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Approaches for Systematic Planning of Development Projects 〈Higher Education〉

March 2004

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Since FY2002, the Japan International Cooperation Agency (JICA) has referred to scheme types such as Project-Type Technical Cooperation, Individual Expert Team Dispatch, and Research Cooperation collectively as Technical Cooperation Projects. However, since there is a possibility of confusion with the original names of scheme types, this report also uses the current term Technical Cooperation Projects with reference to projects that were started prior to FY2001 for consistency.

Similarly, collaborative projects with other entities such as NGOs have been collectively referred to as JICA Partnership Programs since FY2002, and this report, therefore, uses the term Partnership Program with reference to projects that were started prior to FY2001 for consistency.

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Foreword

The Japan International Cooperation Agency (JICA) has been working toward the enhancement of its country-specific and issue-specific approaches by formulating JICA Country Programs, implementing Project Request Surveys, and drafting Thematic Guidelines. At present there are significant differences between countries in terms of progress levels or categorizations of development issues and cooperation programs. To improve further JICA Country Programs and deal with important development issues requires appropriate formulation of programs and projects based on a fundamental understanding of development issue and effective approaches toward them, while recognizing that situations and issues differ from country to country. JICA must clarify the priority areas for cooperation, based on both the actual conditions of each target country and a systematic approach for each development issue.

Therefore in FY2001 as a part of an effort to promote country-specific approaches by enhancing issue-specific approaches JICA conducted the study on "Approaches for Systematic Planning of Development Projects" in four issues: Basic Education, HIV/AIDS, Rural Development, and Promotion of Small and Medium Enterprises (SMEs). The study systematized these issues and specified the indicators to be used as references in planning, monitoring and evaluating JICA's activities. Furthermore, the study reviewed JICA's previous projects and summarized their trends, matters of concern and representative cases for each issue, based on Development Objectives Charts.

Due to a growing demand for systematization of other issues as well, a further study was carried out in FY2002. Four new development issues were taken up: Poverty Reduction, Trade and Investment Promotion, Higher Education, and Information and Communication Technology. The results of this study will be adopted in the JICA Thematic Guidelines and further developed by the Agency Thematic Network.

In conducting the study and preparing this report, a task force was set up, chaired by Mr. Hiroshi Kato, JICA Director of Planning and Coordination Division, Planning and Evaluation Department, and comprising JICA staff of related departments, JICA Senior Advisors, Associate Specialists, and external consultants. A considerable number of JICA staff members, as well as external experts, further contributed by offering valuable comments on the draft report. I would like to take this opportunity to acknowledge the efforts and contribution of all of these individuals.

Finally, it is my sincere hope that this report will prove a worthwhile step in the enhancement of issue-specific approaches.

September 2003

Morimasa Kanamaru
Managing Director
Institute for International Cooperation
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Terms and Abbreviations

Terms/Abbreviations	Remarks
Higher Education	
Accreditation System	A system to guarantee the quality of degree-granting higher education* institutions and programs. Ordinarily, a third party evaluation institution carries out this function by evaluating the quality of higher education institutions from the outside. The development of these systems has differed depending on the country. In the U.S., a third party nonprofit organization (called an accrediting institution or accreditor) established jointly by a number of member universities is operating using the membership dues and fees of the member schools, and undertakes regular evaluation of each university and its courses of study using various measures. Accreditation is a system that spurs constant effort at improving the quality of education at each university. However, in the U.S., it is also used as the standard for determining whether students at a school will be eligible for government scholarships or students loans and whether the university is qualified to receive other grants. On the other hand, in Europe, national level evaluation institutions were established in England, France and the Netherlands in the mid-1980s. Following that, national level evaluation institutions spread to other countries. In the Netherlands, a union of universities conducts third-party evaluation and the government posts an observer, who evaluates the union's entire independent evaluation in what is called meta-evaluation, an indirect system for managing evaluation. These different systems are influencing the higher education systems of countries which have similar systems. A strong influence of the U.S. accreditation system can be seen in East Asia, in Japan University Accreditation Association, and in South Korea, Taiwan and China. On the other hand, the approaches of England and France have had a steady influence in countries that were their former colonies. Items evaluated include the mission of the educational institution, the organizational structure of the institution, the institution's economic resources, the teaching plan for each course of study, the support for instructors, the support for students, students' academic results, research results, etc. However, with the recent rise of educational institutions of varied forms using a variety of media, it has been pointed out that new evaluation standards based on these institutions' unique characteristics need to be introduced.
Adult Education	Adult education and adult learning comprise the core of lifelong education and lifelong learning. In today's aging society where there is much social upheaval, learning during the long adult period of life is becoming more and more important. The basis of adult education and adult learning is in the autonomy of the learner; each adult has to successfully complete his/her own learning program. In order to make this happen, it is necessary to establish a lifelong learning system where people can learn throughout their lives. Depending on the conditions a country faces, there are various ways to developing adult education, such as emphasizing literacy education or other types of education.
Affirmative Action	Measures to actively address discrimination in employment and education for specific groups such as woman and ethnic minorities. In the education field, establishing special entrance standards or entrance quotas.
Brain Drain	The departure of adults working in the fields of education, research and development for other countries as a result of their demand for better research conditions and economic remuneration. Countries able to value research achievements and guarantee people the chance to demonstrate their capabilities are becoming recipient countries for the brain drain, and those countries that are not are losing their people. Even if many people in a country hold higher degrees, countries with few companies or research institutions lose people to brain drain, and this may become an obstacle to maintaining academic standards and socio-economic growth.
COE	Center of Excellence: An academic base for internationally competitive, cutting-edge research.
Digital Divide	Information gap. The gap that arises between those who are able to gain the benefit from access to information technology and those who are not.

