons learnt

7.1 IAU'S NICHE AMONG NETWORKS IN HIGHER EDUCATION

Interviewees have expressed a diversity of views about the current and potential niche of IAU. Some are pessimistic that IAU can find a unique niche given the large number of networks involved in HE. Others describe areas where IAU has established a clear niche. Some members have unrealistic hopes that IAU can expand its role in funding activities. The following are the evaluation team's conclusions regarding IAU's niche and where IAU can provide a unique contribution to achieving its intended outcomes in improved higher education.

Where IAU has a unique niche:

Leadership

Some members and secretariat staff highlight that IAU informs university leadership about what they need to know to provide vision and direction reflecting ethical norms and foresight. At the same time, it is clear that, with the primary and notable exception of the concrete work (e.g., around doctoral programmes, through LEADHER and internationalisation), IAU information does not always reach other staff. The focus on the upper echelons of university leadership has drawbacks in terms of moving from guidance to action, but the evaluation team judges that this is an internal issue for members. It is something that IAU as an association cannot address.

Advocacy in relation to ethics, integrity and solidarity

The evaluation team judges that IAU constitutes a unique voice for raising ethical issues as a professional organisation with a large membership. Even though only a minority of respondents were aware of and utilise IAU's normative policy statements, their existence as a tool, and the potential of others to raise attention to how the HE community is holding itself to account is valuable and has potential for contributing to wider outcomes.

Benchmarking for quality

IAU is valued by its members for its role in creating opportunities for partnership and reflection among peers about what constitutes quality in HE today. Smaller universities are particularly concerned that they face large but nebulous challenges in understanding how they should focus their limited resources in enhancing quality and performance. In interviews it was strongly apparent that IAU helped them meet peers, critically reflect and break their isolation; all of which supported their capacities to make appropriate decisions.

Networking across regions

The need of IAU to differentiate itself from the many other national and regional associations was mentioned by a number of IAU Board members. There is a recognition of the need to ‘compete’ as an association with the numerous regional and national associations. It was felt that the IAU provides value through its ability to offer global perspectives on issues confronted at national and regional levels.

Creating an environment and opportunities for peer-led capacity development

The sum of IAU’s most successful initiatives, such as LEADHER, conferences and sharing of experience on internationalisation, can be seen to contribute to the efforts of members (and even non-members) to learn from one-another. Participants in these activities recognise the skills through which the IAU secretariat manages these processes, but they primarily stress the ways that IAU has enabled them to develop their capacities through dialogue with their peers.

Where IAU’s niche may be questionable:*Networking within regions*

IAU has no clear comparative advantage in promoting networking on regional issues, even if these sometimes arise in, for example, collaboration initiated as part of LEADHER.

Direct engagement in capacity development

There is a need and demand for direct support to capacity development, but the evaluation team concludes that IAU should not move beyond a narrower focus on creating an enabling environment for capacity development. It is questionable whether IAU, as a global institution, should apply its inevitably limited capacities to provide direct capacity development assistance from either the secretariat or by trying to muster additional pro bono support from among the membership.⁷

Narrower areas of concern where more specialised networks can work within a more close-knit relationship

A few interviewees suggested that IAU work more closely with regional associations and take steps to synthesise and spread information from the various member associations, i.e., act as a ‘network of networks’. Whereas the evaluation team views this as

⁷ There were a number of direct comments from IAU membership interviewees (and one Board Member) regarding the need for capacity strengthening of institutions that lack the strength and finesse to produce proposals able to compete with more established institutions. While interviewees appreciated the extensive comments they received concerning the reasons for having their applications for funding rejected by IAU, they often expressed and equally wished for ‘earlier’ support through mentoring or coaching in the proposal writing process. The evaluation team does not question this need (and many others) but at the same time recognises that IAU is probably not the ideal institution to provide such support. There are many other actors (and also many on-line tools) that have specialised competence in services such as this.

an interesting area to explore, IAU's identity and portfolio emphasises universities rather than associations, and exploration of a larger role in working as a 'network of networks' would require major reflection. The evaluation team is hesitant to draw conclusions in this area.

Finally, the evaluation team takes note of programmatic areas where little feedback was received, especially HEEFA, HESD, IDEA-PhD and (to some extent) ISAS. The evaluation cannot draw definitive conclusions regarding 'what was not said', but the relative silence of interviewees and the lack of response from service recipients suggests that broad ownership of these activities may be weak.

8 Recommendations

8.1 RECOMMENDATIONS TO IAU

The evaluation's overall recommendation to IAU is to prioritise and narrow the range of services and activities and in so doing look to (1) achieving economies of scale and greater efficiencies, and (2) present a clearer and more streamlined message to the membership about what IAU has to offer. This is not to say that the quantity of deliverables should be reduced, as these deliverables are what the membership value, but rather that the variety should be narrowed to increase understanding of what IAU has to offer, and with that awareness of the core values of the association.

IAU's greatest added value in terms of services for members lies in creating opportunities for peer-led coaching and mentoring. A reorganisation and focusing of IAU services should be built around a structure that highlights this core function, and then explains the different fields where this peer-led coaching and mentoring can be facilitated.

Another area where IAU produces tools and networking opportunities that are seen as useful for members is in benchmarking. IAU should assess how its different reference publications, the Global Survey on Internationalisation of HE and even other efforts together contribute to outcomes in terms of member capacities to assess and follow how their work compares to international praxis. Here again, a (re)grouping of initiatives to show how members can actively benchmark their work would clarify what makes IAU unique and useful.

The evaluation team suggests that synergy and concentration could also be found in IAU's contribution to awareness raising combined with its focus on ethics through an explicit focus on exploring trends related to *leadership and internationalisation amid commercialisation of HE*. IAU could promote particular added value to the international discourse on the ways these commercialisation processes are changing the playing field for small HE institutions in low and middle income countries.

A caveat to these recommendations regarding streamlining is the importance of retaining a degree of flexibility to address emerging and potentially very 'hot' issues of relevance to the membership (such as MOOC). IAU Horizons and HEP provide important tools for enhancing awareness around such challenges and may even lead to other activities in the future. It is suggested, however, to address such emerging issues within more time bound working group-led project modalities rather than creating new services and web portals.

Lastly, the confusion of many interviewees regarding what services and information IAU can provide suggests that IAU should develop a better approach to orientation for new members and/or new leaders of existing member institutions. The evaluation team judges that there are considerable latent potential active members who, if given the right ‘start’ in their membership, could and would engage much more actively.

8.2 RECOMMENDATIONS TO SIDA

Sida should continue its support to IAU, and focus on activities that underpin and involve networking and peer-to-peer collaboration. The evaluation team judges the activities that are (or could become) most effective to be: (1) IAU publications (while recognising that the rapid changes underway in digital media, etc. may require adjustments over time), (2) LEADHER, (3) bursaries to create opportunities for exchange at conferences, (4) support to spreading understanding and application of normative statements, and (5) creating opportunities for peer-led capacity development in relation to internationalisation. Within the latter, Sida should encourage focus on this topic, but only fund ISAS if IAU can provide convincing outcome reporting. The evaluation team judges that ISAS has potential for greater impact given the high membership demand for support with internationalisation strategies even though the outcomes of the services have thus far been limited.

