INTERNATIONAL
ASSOCIATION OF
UNIVERSITIES

INTERNATIONAL UNIVERSITIES BUREAU

IAU SPEAKS OUT
POLICY STATEMENTS

The International Association of Universities

Founded in 1950 under the auspices of UNESCO, the International Association of Universities (IAU) is an independent, non-governmental, membership organisation for higher education institutions and university organisations.

As the global forum for higher education leaders, the IAU convenes and facilitates collaboration among its 600 Members from more than 130 countries. The IAU fosters exchange on the most pressing issues of concern to higher education within the global academy and serves its Members as a source of inspiration and strategic orientation. It monitors trends and thinking in higher education and advocates as the global voice of higher education to a wide range of international and intergovernmental organisations and policy makers, in particular to UNESCO. The IAU is an official partner of UNESCO (Associate status) and has been given special consultative status by the UN Economic and Social Council (ECOSOC). The IAU was granted participatory status with the Council of Europe.

The core functions of the IAU are advocacy, setting and defining standards in the higher education sector, developing a knowledge hub, capacity building, and promoting international collaboration. The IAU facilitates knowledge exchange and collaboration through various means, including international confer- ences, research, webinars, and publications. Additionally, the Association develops and maintains the World Higher Education Database (WHED), a responsibility which grants the IAU the ability to reach out to over 20K institutions worldwide. The IAU continuously enhances its efficiency by engaging & enlarging the IAU Membership community .

The IAU promotes core values among its members and the wider higher education community. These IAU core values are:

• Academic freedom, institutional autonomy and social responsibility locally and globally
• Cooperation and solidarity based on mutuality of interests and shared benefits
• Tolerance of divergent opinions, freedom from political interference
• Equity in access and success in higher education and open access to knowledge
• Scientific integrity and ethical behaviour as cornerstones of conduct for all stakeholders in higher education
• Higher education and research in the public interest
• Quality in learning, research and outreach

The IAU thematic priorities for 2022-2030 are:

Globally-Engaged and Value-Based Leadership

Thought leadership for university leaders as part of a truly global discourse is what the IAU offers its Members through its conferences, webinars, publications, and work on its four priority areas. It fosters exchange on the most pressing issues of concern to higher education. Capacity-building for university leaders is central to the IAU's work, in particular through the IAU Executive Leadership Programme (ELP). This one-year programme covers central aspects of higher education management and empowers university leaders to navigate the contextual and political dimensions of university leadership. The IAU also offers webinars and conducts research on leadership in higher education which are made available to the global higher education community.

Internationalization for Society and the Global Common Good

The IAU seeks to lead the global higher education community towards an internationalization for all, in which the different voices of nations, people and cultures of the world are represented and heard equally; an internationalization which allows students to grow as global, responsible citizens; an internationalization which promotes collaboration and research to find solutions to the most pressing local and global problems in contribution to the global common good. To achieve this, the IAU conducts global surveys for evidence led decision making, offers support in developing internationalization strategies, provides learning opportunities through online courses and webinars, fosters peer-to-peer learning at events, and serves as a think tank through publications and speeches at major internationalization events.

Higher Education and Research for Sustainable Development

Since 1993, the IAU has championed higher education's vital role in sustainable development. Its initiatives and projects support the UN 2030 Agenda, promoting intra and inter-institutional collaboration for sustainable development. Through global participation, networking services, consulting, research, and resource sharing, the IAU advances higher education's role in sustainable development. The IAU Cluster for HESD, directly involves some 80 universities worldwide collaborating with the IAU on research, best practices, and collaboration for the 17 Sustainable Development Goals. The IAU HESD Global Portal serves as a database and knowledge hub for global higher education sustainable development initiatives.

Digital Transformation of Higher Education

The IAU Digital Transformation priority area aims to bridge digital divides, foster teaching and learning innovations, and enhance global access to higher education. Activities involve standard setting, monitoring trends, and capacity building through peer-to-peer learning. In 2022, the IAU adopted a Policy Statement on Transforming Higher Education in a Digital World for the Common Good, which provides the framework for the principles and values that the IAU advocates for in relation to digital transformation. Ongoing work includes facilitating an Expert Group on Open Science, developing the Second IAU Global Survey on Digital Transformation, organising site visits at institutions pioneering digital transformation, and producing webinars on critical digitalization topics, such as the impact of AI on higher education.

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March 2024

International Association of Universities Policy Statements

The mandate of the International Association of Universities includes taking a public stand on issues of importance to its membership – higher education institutions and university organisations from around the world. To fulfill this advocacy function, Working Groups set up by its Administrative Board help IAU elaborate policy statements that call for changes and improvements within the higher education institutions or within the broader policy framework which sets the context for higher education development. While reflecting upon the great diversity of IAU's worldwide membership, these broad-based normative statements draw on a wide consensus. Each is meant to be helpful both at the micro and macro levels, and to contribute to the overall advancement of higher education worldwide. Nine such statements or similar policy documents are presented here in chronological order in terms of their preparation from the most recent to the oldest. Comments and endorsements are welcome.

Transforming Higher Education in a Digital World for the Global Common Good

The IAU developed a policy statement aimed at defining the values, principles, and ethics that must accompany the digital transformation of higher education in order to ensure that it contributes to the global common good. It was adopted at the IAU 16th General Conference at University College Dublin (UCD), Ireland in October 2022.

IAU Iquitos Statement on Higher Education for Sustainable Development

Following the IAU 2014 International Conference on Blending Higher Education and Traditional Knowledge for Sustainable Development, held in Iquitos, Peru, this statement reaffirms the commitment of IAU and the higher education community at large to pursuing sustainable development within and through their respective institutions, and to reassessing higher education and its role in the transition to more sustainable societies in the context of the UN Agenda 2030. It fueled debate at the UNESCO 2014 World Conference on Education for Sustainable Development (Aïchi Nagoya, Japan) and was adopted officially at the IAU 15th General Conference in Thailand, in 2016.

Affirming Academic Values in Internationalization of Higher Education: A Call for Action

The Call for Action approved by the IAU Administrative Board in 2012 articulates the Association's viewpoint on the positive impacts of internationalization and the necessity of opening up higher education institutions and systems to perspectives from beyond national and regional borders. It also points out some of the dangers and adverse effects that the internationalization process can bring. Elaborated by the IAU in collaboration with an international Ad Hoc Expert Group, the Call for Action builds on the IAU Global Surveys on Internationalization of Higher Education and on two previous statements that the Association adopted (2000 and 2005). It encourages HEIs as well as governments to take a long-term and analytical view when developing or assessing their internationalization strategies, focusing not simply on immediate, short-term interests of their institution/natio, but taking into consideration their longer-term social responsibility to the global higher education ecosystem collectively created through internationalization.

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

As encouraged by the participants in the 2010 IAU International Conference on Values and Ethics held at Mykolas Romeris University in Vilnius, IAU collaborated with the Magna Charta Observatory (MCO) on these Guidelines for an Institutional Code of Ethics in Higher Education. The joint IAU-MCO Working Group aimed to offer institutions a set of comprehensive Guidelines for the development or review of their own Code of Ethics rather than attempting the impossible – preparing a single Code that would be relevant in highly diverse higher education contexts. Thus, the purpose of the Guidelines is to serve as an instrument to develop, improve or strengthen policies and ethical codes in higher education institutions worldwide. The Guidelines were approved at the 14th IAU General Conference in 2012, as well as by the MCO Council.

Equitable Access, Success and Quality in Higher Education: A Policy Statement by the International Association of Universities

Recognizing that widening participation and improving retention in higher education is a challenge facing many nations around the world, IAU invited an international Task Force of experts to assist in the preparation of this Policy Statement. In addition to highlighting key principles, the Policy Statement includes recommendations for action at governmental and institutional levels to ensure equity of access and improved success rates for all learners, but particularly for those from under-represented groups. The Statement was widely circulated among IAU Members prior to its formal adoption during the 13th IAU General Conference held in Utrecht University, the Netherlands in 2008. It has been endorsed by more than 30 organizations around the world.

Sharing Quality Higher Education across Borders – a Statement on behalf of Higher Education Institutions Worldwide

The ways in which higher education institutions expand their activities internationally is changing rapidly and dramatically. Focusing most specifically on those aspects that involve crossing borders in order to expand the educational offer, and which appear to be more market-driven, IAU worked with three other associations to raise awareness of this type of activity and set out principles and recommendations that would maximize benefits for all who are involved. Widely disseminated after its approval in 2005, the Statement has been endorsed by numerous regional and national associations of higher education institutions from around the world.

Universities and Information and Communication Technologies

In response to demands from its membership for further research and discussion on the impact of Information and Communication Technologies (ICTs) on the institutional learning and research environment, IAU set up a Working Group on this topic in 1995. The Working Group implemented several actions, among which the preparation of this policy statement bringing together recommendations of the Working Group with those of UNESCO. Drafted during 2003, and tabled as a draft during the World Summit on Information Society (WSIS) in Geneva the same year, it was unanimously approved on the occasion of the 12th IAU General Conference in São Paolo, Brazil in 2004.

Academic Freedom, University Autonomy and Social Responsibility

Academic Freedom and University Autonomy are essential prerequisites for universities to meet their responsibilities to society and, at the same time, a means of strengthening the principles of pluralism, tolerance and academic solidarity between institutions of higher learning and between individual scholars and students. In 1997, UNESCO asked IAU to lead an initiative that aimed to protect these principles on an international level. In this context, the IAU statement advocates the elaboration of a new Social Contract between university and society and calls for a broadly recognised International Charter of mutual rights and obligations, including adequate monitoring mechanisms for its application. The Statement was formally adopted by the IAU 11th General Conference in Durban, South Africa in 2000.

Towards a Century of Cooperation: Internationalization of Higher Education

The conviction that internationalization of higher education and cooperation among universities is not a luxury reserved for some or simply a means to improve others, but rather a necessity for all institutions of higher learning has been growing for some time. In part internationalization is also seen as a response to the globalization of the economy, of the production of goods, in fact of all kinds of human endeavors. IAU is committed to see internationalization as a positive and transformative force which can contribute to the improvement of all its Member institutions in an equitable and productive manner. For this reason, the statement proposes pragmatic recommendations for the immediate implementation of a number of actions. Drafted in 1997, this statement was widely distributed during and after the first UNESCO World Conference on Higher Education, held in Paris in 1998. Formal adoption took place at the 11th IAU General Conference in Durban, South Africa in 2000.

The Buenos Aires Statement

Responding primarily to World Bank policy on higher education funding, as first outlined in the Bank's 1987 report entitled The Financing of Education in Developing Countries and reiterated in the 1994 guidelines document entitled Higher Education: the Lessons of Experience, the Buenos Aires Statement, adopted by IAU in 1994, articulates the Association's opposition to the key thrust of these policies. It urges institutions of higher education everywhere to contest all recommended solutions which focus exclusively on financial and economic conditions and ignore political, cultural and historical aspects of the higher education systems in developing nations.

Kyoto Declaration on Sustainable Development

One of the first of its kind, prepared in 1993, the Declaration urges universities to become active in promoting sustainable development by first enhancing the understanding of the concept of sustainable development and second by adopting sustainable development principles and practices at the local, national and global levels. It underlines that sustainable development is based on principles of mutual understanding and notes that at a global level sustainable development implies changes in existing value systems. Within a context of great disparities among and within nations, the Declaration urges that universities be offered equal possibilities to play an active role in the process. The Declaration proposes action plans both at the general and institutional levels.