Terms/Abbreviations	Remarks
Distance Education	A new form of education based on the ideal of equal opportunity in education and in which teachers and learners, while in separate locations, can make use of various media to engage in educational activities. In the midst of growing consciousness about lifelong learning, distance education is a system that can be used by adults, for whom it may be difficult to find a set, regular time to learn and by people who want to learn but live in regions where there may be no higher education opportunities. Also, in the traditional system where one commutes to a university to take courses, the capacity of the facilities and equipment present physical limitations. However, in distance education it is possible to dampen the effect of these volume limits significantly. Through varied media and learning methods, it is possible to set a learning place and time to fit the convenience of the learner. Also, through using a variety of mass media, one can lighten the tuition burden. There is also the benefit that, while maintaining the quality of the education, one can offer education at a standard level. Furthermore, even in cases where teachers and facilities are insufficient, distance education can be used as an effective educational method not only for a lifelong education system but can be applied to many different educational situations.
EFA	Education for All: Idea advocated at the World Conference on Education for All in Jomtien, Thailand in 1990. As a result of the Conference, promotion of "Education for All" gained international consensus.
Extension School	An effort to promote the liberation of higher education through broadly offering the functions of universities and specialty schools to society and individuals. Rather than the customary closed type of higher education which targets a specific group of people, extension schools aim to provide adult learners, including youth, with an open school with a wide array of university courses. At present, there are generally two types of extension schools being implemented. The first uses the physical resources of the university and makes elective courses for credit openly available once classes are over during the day or on Saturdays and Sundays, and is similar to a specialty school offering the opportunity to obtain certifications, but located within a university. The other type is based on the ideals of a "university open to society" or "an institution for additional education of high-level human resources," and is established through cooperation with business. This type of school provides a new higher education program in which universities, corporations and governments collaborate.
Further Education / Continuing Education	Further education and continuing education are education provided to adults following the completion of their school educations. In England, the term used is "further education," and this refers to post-secondary education provided to adults past school age that uses the adults' free time to offer cultural training and other activities. Education at degree-granting universities is not included in this definition. In the U.S., the term is "continuing education," and this refers to public courses at universities and open courses at public schools, community college courses for adult education, church-based study programs targeting adults, broadcast education for adults, etc.
IT (ICT)	Information Technology (Information and Communication Technology): Refers to the wide range of computer and networking technology.
Internal Efficiency	The relationship between inputs and outputs. In the area of education, it is often referred to in conjunction with students' repetition and graduation rates. In turn, the external efficiency of education refers to the relationship between education and employment.
Knowledge Society	From the middle part of the 20th century until recently, the economy was centered on mass production using established technology. However, one now sees a transformation to a knowledge-centered society where economic growth is driven by the creation of hard and soft knowledge. One calls this kind of society a "knowledge society."
Learning Society	A concept for a form of future society promoted by Robert M. Hutchins, which has led to the concept of lifelong learning* A society liberated from labor not only provides all adults with regular adult education but also the whole social system will create values that aim to achieve the purpose to promote humanity and that education is not for the development of manpower, but to increase the true value of life and to promote human growth.
Life-long Learning	A way of thinking in which adults, after they have finished their school education, or children in order to achieve self-realization within their communities, take various opportunities to continue learning throughout their lives. More than lifelong education, the term "lifelong learning" is used frequently nowadays because it expresses the autonomy and decision-making right of the learners. In June 1999, at the G-8 Summit in Cologne, Germany, a charter on lifelong learning was adopted and in it, its importance as a "passport to mobility" among classes and communities, and different jobs, was recognized once more.

Terms/Abbreviations	Remarks
Mass Education Society	This refers to a society where many people undergo education for a long period of time and where their educational history most often impacts their work life and life in the society. The special characteristics of a mass education society are a significant number of people moving up to higher levels of education, an atmosphere where people imagine education is open to everyone and can be used to build careers and contribute to personal social stablility, meritocracy, the rise of an academic elite, etc. M. Trow categorizes higher education's development stages using the indicator of the ratio of the higher education age population to those in school and finds an elite-type (up to 15%), mass education (15%-50%), and universal education (50%+). Through the rise of mass education, not only can one see a diversification of functions in society and a diversification of institutions, but diversification develops in such areas as education and research qualifications.
Non-formal Education	Refers to education outside of regular schools such as religious education, community education, adult education and literacy education.
Online Journal	On the Internet, makes available such things as academic journals and magazine content and adds an easily usable search function. Adoption of these has been very rapid in English-speaking countries, and the authoritative academic journals in the U.S. and Europe are almost all made available on the Internet.
Online University / Virtual University	Universities that offer courses and the curriculum for the course on the Internet as well as an online education system using the computer. Online education started as one component of already existing universities, but at present, one sees cases where several universities and colleges within a region concentrate on one location and provide a large number of courses (California Virtual University). Also, African Virtual University (AVU), a projected constructed to provide a high-quality education over a wider region crossing national borders, has been implemented. Various issues arise with distance education and cooperative learning among universities from different countries, including time differences, cross-cultural understanding, and the universities' management of this kind of project.
Open University	A higher education institution with the goal of providing higher education to community residents or broadly to adults. The origin of open university is the new university format established in England in 1971. Open universities employ mainly print educational materials but make use of a variety of learning methods, including use of broadcast media, and they offer a diverse array of courses. Another special characteristic is that one can enroll without taking an entrance exam. There are three types of open university programs: ones that grant degrees, programs that do not grant degrees but enable learners to choose courses based on their own educational needs and interests, and graduate school programs. In Japan, the University of the Air was established in 1981. It was created with the ideal of an open university, and its special characteristic was the central use of television and radio media more than printed educational materials. Open universities and graduate schools which rely on a correspondence format making use of multimedia have been newly established in countries throughout the world, and especially in Thailand, they hold a large share of the higher education opportunities being provided to the masses. In the midst of a degree-oriented society with a lifelong learning* system, this format of education opens up higher education broadly to the society. Together with opportunities to move up to university, open universities have become places that respond to the diverse learning demands of the citizenry, including the training of adults for their present jobs and complement traditional higher education with universities at the center.
Permission to Establish a University	One system for guaranteeing the quality of higher education.* In many countries, the national or state/provincial governments or other entities give permission for the establishment of higher education institutions. In Japan, there are necessary minimum standards for establishing a university called the "University Establishment Standards," and when a new university is established or a course of study is added, one must meet these standards. Japan's "University Establishment Standards" were set as a result of a directive of the Ministry of Education in 1956 and, following that, a Council for University Establishment set standards regulations related to public and private universities. In the U.S., permission to establish higher education institutions is granted based on the standards of each state created by that state government. Following that, an organization such as an accreditation association in each region examines whether the institution meets the standard to grant degrees, and the effectiveness of the degrees granted is guaranteed by the accreditation agencies and specialized accreditation agencies. Therefore, in the U.S., the permission granted by state governments is provisional; the degree is regarded as official only after the accreditation.
Polytechnic	Refers generally to 2-3-year technical training schools.
Post-secondary Education	Refers generally to education with a primarily vocational focus involving specialty courses at schools outside of universities, graduate schools, junior colleges and high level specialty schools.