Sida should design its support with a recognition that IAU should not become a ‘development organisation’ or an ‘implementing partner’ for a development donor. An image of being too much part of the aid landscape would be extremely problematic for an association that is dedicated to providing a forum for all universities (not just those in low and middle income countries) to meet. If Sida judges that supporting such an association falls outside of its mandate, then Sida should consider phasing out its support to IAU.

Sida should consider ways to work with IAU to ensure wider awareness among Sida’s partners of IAU’s (1) normative roles (by publicising its policy statements), (2) skills (in internationalisation and enhanced doctoral programmes in particular) and (3) networking/information functions (such as publications, most notably the Guide to African Higher Education, and opportunities to attend conferences). The evaluation team judges there to be significant latent opportunities for synergies with other Sida financed programmes, particularly where these programmes include elements related to institutional development and reform, but this should be driven by the demands of these partner institutions.

IAU’s core commitments to raising a public discussion on how to address prevailing asymmetrical power relations among HE institutions and donors is congruent with Swedish policies and this, combined with access to the top leadership at a large number of universities, suggests possibilities for joint efforts to raise normative concerns.

A stronger link between IAU and other Sida partners would not only benefit Sida's other partners, but could even reduce transaction costs for Sida itself due to better capacities of partners to develop appropriate internationalisation strategies, doctoral programmes and network among themselves. Sida's support to IAU presents a unique opportunity to reach the highest echelons of leadership of a large number of smaller HE institutions that are otherwise often 'off the radar screen' of international development cooperation. One way to do this could be to allocate more funds to IAU for conference attendance, etc., while promoting awareness among Sida's research partners about these meetings. Sida could also offer to include support to receiving ISAS or other relevant support within its grants to partners (It is not recommended that Sida earmark funding to IAU however, as this could create an impression of using IAU as an 'implementing partner').

9 Annexes

9.1 ANNEX 1 - TERMS OF REFERENCE

Terms of Reference - Evaluation of the Sida supported program of the International Association of Universities

1 Background

Information about Sida

The Swedish International Development Cooperation Agency (Sida) is a government agency working on behalf of the Swedish parliament and government. The overarching objective of the Swedish development cooperation is to help create conditions that enable poor people to improve their lives. Through its work Sida contributes to implementing *Sweden's Policy for Global Development*. Sida's work is guided by a number of strategies and policies. For further information, please visit Sida's website, www.sida.se.

Sida is responsible for the implementation of the *Policy for research in Swedish development cooperation 2010-2014* and the *Strategy for Sida's support for research cooperation 2010-2014*. According to these, the overall objective of the Swedish research support is to strengthen and develop scientific research of relevance in the fight against poverty in developing countries. To achieve this goal, Sweden is to focus its efforts on three specific areas (1) Research capacity building in developing countries; (2) Research of relevance to developing countries; and (3) Swedish research of relevance to developing countries.

Information about the International Association of Universities

Founded in 1950, under the auspices of UNESCO, the International Association of Universities is a leading independent, non-governmental global association of higher education institutions and organisations. It is a membership organisation comprising of approximately 620 member institutions (universities and other higher education institutions) from all regions of the world and a number of national and regional university associations. The highest decision making body of the organisation is the General Conference that meets every four years. It determines the policy of the Association, approves reports and elects the President and the members of the Administrative Board. The day-to-day operation is run by the Secretariat under the supervision of the Administrative Board. The Association, acting as the international voice of higher education, provides a forum for leaders of institutions and associations to discuss, reflect, and take action in issues of shared interest. The main activities of IAU include information dissemination on higher education systems, institutions and qualifications, analysing trends in higher education, capacity development, advocacy and policy advice. It is financed mostly by membership fees, revenues from sales of publications and

provision of expert services on a fee paying basis or under contract. UNESCO provides in-kind support.

The Sida support to the IAU

Sida has been supporting the IAU since 2002. For years Sida was the only major external donor to the Association with a support amounting to 3 million SEK between 2005 and 2007, and 5,4 million SEK between 2008 and 2011. The current Swedish contribution amounts to 11 million SEK and covers the period July 2011 – June 2015. The Sida fund has contributed to the following programmes/activities:

- Publication Programme. This covers the production and publication of *The International Handbook of universities*, *The World Higher Education Database* (CD-ROM); *Higher Education Policy* (quarterly journal), *Guide of Higher Education in Africa*, *IAU Horizons* (magazine), as well as an e-bulletin and a survey on internationalization.
- Membership support and leadership development for higher education reform (LEADHER). Through the LEADHER program collaborative partnerships of IAU member institutions are supported to exchange experience and initiate or act as catalyst for joint activities with the objective to improve university and research management.
- Innovation Fund (in the period 2008-2011). The Fund was conceived in order to allow flexibility for new themes/projects to be identified on which IAU should focus. IAU leadership decided that the Association would focus on doctoral education leading to the development of the project entitled *Changing nature of doctoral programs in Sub-Sahara Africa* with the objective to pilot a specific approach to improving the strategic management of doctoral programs in the region.
- Strengthening linkages for improved education: Higher education and research working for Education for All (EFA) and education related MDGs.

The objective of the Sida support has been to contribute to the inclusion of the higher education institutions of developing countries into the global dialogue on higher education and research. Further assumption has been that research capacity will be strengthened by information dissemination and the opportunities of experience-exchange and networking provided within the Association's programmes.

No external evaluation has been conducted since Sida support commenced. IAU performed a self-assessment in 2011 before submitting its funding proposal for continued Sida-IAU co-operation. A review of the internal control system was conducted in 2012.

The current program of the IAU (2011-2015)

Before the current agreement period the Sida supported IAU program had not had a results framework. The current program however was developed using a results based approach (with the assistance of the Sida assigned consultant firm AIMS).

According to the IAU's results framework the overarching goal of the Sida supported programme is to provide higher education institutions, particularly in developing countries, with services that help improve their teaching, research and outreach as well as governance and management, thus enabling them to address global, national and local problems.

The specific objectives are the following:

5. To serve successfully as a voice and a comprehensive and structured global platform for improvement of higher education institutions;
6. To increase cooperation among higher education institutions on global issues, university management, with a particular emphasis on research management;
7. To increase the visibility of developing countries concerns in global higher education agendas;
8. To increase the involvement of higher education institutions in achieving progress in *Education for All* and education related MDGs.

The intervention logic is clear, i.e. a number of outputs (different kind of publications, workshops, information dissemination etc.) related to the expected outcomes have been planned and there are (expected) casual links between the outputs and the respective outcomes.

Note that Sida's contribution to some of the activities is relatively small and IAU, too, provides funding from its own budget. These are complemented with other funding sources.

2 Purpose and scope of the evaluation

The primary objective of the evaluation is to provide a rigorous and independent assessment of IAU's performance during the period 2002-2013 for lessons learning purposes. The evaluation will serve as a basis for Sida in deciding on continued support to the IAU after the end of the current agreement. It shall also provide recommendations for both Sida and the IAU on the focus and form of the possible continued support.