Transforming Higher Education in a Digital World for the Global Common Good

Under the guidance of an international expert group, the IAU developed the following Policy Statement in relation to its work on Digital Transformation in Higher Education. The Policy Statement was adopted at the 16th IAU General Conference in Dublin, Ireland. The Policy Statement serves as the guiding framework for the programme and initiatives implemented by the IAU in the area of Digital Transformation.

1. Preamble

1. The International Association of Universities (IAU) calls for a digital transformation of higher education for the global common good. Such transformation must be humanistic, ethical, inclusive and purpose-based. This call is anchored in the mission and vision of the IAU and the fundamental values promoted by the Association [1].

2. Technology has the potential to remedy many societal problems and improve the human condition, yet it also brings new challenges. The pace of development tests human capacity for understanding, analysing, and regulating new opportunities and risks. This statement encompasses essential principles and values that must underpin the digital transformation of higher education and society if we are to shape the digital world for the common good.

3. The responsibility of higher education institutions (HEIs) is twofold: continuous transformation of higher education and shaping society towards a sustainable future.

4. Existing technology and the conditions for digital transformation vary within and between countries. Building infrastructure to close the digital divide is a global responsibility. HEIs call on governments to develop and implement international standards for fair and more sustainable technological development. Such agreements will require multiple stakeholder collaboration, including higher education, to ensure that opportunities are made available to all citizens of the world.

5. This statement supports the UN Agenda 2030 for Sustainable Development: Transforming Our World and Sustainable Development Goals (SDGs), including SDG4 on Quality Education: "Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all" and its target 4.3: "By 2030, ensure equal access for all women and men to affordable and quality technical, vocational and tertiary education, including university"[2].

The UNESCO Education 2030 Framework for Action stipulates that:

"A well-established, properly regulated tertiary education system supported by technology, open educational resources and distance education can increase access, equity, quality and relevance, and can narrow the gap between what is taught at tertiary education institutions, including universities, and what economies and societies demand. The provision of tertiary education should be made progressively free, in line with existing international agreements" [3].

6. IAU calls on the higher education community including students, national authorities and decision-makers, and international organisations to actively shape the digital transformation of higher education and society.

7. This policy statement represents the commitment of IAU Members and its partners to pursue the outlined principles and values.

2. Lead digital change for the global common good

GOVERNANCE

8. Higher education institutions must continuously build their culture and technological capacity towards sustainability. Higher education leaders can foster an institutional culture to harness the transformative power of technology. Faculty, student, and staff should be engaged, and their needs and perspectives considered to use technology effectively and appropriately in teaching, learning, research, and administration. These changes must be supported by dedicated capacity and related structures to lead the digital transformation within the institution.

9. The use of technology in higher education has the potential to increase equitable access to quality higher education. Higher education leaders can improve student access and success by prioritising this issue at the executive level. To ensure and promote inclusive and equitable quality education for all, leaders should establish a framework with suitable structures and capacity, paying particular attention to the needs of vulnerable students.

EDUCATION

10. Digital technologies, and new modes of learning can support innovative pedagogical goals with new forms of engagement and participation. Guided by commitments to the quality of the learning process, such technologies can be used as a complement or alternative to face-to-face education. It is essential that training opportunities are made available to staff to explore the opportunities of different learning pedagogies and tools.

11. Digital transformation of society entails new systems, new tools, new ways of communicating, accessing, processing, extracting, and learning from data and information. Continuous curricula development is needed across all disciplines as these changes are intrinsically linked to our understanding of the world. Established disciplines may be extended, and new ones emerge, driving further technological developments and societal impact.

12. Higher education has a responsibility to develop students' digital literacy in the context of their broader efforts to ensure they have the knowledge, skills, and ethical commitments to utilise IT and other tools to address social inequality and related problems with innovative solutions.

13. To democratise information, increase access to knowledge, and develop and sustain repositories of high-quality content, higher education leaders can make a difference by encouraging the use and creation of Open Educational Resources (OERs), in line with the principles of the UNESCO 2019 recommendation on OER [4]. Through national and international collaboration, HEIs can benefit from knowledge and information sharing and OERs may be adapted to specific local needs to ensure cultural and linguistic diversity.

14. Digital technology increases opportunities for student contributions to academic discourse and education policymaking, increasing the capacities for student advocacy and improving the student experience.

RESEARCH

15. HEIs contribute to the development of new technologies. In an environment of institutional autonomy, academic freedom and social responsibility, higher education must be at the forefront of examining and analysing the potential benefits and risks to society and humanity, informing the public debate and evidence-based policymaking.

16. In an increasingly digital world, it is easier to disseminate research findings, data and pursue international collaboration to improve discovery and research. It is increasingly important to foster interdisciplinary collaboration and research to find sustainable solutions to complex social, economic, political, and environmental challenges.

17. Digital technologies and infrastructure enable new opportunities to democratise access to research findings. The Open Science movement is based on the principle of openness and transparency in the whole research cycle. It fosters sharing and collaboration in accordance with principles of good data governance and stewardship, notably the FAIR (Findable, Accessible, Interoperable, and Reusable) principles as outlined in the UNESCO Recommendation on Open Science [5]. HEIs must play an important role in shaping the implementation of this Recommendation.

3. Call for international and national frameworks conducive to leverage the potential of digital transformation for the global common good

18. Technology transcends national borders; it is crucial to define international ethical standards for the use of technology in higher education, to commit to technological progress for good and to limit risks and negative consequences. The IAU calls for multilateral collaboration and international normative and legal frameworks committing to common technology norms and values rooted in the Universal Declaration of Human Rights. This process requires multi-stakeholder participation, including higher education.

19. Digital technology facilitates opportunities for cooperation among countries, regions, institutions, and groups of researchers. It can strengthen international research collaboration for sharing data and information for societal development based on mutual respect and international standards for science and scientific research [6] and for Open Science [5].

20. IAU calls for dialogue and exchange between the higher education community and policymakers to jointly assess digital transformation and governance structures to identify and address weaknesses and pursue opportunities for mutually beneficial advancement.

21. Countries must enable a safe and trustworthy digital environment based on human rights, ethical conduct and the rule of law as well as transparent and accountable digital governance systems that enshrine the right to data privacy, security, neutrality, and open and equal access. Higher education has a crucial role in supporting this process and holding governments accountable.

22. IAU calls on States to enact necessary changes and amendments in the legislation, policies, and practices to shape a human-centred, ethical, inclusive, and purpose-based digital transformation of higher education and society.

4. Build bridges to counter digital divides and to pursue universal access

23. Digital transformation offers new opportunities for higher education and beyond, but the conditions, infrastructures, and possibilities of digital transformation are widely diverse. IAU calls for awareness of this situation and action to counter digital divides by prioritising technology and data accessibility and affordability as human rights.

24. It is essential to recognize existing inequalities to avoid exacerbating divides. Digital transformation is not a panacea for remedying all socioeconomic differences. But it brings opportunities for HEIs to foster inclusive and democratic education and to strive for universal access. IAU calls for policies that enable social inclusion and democratic engagement, including the promotion of critical digital literacy for all citizens.

25. Through solidarity and collaboration, HEIs around the world can facilitate knowledge transfer. Higher education should play a key role in ensuring that digital spaces represent cultural, language and gender diversity, avoiding biases and underrepresentation of vulnerable or marginalised groups.

26. IAU calls on international and regional organisations, partners, and states to accelerate the development of infrastructures and competencies in areas and for people at risk of lagging behind or being excluded from the potential of digital transformation.

27. HEIs should ensure that the students, staff, and faculties have access to resources that allow full participation in digital transformation.

5. Foster ethical and responsible conduct and dialogue

28. Technology increasingly replaces or surpasses human capacity and activity. HEIs should take an active role in facilitating interdisciplinary debates and conversations on the impact on human-machine and human-human relationships with a view to anticipate challenges and solutions and to ensure complementarity and human well-being, as informed by the UNESCO Recommendation on Ethics and AI [7].

29. Trustworthy and secure digital spaces are a prerequisite for realising the potential of technology in higher education and in society. Digital transformation continuously challenges regulatory and legal frameworks in areas such as data protection and the right to privacy. Through research, advice, and modelling of best practices through its own actions, higher education can inform policy making on ethical, responsible, and accountable conduct in cyberspace.

30. Higher education leaders, staff and students should develop and discuss ethical codes of conduct for navigating cyberspace within frameworks of academic and expressive freedoms. All higher education disciplines and programmes should incorporate modules of digital literacy and codes of ethical and responsible conduct associated with their respective domains. Higher education has an important role in promulgating ethical guidance for use of technology.

31. Technological developments should improve the human condition and create sustainable societies for the common good. Technology is merely a means to an end. Therefore, the ethical dimensions and implications of the 'end' and 'purpose' of technological developments should be continuously questioned and challenged to ensure that they are being developed for good.

6. Foster lifelong learning, professional success and engaged democratic citizenship

32. Higher education plays an important role in preparing students to critically evaluate the potential opportunities, risks and impacts of new technologies, and to live as engaged citizens and actively shape future society.

33. Higher education leaders can foster change and development of new methods of teaching and learning. Online, distance and blended learning can be useful tools as part of this structural change in providing new knowledge acquisition and learning opportunities throughout life.

34. Diverse viewpoints contribute important perspectives on how to leverage digital transformation in higher education. The perspectives of students and the needs of society are essential to inform discussions about change and educational transformation.

35. To create a conducive environment open to change and transformation, higher education leaders must favour a collegial and trustworthy working environment. Leadership should encourage and reward

experimentation while recognizing that not all new teaching pedagogies and learning assessments will succeed. Failure is an essential part of the learning process.

7. Advance together through collaboration and exchange

36. It is time to further strengthen exchanges to shape digital transformation for the global common good and counteract negative impacts and limitations to the democratisation of knowledge. Collaboration and solidarity are essential for building bridges and removing barriers to make opportunities available to all.

37. Guided by the principles in this statement, the IAU provides a unique platform for exchange and collaboration beyond countries and regions as well as to create a fair higher education landscape that strives for excellence, relevance and quality for all, regardless of national contexts and the diversity of institutions.

38. The rapid emergence and diversity of digital tools may exacerbate a digital divide between institutions with varying resources. IAU encourages collaboration between institutions and nations to ensure that digital and pedagogical innovations become available and implemented across the diversity of institutions and learning communities.

39. Technological advances are human-made and human values must inform their use and shape regulatory framework for digital transformation. Guided by fundamental values and principles laid out in this statement, IAU believes that digital transformation can serve the global common good and enhance the human condition in pursuit of developing sustainable societies. Together, we will actively shape a fair and equitable digital world.

[1] https://www.iau-aiu.net/Vision-Mission
[2] https://sustainabledevelopment.un.org/sdg4
[3] https://unesdoc.unesco.org/ark:/48223/pf0000245656 (paragraph 43, page 41)
[4] https://en.unesco.org/themes/building-knowledge-societies/oer/recommendation
[5] https://en.unesco.org/themes/ethics-science-and-technology/recommendation_science
[6] https://en.unesco.org/news/unesco-sets-ambitious-international-standards-open-science
[7] https://en.unesco.org/artificial-intelligence/ethics
All links were consulted on 8 March 2022

IAU Iquitos Statement on Higher Education for Sustainable Development

The following statement was officially adopted in 2016 by the 15th IAU General Conference in Thailand.