Terms/Abbreviations	Remarks
Recurrent Education	An educational concept advanced in 1973 by the OECD's* CERI (Centre for Educational Research and Innovation), in which in order to enhance their careers, people alternate between labor and learning in different periods. In contrast to continuing education, recurrent education makes things like the specialized work experience accumulated during one's adult life a base and places emphasis on obtaining new knowledge based on things like technological innovation and higher level specialized and technical knowledge. To do this, there is an active emphasis on obtaining degrees, and a special characteristic is that universities and graduate schools are the main places for study in this form of education.
Relevance	Appropriateness, connectedness. In the education field, it refers to the connection between educational content and the needs and cultural characteristics of the community.
SEED-Net	Southeast Asia Engineering Education Network: A JICA* technical cooperation project* begun in April 2001 in Bangkok which aims to improve engineering higher education and enhance the development of human resources throughout the ASEAN countries.
Tertiary Education / Higher Education / Post-secondary Education	The definition of higher education differs depending on the country, but in many places higher education refers to education at the undergraduate level and above. On the other hand, post-secondary education refers to vocational education other than university or junior college education that takes place after the completion of secondary education. Tertiary education is a term that attempts to encompass the meanings of both higher education and of post-secondary education as a "third stage" of education. The term is used with comparative frequency in Europe, which has polytechnics, fachhochschule, and other types of higher education vocational institutions. In Japan, universities, graduate schools, junior colleges and higher level specialty schools are categorized as "higher education" while courses in non-higher-level specialty schools are categorized as post-secondary education. Recently, however, the specialty courses in non-higher-level specialty schools are starting to be categorized as a part of higher education.
UNITWIN	University Twinning: A UNESCO* program established in 1992 aimed at developing cooperative relationships among various schools, including universities, in developed and developing countries in order to build higher education networks across and within regions.
WCHE	World Conference on Higher Education: Led by UNESCO*, 2,500 education specialists from 162 countries gathered in Paris for this Conference in 1998. At the Conference, the World Declaration on Higher Education was adopted. Within the Declaration, 17 directions for higher education reform and 3 priority areas of action were delineated.
Development Assistance	
BHN	Basic Human Needs: The basic needs of human beings. The concept of providing assistance to people in the lower income classes that is directly useful to them. Food, shelter, clothing, etc.—the minimal things that are necessary to live life such as safe drinking water, sanitation facilities, health, education, etc.
Capacity Building	To pursue institution building, improvement of the capacity to implement and manage. It refers to building up the independent capacity of the implementing entity.
DAC New Development Strategy	In 1996, the DAC High Level Meeting* adopted a long-term development strategy looking towards the 21st Century, commonly called "Shaping the 21st Century: The Contribution of Development Cooperation." The three priority points of the strategy were: 1) the importance of ownership and partnership; 2) pursuit of comprehensive and individual approaches; and 3) setting of concrete development objectives (e.g. cutting the population in poverty by half by 2015). The strategy led to increases in the percentage of expenditures for social infrastructure, rationalized the implementation structure in countries receiving the assistance, and called for the promotion of decentralization.
Local Cost	The cost of implementing and managing a project that should be borne by the recipient country.
MDGs	Millennium Development Goals: An extension of the New Development Strategy* agreed upon at the United Nations General Assembly in September 2000, and which established more full and specific goals. Goals to achieve by 2015 were: 1) eradication of extreme poverty and hunger; 2) universal primary education; 3) gender equality and women's empowerment; 4) reduction in the children's mortality rate; 5) improvement of maternal health; 6) prevention of the spread of diseases such as HIV/AIDS and malaria; 7) creation of a sustainability environment; and 8) building of a partnership for global development.
Medium-term Policy on Official Development Assistance	Commonly called the ODA Medium-Term Policy. A systematic and concrete summary of Japan's plans for ODA in the five years starting in 1999, aiming at an effective and efficient implementation.
NGO	Non-governmental Organization: Non-governmental organizations, private nonprofit organizations.