The scope of the evaluation covers the Sida funded activities of the with a focus on 2010-2013, but in order to have a boarder view the consultant shall study – to the extent it is possible and if it gives extra value –, the earlier yeas (2001-2010) as well. The evaluation will assess the relevance, efficiency, effectiveness sustainability and impact of the programme in relation to its objectives. The primary focus is not on the output level, instead the consultants are expected to assess the results at the outcome and, when and to the extent possible, the impact level. The analysis shall be put into a larger context taking into consideration Sida's policy on research cooperation, IAU's strategic direction (and the changes of this direction – if any) as well as the broader context of global and regional trends in higher education.

3 Evaluation questions

Primary evaluation questions/areas

- What are the outcomes and impacts of the programme, encompassing intended and unintended, positive and negative outcomes and impacts, results framework and non-results framework elements? Why and how did positive/negative results happen?

- Is the programme consistent with the needs and priorities of universities in low and middle income countries? How are IAU and its services perceived by these universities?
- Are the components of the Sida funded IAU programme corresponding to the policies that govern Sida's research cooperation?
- To what extent has the IAU fulfilled its commitment to serve as a global platform? More specifically to what extent has the IAU managed to get higher education institutions from low and middle income countries as well as regional associations to be engaged in its activities? What has the IAU done to engage them? How do universities in Sida partner countries and regions use the platform provided by IAU?
- To what extent has the information produced and disseminated within the Publication Programme been vital to the development of universities in low and middle income countries?
- To what extent has the IAU contributed to research capacity building at universities in low and middle income countries? And more specifically what is the result of the LEADHER program? To what extent has the LEADHER program contributed to better leadership and research management at the participating universities?
- Can the cost of the program be justified by the results? What other alternative forms of cooperation could Sida consider to achieve the expected results, including cooperation with other partners?
- What would happen with the different parts of the program in the case of termination of Sida support?
- What is the added value of the Sida funding?

Other issues to be covered

- IAU's organisational management and capacity to respond to risks and change in external environment
- Lessons and implications providing insights on how IAU may be more inclusive, enhance impacts and, if deemed necessary, boost value for money
- Recommendations to Sida including recommendations on new areas of cooperation relevant to Sida's research policy, as well as exit strategies

6 Methodology

The consultant shall provide Sida with an inception report outlining the methodology and giving detailed time schedule. However, a brief section on suggested methods shall be already part of the consultant's response to the call. The methods employed for this evaluation shall facilitate the collection and analysis of data, be relevant to the questions outlined above and make optimal use of existing data. Also, the evaluation process is expected to be

a learning opportunity for IAU and therefore the proposed approach should serve this purpose as well.

Sida suggests a design that takes a mixed methods approach and systematically triangulates the evidence. Interviews shall be made with the management and staff of the IAU, with selected members of the Administrative Board/relevant Committees/ Working Groups/Reference Group of the IAU, and heads of IAU member institutions. Emphases shall be given to reach both universities in Sida partner countries and regional associations of universities from regions where Sida has research cooperation (e.g., Association of African Universities, Southern African Regional Universities Association, Association of Universities of Latin America and the Caribbean). It is expected that the consultant visit IAU in Paris. In consultation with IAU and Sida the consultant shall choose a Sida partner country to conduct interviews with member and non-member universities. Due to the fact that the IAU is a global organisation a large proportion of the interviews will be conducted from distance. The consultant shall perform a secondary analysis of IAU records. It is recommended to consider developing a survey targeting member and non-member institutions in low and middle-income countries. Relevant documents will be provided to the consultants by Sida and the IAU, or will be available on Openaid (www.openaid.se). However, the consultants are also expected – when it is deemed necessary – to independently look for documents for example on trends in higher education, or documents from universities and their regional associations.

7 Evaluation Team

Sida envisages a team of two consultants that might be complemented with one support/project management function. Qualifications of the evaluation team:

- All team members shall have expert knowledge of and experience in conducting evaluations
- At least one team member shall have PhD degree and shall have experience in research capacity building preferably with diverse regional experience
- At least one team member shall have significant experience and knowledge of support to higher education and working with higher education institutions as well as broader understanding of institution building and strengthening within higher education
- Knowledge of and/or experience from working within or with international membership associations
- Knowledge of different practises of research management
- Knowledge of best practices in research capacity building
- Strong analysis, report writing and communication skills in English

8 Budget

The budget cannot exceed 400 000 SEK.

9 Time Schedule and Reporting

The assignment shall commence 1 September 2013 and be completed no later than 15 December 2013. An Inception report outlining the methodology and a detailed time schedule

shall be presented to Sida within two weeks after acceptance of the assignment. A meeting with Sida will take place to further discuss in detail the objective and methods of the evaluation. It is preferred that the field visit to Paris take place during the 39th week (23-28 September). A draft of the final report shall be shared with IAU for their comments and submitted to Sida no later than 15 November followed by a revised and final version two weeks upon receiving Sida's comments. The final report shall be consistent with Sida's Evaluation Guidelines and OECD/DAC standards for evaluation. The reports shall be written in English, not exceeding 30 pages (without appendixes). The final report should be presented in a way that enables publication without further editing.

9.2 ANNEX 2 - INCEPTION REPORT

1. Executive Summary

This brief inception report builds upon the relatively detailed proposal submitted by Indevelop for this assignment. Much of the methodology presented here draws on the proposal, developing further suggestions based on documentation review and the findings of an exploratory mission to the IAU secretariat.

In accordance with the proposal, the evaluation will apply an outcome harvesting methodology, complemented with review of website, portals and publications, interviews to follow up on specific activities and themes and one visit to a member institution. Given the short timeframe for the evaluation and concerns regarding “survey fatigue” among the IAU membership it is proposed not to undertake an e-questionnaire as was originally considered.

The initial interviews and documentation review suggest that IAU is a value driven association with a strong potential relevance in relation to Swedish policies for research for development. However, the underlying nature of this relevance in relation to, for example, “research on an equal footing”, is not clearly reflected in the current results framework and IAU has had difficulty in finding more than anecdotal information to show evidence of these results. The evaluation team judges that utility is best served in this evaluation by focusing on better understanding and mapping this relevance and using outcome harvesting to provide an evidence base (that IAU can afterwards build upon) to assess the extent to which IAU’s potential relevance is leading to intended achievements. This data and analysis will also provide a basis for both Sida and IAU to judge whether current forms of support are appropriate for addressing emerging challenges in internationalisation and in developing the capacities of higher education institutions in low and middle income countries.

At the outset, it is important to note that a significant proportion of the IAU membership consists of smaller, weaker institutions that are often overlooked in development cooperation focused on “centres of excellence”. The evaluation team will explore the extent to which IAU has provided a unique channel to strengthen these institutions that are not “donor darlings”.

2. Assessment and Scope of the Evaluation

2.1 THE ASSIGNMENT

Our understanding of the Terms of Reference is that this is an evaluation of the Sida supported work undertaken by International Association of Universities (IAU). The IAU is an independent, non-governmental global association of higher education (HE) institutions and organisations. With a membership of approximately 640 mem-

ber institutions, the IAU's main role is acting as the international voice of higher education, providing a forum for leaders of institutions and associations to discuss, reflect and take action on issues of shared interest and to disseminate information on higher education systems. The objective of Sida support has been to contribute to the inclusion of the higher education institutions of developing countries into the dialogue on higher education and research.