Following the IAU 2014 International Conference on Blending Higher Education and Traditional Knowledge for Sustainable Development, held in Iquitos, Peru,

1. We, Members of the International Association of Universities (IAU) as well as representatives of the broader higher education community, reaffirm our commitment to pursuing sustainable development within and through our respective institutions and to reassessing higher education and its role in the transition to more sustainable societies.

2. As the *United Nations Decade on Education for Sustainable Development* comes to an end, and the Millennium Development Goals near their scheduled completion, the post-2015 Agenda is being shaped. The higher education community is ready to contribute to the development and implementation of the post-2015 Agenda.

3. It is our shared belief that only with the full engagement of higher education in the post-2015 Agenda will it be possible to create the intellectual, economic, environmental and cultural conditions required for a sustainable future for all.

4. We applaud the commitments and promises made at the world events held in *Stockholm,* 1972, *Rio de Janeiro*, 1992, *Johannesburg*, 2002 and "*Rio + 20*", 2012, to make our world better for all, for present and future generations.

5. In line with the IAU longstanding engagement in the elaboration of the following declarations:

• **IAU Kyoto Declaration**, 1993

• **Bonn Declaration**, issued at the UNESCO World Conference on Education for Sustainable Development to mark the mid-Decade, 2009

• **Rio + 20 People's Sustainability Treaty on Higher Education**, June 2012;

• **Commitment to Sustainable Practices of Higher Education Institutions** on the Occasion of the UN Conference on Sustainable Development, Rio de Janeiro, Brazil, 2012

We renew our commitment to Higher Education for Sustainable Development and we agree to develop new actions and strengthen current initiatives to respond proactively to the resolutions and recommendations adopted in the above-mentioned texts.

6. To build synergies and promote collaboration in the search for effective and innovative approaches to solving today's as well as future sustainable development challenges, **IAU** commits to offering an open, interactive and collaborative forum for discussion and action, to raise awareness and advocate for change. Using the interactive Portal on *Higher Education for Sustainable Development, inter alia, IAU will* showcase activities of and within higher education institutions from around the world and offer networking opportunities.

7. These and other efforts, when undertaken collectively, can bring about the needed changes in higher education to best serve the goals of sustainable development. Working together can create greater impact in the following areas, among others:

- *Whole institution approaches in translating SD into institutional agendas,*
- *Mainstreaming sustainable development concepts and principles in all fields of study,*
- *Research on sustainable development issues,*
- *Community engagement to anchor sustainable development in local tradition, language and culture, and to better blend traditional knowledge in higher education,*
- *Sustainable leadership development and practices,*
- *Transdisciplinary approaches in seeking sustainable solutions,*
- *Campus greening and sustainability,*
- *Networking for SD to consolidate knowledge, experiences and impact.*

8. Far more resources – human, organizational and financial – must be mobilized to achieve sustainable development locally and globally. Only collective and collaborative efforts will bring about the desired results of advancing knowledge and experiences for successful sustainable development measures and bring about lasting change.

9. IAU expertise, the conclusions of the IAU 2014 International Conference and the input of the wider higher education community led to this Statement. It will be presented at the 2014 *UNESCO World Conference on Education for Sustainable Development*, and to those involved in setting the goals and implementation strategies for the post-2015 Agenda.

10. The IAU Iquitos Statement should be used to advocate for the recognition of the important role higher education can play in the post-2015 Agenda.

Affirming Academic Values in Internationalization of Higher Education:
A Call for Action

Building upon the IAU Global Surveys on the Internationalization of Higher Education, as well as two previous statements, this Call for Action was approved by the IAU Administrative Board in 2012.

Purpose

This document acknowledges the substantial benefits of the internationalization of higher education but also draws attention to potentially adverse unintended consequences, with a view to alerting higher education institutions to the need to act to ensure that the outcomes of internationalization are positive and of reciprocal benefit to the higher education institutions and the countries concerned.

Internationalization - An evolving concept

1. The internationalization of higher education is a dynamic process, continuously shaped and reshaped by the international context in which it occurs. As this context changes, so do the purpose, goals, meanings, and strategies of internationalization. Over the past half century, the world has changed dramatically as a result of the demise of colonial hegemonies, the end of the Cold War, the rise of new economic powers, and new regional alliances.

2. Globalization is now the most important contextual factor shaping the internationalization of higher education. Globalization is characterized by interdependence among nations and manifested in the economic, political, social, cultural, and knowledge spheres. Central to globalization are the increased mobility of goods, services, and people and the accelerating use of information and communication technologies to bridge time and space in unprecedented ways and at continually decreasing costs.

3. Globalization gives an international dimension to all aspects of our lives, communities, and professions. In higher education, it has led to intensified mobility of ideas, students and academic staff and to expanded possibilities for collaboration and global dissemination of knowledge. It has also introduced new aims, activities and actors engaged in internationalization.

4. Institutions, countries and regions in different parts of the world and at different times pursue a variety of goals and participate in diverse ways in the higher education internationalization process. Examples, such as Africa under colonial rule, where access to higher education meant travelling abroad to attend one of the universities of the colonial power, or more recently the Bologna Process, which is radically changing the higher education landscape in Europe through internationally coordinated reforms, illustrate how internationalization fulfils different purposes and brings different rewards and challenges.

5. The goals of internationalization are continuously evolving, ranging from educating global citizens, building capacity for research, to generating income from international student tuition fees and the quest to enhance institutional prestige. New forms of internationalization such as branch campuses abroad, distance learning programs with a global reach, international educational hubs and networks now complement traditional initiatives such as student and staff mobility, curriculum change and international institutional linkages for teaching and research. New institutional players, in particular new private sector providers, have entered the scene.

6. Although the risk of brain drain remains a serious concern in some parts of the world, some countries are using international student mobility to expand their higher education capacity and capabilities. Governments and institutions are creating formal links with academic talent with their own Diasporas to promote brain circulation. And although uneven global flows of talent will remain an issue of consequence, in the long run, some of its worst impacts can be attenuated as a wider array of nations develop capacity and opportunity at home. Higher education internationalization can play a major role in developing such capacities and opportunities broadly throughout the world.

7. In short, internationalization today is remarkably different from what it was in the first half of the 20th century, in the 1960s or 1980s. A widening of drivers of higher education internationalization has had the effect of making internationalization more of an institutional imperative. The balancing of multiple intended outcomes while preserving essential institutional core values and missions is both a challenge and an opportunity. Internationalization is taking place in a radically new, complex, differentiated, and globalized context. The resulting changes in goals, activities, and actors have led to a re-examination of terminology, conceptual frameworks and previous understandings and, more importantly, to an increased but healthy questioning of internationalization's values, purposes, goals and means.

The changing nature of internationalization in the context of globalization

8. Irrespective of contextual differences within and between countries, nearly all higher education institutions worldwide are engaged in international activities and are seeking to expand them. Engaging with the world is now considered part of the very definition of quality in education and research.

9. The many enduring academic benefits of internationalization are widely recognized as fundamental. The most noteworthy include, among many others:

• Improved quality of teaching and learning as well as research.

• Deeper engagement with national, regional, and global issues and stakeholders.

• Better preparation of students as national and global citizens and as productive members of
  the workforce.

• Access for students to programs that are unavailable or scarce in their home countries.

• Enhanced opportunities for faculty improvement and, through mobility, decreased risk of academic
  'inbreeding'.

• Possibility to participate in international networks to conduct research on pressing issues at home and
  abroad and benefit from the expertise and perspectives of researchers from many parts of the world.

• Opportunity to situate institutional performance within the context of international good practice.

• Improved institutional policy-making, governance, student services, outreach, and quality assurance
  through sharing of experiences across national borders.

10. At the same time, the new world of higher education is characterized by competition for prestige, talent and resources on both national and global scales. National and international rankings are driving some universities to prioritize policies and practices that help them rise in the rankings. At many institutions, internationalization is now part of a strategy to enhance prestige, global competitiveness and revenue. As higher education has in some respects become a global 'industry', so has internationalization of higher education become, in some quarters, a competition in which commercial and other interests

sometimes overshadow higher education's fundamental academic mission and values. Competition is in danger of displacing collaboration as the foundation for internationalization.

Possible adverse consequences of internationalization

11. As internationalization of higher education evolves and grows in importance, a number of potentially adverse consequences of the process have begun to appear. These include particular risks for some institutions, uneven benefits, and asymmetrical power relations. Frequently noted are the following concerns:

• The prevalence of English, though driven by the advantages of having a common medium of communication, has the potential to diminish the diversity of languages studied or used to deliver higher education. The widespread use of English may thus lead to cultural homogenization and finding solutions for these adverse impacts, even though recognized, is difficult.

• Global competition may diminish the diversity of institutional models of what constitutes quality higher education. The pursuit of a single model of excellence embodied in the notion of a "world-class university," usually narrowly defined as excellence in research, may result in the concentration of scarce national resources in a few or a single institution to the detriment of a diverse national system of higher education institutions, fit for diverse national purposes. This risk is potentially present everywhere, but is particularly acute for developing countries.

• Brain drain may continue or even accelerate, undermining the capacity of developing countries and their institutions to retain the talent needed for their prosperity, cultural advancement, and social well-being.

• Large-scale international student recruitment, at times using questionable and even unethical practices, may cause a variety of problems, such as brain drain. Also, the presence of large numbers of international students may result in misconceptions about decreased opportunities for domestic students or inadvertently feed prejudice about foreigners. This can overshadow the highly positive intellectual and intercultural benefits that international students bring to the classroom, campus, and communities in which they study and live.

• The growth of transnational programs and creation of branch campuses raises a number of questions including how these enhance the educational capacity of host nations over the long-term, and how able they are to deliver on the promise of an education comparable to that delivered by the sponsoring institution in its home country. A foreign educational presence, with its perceived prestige, has the potential to disadvantage local higher education institutions striving to respond to national needs. Some host nations experience difficulty regulating the presence, activity and quality of foreign programs.

• As the pursuit of institutional reputation, stimulated by rankings, gains in importance among the goals of internationalization, the selection of international partners may be driven more by the desire to gain prestige by association than by actual interest in cooperation. Such a trend carries the risk of exclusion for many important and high quality institutions from international partnerships.

• The asymmetry of relations between institutions, based on access to resources for the development and implementation of internationalization strategies, can lead to the pursuit of goals that advantage the better –resourced institutions and can result in unevenly shared benefits.

In noting these adverse consequences, the inherent value of internationalization of higher education is not being called into question. On the contrary, the goal of raising awareness of these potential risks among the institutions of higher education is to ensure that action is taken to avoid them.

Affirming values underpinning internationalization: A call to higher education institutions

12. The benefits of internationalization are clear. In pursuing internationalization, however, it is incumbent on institutions of higher education everywhere to make every effort to avoid or at least mitigate its potential adverse consequences.

13. The prevailing context for higher education internationalization described in this document requires all institutions to revisit and affirm internationalization's underlying values, principles and goals, including but not limited to: intercultural learning; inter-institutional cooperation; mutual benefit; solidarity; mutual respect; and fair partnership. Internationalization also requires an active, concerted effort to ensure that institutional practices and programs successfully balance academic, financial, prestige and other goals. It requires institutions everywhere to act as responsible global citizens, committed to help shape a global system of higher education that values academic integrity, quality, equitable access, and reciprocity.