Terms/Abbreviations	Remarks
ODA	Official Development Assistance
ODA Charter	Official Development Assistance Charter: Following the end of the Cold War, the view that Japan's aid should be used as one key part of its strategy for relations with other countries gained strength, and in 1992, four basic philosophies and four principles concerning ODA were expressed and approved as a Cabinet decision.
PRSP	Poverty Reduction Strategy Paper: Paper concerning poverty eradication. This was the agreed-upon strategy paper when a poverty reduction strategy to address the debt crisis problems of HIPCs Heavily Indebted Poor Countries), was presented in 1999 at the general meeting of the World Bank and IMF.* This strategy has as a goal using money from debt relief measures appropriately for development and poverty eradication.
Sector Program (SP)	Based on ownership by developing countries themselves, a sector- or sub-sector-scale program which donors and other development experts participate in negotiating and establishing.
Two-step Loan	One method of granting loans in which a financial agency of the developing country directly receives a loan or receives it through the government and then loans it again to small or medium range companies in the country or to the agricultural sector.
Untied loan	A loan where procurement of materials and services is not required to be from the donor country.
Organizations / Institutions	
ADB	Asian Development Bank
ASEAN	Association of Southeast Asian Nations
CIDA	Canadian International Development Agency
DAC	Development Assistance Committee: Coordinates the assistance policy of the OECD* to developing countries. One of three major committees of the OECD, along with the Trade Committee and the Economic Policy Committee. As of 2003 membership is 23 countries.
DAC High Level Meeting	A meeting held once a year in which high-level assistance officials from each DAC country attend to discuss and adopt recommendations on particularly important development issues. In the 1996 DAC High Level Meeting of the OECD*, the meeting adopted the goal of halving the 1990 ratio of people living in extreme poverty by 2015.
DFID	Department for International Development (UK)
IDB	Inter-American Development Bank
IMF	International Monetary Fund: Established in 1944. An organization that has supported post-war international finance along with the World Bank. While the World Bank has provided funding for reconstruction and development, the IMF has served to provide funds necessary for the fixed exchange rate system and for stabilizing currencies.
JBIC	Japan Bank for International Cooperation: Established in 1999 through the integration of the Export-Import Bank of Japan and the Overseas Economic Cooperation Fund.
JETRO	Japan External Trade Organization
JICA	Japan International Cooperation Agency
OECD	Organisation for Economic Co-operation and Development: Established in 1961 as a reorganized version of the Organisation for European Economic Co-operation (OEEC, established in 1948) to rebuild the European economy. Goals are economic growth, assistance to developing countries, and the expansion of multidirectional free trade. 30 member countries at present.
UNESCO	United Nations Educational Scientific and Cultural Organization
UNU	United Nations University: UNU was established by the General Assembly of United Nations in 1973 and started activities in September 1975 at its headquarters in Tokyo. The University is an international community of scholars and researchers and operates through a worldwide network of universities and research institutes.
USAID	The United States Agency for International Development
World Bank	Generally refers to the two organizations, the International Bank for Reconstruction and Development (IBRD) and the International Development Association (IDA). The World Bank Group includes the above two organizations and the International Finance Corporation (IFC), the Multilateral Investment Guarantee Agency (MIGA), and the International Center for Settlement of Investment Disputes (ICSID).
WTO	World Trade Organization: A core organization of international trade established in January 1995 with a membership of 142 countries and regions (as of July 2001).

Terms/Abbreviations	Remarks
JICA Terminology	
Community Empowerment Program	Started in FY1997. Support related to maternal and child health, welfare of the elderly, the disabled and children, and poverty alleviation measures are commissioned by JICA for local NGOs. Carried out as a part of Technical Cooperation Projects* from FY2002.
Development Studies	Small-scale studies that involve the formulation of simple basic development plans and the analysis of various types of basic data related to those plans, as well as surveys to make up for deficiencies in official statistics. Performed under the initiative and direction of overseas offices.
Grant Assistance for Grassroots Projects	A form of grant aid cooperation executed through Japan's overseas diplomatic offices to support small-scale projects that are not suitable to be undertaken through usual Grant Aid cooperation. Implemented in response to requests from local governments and non-governmental organizations (NGOs) in developing countries.
Grassroots Partnership Program	JICA's entrusting of cooperation on NGOs, local governments, and universities to provide more tailored and swift assistance. The maximum implementation period is for one year with less than 10 million yen. Carried out as a part of JICA Partnership Programs* from FY2000.
JOCV	Japan Overseas Cooperation Volunteers: A volunteer system established in 1965 for participants between 20 and 39 years of age. Approximately 23,000 volunteers have been dispatched to 76 developing countries.
Local In-country Training (Second Country Training)	Training conducted in developing countries so that Japan's technical cooperation outcomes can be better disseminated throughout the developing country.
Master Plan Study	A study to draw up a comprehensive development plan on an overall country or a specific region, or a long-term development plan for a specific sector.
Partnership Program	Projects carried out by JICA as part of ODA to support cooperation activities targeting regional communities in developing countries through Japanese NGOs, universities, local governments, and non-profit foundations that intend to carry out international cooperation. Particular emphasis is given to the three areas 1) Technical Cooperation through personnel, 2) target projects or regions with a high urgency, such as in the case of reconstruction assistance, and 3) opportunities to promote the understanding of and participation of Japanese citizens in international cooperation.
Project-type Technical Cooperation	A form of technical cooperation that is planned, implemented, and evaluated within a 3-5 year cooperation period. The scheme combines the dispatch of experts, acceptance of trainees, and provision of equipment. Starting in FY2002 several types of assistance are grouped together under the name Technical Cooperation Projects*.
Technical Cooperation Project	A cooperation project with certain objectives that need to be achieved in a specific time frame with a logical relationship between the output/outcome and input/activities, in which cooperation can be made up of a combination of dispatch of experts, acceptance of trainees, and provision of equipment to meet the objectives.
Third-country Training	Training in a comparatively advanced developing country in which the training utilizes that country's personnel who have received training through Japan's technical cooperation and invites trainees from other developing countries.