The broad objectives of this evaluative review are:

- To assess the relevance, efficiency, effectiveness sustainability and impact of the programme in relation to its objectives.
- To assess results at the 'outcome' and, if possible, 'impact' levels - not at the level of 'outputs'.
- The review will be undertaken using an evaluative lens that considers Sida's policy on research cooperation and the broader context of global and regional trends in higher education.

The scope of the evaluation will focus on analysis of Sida funded activities undertaken during the period 2010-2013. If feasible and needed for evaluative clarity, the review can also consider activities undertaken in the earlier time period 2001-2010.

2.2 SCOPE / ISSUES TO BE REVIEWED IN THE EVALUATION

The ToRs indicate a number of evaluative issues/questions to be addressed, all of which are relevant to the task at hand. In the IAU results framework the 'goal' of the Sida supported programme is to "provide higher education institutions, particularly in developing countries, with services that help improve their teaching, research and outreach as well as governance and management, thus enabling them to address global, national and local problems." While the implicit logic behind this theory of change is clear, due to the proportionally limited contribution by Sida to some activities undertaken by IAU (and indeed, the small proportion of IAU revenue provided by Sida overall), and also due to the limited scope of IAU services in relation to the other services upon which IAU members rely, causal links between these financial contributions and intended outcomes may be tenuous at best. With this in mind, a primary focus of the evaluation will be on those activities funded directly by Sida, while noting that some of these activities are overwhelmingly financed by IAU's own core resources (largely membership fees). As mentioned in the ToRs, this would include the following: i) The Publication Programme; ii) Leadership for Higher Education Reform (LEADHER) programme; iii) Innovative Approaches to Doctoral Education in Africa (IDEA-PhD), which effectively replaced the Innovation Fund of the preceding funding phase; support to Higher Education for Sustainable Development (HESD) and iv) Education for All (EFA) activities and education related MDGs. Even though Sida funding for IAU's work with internationalisation and ethics has been very modest, the evaluation team judges that these are areas that are in many respects central to IAU's relevance in relation to Swedish research for development policy, and therefore these issues will also be highlighted. A main source of information for the review

will be documentation and material produced by IAU and its use by member associations and organisations, as well as through interviews with IAU governance structures, secretariat staff and staff of IAU member institutions concerning IAU influence in relation to changes in knowledge, attitudes, behaviours and policies.

In addition to this primary focus on these specific Sida financed activities, the evaluation will also look at IAU's overarching role as a normative global platform, and the ways in which this platform engages with and reflects the perspectives and needs of the IAU membership and also that of universities in low and middle income countries more generally.

IAU is involved in a broad range of knowledge transfer and capacity strengthening processes with multiple direct stakeholders and a potentially large pool of institutions (members and non-members) which could gain from this work. It is necessary to be extremely clear when identifying and assessing the type and depth of the outcomes linked to the work of IAU and through it, to Sida support. There is the real possibility that intended but long-term 'outcomes' have in fact occurred, but are far downstream from the activities partially financed by Sida through its support to IAU. An understanding and ability to map these 'outcome pathways' (concerning outcomes seen as changes in knowledge, attitudes, practices and policies) will be critical to demonstrate how each supported activity or programme is linked to these outcomes through the influence of IAU.

2.3 OVERALL OBJECT OF SWEDISH SUPPORT

In the ToRs for this evaluation the objective of Swedish support to IAU is stated as being "To contribute to the *inclusion* of the higher education institutions of developing countries into the *global dialogue* on higher education and research. Further assumption has been that research capacity will be strengthened by *information dissemination and the opportunities of experience-exchange and networking* provided within the Association's programmes." (emphasis added)

Sida support to IAU is justified as relevant within Sweden's Policy for Global Development and "Research for Development" which includes the following principles from "Research for Development" which the evaluation team will apply in assessing the relevance and outcomes of the support:

- Flexibility
- Dialogue with other countries and international actors
- Implementation of the Paris Declaration
- Coordination with other research financiers
- Avoid the creation of parallel support structures
- The dissemination of research results and forums for dialogue
- Intellectual freedom and unrestricted communication
- Combating discrimination
- Research on an equal footing

- Knock-on effects in other areas

The current IAU logframe presents the following objectives:

Overall Objective: To enable developing country higher education institutions to contribute successfully to evidence-based policy making for sustainable development, particularly through their research and outreach.

The respective specific objectives for the four components of the project are:

1. To serve successfully as a voice and a comprehensive and structured global platform for improvement of higher education institutions;
2. To increase cooperation among higher education institutions on global issues, university management, with a particular emphasis on research management;
3. To increase the visibility of developing countries concerns in global higher education agendas;
4. To increase the involvement of higher education institutions in achieving progress in *Education for All* and education related MDGs.

It should be noted that these are not explicitly aligned with the overall IAU workplan for the period, and that these specific objectives are very broad and ambitious. A conclusion of the initial mission to the IAU secretariat is that this structure is not an ideal way to highlight the actual outcomes that IAU hopes and expects to achieve. For that reason the data will be analysed more in conjunction with the outcomes identified in relation to i) the specific funded activities noted above, with special attention to ii) the themes that the team identifies as being central to understanding the role and *raison d'être* of IAU. The team tentatively identifies the latter as consisting of the following (which at times overlap):

1. Provision of private goods to members and those paying for services
2. Provision of public goods for the HE community in general
3. Provision of normative guidance and advocacy in relation to ethics, influencing internationalisation processes to promote partnerships “on an equal footing”
4. Reaching and supporting institutions of higher education that are largely “not in the top 500 universities” and ensuring that their vital role is not overlooked
5. Maintaining an organisation that is broadly relevant for HE institutions in low, middle and high income countries
6. Ensuring that IAU remains an institution that relies on and is accountable to its members even when accessing other sources of financing

These factors highlight the potentially very high level of relevance of IAU’s work in relation to Swedish development goals and in reaching a target group that tends to be overlooked in international cooperation that focuses exclusively on “centres of excellence”. However, the mix of public and private goods generated by IAU suggests that it will also make assessment of IAU’s broad contribution to public goods in HE very difficult. In extrapolating on the evaluation questions in the following section suggestions are made for avenues through which to explore these complex issues further.

2.4 INITIAL FINDINGS REGARDING IAU ACTIVITIES AND OUTCOMES

As noted above, the scope of the evaluation will involve rethinking IAU's results framework. In the current framework there are relatively clear output indicators, but at outcome level these have been weaker and very difficult for the organisation to monitor. The team has structured its work to begin looking for intended bridging outcomes that are more clearly useful for analysing the Sida funded activities. Based on responses received from secretariat staff during the initial mission to the IAU secretariat and preliminary documentation review the team has developed the following matrix which will inform initial interviews in the outcome harvesting process (described in section 4 below). It can be noted that the outcome harvesting process is expected to contribute to better outcome indicators for future monitoring.