14. In designing and implementing their internationalization strategies, higher education institutions are called upon to embrace and implement the following values and principles:

- Commitment to promote academic freedom, institutional autonomy, and social responsibility.

- Pursuit of socially responsible practices locally and internationally, such as equity in access and success, and non-discrimination.

- Adherence to accepted standards of scientific integrity and research ethics.

- Placement of academic goals such as student learning, the advancement of research, engagement with the community, and addressing global problems at the centre of their internationalization efforts.

- Pursuit of the internationalization of the curriculum as well as extra curricula activities so that non-mobile students, still the overwhelming majority, can also benefit from internationalization and gain the global competences they will need.

- Engagement in the unprecedented opportunity to create international communities of research, learning, and practice to solve pressing global problems.

- Affirmation of reciprocal benefit, respect, and fairness as the basis for partnership.

- Treatment of international students and scholars ethically and respectfully in all aspects of their relationship with the institution.

- Pursuit of innovative forms of collaboration that address resource differences and enhance human and institutional capacity across nations.

- Safeguarding and promotion of cultural and linguistic diversity and respecting local concerns and practices when working outside one's own nation.

- Continuous assessment of the impacts – intended and unintended, positive and negative – of internationalization activities on other institutions.

- Responding to new internationalization challenges through international dialogue that combines consideration of fundamental values with the search for practical solutions to facilitate interaction between higher education institutions across borders and cultures while respecting and promoting diversity.

15. These values are neither slogans nor vague abstractions. They should be applied in very concrete ways to institutional policy and practice. As institutions develop their internationalization strategies, they should be clear and transparent about why they are undertaking a particular initiative, how it relates to their academic mission and values, and what mechanisms can be put in place to avoid possible negative consequences. Open discussion, within and across institutions and associations and with governments, should keep fundamental academic goals and principles in the foreground, in the context of rapid change, complex realities, and ever-mounting pressures of competition and limited resources.

Next steps

16. This Call to Higher Education Institutions is but a first step in IAU's engagement to collaborate with its Member Organizations and other international education associations and partners to provide institutional guidance and examples of good practice in internationalization. IAU will now turn to helping institutions translate these principles and values into everyday practice.

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

The International Association of Universities and the Magna Charta Observatory have jointly drawn up the following Guidelines for an Institutional Code of Ethics in Higher Education (hereafter Guidelines) to encourage the adoption of comprehensive Institutional Codes of Ethics by higher education institutions where no such ethical code exists or to assist in the review of existing institutional codes. These Guidelines will be periodically reviewed and revised, as appropriate, to meet the needs of the changing higher education environment.

1. Preamble

1.1 Higher education and research are in a constant state of change. Societal demands and expectations of what knowledge should deliver are multiple and expanding. Research in higher education institutions is continuously pushing back the frontiers of discovery. In many nations the growth in the number of higher education institutions is unmatched in history.
The pace and scope of these worldwide changes are unprecedented. They are fuelled by the conviction that the Knowledge Economy/Society offers the best path to wealth and well-being, and they are influenced by the process of globalization, technological advances and market forces.
The formative and socializing role of higher education in educating ever-increasing number and often a culturally more diverse group of students, and the far-reaching, at times unpredictable consequences of scientific and intellectual enquiry, place additional responsibility on the entire academic community to deepen ethical self-awareness, to act with integrity and to examine continuously the ethical underpinnings and implications of their actions in the wider community.
In this context of rapid change and expansion, members of the academic community – higher education leaders, faculty members, staff and students – must be prepared to face and resolve ethical dilemmas of great complexity.

1.2 The legitimacy, credibility, support, and autonomy of higher education institutions rest on the quality of their activities and services related to teaching and learning, research and outreach, as well as the integrity and transparency of their procedures.

1.3 Yet, many higher education institutions do not have an institutional code of ethics that articulates how, as institutions, they promote academic integrity and prevent academic dishonesty and unethical behaviour in the academic community.

1.4 While ethical principles may be embedded in a specific historical period, context and culture, there are certain fundamental and universal core values and principles that guide higher education and academic work. These ethical values and principles need to be made explicit by higher education institutions in an Institutional Code of Ethics.

1.5 Institutional Codes of Ethics in higher education serve to complement codes of conduct defined by national or international learned or professional societies. The codes need to recognize that members of the academic community may also have allegiances to particular religious, philosophical or cultural traditions. Most importantly, such Institutional Codes exist alongside, but do not replace, national and international legislation pertaining to the protection of human rights or other rights and obligations affecting higher education.

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

2. Underlying values and principles

2.1 The universal core values that define higher education institutions have been enshrined in the Constitution of the International Association of Universities, in its more recent Policy Statement entitled Academic Freedom, University Autonomy and Social Responsibility as well as in the Magna Charta Universitatum. These values have further been enshrined by UNESCO Member States in the 1997 Recommendation concerning the Status of Higher Education Teaching Personnel. Together, these docu-ments recognize academic freedom, institutional autonomy and the related responsibilities to society as the condicio sine qua non for the unfettered pursuit of truth and the free dissemination of knowledge by and within higher education institutions, and reaffirm the fundamental grounding of the responsibility for oversight of and adherence to these values within the higher education sector itself.

2.2 Recognizing this responsibility, a shared understanding of what constitutes ethical academic be-haviour inherent in these core universal values should form the basis of the Institutional Code of Ethics which must, in addition, promote the following principles:

    i.   Academic integrity and ethical conduct of research
    ii. Equity, justice and non-discrimination
    iii. Accountability, transparency and independence
    iv. Critical analysis and respect for reasoned opinions
    v.   Responsibility for the stewardship of assets, resources and the environment
    vi. Free and open dissemination of knowledge and information
    vii. Solidarity with and fair treatment of international partners

3. Procedure, Practices and Actors

3.1 All Institutional Codes of Ethics in Higher Education should be elaborated following a transparent and inclusive process of consultation of the diverse groups that make up the academic community – faculty members, students, staff and governing bodies/leadership - respecting the rights and noting the responsibilities of each.

3.2 The Institutional Code, articulating the ethical standards of conduct, should outline how these apply to each group and all members of the academic community. Furthermore, specific focus should be given to:

a. Promoting academic integrity in teaching and research by:

    i.   Establishing, disseminating and monitoring policies and procedures related to integrity issues;
    ii. Providing sufficient information, support and recognition to all members of the academic com-munity to uphold ethical practices;
    iii. Ensuring that institutional research policies stress, within the framework of academic freedom, individual and group responsibilities for ethical conduct of research;
    iv. Sanctioning academic misconduct.

b. Development of educational programs to uphold ethical values and academic integrity by:

    i.   Integrating academic integrity discussions as part of the curriculum;
    ii. Encouraging extracurricular awareness raising activities concerned with modern ethical dilemmas;
    iii. Underlining the vital significance of academic integrity and its importance to the broader societal role of higher education.

c. Upholding equity, justice, equal opportunity, fairness and non-discrimination both as an employer and as an institution of higher learning by:

   i.   Fully and publicly adhering to and applying the principle of fairness in all dealings and inter actions with members of the academic community;
   ii. Establishing clear standards, practices and monitoring procedures concerning hiring, promotion and dismissal of all personnel, as well as for student admissions and related activities;
   iii. Ensuring that all complaints and appeals are heard and dealt with fairly and in a timely and transparent manner.

d. Obligation of accountability and transparency in all operations and when investigating cases of academic misconduct, by

   i.   Putting in place clear and transparent internal mechanisms for quality enhancement and disseminating information regularly on performance and achievements both internally and exter-nally to the wider community;
   ii. Interpreting the principle of confidentiality so as to allow for thorough and objective research of all data and analysis in cases of possible academic misconduct;
   iii. Applying such rules of conduct equally to the institution and to individual members of the academic community.

e. Pursuit of individual and/or institutional reputation and publicity which is based on and guided by:

   i.   A commitment to the provision of accurate and factual information;
   ii. The stated institutional mission and principles of academic freedom;
   iii. Sanctions for the use of inappropriate, illegal or untruthful means to enhance personal or institutional prestige or to seek other material rewards.

f. Avoidance of all abuse of power by any member of the academic community for political, economic or personal gain by:

   i.   Developing and disseminating clear definitions and rules governing conflict of interest, abuse of power, including political, economic, sexual and/or moral harassment;
   ii. Establishing mechanisms that all members of the academic community can use in confidence to lodge complaints of such abuses and know that investigations will follow.

g. Promoting critical analysis, freedom of speech and reasoned debate with others by

   i.   Guaranteeing academic freedom within the profession and allowing all members of the academic community to express themselves freely as professionals and otherwise as engaged members of society;
   ii. Instilling in students the capacity for reasoned dialogue, argument and debate.

h. Encouraging social responsibility at the institutional and individual level, including, the responsibility for promoting equity in access and success in higher education; sustainable development; human rights and democratic citizenship, among others, by:

   i.   Ensuring that these issues form an integral part of the educational and research activities as well as institutional governance;
   ii. Raising public awareness, including within the institution, on these topics;
   iii. Sensitizing all members of the academic community as to their individual and collective responsi-bility to lead by example in these critical areas.

i. Exercising vigilance with regard to applications for and receipt of external funds and securing independence from the market to avoid any curtailment of academic freedom or the freedom of disseminating research results by:

i. Setting out clear rules and procedures to be followed by all individuals applying for external financial support for research, teaching and outreach services;

ii. Providing an environment of openness and transparency for contracts entered into between the academic community and external partners, and ensuring these relationships do not interfere with or negatively influence the academic integrity of the institution;

iii. Spelling out the risks and potential dangers to avoid when accepting external funds;

iv. Informing all members of the academic community of their individual responsibility to ensure, prior to accepting funds from external sources, that they are in compliance with relevant institutional rules.

j. Fair management of intellectual property and promotion of free and open dissemination of knowledge and information by:

i. Putting in place a clear, comprehensive and fair legal framework to regulate intellectual property and to prevent internal and external abuses;

ii. Facilitating and rewarding implementation of the principles of open access.

k. Promoting solidarity, respect for diversity and equitable international partnerships and collaboration by:

i. Building international linkages and cooperation on the basis of core values of academic freedom, institutional autonomy and related local and global responsibilities to society;

ii. Ensuring that short-term as well as long-term impacts on each participant and wider society are taken into consideration when collaboration is being planned;

iii. Placing shared interests, pursuit of mutual benefits and avoidance of adverse effects at the core of all international exchanges.