Terms with * are listed in this chart.

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Approaches for Systematic Planning of Development Projects
< Higher Education >

Contents

Outline of Study

1. Background and Purpose of the Study

This study is the second phase of the study on Approaches for Systematic Planning of Development Projects carried out in FY2001. The study was designed to enhance country-specific approaches by strengthening issue-specific approaches. In the first phase of the study, four major development issues (Basic Education, HIV/AIDS, Promotion of Small and Medium Enterprises (SMEs), and Rural Development) were systematized and effective approaches for them were identified. Furthermore, the study reviewed JICA's activities based on Development Objectives Charts and the results were summarized as a report "Approaches for Systematic Planning of Development Projects."

As there was a growing demand for similar systematization of other issues as well, JICA decided to conduct a new study in FY2002. As a result of coordination within JICA's relevant divisions, this FY2002 study targeted the four issues: Poverty Reduction, Trade and Investment Promotion, Higher Education, and Information and Communication Technology.

The results of this study are envisioned to be constructive in the following ways:

- As basic information when formulating and revising Development Objectives Matrices for JICA Country Programs
- As basic information for project formulation studies and project and program formulation.
- As basic information when evaluating programs or carrying out country-specific evaluations.
- As materials for the JICA staff and Experts to use when they explain JICA's views on issues to recipient countries and other donors during meetings.
- To be stored in an Agency Thematic Database and shared within JICA with respect to views and approaches to issues.

2. Organization of this Report[1]

Chapter 1	Overview of the Issue (Current State, Definition, International Trends, Trends in Japanese Assistance)
Chapter 2	Effective Approaches for the Issue (Goals, Effective Approaches) *This chapter explains the systematized approaches and reviews JICA's activities on the basis of Development Objectives Chart.
Chapter 3	JICA's Cooperation Policy (JICA's Priority Areas, Points of Concern, and Future Direction)
Appendix 1	Major Activity Cases
Appendix 2	Basic Check List (including key indicators)
References	

[1] As the results of the study are intended to be utilized in JICA's Thematic Guidelines, the organization of this report was designed to be consistent with the standard organization of future Thematic Guidelines.

3. Structure of the Development Objectives Chart

In this study, a Development Objectives Chart similar to the following was created for each development issue.

Sample Development Objectives Chart (Information and Communication Technology)

Sample Development Objectives Chart (Information and Communication Technology)

Development Objectives	Mid-term Objectives	Sub-targets of Mid-term Objectives	Examples of Activities
1. Improvement of Ability to Formulate IT Policies	1-1 Establishment of Telecommunications Policy	Introduction of Competitive Market Principle	× Support formulation of foreign capital investment policy × Support policy to promote private investment × Support deregulation of market entry ○ Support formation of competitive markets
① Formulation of national IT strategy Key Indicators	① Number of service subscribers ② Scale of telecommunications industry ③ Advancement of liberalization	① Number of new market entries ② Scale of telecommunications industry ③ Price of communications	

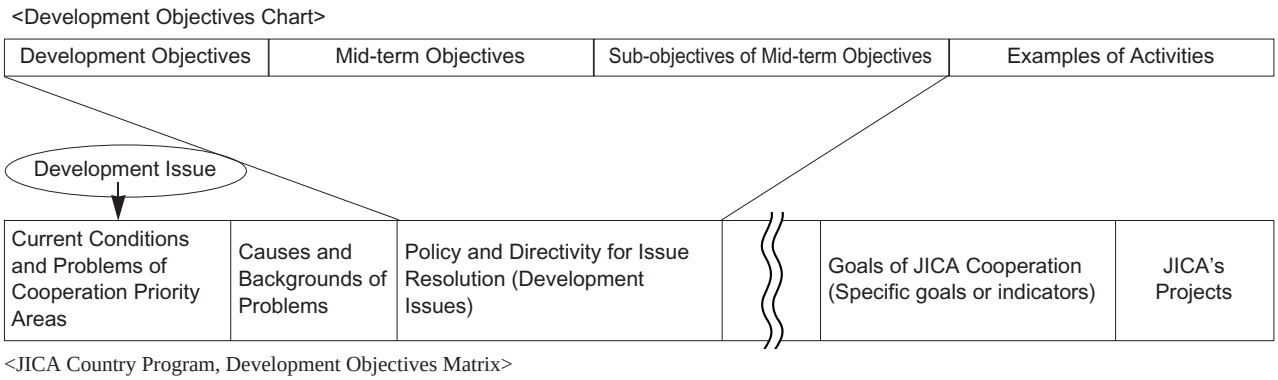
＊Circled Numbers imply key indicators
＊Marks in the column of Examples of Activities indicate how often JICA has implemented relevant projects.
◎: JICA has considerable experience, ○: JICA has certain experience,
△: JICA has experience as a component of projects, and ×: JICA has little experience.

"Development Objectives," "Mid-term Objectives," and "Sub-targets of Mid-term Objectives" in the above sample chart show the break-down of each development issue.

Development Objectives Chart includes a summary of "Development Objectives" and "Mid-term Objectives" for the purpose of showing the overall picture of an issue as well as the chart for each Development Objective including its "Examples of Activities" and JICA's relevant cases. A complete chart covering all items ranging from "Development Objectives" to "Examples of Activities" is annexed in the end of the report.