Programme area	Stakeholders and recipients of services	Intended (hoped for) outcomes
Reference publications and the academic journal HE Policy	• HE community in general • HE financiers • Students exploring education options • Researchers on HE trends and policy (especially in low and middle income countries)	• Evidence based HE policy reform processes • Empirical basis for more global analyses of trends and institutions (breaking Northern biases and biases toward elite universities in other available data sources) • Enhanced ability for institutions, students and financiers to recognise « scam » universities • Ability to identify potential partners within regions (especially Africa) and across regions • Greater engagement of researchers from low and middle income countries in global debates on HE policy
IAU Horizons, e-bulletin	• IAU members • Potential future IAU members • HE community in general	• Awareness of and ability to respond to emerging critical issues in HE • Participation in global dialogue (especially for authors from low and middle income countries) • Engagement in global dialogue through awareness of

Programme area	Stakeholders and recipients of services	Intended (hoped for) outcomes
		and potential participation in major HE events
LEADHER	- Higher level administration in IAU member institutions - Administration in other institutions that learn from the participating institutions	- Spread of knowledge and application of effective practices - Partnerships that may then lead to other learning and collaboration
IDEA-PHD	- Stakeholders in doctoral education programming in participating institutions in Africa - Other institutions learning from the approaches, tools and examples developed and presented on the portal - Financiers of doctoral education programmes	- More effective, transparent and efficiently managed doctoral education systems - Better doctoral supervision leading to better capacity development and research - Learning leading to improved doctoral education among institutions that may otherwise be left out of HE discussions on how to adapt to emerging norms and trends - Reduced transaction costs and greater efficiency in relations between financiers and HE institutions offering doctoral programmes
HESD	- IAU members interested in engaging in the emerging sustainable development agenda - HE community in general	- Greater anchoring of the HE agenda in broader efforts to contribute to equitable and sustainable development - Awareness leading to actions by university leaders seeking to ensure that their institutions maximise their societal contributions - Partnerships between HE institutions in general and IAU members in particular with actors involved in the emerging UN led sustainable development agenda
EFA	Participants in IAU HEEFA workshops	Attitudinal changes and resultant actions among those

Programme area	Stakeholders and recipients of services	Intended (hoped for) outcomes
	• HE actors interested in building links to EFA efforts • EFA stakeholders who otherwise might ‘forget’ the HE aspects of the broader education systems	- engaging in HEEFA workshops to mobilise HE institutions to support EFA • Greater inclusion of attention to HE as part of education systems in EFA efforts in general and in UNESCO normative efforts in particular
Ethics	• HE community in general	• Changes in attitudes and practices stemming from greater awareness of ethical norms (especially among institutions that may otherwise have little understanding of these issues) • Overcoming of existing barriers in the discourse on ethics in HE (e.g., between natural and social sciences) • Enhanced attention to human rights issues (non-discrimination, accountability, transparency and participation) as ethical commitments
Internationalisation	• HE community in general • IAU members and others receiving support for internationalisation planning • Financiers of HE	• Increased voice and capacities among institutions in low and middle income countries in ensuring that « partnerships » reflect commitments to equitable and mutually beneficial relationships • Capacities and actions to design more effective, efficient and broad ranging internationalisation structures that overcome departmental barriers • Reduced transaction costs among HE institutions and their financiers through more transparent plans and structures

3. Relevance and Evaluability of Evaluation Questions

3.1 RELEVANCE OF EVALUATION QUESTIONS

The evaluation questions in the ToRs are judged to be largely relevant in relation to the stated focus of the assignment on the outcome level. It should be noted that the focus of the questions is not strongly aligned with the IAU results framework and reporting, where there are significant gaps with regard to ‘bridging outcomes’ (and related indicators) between the activities/outputs reported on and the rather ambitious specific objectives. When this is addressed in the IAU reporting it is often in a highly anecdotal manner. A major focus of the evaluation will therefore be to look more systematically at processes to both understand and measure these outcomes, and as part of this to understand how these outcomes are perceived by the IAU membership. Indeed, IAU’s sustainability is almost entirely dependent on the extent to which the membership sees clear benefits in being part of the association. As such, an understanding of their ‘indicators’ is essential for understanding and assessing the prospects for future development of the association in a manner that reflects the interests of members from low and middle income countries.

We expect that the levels and types of engagement of the membership will be largely determined by the ways and extent to which they perceive IAU’s work to be relevant to their needs. For this reason there will be a certain degree of overlap in the analysis of relevance and outcomes.

3.2 RECOMMENDATIONS REGARDING EVALUATION QUESTIONS

The evaluation questions are here re-ordered to roughly (but not entirely) reflect the OECD/DAC evaluation criteria. Furthermore, additional potential follow-up questions are suggested here to illustrate how the evaluation team will tease out the central issues in interviews. All of the follow up questions will not be answered in the evaluation but they are presented here to clarify the aspects of the main evaluation questions that are likely to be relevant. We will use the data from the outcome harvesting, other in depth interviews, and review of available data on use of the IAU outputs to explore these issues further.

Relevance

1. Is the programme consistent with the needs and priorities of universities in low and middle income countries? How are IAU and its services perceived by these universities?

- a) How does IAU assess what these needs and priorities are, and how are the needs and priorities of low and middle income countries disaggregated from those of developed countries?
- b) Does IAU have systems to monitor perceptions of the relevance and quality of services provided?
- c) How does the mix of public and private goods and normative engagement reflect the needs and priorities of the members (universities and other institutions)

2. Are the components of the Sida funded IAU programme corresponding to the policies that govern Sida's research cooperation?

- a) Flexibility: How does IAU ensure that programming can be adapted to demands, needs and lessons being learnt?
- b) Implementation of the Paris Declaration: Given that this support is not directly aligned with IAU's own work plan; how is the alignment of Swedish support to IAU's broader efforts perceived?
- c) Coordination with other research financiers: Where does Sida support fit within IAU's overall resource mobilisation strategy?
- d) Avoid the creation of parallel support structures: Where is the IAU niche in relation to other international and (especially) regional institutions? How does IAU map existing initiatives to ensure that there is no duplication and that selected activities reflect the unique added value of a global institution? How does IAU optimise its relationship with UNESCO?
- e) Intellectual freedom and unrestricted communication: What has been IAU's contribution to outcomes in relation to broader intellectual freedom and open communication (e.g., in countries where these are restricted)?
- f) Combating discrimination: To what extent does IAU generate relevant gender disaggregated data, take into consider ethnicity/caste/etc. in terms of participation, etc.? Is there a strategy to collect data and reflect on these challenges? What are the limitations and are there missed opportunities to develop this aspect of IAU's work further?
- g) Research on an equal footing: What would constitute outcomes that place universities in developing and middle income countries on an "equal footing" within IAU's work? How has IAU's normative work contributed to promoting "research and education on an equal footing" in international partnerships?

3. What is the added value of the Sida funding?

- a) Knock-on effects in other areas: Have there been synergetic outcomes from Sida support in relation to IAU's overall activities?