3.3 The ethical standards of conduct articulated in the Institutional Code should apply to all members of the academic community, including institutional leadership, faculty members, administrative staff and students. Each member of the community should be made aware of his/her rights but also of their personal responsibility to comply with the Code, especially in regards to the following:

Upholding of academic integrity and independence, based on the principle of the honest and open search for and dissemination of knowledge free from internal institutional censorship and from all external pressures from social movements, industrial lobbies, governments and political and/or religious groups that compromise or threaten this principle;

Avoiding fraud of any kind, including plagiarism, deliberate fabrication or falsification of data, unauthorized duplication and unwarranted authorship, piracy of thesis or projects, and the use of ghost writers and unwarranted co-authorship;

Promoting decision-making based on merit along with ability and performance as the key criteria in the standards used for the selection, compensation and promotion of faculty members, technical and administrative staff as well as students;

Avoiding conflict of interest in all areas of policy and decision-making concerning, for example, research, student admission and evaluation, faculty performance, promotion, compensation, etc;

Ensuring policies and resources are in place that uphold a high quality of teaching, proper student supervision and fair and transparent evaluation of student performance according to criteria available in advance;

vi. Promoting and safeguarding mutual respect between teacher and student, non-discrimination, trustworthiness and avoiding all abuse of power and harassment;

vii. Preventing all corruption, including the sale or receipt of favours for admissions, favourable examination results, granting of qualifications, hiring and promotion, etc.;

viii. Maintaining high level of confidentiality by protecting the integrity and security of university information systems including student records, employee files, patient records, and contract negotiation documents;

ix. Ensuring that university resources, staff time, supplies, equipment, services, and travel budgets are used solely for university-related purposes;

x. Respecting and protecting university property;

xi. Avoiding misrepresentation of institutional interests when establishing international collaborative partnerships or pursuing international cooperation projects;

xii. Giving all members of the academic community access and the right to a fair hearing in all cases of alleged abuse or misuse of power, discrimination or harassment as well as the right to appeal;

xiii. Promoting a high level of commitment to institutional and individual social responsibility.

3.4 Notwithstanding the above listing of rights and responsibilities applicable to all members of the academic community, the Institutional Code should include, or refer to, a specific set of rights and responsibilities of students, as new entrants into the higher education community, to behave with dignity and respect toward teachers, staff members and fellow students, while being treated in the same manner, to internalize a culture of academic honesty and ethical behaviour and social responsibility, and to respect institutional property and facilities.

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

4.1 It is necessary but insufficient for higher education institutions to elaborate and adopt an Institutional Code of Ethics. Higher education institutions need to go beyond declaring the values and principles they protect and promote by integrating these fully into their institutional strategies, curriculum, management processes and relations with outside stakeholders including international partner institu-tions, while continuously updating their Code and monitoring its application to ensure relevance and currency.

4.2 In line with the underlying values and principles mentioned above, implementation of the Institutional Code, monitoring of compliance and the preparation of related texts, including definitions and relevant glossaries of terms, is the responsibility of the institutional leadership, assisted as appropriate by an institution-wide committee and in consultation with and active participation by all groups of the academic community and external partners. To further transparency, accountability and constructive dialogue in support of building a culture of values and principles, institutions should adopt a periodic self-evaluation of compliance with the Institutional Code in place, including public reporting and discussion of findings, recommendations and any resulting changes in policy or practice.

4.3 It is the responsibility of individuals or groups to seek guidance on and, if necessary, approval for any activity which might be ethically sensitive. The Institutional Code should set out clear and specific review and approval procedures for members of the academic community to follow in this regard.

4.4 The Institutional Code needs to be disseminated widely within the institution to ensure understanding and ownership by all. Reference to the Code and its underlining ethical principles should be included in the University Statute and on the website.

4.5 Regular discussion and training seminars for faculty members, technical and administrative staff and students, including international students, should be held to promote and uphold the principles of the Institutional Code and to provide clear information about expected conduct by all members of the academic community.

4.6 Institutional accountability requires that all types of academic malpractice and misconduct be identified and investigated and that sanctions be applied whenever necessary. Information about what constitutes such academic misconduct and investigative procedures, including 'safe' reporting mechanisms and disciplinary actions must be widely available to the whole academic community.

It is the responsibility of each higher education institution, accountable to society for the provision of quality education and research, to safeguard and promote the highest level of integrity and ethical behaviour.

By adopting an Institutional Code of Ethics, the institution demonstrates its commitment to implementing these values and principles.

Equitable Access, Success and Quality in Higher Education: A Policy Statement by the International Association of Universities

The following Statement was adopted by the 13th International Association of Universities General Conference, which was held in Utrecht, The Netherlands, in July 2008.

Preamble

A well-educated citizenry is the foundation of social equity, cohesion and successful participation in the global knowledge economy. As a result, most countries have set goals to increase the share of the population with higher education and/or broaden access to higher education for individuals that are under-represented because of socio-economic status, race, ethnicity, religion, age, gender, [dis]ability or location.

As a general rule, countries with low rates of participation in higher education seek to expand access by increasing the number of opportunities available while those countries that have already achieved a significant level of participation in higher education tend to focus on broadening access so as to include more individuals from under-represented groups. There are many reasons why some countries may focus on one aspect rather than the other or why some countries feel the need to meet both challenges simultaneously. Over time, however, paying attention to both is becoming important for all.

As a global association of universities and other higher education institutions, the International Association of Universities (IAU) is committed to promoting the twin goals of equitable access to, and successful participation in higher education for all members of society. The IAU believes that equitable access to quality learning contributes significantly to the development of national human resources, promotes social justice and cohesion, enhances personal development, employability and, in general, facilitates sustainable development.

The Association urges higher education institutions and government decision-makers at all levels to adopt the following principles and recommendations on equitable access and successful participation in higher education and to act, with some urgency, on their implementation.

Key Principles

- Access to higher learning should be made possible to all regardless of race, ethnicity, gender, economic or social class, age, language, religion, location or [dis]abilities.

- The goal of access policies should be successful participation in higher education, as access without a reasonable chance of success is an empty promise.

- Equitable access and academic excellence are essential and compatible aspects of a quality higher education.

- To improve access to higher education, admission criteria must move away from a primary focus on each learner's achievements and entry qualifications towards the recognition of his/her potential, with out the latter becoming the sole criterion for admission.

- Targeted strategies and policies designed specifically to elicit the students' full potential are required so as to increase access to, and success in higher education by individuals who are traditionally under-represented because of their social background, economic status, gender, ethnic origins, [dis]abilities, low quality of prior schooling or for other reasons.

- National and institutional policies and programmes should be developed through ongoing dialogue among all stakeholder groups and should acknowledge and address the broad array of academic, financial and personal barriers facing potential learners.

- Higher education that responds to the challenges of equitable access and successful participation requires sound policies and adequate public funding for institutions and students. Such policies must be sensitive to local conditions; borrowing policy solutions from other countries that have different problems and priorities may not be the best solution.

- Equitable access to and broader participation in higher education require active linkages between higher education and primary and secondary education and seamless, educational pathways beginning with early childhood and continuing throughout life, and aided by career guidance and counselling services when appropriate.

- Responding to the varied needs of learners and of society requires a differentiated but coherent higher education system reflected in a transparent qualifications framework; a system in which institutions are assessed according to their specific mission and goals.

- To promote access and student success, different institutional models, flexible programmes of study as well as a variety of delivery modes must be available to allow individuals at all stages of life to move through higher education in a manner that suits their needs.

- International mobility, exchanges and cross-border education activities must integrate the twin goals of increased access and equitable participation.

Recommendations for Higher Education Institutions

Based on these principles, the International Association of Universities proposes the following action agenda for adoption and implementation by higher education institutions, while recognising the diversity of economic and financial conditions as well as the particular political, cultural, and historical aspects that define various national contexts.

- Integrate the goals of equitable access and successful participation for all learners into the institutional mission and develop specific objectives and strategies for achieving them.

- Work in partnership with government, representatives of other educational sectors, professional associations and employers in order to address issues of access and successful participation in a holistic manner, taking into consideration the outcomes of secondary level schooling, labour market trends and national development needs.

- Call for and participate in a multi-stakeholder dialogue with government and/or competent bodies to develop policies and secure adequate financial support for the pursuit of the access and success agenda.

- Develop or strengthen admission policies and practices that emphasise the potential of each applicant and address equity of access and successful participation by offering a variety of flexible learning pathways for entry and exit.

- Provide students with a comprehensive academic, financial and social support system paying particular attention to the specific needs of learners from under-represented groups and/or those who experience difficulties.

- Reward quality teaching, curricular innovation and responsiveness to learner diversity in the academic career structure of faculty members.

- Provide faculty with pedagogical training based on a culture of student-centred learning and with a focus on learning outcomes.

- Facilitate access to learning, respond to diverse learning needs and increase outreach by the appropriate and effective use of a variety of delivery modes.

- Mainstream the assessment of prior and experiential learning (e.g. learning through work schemes, accreditation of work placements) as well as blended, distance and e-learning into the admission and credit accumulation processes.

- Interact with the media and the general public to develop an understanding of, and build support for, the need and value of institutional differentiation.

- Ensure that all institutional policies for international mobility, academic exchanges as well as other cross-border educational activities take into consideration the challenges of equitable access and broadening participation at home and abroad.

- Provide reliable and timely information on access, successful retention and graduation rates to students, the general public, employers and governments in a proactive manner.

Recommendations to Governments

Governments at all levels have an essential role in promoting and enabling access to high-quality higher education for all members of society. Based on the principles outlined, and recognising the diversity and significance of context at the local, national, and regional levels, the International Association of Universities proposes the following action agenda for adoption and implementation by governments worldwide. In addition, the IAU encourages governments to discuss these principles in national and international higher education fora.

- In consultation with all stakeholder groups, articulate an integrated educational, social and economic agenda to promote equitable access, broadened participation and success in higher education.

- Demonstrate a commitment to equitable access and success by providing adequate funding using models that are sensitive to, and appropriate for, local conditions and that support higher education institutions and students with financial need.

- Promote the value of, and encourage mission differentiation among higher education institutions within a transparent qualifications framework that is responsive to societal needs and labour market realities.

- Create a policy environment that is conducive to increased public and private sector funding in support of equitable access of potential and enrolled learners with financial need.

- Initiate targeted policies and programmes to eliminate academic and other non financial barriers to access and successful participation in higher education.

- Consider the educational system in a holistic manner, developing coherent policies and strategies that build effective links with prior levels of education and allow for flexible and seamless pathways for entry to and exit from higher education for all learners.

- Recognise and reward higher education institutions that successfully serve individuals from under-represented groups.

- Invest in the necessary and appropriate infrastructure to support the effective use of information communication technologies in education, thereby improving opportunities for all learners, especially adults, and expanding outreach activities in higher education institutions.

- Given the growing importance of internationalisation of higher education, provide funding to ensure that opportunities for international mobility are made accessible to all.

- Report on the achievement of access and retention goals and make widely available accurate, timely, user-friendly information that may serve to facilitate access, including information on financial student aid.

Conclusion

Equitable access and broadening participation in higher education are fundamental to "knowledge societies" in all parts of the world. The International Association of Universities calls for all stakeholder groups, especially governments and higher education institutions, to act on the promise and potential of these principles and recommendations. Only robust and collective action, based on ongoing research, data analysis and the systematic monitoring of progress, will help achieve these goals. Access and participation in higher education are essential for the empowerment of all, especially those often excluded.

Sharing Quality Higher Education Across Borders: A Statement on Behalf of Higher Education Institutions Worldwide

Note to reader: This document, prepared by the International Association of Universities (IAU), the Association of Universities and Colleges of Canada (AUCC), the American Council on Education (ACE) and the Council for Higher Education Accreditation (CHEA), was circulated as a draft to higher education membership associations worldwide for comment from May to September 2004. This final version has benefited from their commentary.

The Issue

Higher education's tradition of exchanging ideas and people across borders has long served to advance its contribution to society's cultural, social and economic goals. In recent years, there has been an impressive expansion of cross-border higher education initiatives. This expansion is characterized by two main trends. One is the growing imperative of higher education institutions to internationalize – to integrate an international/intercultural dimension into teaching, research and community service – in order to enhance their academic excellence and the relevance of their contribution to societies. Higher education institutions have long experience in this area, and are rapidly expanding their cooperation with their counterparts around the world.