Generally, the relationship between the Development Objectives Chart and JICA Country Programs varies depending on the specific conditions of each country and sector. However, if "Development Issue" of this report corresponds to a "Priority Sector" of Development Objectives Matrix in JICA Country Program, "Development Objectives", "Mid-term Objectives," and "Sub-targets of Mid-term Objectives" in the Development Objectives Chart show the breakdown of "Policy and Directivity for Issue Resolution (Development Issues)" in the latter. (The goal level corresponding to the Development Issue differs depending on country or field.)

Relationship between the Development Objectives Chart and the Development Objectives Matrix of JICA Country Program



4. Task Force

The task force of this study is listed below. The task force was composed of four groups, and each group was responsible for drafting the respective article. The final study report was completed as a result of revisions of the draft articles based on the discussions at the Study Group meetings and a number of comments received from JICA staff of overseas offices and headquarters as well as external experts.

Members of Study Group

Chief	Director, Planning and Coordination Division, Planning and Evaluation Department	Hiroshi Kato
Poverty Reduction	Director, First Technical Cooperation Division, Social Development Cooperation Department	Eiji Inui
	Deputy Director, Global Issues Division, Planning and Evaluation Department	Harumi Okawa
	Associate Specialist, Global Issues Division, Planning and Evaluation Department	Toshinori Hamaguchi (until March 2003)
	Planning Division, Regional Department I (Southeast Asia and Indo-China)	Yasuhiro Kawazoe (also Trade and Investment Promotion)
	Associate Specialist, Second Technical Cooperation Division, Social Development Cooperation Department	Yuko Ishibashi
	Deputy Director, Project Monitoring and Coordination Division, Grant Aid Management Department	Masahiro Tawa (from January 2003)
	Second Research and Development Division, Institute for International Cooperation	Kanako Adachi (also a member of the secretariat)
	Permanent Mission of Japan to the United Nations	Yuko Ishizawa (until December 2002)
	Researcher, Global Link Management, Inc.	Harumi Iida (from December 2002 until February 2003)
	Support Unit, Poverty Reduction, Agency Thematic Network	Mitsuko Oishi (until March 2003)
Higher Education	Director, Programme Division, JICA Yokohama International Centre	Nobuko Kayashima
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Overview of Effective Approaches for Higher Education: Executive Summary

1. Overview of Higher Education

1-1 Definition

Higher education comprises all post-secondary education, training and research guidance at education institutions such as universities that are approved by the state authorities as higher education institutions. It includes not only those that take place within regular universities and graduate schools, but shorter term education and training courses (polytechnics, junior colleges, and various forms of technical specialty schools) that are 2-3 years in length, and even correspondence courses that make use of information technology and are targeted at a broad population of students.

Higher education institutions - most prominently universities - have three purposes: education, research and contributing to society.

1-2 Current Situation

The recent rise of a knowledge-based society; social, economic and information globalization; increased demand for higher education; and changes in the social and potential environment of developing countries are all deeply connected to each other and are having a significant influence on higher education. Higher education is charged not only with developing government and private sector leaders, but also bears the burdens of developing broadly knowledgeable human resources and raising society's overall intellectual level. Higher education and society are also in a dynamic relationship, leading to demands for higher education to meet society's expectations.

Recently, the number of students enrolled in higher education has increased in developing countries. However, there are mounting problems including disparities among regions and by gender and race/ethnicity, lack of financial resources, and decline in quality of education and research. Higher education that responds to the diverse needs of an increasingly complicated society and economy is needed.

1-3 International Trends

From the 1960s to the 1980s, based on an understanding that the effective development of human resources would drive economic growth, overall investment in education grew. In higher education, technical education and training that could be directly linked to economic growth was emphasized.

Upon entering the 1980s, amidst the problem of accumulating debt, structural adjustments were instituted in developing countries, and the government cut education budgets markedly. In particular, cuts were made in monies devoted to higher education, where expenditure per student (unit cost) was high. In addition, basic education as a fundamental human right was once again recognized, and in 1990 the World Conference on Education for All was held, leading to primary education becoming the main current of international cooperation efforts in the education field.

However, upon entering the 1990s, rapid globalization of society and the information revolution brought about social changes resulting in a relatively significant increase in the role of knowledge in economic and social development as well as a growing trend towards re-recognizing the role of higher education.

In 1998, UNESCO took the lead in organizing the World Conference on Higher Education, where the World Declaration on Higher Education was adopted. The Declaration presented 17 articles delineating future directions for higher education reform as well as priority actions for change and development of higher education at three levels (national level, institutions level and international level). Following this conference, one could see a new movement to support higher education in such actions as the World Bank's 2000 review of aid to higher education.

1-4 Trends in Japanese Assistance

Japan's aid to higher education, includes grant aid from the Ministry of Foreign Affairs, loan cooperation from the Japanese Bank of International Cooperation (JBIC), and scholarship program for foreign students and research assistance from the Ministry of Education in addition to the technical cooperation implemented by JICA.

Customarily, Japan's development assistance had emphasized human resource development in the higher education and technical education areas, as this was expected to contribute directly to economic activities and technological development. As a result, up until the 1980s, the mainstay of Japan's aid cooperation was establishment and expansion of university departments and courses in technical and scientific fields. However, in the latter part of the 1980s, assistance for improving the research capacity of graduate schools and research centers over a broader range of fields was implemented. Recently, the target of assistance has widened to include the areas of university management and higher education administration as well as providing scholarships.

JICA's cooperation in the higher education area amounted to 19% of its overall education assistance in 2001, constituting a large volume. In addition to more customary assistance to strengthen scientific specialties, recent trends show an increase in aid for higher education administration and the social sciences. The target regions for the aid are predominantly in Asia but, recently, dispatch of Japan Overseas Cooperation Volunteers (JOCVs) and JICA experts to the Africa region has been gradually increasing.