Effectiveness

4. To what extent has the IAU fulfilled its commitment to serve as a global platform? More specifically to what extent has the IAU managed to get higher education institutions from low and middle income countries as well as regional associations to be engaged in its activities? What has the IAU done to engage them? How do universities in Sida partner countries and regions use the platform provided by IAU?

- a) How does such an organisation with such a small secretariat create the platform suggested? How does IAU particularly work to enhance and recognise the role of these universities that are "not in the top 500 universities? How has IAU's role and an institution that is not primarily seen as a development cooperation institution led to effectiveness?
- b) Is there any effort to focus on Sida partner countries? Is there any evidence of particular outcomes in relation to universities that receive Sida support in one way or another? Are there missed opportunities to work more with Sida supported institutions and countries?
- c) Does disaggregated data exist (and what does it reveal) regarding users of websites, funds, etc. that could show engagement from Sida partner countries, universities and networks?

5. To what extent has the IAU contributed to research capacity building at universities in low and middle income countries?

- a) What is the IAU niche in terms of capacity development, (institutional/organisational/human resource), and how well has IAU been able to undertake activities within this niche? To what extent has the mix of capacity development related member services, services undertaken on a cost recovery basis, and provision of tools as a public good for institutions to undertake their own capacity development efforts proven effective?

Impact

6. What are the outcomes and impacts of the programme, encompassing intended and unintended, positive and negative outcomes and impacts, results framework and non-results framework elements? Why and how did positive/negative results happen?

- a) The results framework suggest a rather large gap between activity targets and ultimate specific and overall objectives. Is there evidence regarding IAU's contributions in relation to the specific (and indeed the overall) objectives and in relation to the goals of particular activities (e.g., improved doctoral education, more effective strategies and equitable partnerships in internationalisation, application of ethical norms, etc.)?
- b) Are there implicit "bringing outcomes" that would provide a clearer perspective on the link between outputs and the specific objectives?

Efficiency

7. Can the cost of the program be justified by the results? What other alternative forms of cooperation could Sida consider to achieve the expected results, including cooperation with other partners?

- a) What is the IAU niche in terms of what can be most efficiently addressed from a global association with a modest secretariat? Has IAU been able to achieve greater efficiency by focusing on such a niche?
- b) How has the IAU been able to leverage such a considerable level of (unpaid) engagement from such high-level actors in the Board and Working Groups and is this sustainable?
- c) Does the link with UNESCO provide IAU a special role that cannot be undertaken as efficiently by other organisations that might lack this relationship?
- d) Has IAU adopted an optimal mix of activities financed through membership fees and alternative sources of income (e.g., from Sida)?

Sustainability

8. What would happen with the different parts of the program in the case of termination of Sida support?

- a) How will the Sida financed activities be fully absorbed into the regular IAU workplan in the future?
- b) Are there plans to spin-off the Sida funded activities to IAU members who could then lead on these activities in the future?
- c) Is there an alternative or supporting fund raising process in place (outside of the Sida support)?

Have the efforts to initiate commercial services, sponsorships, etc. yielded significant income? Could this be developed further?

4. Methodology

4.1 METHODOLOGICAL CONTEXT

The IAU operates within a complex programming context where relations of cause and effect are not always fully understood or easily recognisable. This is one reason that currently IAU outcome level reporting is rather weak. In complex environments, objectives and the pathways to achieving them are often unpredictable with theories of change modified as time passes. In the case of IAU, what is needed is a way to understand and evaluate how individual outcomes contribute to broader system-wide changes (public goods) and changes for the member institutions and those paying for services (private goods). This evaluation has begun to review the documentation pro-

duced by IAU and to gain an understanding of the breadth and depth of the publications it produces. In the next phase it will also draw heavily on the knowledge of key informants who understand the change that has taken place as well as their contributions to that change.

4.2 STEPS IN METHODOLOGY

The methodology used in this evaluation will follow a series of iterative steps. The **first step** (inception phase) has involved agreement on the usable questions that have been set to guide the evaluation and establishing a clearer understanding of the values and approaches that are central to IAU (the themes noted above). The initial questions set forth in the ToRs have been discussed further during the inception phase to fine-tune the evaluation questions and areas of investigation. The objective of this step is to agree on what information is to be collected; what is/was the change in the social actors the change agent wished to influence; and how did this change come about. The themes noted above have emerged as a basis for understanding the nature of these changes. The inception phase has included interviews at the IAU secretariat to get an overview of the work of the secretariat, Board, working groups, members and the broader network; and also to assess how best to proceed in analysing the association's governance, management and capacities to sustain initiatives if Sida would discontinue support in the future.

In the **second step**, the evaluators will flesh out the understanding of the intended outcomes (through extensive interviews with IAU governance), collect information about changes that have occurred in social actors involved with IAU and how the change agent (those involved in implementing IAU activities, including secretariat staff, Board members, working group members and other active IAU members) contributed to these changes. This information will be collected through document review, evaluations and publications, as well as by interviewing IAU staff, board members and IAU membership. Using these sources, initial **outcome descriptions** will be crafted of the identified outcomes and its other dimensions such as the contribution of the change agent. Each of these outcome descriptions describes a change in a social actor that the change agent has influenced – in most cases the broad IAU membership, but especially with regard to public goods this may include the wider HE community. In essence, this outcome description defines “who changed what, when and where it took place, and how the change agent contributed to that outcome”. Regarding LEADHER, special focus will be given to outcomes related to leadership and research management. For IDEA-PhD the focus will be on improved doctoral education structures. The extent to which publications have contributed to these processes (e.g., thematic issues of the journal Higher Education Policy and the more publicly oriented journal IAU Horizons) will also be assessed. Though receiving only modest support from Sida, attention will be given to the internationalisation and ethics initiatives. In such a complex and broad environment, rather than tracking activities and outputs to see whether they are generating results as planned, the methodology for this evalua-

tion will first identify outcomes, reported or not (identified through programme documentation, primary interviews and other sources) and then determine how and if the change agent contributed to these changes.

The **third step** of the methodology will focus on validation of these initial outcome descriptions with the change agent. This will involve both Sida and IAU staff and can be undertaken through interviews. The goal is to produce more robust outcome descriptions based on the additional information collected. This outcome description then becomes the basis for follow-up investigation and analysis by the evaluators. As part of this, the evaluation team will also ascertain the perspectives of IAU members in low and middle income countries regarding the extent to which they are engaged in the platform and if it is seen as representing their needs and interests. In this third step the team will give particular attention, where possible, to Sida programme countries, but the choice of informants will be primarily driven by where Sida financed IAU activities have taken place. The team will visit Eduardo Mondlane University for more in depth interviews.

The **fourth step** in the evaluative approach aims to enhance the reliability of data and data analysis and enrich the understanding of the change and its other dimensions (for example, the collaboration of others and the contribution of the change agent). In this process of substantiating the outcome descriptions, the evaluators will obtain the opinions and feedback from independent third parties who have knowledge of the area in question but no relationship with the change agents. It is expected that these interviews will include representatives of networks of institutions of HE. The independent substantiators are positioned outside of the sphere of influence of the change agents but are well informed about the outcome and the change agent's contribution. While the purpose of seeking third party substantiation of the outcome descriptions is to establish a measure of truth and accuracy in their construction, these testimonies also provide an opportunity to enhance and deepen the understanding of the outcome and the contribution of the change agent. These third parties may be suggested by the change agent (Sida or IAU) or will be contacted based on the evaluator's selection of knowledgeable sources.