The second trend is the growth of market-driven activities, fuelled by increased demand for higher education worldwide, declining public funding in many national contexts, the diversification of higher education providers, and new methods of delivery. The growth of this second trend, in particular, and the complex issues it raises, provide the impetus for this document.

The scope, complexity and volume of cross-border activity[1] create new challenges and intensify existing ones. Principal among these are the need to (a) safeguard the broader cultural, social and economic contributions of higher education and research, particularly given the critical role they play in today's global knowledge society; (b) protect the interests of students and facilitate their mobility; (c) strengthen the capacity of developing countries to improve accessibility to quality higher education, especially at a time when the gap in resources and access to knowledge between the industrialized and developing world is growing; and (d) preserve linguistic and cultural diversity within higher education.

This document is based on the belief that market forces alone are inadequate to ensure that cross-border education contributes to the public good. Therefore, it lays the groundwork for fair and transparent policy frameworks for managing higher education across borders that are underpinned by a set of guiding principles and a process of dialogue among stakeholders. These frameworks should address the challenges we face in developing and sharing quality higher education across borders for the benefit of all, and ensure that cross-border higher education's contribution to the broader public interest is not sacrificed to commercial interests.

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1 Higher education across borders is a multifaceted phenomenon which includes the movement of people (students and faculty), providers (higher education institutions with a physical and/or virtual presence in a host country), and academic content (such as the development of joint curricula). These activities take place in the context of international development cooperation, academic exchanges and linkages, as well as commercial initiatives.

Audiences

This statement is therefore addressed to two audiences: (1) higher education institutions and other providers[2] and their non-governmental associations worldwide, and (2) national governments and their intergovernmental organizations. It outlines the principles that the signatories believe should anchor institutional initiatives in cross-border education as well as government policies and positions in trade negotiations. It also recommends specific actions that reinforce these principles.

By endorsing this statement, the higher education membership associations listed at the end of this document signal their intention to (a) promote policies and practices among their member institutions which are based on the principles and actions called for in this statement; (b) cooperate at an international level to implement such policy frameworks and (c) engage in dialogue with their respective governments and intergovernmental organizations so that national and international policies and practices advance these principles and realize this action agenda.

Principles for Cross-border Higher Education

We believe that cross-border activity can make an important contribution to enhancing higher education if it is developed and delivered responsibly and effectively. We therefore set forth the following principles to guide the actions of all the stakeholders specified in this statement :

• Cross-border higher education should strive to contribute to the broader economic, social and cultural well-being of communities.

• While cross-border education can flow in many different directions and takes place in a variety of contexts, it should strengthen developing countries' higher education capacity in order to promote global equity.

• In addition to providing disciplinary and professional expertise, cross-border higher education should strive to instill in learners the critical thinking that underpins responsible citizenship at the local, national and global levels.

• Cross-border higher education should be accessible not only to students who can afford to pay, but also to qualified students with financial need.

• Cross-border higher education should meet the same high standards of academic and organizational quality no matter where it is delivered

• Cross-border higher education should be accountable to the public, students and governments.

• Cross-border higher education should expand the opportunities for international mobility of faculty, researchers and students.

• Higher education institutions and other providers of cross-border higher education should provide clear and full information to students and external stakeholders about the education they provide.

2 This group includes institutions and new types of higher education providers, whether they are public, private or for-profit.

Recommendations for Higher Education Institutions and other Providers

Based on these principles, we endorse the following action agenda for adoption and implementation by higher education institutions and other providers engaged in education across borders. In order to benefit from past experience, implementation efforts should recognize and, where appropriate, build on existing legal instruments, policy statements, fora and initiatives that are consistent with these principles and promote further research and policy dialogue[3].

- Become conversant with issues surrounding cross-border education and trade to inform the exchange among associations and their associations' engagement in a constructive dialogue with governments.

- Strive to ensure that higher education across borders contributes to the broader social and economic well-being of communities in the host country, is culturally sensitive in its approach and content, and strengthens local higher education capacity by, for example, cooperating, when appropriate, with local institutions.

- Improve access to programs and courses by providing support to qualified students from other countries with financial need.

- Obtain the proper authorization to operate as a higher education institution from government or other competent bodies[4] in the home and host countries. At the same time, governments and competent bodies should increase their collaboration, transparency, and information sharing in order to alleviate the administrative burden on higher education institutions.

- Build a culture of ongoing quality review, feedback, and improvement by creating robust quality assurance processes at the institutional level which rely heavily on faculty expertise and incorporate the views of students.

- Cooperate with their associations as well as with relevant governmental and non-governmental bodies to develop effective quality assurance principles and practices and apply them to cross-border activities.

- Cooperate with relevant governmental and non-governmental bodies to improve the international exchange of information and cooperation on quality assurance and recognition issues.

- Provide reliable information to the public, students and governments in a proactive manner, particularly with respect to the institution's legal status, award-granting authority, course offerings, quality assurance mechanisms, as well as other relevant facts as suggested by codes of good practice.

3 The following is a representative, but by no means exhaustive sample of related existing instruments, policy statements, fora and initiatives: UNESCO regional conventions on the recognition of academic qualifications and credentials (see www.unesco.org); UNESCO/Council of Europe Code of Good Practice in the Provision of Transnational Education (see www.cepes.ro); OECD-UNESCO Draft Guidelines on Provision of Cross-border Education (see www.oecd.org); development of the European Higher Education Area (see www.eua.be or www.bologna-bergen2005.no); Accra Declaration on GATS and Internationalisation (AAU, see www.aau.org) ; Joint Declaration on Higher Education and GATS (ACE/ AUCC/ CHEA/EUA, see www.unesco.org/iau).

4 The term "competent bodies" is used in order to take into account the fact that in any given country, authority for higher education rests with different levels of government, non-governmental organizations, and institutions.

Recommendations to Governments

Meeting the challenges of cross-border education will require a concerted effort not only by higher education providers, but also by governments and competent authorities within nations. In this regard, it is vital that strong partnerships be fostered between higher education institutions and their associations on the one hand, and governments and their intergovernmental organizations on the other hand. We believe the cornerstone of this partnership should be a shared vision of principles and policies to govern the management of cross-border education.

Some governments seek to manage cross-border higher education through multilateral and regional trade regimes designed to facilitate the flow of private goods and services. There are three main limitations to this approach. First, trade frameworks are not designed to deal with the academic, research, or broader social and cultural purposes of cross-border higher education. Second, trade policy and national education policy may conflict with each other and jeopardize higher education's capacity to carry out its social and cultural mission. Third, applying trade rules to complex national higher education systems designed to serve the public interest may have unintended consequences that can be harmful to this mission[5].

Thus, we believe that international agreements and policies for cross-border higher education – particularly in the context of WTO and other trade discussions – should address these limitations. They should respect the right of governments and competent bodies within nations to regulate their higher education systems, to safeguard the public investment in higher education to achieve their cultural, social and economic goals, and to promote access and equity for students.

Moreover, governments should play a constructive role in developing national and international policy frameworks that promote cross-border higher education's positive contributions to society. To this end, we recommend that governments adopt the following action agenda to complement the efforts of higher education providers:

• Engage with higher education institutions and other providers and their representative associations in dialogue about the principles articulated in this statement, particularly when elaborating trade policies.

• Promote and support academic and research partnerships and other forms of cooperation for higher education capacity-building in developing countries.

• Demonstrate a commitment to access through increased support for qualified international students with financial need.

• Cooperate with relevant governmental and non-governmental bodies to ensure that foreign higher education providers operating within their countries are appropriately authorized and monitored.

• Cooperate with relevant governmental and non-governmental bodies to make widely available accurate, timely, and user-friendly information on the country's higher education institutions and quality assurance and accreditation practices.

• Cooperate with relevant governmental and non-governmental bodies to improve information tools that ensure the information referred to above is shared internationally in a systematic fashion.

5 This is particularly true given the fact that GATS, Article I:3 is ambiguous and open to interpretation. It is this Article that is concerned with services 'supplied in the exercise of government authority' where these services are defined as being supplied 'neither on a commercial basis nor in competition with one or more service suppliers'.

Conclusion

Higher education across borders is a promising avenue for enhancing equity, access and the quality of higher education. Realizing its potential is a shared responsibility of many stakeholders, including the associations cited below and the higher education institutions they represent. We urge all engaged in planning, providing, monitoring, and negotiating higher education across borders to adhere to the principles articulated in this statement and to implement the action items. We also urge governments to bring this statement to the attention of intergovernmental organizations whose mandates include higher education and to ensure that the values, principles, roles and responsibilities articulated in this statement guide these organizations' deliberations and actions.

By taking these steps, and working collectively, we will help address the urgent need for national and international policy frameworks for sharing quality higher education across borders and affirm the value of higher education's continued contribution to the public good.

Signatories

Agence universitaire de la Francophonie (AUF), France
American Council on Education (ACE), U.S.A.
Association of African Universities (AAU)
Association of Arab Universities (AArU)
Asamblea Nacional de Rectores del Perú
Asociacion Colombiana de Universidades (ASCUN), Colombia
Asociación Iberoamericana de Educación Superior a Distancia (AIESAD)
Asociación Nacional de Universidades e Instituciones de Educacón Superior (ANUIES), Mexico
Asociación de Universidades Grupo Montevideo, Uruguay
Asociación Universitaria Iberoamericana de Posgrado (AIUP)
Association of Universities of Bangladesh
Association of Universities and Colleges of Canada (AUCC), Canada
Association of Universities in the Netherlands (VSNU), The Netherlands
Committee of Vice-Chancellors and Directors, Sri Lanka
Compostela Group of Universities, Spain
Conférence des Grandes Ecoles, France
Consejo Nacional de Educacion Superior (CONESUP), Ecuador
Consejo de Rectores de Universidades de Brasil (CRUB), Brazil
Consejo de Rectores de Universidades de España, Spain
Consejo Superior de Universidades de Centro América (CSUCA)
Consorcio Red de Educación a Distancia (CREAD)
Council for Higher Education Accreditation (CHEA), U.S.A.
European University Association (EUA)
Hispanic Association of Colleges & Universities (HACU), U.S.A.
Heads of Universities Committee (HUCOM), Hong Kong
International Association of Universities (IAU)
International Federation of Catholic Universities (IFCU), France
La Red de Macro Universidades de América Latina y El Caribe
Organización Universitaria Interamericana (OUI)
Red Iberoamericana de Estudios de Posgrado (REDIBEP)
Unión de Universidades de América Latina y el Caribe
Vice-Chancellors Ghana (VCG), Ghana

Universities[1] and Information and Communication Technologies

In response to demands for further research and discussion on the impact of Information and Communication Technologies (ICTs) on the institutional learning and research environment, the following statement was unanimously approved at the 12th IAU General Conference in São Paolo, Brazil, in 2004.

Using and developing information and communications technologies offer universities tremendous new possibilities in research and education and open wider access to information. Universities have been at the forefront of ICT development as well as among the leaders in integrating and adopting these technologies into their work, especially in teaching, learning and research, as well as community outreach, library and information services and management. As universities develop and expand the use of ICTs in their activities they are strengthening their capacity to enhance quality and respond to new challenges. It must nevertheless be recognized as well that benefits from ICTs are not equitably shared around the world.