2. Effective Approaches for Higher Education

2-1 Four Development Objectives for Higher Education

Recent efforts to address issues in higher education in developing countries take into account the changes in environment surrounding higher education and the roles demanded of it. Efforts have aimed at diversifying higher education institutions, promoting lifelong learning, expanding opportunities and pursuing equity, distance/regional education, evaluating institutions and raising quality, networking among institutions, building relationships with industry, promoting private education, diversifying financial resources, and governance. Based upon these efforts, this report has identified the following four development objectives: Improvement of Educational Activities, Strengthening of Research Function, Promotion of Contributions to Society, and Improvement of Management.

2-2 Effective Approaches for Higher Education

Development Objective 1: Improvement of Educational Activities

Higher education institutions must not only use educational activities to produce the human resources necessary for socio-economic activities but also to provide opportunities in higher education that match individual needs and abilities. Therefore, improvement of educational activities must take into account both societal and individual needs.

Directions for improvement of educational activities include, first, diversifying higher education institutions in order to guarantee wider access and respond to the diversification of higher education needs. Second, quality of higher education must be improved. Third, to promote equity in higher education by expanding education opportunities for women and other vulnerable groups in the society must be planned.

To diversify higher education institutions, diversifying courses of study, employing distance education that makes use of information technology, promotion of private education, and establishment of regional universities can be considered. To improve the quality of higher education, one must improve the quality of teachers, students, curriculum, educational materials, as well as facilities and equipment. To promote equity, instituting a preferential admissions policy for women and other vulnerable groups, diversifying higher education institutions to include

ones that meet the needs of these persons, assisting in the securing employment after graduation, and activities to convince society of the merit of the education of these persons are necessary. Rectifying inequities at the primary and secondary levels is also essential for promoting higher education enrollment among women and other vulnerable groups.

Development Objective 2: Strengthening of Research Function

Research activities contribute directly to improving the quality of higher education personnel, are indispensable in their connection to the improvement of education activities, and dissemination of the results of research activities contributes to society. However, in developing countries there are many higher education institutions that are not adequately involved in research.

In order to strengthen the research function, it is necessary to approach the issue both by developing and strengthening the human resources who will perform the research and by establishing an appropriate environment for research activities. In developing human resources, it is essential to develop researchers in a deliberate way through encouraging mutual exchanges internationally and among institutions and other means. To establish an appropriate environment for research, securing facilities and equipment that match the level of the institution as well as providing access to online journals and research networks are important. In addition, to vitalize research activities, one can consider providing opportunities for presentation of research results and promoting joint research activities.

Development Objective 3: Promotion of Contributions to Society

Contributing to society by circulating built-up intellectual capital directly to society is one important function of higher education. However, as the role of higher education has come to be reevaluated recently, more and more demands are being made for higher education to contribute to community development and to industry.

Ways for higher education institutions to assist with community development include making educational curriculum and/or research activities focus on community development issues in the local community, having higher education institutions themselves implement community development activities, and providing technical guidance and information to community development institutions.

To develop relationships with industry, higher education institutions can not only supply human resources with technical expertise and other knowledge, but collaborate directly by conducting joint research or exchanging teachers and technologists.

Development Objective 4: Improvement of Management

In order to plan for the overall improvement of education and research, sustain these improvements, and to respond to the diverse needs accompanying changes in society, one must place into view the entirety of the higher education sector and improve the management of a whole institution.

In order to improve management, first one must establish a policy framework that matches trends and needs both outside and within the country. Setting up a consistent legal, political and financial framework is necessary. Strengthening management capacity of government administrators and of individual higher education institutions is necessary. Improvement on the financial aspect is particularly important. Diversification of financial resources and improvement of financial management is required. Also, it is necessary to improve the management of scholarship programs. Furthermore, in order to prevent decreasing quality from accompanying an expansion in volume in higher education, an evaluation system that is appropriate for a given country's own situation and the establishment of an accreditation system are important issues.

3. JICA's Cooperation Policy

3-1 JICA's Priorities

3-1-1 Principles

Up until now, much of JICA's higher education cooperation aimed at addressing the scarcity of technologists in particular fields or specific technological issues, rather than being a systemic approach to higher education as a whole. In order to attempt a new prioritization for higher education cooperation at JICA, first we need to discuss our understanding of higher education as a whole systematically. Then, based on that, we need to compile project experiences and clarify any JICA advantages. In deference to this process, we will not present development objectives based on the Development Objectives Chart at this stage; we will stop at principles regarding the conduct of higher education cooperation.

3-1-2 Cooperation for Basic Education and Higher Education

When implementing higher education cooperation, it is important to base the cooperation on the position of higher education within the educational field in that country, especially taking into account the relative prioritization of basic education and higher education.

In countries where basic education is still underdeveloped, one should place the first priority for development on basic education. The spread of basic education is not only necessary to the solution of development issues as a whole, but from both a volume and quality perspective, basic education composes the floor of the educational pyramid. On the other hand, if one considers that institutions of higher education are the source of intellectual capital in the society and places to train teachers, even in the case of less developed countries and small countries, some type of higher education function is necessary. Higher education is also necessary to develop teachers and for education and research. Therefore, it is necessary to engage in cooperation in the higher education field that touches upon the significance of higher education in a country and promotes balance in the overall educational sector.

3-1-3 Higher Education Cooperation Appropriate to Conditions of the Target Country

The roles demanded of higher education depend on each country's socio-economic conditions and range from developing the human resources needed for development, guaranteeing educational opportunities for self-realization, serving as a base of intellectual capital for the development of a knowledge-based society, contributing to society using accumulated intellectual capital, etc. For this reason, higher education policies and development strategies are not uniform. At the same time, recently, the same knowledge is demanded both in developing and more advanced countries in this internationally competitive society, and it is important to ensure education and research of high quality whatever the location.