The **fifth step** involves organising the outcomes so that they can be employed to answer the usable questions that were identified in step one. The interpretation of the outcomes will focus on issues relating to the normative goals described in "Research for Development", the evaluation questions above, and on what the users of the evaluation find most useful. This can be from a practical or theoretical standpoint as defined by the user of the evaluation. Based on this particular standpoint, the analysis will involve the identification of patterns and processes among the clusters of outcomes, often focusing on the underlying theories of change that drive the programme and its common change objectives. Using the evaluation questions as the interpretive framework, analysis can focus on understanding i) How do the outcomes add up?, ii) Are processes of change revealed?, iii) Do the outcomes combine to synergistically create broader and deeper changes at the system or policy level? The outcomes will be assessed against the Swedish policy for research in development cooperation to

judge the extent to which IAU is making a contribution to these policy aims. Drawing on this analysis, the evaluation will consider the extent to which Sida support is resulting in significant added value in promoting IAU alignment with the needs and priorities of universities in low and middle income countries in general and in Sida programme countries in particular.

The **sixth and final step** involves the supported use of findings. In this process reasonable conclusions will be drawn from the evidence collected through the use of the various outcome descriptions. This interpretive process by the evaluators can lead to the offering of conclusions, recommendations and issues for consideration within the final report all supported by the use of evidence collected through the steps outlined above. In this step, the evaluators report directly on the contribution of the change agent who has brought about changes in the actions, practices, relationships, and policies of social actors, all based on both qualitative and quantitative data. The outcomes assessed will be considered in relation to the scale of Swedish support and conclusions will be drawn regarding this efficiency in relation to other potential channels for Swedish support to achieve similar aims. It is unlikely, however, that a quantitative comparison will be possible given the modest proportion of Sida support in relation to IAU's overall activities and mandate. In addition, the assessment of the IAU secretariat's organisational capacity to undertake its work externally with others and its relationship to noted outcomes related to its work and programmes will be examined. At a broader methodological (evaluative) level, it will be important for the review to demonstrate a clear understanding of the different 'spheres of influence' through which and by which the IAU undertakes its work. As mentioned above, understanding the 'outcome pathways' exhibited by others (individuals, organisations, government, private sector) as they exhibit changes in their knowledge, actions, practices and policy construction processes will be central to this review. Assessing these downstream outcomes will mean identifying and understanding the different spheres of influence through which IAU must work. Demonstrating this linked influence will be necessary to produce a strong evidence-based narrative that plausibly links the contribution of IAU to downstream outcomes. This is key to the contribution analysis, through which planned for or 'intended contributions' concerning programme 'outcomes' can be linked to the IAU.

The assignment will be organised into four phases:

1. Inception
2. Data collection (documents review, field work, etc.)
3. Analysis and report writing
4. Presentation /dissemination

The revised plan for deliverables is as follows:

Submission of Inception Report	February 4
Submission of draft report	March 10
Comments received on draft report	March 21
Submission of final report	March 31.

9.3 ANNEX 3 - PERSONS INTERVIEWED

Member Interviews			
Member Institutions		Country	Interview Participant
1.	Alexandria University	Egypt	Boshra Salem
2.	Al-Hikmah University	Nigeria	S. A. Abdulkareem
3.	American International University - Bangladesh	Bangladesh	Carmen Z. Lamagna
4.	American University in the Emirates	United Arab Emirates	Abhilasha Singh
5.	Classic Private University	Ukraine	Elena Trokhymets
6.	Daffodil International University	Bangladesh	Sabur Khan
7.	Dublin Institute of Technology	United Kingdom	Brian Norton
8.	Greenwich University	Pakistan	Shair Sultan
9.	Ho Chi Minh City University of Transport	Vietnam	Van Nguyen
10.	Institute of Business Management	Pakistan	Talib Syed Karim
11.	Institute of Information Technology	India	Arshad Saleem Malik
12.	Istanbul Bilgi University	Turkey	Beyhan Demir Langlois
13.	Lagos State University	Nigeria	Samuel Akinyemi,
14.	Mykolas Romeris University	Lithuania	Inga Zaleniene
15.	National University of La Rioja	Argentina	Ana Pena Pollastri
16.	Ondokuz Mayis University	Turkey	Hüseyin Akan
17.	Rhodes University	South Africa	Orla Quinlan
18.	Stockholm University	Sweden	Elisabet Idermark
19.	The University of Nottingham	United Kingdom	Vincenzo Raimo
20.	Universidad ORT Uruguay	Uruguay	Julio Fernandez
21.	Université Gaston Berger de St. Louis	Senegal	Gueye
22.	University College Ghent	Belgium	Kathleen Van Heule
23.	University College of Applied Sciences	Palestine	Hani Qusa
24.	University of Bergen	Norway	Dag Rune Olsen
25.	University of Botswana	Botswana	Leapetswe Malete
26.	University of Cape Coast	Ghana	Domwini D. Kuupole
27.	University of Colima	Mexico	Genoveva Amador Fierros
28.	University of Petroleum & Energy Studies (UPES) Dehradun	India	Sanket Goel
29.	University of Salford	United Kingdom	Mr. MacKenzie
30.	University of the East	Philippines	Ester Albano Garcia
31.	Widyatama University	Indonesia	Mame S.Sutoko

32.	World Islamic Science & Education University	Jordan	Maher Waked
33.	Salahaddin university	Iraq	Mohammed Azeez Saeed
Member Organization		Interview Participant	
34.	International Association of University Administrators	Darla Deardorff	
35.	UNESCO Network of Associated Libraries	Bongangi Bo-Louka M. B.	
36.	Catalan Association of Public Universities	Nadja Gmelch	
37.	Hungarian Rectors' Conference	Dubécsi Zoltán	
Associate Member (also Interview Participant)			
38.	Associate Eric Zimmerman		
39.	Associate J. D. Amin		
40.	Associate Jason Laker		
41.	Associate Janyne Hodder		

Non-Member Interviews

Institutional Affiliation		Country	Interview Participant
1.	Universidad Mayor de San Andreas	Bolivia	Ignacio Chirico Moreno
2.	University of Rwanda	Rwanda	James McWha
3.	Universitatea de Vest din Timisoara	Romania	Andra-Mirona Dragotesc
4.	Cambodian Ministry of Education, Youth and Sport	Cambodia	Hang Chuon Naron

Board Member Interviews

Interview Participant		Institutional Affiliation
1.	Betsy Boze	The College of the Bahamas
2.	Godehard Ruppert	Universität Bamberg
3.	Goolam Mohamedbhai	Formerly of University of Mauritius and the Association of African Universities
4.	Hans van Ginkel	Formerly of Utrecht University
5.	Hope C. Sadza	Women's University in Africa
6.	Marianne Granfelt	Association of Swedish Higher Education
7.	Omari Khalid	Jerash University
8.	Pam Fredman	University of Gothenburg
9.	Patricia Pol	Université Paris-Est Créteil Val de Marne
10.	Sharon Siverts	Formerly of the National University of Lesotho
11.	Stephen Freedman	Fordham University