Fundamental Questions and the Need for ICT Policy

Recognizing that ICTs bring challenges as well as opportunities and that these must be addressed to ensure that technology truly serves research and educational needs without bringing unexpected negative impacts and undermining important values, the International Association of Universities, has been a keen observer of ICT production, development and application in universities. The IAU has identified the following areas as being of particular importance:

• The impact on cultural and linguistic diversity in higher education of expanded use of ICTs;

• The need to safeguard university values such as academic freedom when developing the ICT policy of universities;

• The need for continued attention to quality also when applying ICTs in teaching and learning;

• The need to understand the impact of using ICTs in the learning process;

• The recognition of the crucial socializing role of higher education institutions;

• The striking and widening inequalities between developed, developing and least developed countries in terms of access and capacity to use ICTs;

• The need to protect student involvement and influence at universities when implementing ICTs.

1 The word "Universities" refers to all university level higher education institutions.

Recommendations

Conscious of the importance and complexity of ICT-related issues for its highly diverse Membership, the International Association of Universities stresses that appropriate policies and strategies are required at the institutional, governmental and international level. The Association recommends that:

International community and intergovernmental organizations

1. Promote the development of internationally compatible ICT tools, thus ensuring a global standardisation of processes and systems in order to enable effective cooperation and exchanges in research and training around the world. At the same time, efforts should be made to ensure that the potential of ICTs is more equitably shared around the world and to avoid the overwhelming domination by developed countries in terms of ICT production, development and application;

2. Initiate ICT development programmes at a regional and an international level with the contribution of national authorities and all stakeholders (private sector, Civil Society groups and universities) in order to bridge the "digital divide" between the developed countries and the developing and least developed countries. Such global solidarity is urgently needed to provide universities in least developed countries with the appropriate financial, technical and human support required to make ICTs available and to promote capacity building so that the technologies can be adopted locally in each region;

3. Strengthen and contribute to policies and mechanisms that guarantee mutual and equitable recognition of qualifications and degrees around the world, in response to the increasing internationalisation of higher education also enhanced by the use of ICTs;

4. Ensure that existing or renewed legal frameworks in regard to the protection of intellectual property and copyright are applied and respected. Regulate the risks of cyber piracy and informatics crimes including plagiarism, data manipulation, etc. These legal frameworks should secure full access for all users to knowledge and information for educational and research purposes;

Governments and national authorities

5. Safeguard public responsibility for higher education and research. Given the increasing trans-national for-profit higher education market, it is of particular importance that universities provide the widest and most equitable access to higher education and retain their important role in the pursuit and dissemination of knowledge in the age of ICTs;

6. Frame ICT policies for higher education systems, explicitly stating objectives, action plans and committing public funds in order to afford each university equal opportunities to benefit from the potential of and meet the challenges raised by ICTs;

7. Develop appropriate telecommunication infrastructures to allow each university access to ICTs for educational and research purposes, either free of charge or at reasonable rates. This will require the provision of reliable electrical and telecommunication facilities;

Universities

8. Develop and continuously update institutional ICT policies in order to align educational and research objectives with the most appropriate technology choices and adequate financial and human resources. These policies should:

• Place quality in teaching and learning as well as in research at the centre of ICT-based developments at the institution, since a focus on pedagogy, curriculum and content-related questions are of utmost importance as the use of ICT tools expands. ICT application to teaching and learning should not be viewed as a substitute for teachers, but rather as a means of their empowerment. Policy should promote adoption of ICTs as a means for teachers to gain easier and wider access to information, to initiate greater exchange opportunities with peers and engage in a new, enriched interaction with students;

• Provide all members of the academic community and non-academic staff with skills to use up-to-date ICTs. Sufficient and on-going financial support should also be allocated to ensure that all students are provided with the relevant ICT skills;

• Safeguard a genuine cultural pluralism in educational and research material, given the increasing globalisation of higher education, enhanced by ICTs;

9. Examine critically and on an on-going basis the use of ICTs in the educational process in order to avoid an exclusive reliance on technologies even in the case of distance learning or virtual universities. The face-to-face interaction within the academic community and thus the socializing dimension of higher education must be maintained;

10. Develop and build bilateral, regional and international networks or partnerships in research, course-ware, development of information services and ICT expertise. Such partnerships, based on the principles of cross-cultural, equitable and non-commercial co-development could make a significant contribution to bridging the 'digital divide' between higher education institutions in developed, developing and least developed countries.

International Association of Universities

In line with all these priorities, the International Association of Universities will pursue its efforts to:

• Act as a platform for information sharing in regard to the use of ICTs in higher education, stimulating exchange of expertise and disseminating examples of good practices such as the Open Educational Resources;

• Advocate and promote networking among higher education institutions to share experience, educational material and ICT facilities in order to ensure that institutions in all parts of the world can fully participate in exchanges of information, knowledge and expertise;

• Encourage the development of a code of good practice for the exchange of research results and products in the field of ICTs;

• Promote cooperation and consortia for the design and dissemination of educational materials in 'non-dominant' languages.

Academic Freedom, University Autonomy and Social Responsibility

The following statement was officially adopted by the 11th IAU General Conference in Durban, South Africa, in 2000.

Recalling that at the International Conference convened by UNESCO in 1950, in Nice, the Universities of the World stipulated three indissociable principles for which every university should stand, namely:
• the right to pursue knowledge for its own sake and to follow wherever the search for truth may lead;
• the tolerance of divergent opinion and freedom from political interference;
• the obligation as social institutions to promote, through teaching and research, the principles of freedom and justice, of human dignity and solidarity, and to develop mutually material and moral aid on an international level.

Recognising that over the ensuing half century much has changed: new forms of higher education have developed; the numbers of universities, of academic staff, of students and not least the place the University now occupies in Society have evolved; the emergence of a world economy, with its benefits and its dangers, brings with it further responsibilities of a highly practical nature alongside the University's historic and abiding commitment to universalism, pluralism and humanism;

Acknowledging that in the course of the 20th Century, which has seen an unparalleled growth in knowledge, in research and in their diffusion, Society has entrusted to the University immense responsibilities in the common endeavour of human development, social, economic, technical and cultural advance, and in responding to major planetary problems such as the preservation of the environment and the eradication of poverty, violence and social exclusion; and that in its turn the University is, and will remain, vital in meeting Society's evident need to accommodate and steer rapid if not radical,change;

Convinced that human development and the continued extension of knowledge depend upon the freedom to examine, to enquire and to question, and that Academic Freedom and University Autonomy are essential to that end; that moreover the University does not exist for itself or even for the sake of knowledge but for the benefits it brings to Humankind and to Society by virtue and in view of its social utility;

Emphasising that neither Academic Freedom which encompasses the freedom to enquire and to teach as well as the freedom of students to learn, nor University Autonomy are privileges but that they are the basic and inalienable conditions which enable the University as an institution of scholarship and learning, as too its individual members to meet, fully to assume and optimally to fulfil the responsibilities Society confides to both;

Considering that Article 26 of the Universal Declaration of Human Rights and Articles 13 and 15 of the International Covenant on Economic, Social and Cultural Rights stipulate that "higher education shall be equally accessible to all on the basis of merit", underlining the importance of the full development of the human personality and the strengthening of respect for human rights, fundamental freedoms and the maintenance of peace, and that States "undertake to respect the freedom indispensable for scientific research and creative activity";

Observing that the fundamental principles on which universities are founded and which form the basis of their work for the common good have been reiterated by the international academic community on several occasions in the recent past (viz. the Declarations of Sienna 1982, Lima 1988, Bologna 1988, Dar Es Salaam 1990, Kampala 1990, Sinai 1992, Erfurt 1996) and that they are also specifically highlighted in the Recommendation concerning the Status of Higher Education Teaching Personnel, adopted at the 29th Session of the UNESCO General Conference 1997;

We consider it timely, at the occasion of the UNESCO World Conference of Higher Education, to **reaffirm** these principles and to **redefine** their implications within the framework of a new **Social Contract** which sets out mutual responsibilities, rights and obligations between University and Society so that they may meet the challenges of the new Millennium:

1. The principle of Institutional Autonomy can be defined as the necessary degree of independence from external interference that the University requires in respect of its internal organisation and governance, the internal distribution of financial resources and the generation of income from non public sources, the recruitment of its staff, the setting of the conditions of study and, finally, the freedom to conduct teaching and research.

2. The principle of Academic Freedom can be defined as the freedom for members of the academic community - that is scholars, teachers and students - to follow their scholarly activities within a frame work determined by that community in respect of ethical rules and international standards, and with out outside pressure.

3. Rights confer obligations. These obligations are as much incumbent on the individuals and on the University of which they are part, as they are upon the State and Society.

4. Academic Freedom engages the obligation by each individual member of the academic profession to excellence, to innovation, and to advancing the frontiers of knowledge through research and the diffusion of its results through teaching and publication.

5. Academic Freedom also engages the ethical responsibility of the individual and the academic community in the conduct of research, both in determining the priorities of that research and in taking account of the implications, which its results may have for Humanity and Nature.

6. For its part, the University has the obligation to uphold and demonstrate to Society that it stands by its collective obligation to quality and ethics, to fairness and tolerance, to the setting and the upkeep of standards - academic when applied to research and teaching, administrative when applied to due process, to the rendering of accounts to Society, to self-verification, to institutional review and to transparency in the conduct of institutional self-government.

7. For their part, organising powers and stakeholders public or private, stand equally under the obligation to prevent arbitrary interference, to provide and to ensure those conditions necessary, in compliance with internationally recognised standards, for the exercise of Academic Freedom by individual members of the academic profession and for University Autonomy to be exercised by the institution.

8. In particular, the organising powers and stakeholders public or private, and the interests they represent, should recognise that by its very nature the obligation upon the academic profession to advance knowledge is inseparable from the examination, questioning and testing of accepted ideas and of estalished wisdom. And that the expression of views, which follow from scientific insight or scholarly investigation may often be contrary to popular conviction or judged as unacceptable and intolerable.

9. Hence, agencies which exercise responsibility for the advancement of knowledge as too particular interests which provide support for, or stand in a contractual relationship with, the University for the services it may furnish, must recognise that such expressions of scholarly judgement and scientific inquiry shall not place in jeopardy the career or the existence of the individual expressing them nor leave that individual open to pursual for délit d'opinion on account of such views being expressed.

10. If the free range of inquiry, examination and the advance of knowledge are held to be benefits Society derives from the University, the latter must assume the responsibility for the choices and the priorities it sets freely. Society for its part, must recognise its part in providing means appropriate for the achievement of that end. Resources should be commensurate with expectations - especially those which, like fundamental research, demand a long-term commitment if they are to yield their full benefits.

11. The obligation to transmit and to advance knowledge is the basic purpose for which Academic Freedom and University Autonomy are required and recognised. Since knowledge is universal, so too is this obligation. In practice, however, Universities fulfil this obligation primarily in respect of the Societies in which they are located. And it is these communities, cultural, regional, national and local, which establish with the University the terms by which such responsibilities are to be assumed, who is to assume them and by what means and procedures.