Therefore, in higher education cooperation for developing countries, one must be conscious of the internationality of higher education while at the same time considering the situation of higher education in the given country, the development level of its educational sector as a whole, as well as the country's needs for development of human resources, and the country's own higher education development strategy. Then one can choose the most important areas for cooperation from the Development Objectives Chart. Points to pay attention to in the process include the following three:

1) Diversification of Higher Education

At present, the diversification of society has generated strong demand for higher education roles other than the development of technologists; these roles include things like guaranteeing availability of higher education for the masses and for vulnerable groups in the society, dealing with the information society, etc.

2) Structural Reforms in Higher Education

One should address not just the development of individual higher education institutions, but the reform of the higher education system as a whole. In addition, one should approach assistance for individual higher education institutions based on a grasp of the legal, institutional and financial frameworks of the overall higher education sector.

3) Diversification of Target Educational Institutions

Institutions targeted for cooperation should include not only those at the apex of the country's educational pyramid, but should be spread to those regional institutions and junior colleges that carry the burden of bringing education to the masses.

3-1-4 From Assistance for Specialty Education to Assistance for Higher Education Management

To expand higher education in developing countries, in addition to technical guidance in specialized fields, guidance on management of the higher education institutions themselves is necessary (securing and execution of a budget, provision and management of incentives to instructors, equipping the environment for education and research, strengthening ties with industry and the local community).

Therefore, JICA's future higher education cooperation should not only aim for technology transfer in specialized fields, but rather should bring into view the overall management of education and research at the target institutions and actively work towards its improvement. In order to do this, JICA must incorporate this management aspect from the early planning stages of projects and include management experts among the experts dispatched to assist with projects. JICA itself also needs to accumulate knowledge about the management of higher education institutions.

3-2 Points of Concern in Higher Education Cooperation

3-2-1 Higher Education Development and Political Interference

In higher education, political power has much impact. Therefore, in providing assistance in this sector, it is necessary to obtain a strong and consistent commitment from the government. In addition, it is necessary to engage in continuous exchange of opinions and compromise of opinions with stakeholders.

3-2-2 Globalization and Higher Education

Higher education is asked to contribute to increasing a country's international competitiveness. At the same time, higher education receives various influences from the rapid globalization. Examples of this are the acceleration of the brain drain, the diversification of higher education as a result of the development of information and communication technology, and the internationalization of higher education institutions. These issues are not ones that can be settled within a single country, but must be dealt with under international collaboration.

3-2-3 Privatization of Higher Education

In developing countries where higher education is being provided to the masses, private higher education institutions are rapidly expanding as another new receptacle for increasing higher education demand. Thus far, targets for JICA assistance have mainly been public higher education institutions. However, based on cooperation aims such as provision of higher education to the masses and responsiveness of higher education to socio-economic needs, one must also consider private schools as potential counterpart institutions. Nonetheless, one must keep in mind that with the privatization of higher education, issues of educational quality and fairness in

distribution of educational opportunities arise. One hopes for planning of assistance that includes both things like the creation of a system of quality assurance and a policy to promote equity through such things as scholarships that aim to secure fairness of opportunity.

3-2-4 Introduction of Competition into Higher Education

Recently, the idea that one should aim to improve educational quality through bringing the principle of competition into higher education has become the prevailing way of thinking. This would involve apportionment of budgets based on the results of competition among higher education institutions, among instructors and researchers, and among students. In future assistance, JICA must create incentives and raise quality through introducing competitive principles within and among educational institutions.

3-2-5 Securing of Sustainability

In higher education cooperation, the most important issue is securing the promise of sustainability once the assistance is completed. From an early stage, discussion of a plan for securing independent funding for budget items must take place, and this plan must be incorporated into project activities. Things like a national study abroad scholarship program that make use of outside funding and outside systems, as well as links with industry, are indispensable for promoting this kind of independent development momentum. If through contracted work with Japanese universities, higher education institutions in developing countries and Japanese higher education institutions can build an ongoing cooperative relationship, one can also consider this a contribution to the sustainable development of the higher education institutions. Therefore, this kind of contract work should be considered by JICA for the future.

3-2-6 Lack of Domestic Resources for Higher Education Cooperation

Japan lacks human resources for supporting aid to higher education in developing countries. The number of experts in Japan who have knowledge and experience concerning higher education administration and university management in developing countries is extremely limited.

Therefore, to develop new higher education projects, JICA must compensate for the lack of domestic resources by developing Japanese human resources for higher education assistance through appropriate training and study, actively use experts in developing countries or other third countries, and make use of new forms of assistance such as open requests for proposals and subcontracting arrangements.

3-2-7 Mutually Beneficial Measures of Cooperation for Higher Education Institutions Both in Japan and Developing Countries

Japanese higher education institutions have given advice and provided their professors as human resources for higher education cooperation in developing countries. However, in the future we can imagine that there will be a wider array of forms of collaboration such as Japanese higher education institutions themselves taking charge of implementing projects. Through cooperation with developing countries, Japanese higher education institutions can gain information and exchange personnel with fellow higher education institutions within a network and thereby improve their own quality. It is best if such mutually beneficial ways for Japan and higher education institutions in developing countries to cooperate can be found. Nonetheless, issues such as evaluation and management are also currently problematic for Japanese higher education institutions. As Japanese higher education institutions do not have comparative advantage in all areas, JICA must grasp the comparative advantages of Japanese higher education institutions in planning international cooperation for higher education.