Secretariat Interviews

Interview Participant		Position
1.	Eva Egron-Polak	Secretary General
2.	Isabelle Turmaine	Director, Information Centre and Communication Services
3.	Hilligje van't Land	Director, Membership and Programme Development
4.	Elodie Boisfer	IAU Programme Officer
5.	Ross Hudson	IAU Programme Officer
6.	Nadja Kymlicka	Junior Consultant

9.4 ANNEX 4 - DOCUMENTS REVIEWED

List of Documents	
Hard Copies	
1.	Equitable Chances: the IAU's actions to promote access and success in higher education, 2011
2.	Guide to Higher Education in Africa, 6 th Edition
3.	Higher Education policy Journal, Vol. 26 No. 4
4.	IAU Annual Report, 2012
5.	IAU Horizons, September 2010
6.	IAU Horizons, January 2011
7.	IAU Horizons, June 2011
8.	IAU Horizons, October 2011
9.	IAU Horizons, February/March 2012
10.	IAU Horizons, June 2012
11.	IAU Horizons, March 2013
12.	IAU Horizons, June 2013
13.	IAU Horizons, December 2013
14.	IAU Information Kit to strengthen higher education linkages for EFA and related MDGs, 2009
15.	IAU Speaks Out: Policy Statements, 2013
16.	Internationalization of Higher Education, IAU 3rd Global Survey Report, 2010
17.	World Higher Education Database, 2013
Digital Files	
18.	Education for Sustainable Development: Towards a Global Action Programme after 2014
19.	HEEFA Newsletter, No. 17
20.	HEEFA Newsletter, No. 20
21.	HEEFA Survey Form, India
22.	HEEFA Workshop Project Document
23.	HEEFA Workshop Report, Kenya
24.	HEEFA Workshop Report, Nepal
25.	HESD Program Overview
26.	Proposal for a Global Action Programme on Education for Sustainable Development as Follow-up to the UN Decade of Education for Sustainable Development After 2014
27.	LEADHER Program Guidelines, 2014
28.	LEADHER Activity Reporting Guidelines, 2014
29.	LEADHER Grant Results, 2007-2014

30.	LEADHER Grant Application Form
31.	LEADHER Grant Selection Criteria Form
32.	LEADHER Impact Survey Form, 2014
33.	LEADHER Impact Survey Data, 2014
34.	IAU Self-Assessment of the Sida-funded Activities 2008-2010
35.	IAU Report to SIDA, 2012
36.	IAU Accounts at 30 September 2010
37.	IAU Logframe 2011
38.	IAU Financial Request to Sida 2011
39.	IAU Application for Sida Support, Proposal submitted for 2011-2014
40.	IAU Annual Financial Report, 2012
41.	IAU Narrative Report on Outputs and Outcomes, 2012
42.	IAU IDEA Project Description
43.	IAU e-bulletin Project Description
44.	IAU HEEFA Project Description
45.	IAU HEP Project Description
46.	IAU HESD Project Description
47.	IAU Horizons Project Description
48.	IAU ISAS Project Description
49.	IAU World Higher Education Database Project Description
50.	IAU 2014 International Conference Preliminary Programme
51.	Policy for Research in Swedish Development Cooperation 2010-2014 and Strategy for Sida's Support for Research Cooperation 2010-2014
52.	Sida Decision for Continued Support to IAU, 2011
53.	Sida Agreement on Continued Support to IAU, 2011
54.	Review of the Internal Control Systems of the IAU, 2012

9.5 ANNEX 5 - INTERVIEW PROTOCOL, MEMBERS

Interview Protocol - Semi Structured Interviews for - IAU Membership -

Relevance:

- Can you tell us how you feel that your membership to IAU has supported or contributed to your institution's intellectual freedom and/or open communication processes and/or policies?
- Can you describe how your membership in IAU has given you an equal opportunity with other institutions globally in terms of research and education activities?
- Can you give us examples of how the activities and support from IAU has helped your institution to meet its specific needs and priorities?
- Have you ever been consulted by IAU on what your institution's needs and priorities are? Do you feel that IAU listened to your comments or suggestions?

Effectiveness

- Can you describe how being an IAU member has increased your institutions *institutional, organizational, or human resources* research capacity.
- How has your institution been involved in IAU activities? How has this interaction benefited your institution?

Impact

- Can you describe the direct **outputs, outcomes and impacts** that have resulted from your interaction with IAU or from the services and products that IAU offers?

Prompt for:

- Improved doctoral programs
- More and/or better access to international partnerships
- Increased application of ethical norms and practices

This question will be critical in terms of identifying outcomes. It will also provide information on 'bridging outcomes' as suggested in the IR. The interviewer will need to try to help the interviewee make these deeper linkages. The need to identify and separate private and public good would be important to know (which did they benefit from...)

Efficiency

Can you list or describe those areas where IAU could contribute in a deeper or broader way? Why should IAU consider these new areas of support or interaction? What is the significance of these new areas?

9.6 ANNEX 6 - INTERVIEW PROTOCOL, BOARD

Interview Protocol -Semi Structured Interviews for - IAU Board Members -

Relevance:

- How do you feel that IAU membership supports or contributes to members' intellectual freedom and/or open communication processes and/or policies?
- Can you describe how membership in IAU provides members with an equal opportunity with other institutions globally in terms of research and education activities?
- Can you give us examples of how the activities and support from IAU can help institutions to meet its specific needs and priorities?
- To what extent does IAU consult members on their needs and priorities are? How does IAU act upon members' comments or suggestions?

Effectiveness

- Can you describe how IAU membership increases institutions' *institutional, organizational, or human resources* research capacity.
- How has your institution been involved in IAU activities? How has this interaction benefited your institution?

Impact

- What are the main **outputs, outcomes and impacts** for members you see as resulting from interaction with IAU or from the services and products that IAU offers?

Prompt for:

- Improved doctoral programs
- More and/or better access to international partnerships
- Increased application of ethical norms and practices

This question will be critical in terms of identifying outcomes. It will also provide information on 'bridging outcomes' as suggested in the IR. The interviewer will need to try to help the interviewee make these deeper linkages. The need to identify and separate private and public good would be important to know (which did they benefit from...)

Efficiency

Can you list or describe those areas where IAU could contribute in a deeper or broader way? Why should IAU consider these new areas of support or interaction? What is the significance of these new areas?



Evaluation of the Sida Supported Programme of the International Association of Universities

This evaluation of Sida support to the International Association of Universities (IAU) has found the association to be highly relevant in relation to Swedish policies and the needs of notably smaller universities in low and middle income countries. Some activities, particularly those driven by peer exchange, have been quite effective, and IAU fills an important and unique niche. However, the extent to which many activities have led to actual outcomes is unclear. The evaluation recommends that IAU prioritise and focus its range of activities to build on its core strengths related to mobilising peer engagement to support university leaders to follow emerging trends in higher education and to understand how to best respond to challenges in internationalisation and changing norms.

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