12. Responsibilities met within the setting of 'national' society, extend beyond the physical boundaries of that society. Since its earliest days, the University has professed intellectual and spiritual engagement to the principles of 'universalism' and to 'internationalism' whilst Academic Freedom and University Autonomy evolved within the setting of the historic national community. For Universities to serve a world society requires that Academic Freedom and University Autonomy form the bedrock to a new Social Contract - a contract to uphold values common to Humanity and to meet the expectations of a world where frontiers are rapidly dissolving.

13. In the context of international cooperation, the exercise of Academic Freedom and University Autonomy by some should not lead to intellectual hegemony over others. It should, on the contrary, be a means of strengthening the principles of pluralism, tolerance and academic solidarity between institutions of higher learning and between individual scholars and students.

14. At a time when the ties, obligations and commitments between Society and the University are becoming more complex, more urgent and more direct, it appears desirable to establish a broadly recognised International Charter of mutual rights and obligations governing the relationship between University and Society, including adequate monitoring mechanisms for its application.

Towards a Century of Cooperation: Internationalisation of Higher Education

The following statement was formally adopted by the 11th IAU General Conference in Durban, South Africa, in 2000.

Preamble

It has often been taken for granted that universities are international. The universal nature of knowledge, a long tradition of international collegiality and cooperation in research, the comings and goings of faculty and students since Antiquity have all served to create this impression. Conscious that this impression only partially reflects the day to day reality of higher education institutions in the world, and noting that internationalisation of higher education is today more than ever a worthy goal, the International Association of Universities wishes to reaffirm its own commitment to this effort and to urge all stakeholders to contribute to its realisation.

As we approach the 21st Century, a number of major challenges face women and men around the world as they interact with one another as individuals, groups, and with nature. Globalisation of trade, of production, and of communications has created a highly interconnected world. Yet the tremendous gaps between the rich and the poor continue to widen both within, and between nations. Sustainable development remains an elusive long-term goal, too often sacrificed for short-term gains.

It is imperative that higher education offer solutions to existing problems and innovate to avoid problems in the future. Whether in the economic, political, or social realms, higher education is expected to contribute to raising the overall quality of life, worldwide. To fulfil its role effectively and maintain excellence, higher education must become far more internationalised; it must integrate an international and intercultural dimension into its teaching, research, and service functions.

Preparing future leaders and citizens for a highly interdependent world, requires a higher education system where internationalisation promotes cultural diversity and fosters intercultural understanding, respect, and tolerance among peoples. Such internationalisation of higher education contributes to building more than economically competitive and politically powerful regional blocks; it represents a commitment to international solidarity, human security and helps to build a climate of global peace.

Technological advances in communications are powerful instruments, which can serve to further internationalisation of higher education and to democratise access to opportunities. However, to the extent that access to new information technologies remains unevenly distributed in the world, the adverse side effects of their widespread use can threaten cultural diversity and widen the gaps in the production, dissemination, and appropriation of knowledge.

Highly educated personnel and research at the highest levels are essential to increasingly knowledge-based development everywhere. Internationalisation and international cooperation can serve to improve higher education by increasing efficiency in teaching and learning as well as in research through shared efforts and joint actions.

The International Association of Universities, founded to promote international cooperation among higher education institutions, notes that despite the universality of knowledge, which has always served to affirm the international nature of higher education, the level of internationalisation remains low and uneven. Furthermore, international cooperation has had relatively little impact on global wealth and resource distribution even in the realm of higher education. Worse, the external brain drain and other negative consequences of poorly designed cooperative activities have, at times, even exacerbated the conditions in developing nations. In more recent times, commercial and financial interests have gained prominence in the internationalisation process and threaten to displace the less utilitarian and equally valuable aspects of this enriching and necessary transformation of higher education.

Recommendations

In recognition of the urgency to take positive actions, the International Association of Universities recommends that:

1. Higher education institutions seize the initiative in the process of internationalisation rather than reacting to external globalisation forces, such as the market, in determining their actions;

2. Higher education leaders, with active support of all levels of the academic community, develop clear institutional internationalisation policies and programmes that are seen as integral to the life of the institution and as such enjoy adequate internal and external funding;

3. This support be facilitated by the creation of a Forum on Internationalisation Policy by the IAU and its Members and Partner Organisations for the exchange of ideas and experience;

4. The curriculum of the university reflect the preparation of international citizens, through facilitating language competence; and understanding of global, international, and regional issues; preparation of experts in areas needed for such fields as information technology and science, peace and conflict resolution, and sustainable development, as well as the special curricular needs of international students;

5. North-South cooperation in higher education, focusing as it does on human resource development, be recognised as a major instrument of the fight against inequality among nations, people, and groups and be given adequate support and funding by national development agencies, intergovernmental organisations, and private foundations;

6. The highly successful and valuable academic mobility programmes developed within particular regions (Europe, Asia, North America) continue to serve as catalysts and models to expand such flows more widely to ever-growing numbers of individuals and institutions on the global level. Efforts should be made to promote the growth of academic mobility programmes in the other regions of the world (Africa, Middle East, Latin America) as well as expanding inter-regional programmes of inter-university cooperation;

7. Institutions of higher education take pro-active measures to ensure the quality of the internationalisation process by making use of existing quality review expertise developed by various organisations and that IAU make such projects known among its membership and contribute to the development of a roster of experts available to take part on peer review teams;

8. The expansion of education export development be conducted within internationally accepted ethical codes of good practice and be accompanied by research to evaluate its educational and economic impact and to sustain quality control;

9. The expertise and experience of retired faculty members and scholars be mobilised and shared across the North-South divide in an Academics without Borders volunteer programme to be facilitated by IAU and UNESCO;

10. UNESCO, national governments, and educational institutions each demonstrate their commitment to international cooperation in higher education by implementing, within their respective purview, policies that remove obstacles to mobility, such as stringent visa requirements, restrictive recognition practices, and other regulations which impede the flow of students and academics; and that

11. All internationalisation programmes be founded on the principle of partnership among equals and promote intercultural competence and a culture of peace among global citizens.

The Buenos Aires Statement

The following statement was adopted by the Administrative Board of the International Association of Universities and the Heads of forty public and private universities from twelve Latin American countries participating in the Tenth IAU Round Table in Buenos Aires, in November 1994:

1. The IAU Board and the Round Table stress and emphasise the central contribution of higher education and of research to development in all regions of the world.

2. To break out of the downward spiral of dependence and of underdevelopment is crucial for developing economies. Ownership and the advancement of knowledge together with highly qualified human resources are no less essential in the least developed countries as they are for the economically advanced.

3. The IAU underlines the crucial and abiding role of governments in assuring the resources necessary for higher education and for research. Although funds from private sources may constitute complemen tary financing for higher education, it would not be realistic to expect that funding of this nature could have more than a marginal impact on the current crisis in the higher education systems of the developing nations.

4. At the Sixth IAU Round Table held at Harare (Zimbabwe) in 1987, a Statement was issued in response to the document The Financing of Education in Developing Countries, published by the World Bank. The Harare Statement dissented most emphatically from the general thrust of the Recommendations of the World Bank which called for cuts in public spending on higher education, for increasing reliance on non-public investment in higher education and for a reduction in the control of the State.

5. The IAU Board and university leaders participating in the Tenth IAU Round Table in Buenos Aires note with regret that the World Bank, in its most recent guidelines for lending to education (Higher Education The Lessons of Experience), published in 1994, retained essentially the same recom- mendations to governments as it did seven years earlier in Harare. They also regret that the World Bank persisted in linking the granting of loans to the implementation of these same conditions.

6. This reversion to an approach contested earlier cannot but cast doubt on the soundness of the gene- ralisations in the World Bank document about the lessons of recent experience. A major limitation of the World Bank document is seen in its failure to relate its analysis and recommendations to any particular vision of society and to the role of higher education within it. To the degree that this vision differs around the world, to that same extent is the scope of the recommendations limited.

7. IAU dissents from, and recommends that its individual Member Universities contest, any recommended solution to the higher education crisis that relates solely to economic and financial conditions and which takes little account of the particular and special political, cultural and historical aspects of national life. In this connection, the IAU recommends that its Member Universities advise their governments to seek as broad a range of views on the options for developing countries.

The Kyoto Declaration
on Sustainable Development

*Following the Ninth IAU Round Table, in Kyoto, Japan, participants adopted, on 19 November 1993, the following **Declaration**:*

1. To urge universities worldwide to seek, establish and disseminate a **clearer understanding of Sustainable Development** - "development which meets the needs of the present without compromising the needs of future generations" - and encourage more appropriate sustainable development principles and practices at the local, national and global levels, in ways consistent with their missions;

2. **To utilise resources** of the university to encourage a better understanding on the part of Governments and the public at large of the inter-related physical, biological and social dangers facing the planet Earth, and to recognise the **significant interdependence** and international dimensions of sustainable development;

3. To emphasise the **ethical obligation** of the present generation to overcome those practices of resource utilisation and those widespread disparities which lie at the root of environmental unsustainability;

4. **To enhance the capacity of the university to teach and undertake research and action** in society in sustainable development principles, to increase environmental literacy, and to enhance the understanding of environmental ethics within the university and with the public at large;

5. **To cooperate with one another and with all segments of society in the pursuit of practical and policy measures** to achieve sustainable development and thereby safeguard the interests of future generations;

6. To encourage universities to **review their own operations** to reflect best sustainable development practices;

7. To request the IAU Administrative Board to consider and **implement the ways and means** to give life to this Declaration in the mission of each of its members and through the common enterprise of the IAU.

It is recommended that each university, in its own action plan, strive to:

1. Make an institutional commitment to the principle and practice of sustainable development within the academic milieu and to communicate that commitment to its students, its employees and to the public at large;

2. Promote sustainable consumption practices in its own operations;

3. Develop the capacities of its academic staff to teach environmental literacy;

4. Encourage among both staff and students an environmental perspective, whatever the field of study;

5. Utilise the intellectual resources of the university to build strong environmental education programmes;

6. Encourage interdisciplinary and collaborative research programmes related to sustainable development as part of the institution's central mission and to overcome traditional barriers between disciplines and departments;

7. Emphasise the ethical obligations of the immediate university community - current students, faculty and staff - to understand and defeat the forces that lead to environmental degradation, North-South disparities, and the inter-generational inequities; to work at ways that will help its academic community, and the graduates, friends and governments that support it, to accept these ethical obligations;

8. Promote interdisciplinary networks of environmental experts at the local, national and international level in order to disseminate knowledge and to collaborate on common environmental projects in both research and education;

9. Promote the mobility of staff and students as essential to the free trade of knowledge;

10. Forge partnerships with other sectors of society in transferring innovative and appropriate technologies that can benefit and enhance sustainable development.

In adopting this Declaration, delegates underlined specifically the following points:

1. That sustainable development must not be interpreted in a manner that would lead to "sustained undevelopment" for certain systems, thus blocking their legitimate aspiration to raise their standard of living;

2. That sustainable development must take into consideration existing disparities in consumption and distribution patterns, with unsustainable over-consumption in some parts of the world contrasting with dramatic states of depravation in others;

3. That global sustainable development implies changes of existing value systems, a task in which universities have an essential mission, in order to create the necessary international consciousness and global sense of responsibility and solidarity;

4. That university cooperation for sustainable development must also assure that universities from countries with insufficient proper resources may play an active role in the process;

5. That IAU, through the intellectual and organisational potential of the Association, its clearing-house, catalyst and network functions, has a major role to play in the implementation of this Declaration.