




**RESEARCH TEAM PROJECTS ON SOCIAL SCIENCES
OPEN MODALITY AND MODALITY ON INNOVATION OF PUBLIC POLICIES 2007
FIRST YEAR PROGRESS REPORT**

I. PRESENTATION

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| PROJECT TITLE | | CODE |
| <i>Higher Education Policy Research Program</i> | | SOC-01 |
| MODALITY | | |
| <i>Innovation on Public Policies</i> | | |
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| Universidad de Talca; Universidad Nacional Andrés Bello; Universidad Alberto Hurtado. | | |
| PERIOD INFORMED | | |
| Sep-08 - Sep-09 | | |

| MAIN RESEARCHERS | |
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III. EXECUTIVE SUMMARY

This section should have no more than 3 pages. Please summarize the updated achievements of the project including those related to research objectives, publications, national and international collaboration, training activities, dissemination to the scientific community, application and/or transfer of knowledge generated and outreach to non-specialized public.

The contents of this section are public and may be published in CONICYT's web site. Since this summary has to be available to non-experts in your area, we request the use of relatively simple language, photographs, schematic diagrams or explanations when technical terms are require.

The present document reports the first year activities of the Anillo Program (SOC01) on Higher Education Policy. The Anillo Program is an associate and collaborative endeavor among Alberto Hurtado University, the University of Talca, Andres Bello University and Diego Portales University. The Program is located in the Center for Comparative Educational Policies (*Centro de Políticas Comparadas de Educación, CPCE*) at the Diego Portales University, Santiago with the backing of the four member universities.

This report includes those activities which have been directly undertaken as part of the Anillo Program – that is the nucleus of principal and associate researchers and participating young researchers – in research, teaching, training, international and national networking, the diffusion and transfer of knowledge as well as the sum of other joint activities in the field of higher education policy that have been indirectly supported. For the Anillo Program not only undertakes research, teaching and intervention – as described in the original proposal – but acts as a catalyst for closely associated activities by promoting spin offs, new concepts and projects, further initiatives and the opportunity to coordinate and maximize activities.

The Program researchers are José Joaquín Brunner, PhD, Director; Andrés Bernasconi, PhD, Principal Researcher; Juan Pablo Prieto, PhD, Principal Researcher; Oscar Espinoza, PhD, Associate Researcher; Enrique Fernandez, PhD, Associate Researcher; Manuel Krauskopf, PhD, Associate Researcher; Felipe Salazar, economist, Assistant Researcher and Judith Scheele, MA, Assistant Researcher.

Having completed its first year, the Anillo Program is now in full development. As a result, for the first time in Chile there is now an inter-institutional and interdisciplinary nucleus of specialized researchers working together in the field of higher education. This nucleus is composed of eight researchers (principals, associates and assistants) belonging to the four member universities. In addition, between September 2008 and September 2009 four senior researchers and around ten assistant researchers and research support staffs have become involved in various Program related activities.

The research undertaken in the first year of the project covers three areas; (i) Institutions and public regulations in mixed competitive higher education systems; (ii) Policies to stimulate and help institutional capacity building; (iii) Quality control processes and procedures in mixed and competitive higher education systems. In each of these areas there are various research-lines and projects, which are staffed by Program's researchers (Section IV). During the last twelve months they have published –either as authors, coauthors or editors– three books, sixteen book chapters, twenty articles in peer reviewed journals, as well as many other more general publications for diffusion and knowledge transfer as noted below.

The Program's publications seek to advance specialized knowledge about the Chilean tertiary education system through a multidisciplinary and comparative focus with the purpose of disseminating and transferring knowledge to help in the formulation and design of public policies and its informed reflection and deliberation. Together, these publications cover the system's most important features pertinent for public policy in Chile. These are:

- Institutions, regulations and finance
- System governance and institutions

- Institutional strategies and organizational management
- Development of the academic profession and graduate studies
- Information, indicators and quality assurance.

It is worth pointing out that Program research results have been published not only in Chile but also in Germany, Brazil, Spain, the United States, the Netherlands and various international journals.

In addition, during its first year, the Program has enlisted higher education researchers from other (non-member) institutions in three ways:

- (i) A monthly workshop for presentations and discussions about research in progress;
- (ii) A national congress for higher education researchers which will take place in October 2009;
- (iii) A multi-authored book, edited by Program researchers, with articles by leaders in higher education institutions and academic experts.

The Anillo Program's strong collaborative environment has led to the development of various cooperative activities as part of its knowledge management undertakings (i.e. joint production, transfer, application, and evaluation of knowledge) with the main national public agencies, namely, the Higher Education Division of the Ministry of Education; the National Council of Education, and the National Accreditation Commission. As well as those activities involving the member universities, there have been different kinds of joint activities with at least 20 other higher education institutions in Chile. In brief, the Program is an active participant in national knowledge networks linked to higher education.

In terms of external cooperation, the Program has undertaken different initiatives (Section VII) with three associated centers: the Institut für Hochschulforschung Wittenberg an der Martin-Luther-Universität Halle-Wittenberg, Germany; the Centre for Higher Education Management Studies at the Polytechnic University, Valencia, Spain, and the Comparative and International Education Policy Program (CIEPP) at the State University of New York (Albany) USA. Program researchers participated also in various collaborative initiatives with the Grupo Faro, based in Quito and the Fundación Ecuador; the National University of Cuyo, Mendoza, Argentina; the National Autonomous University of Merida, Yucatan, Mexico; the Catholic University of Guayquil, Ecuador, and with the OECD, the World Bank, Global Initiative for Quality Assurance Capacity (GIQAC), the Columbus Program, Boston College, the Ministry of Education in Argentina, and the Department of Latin American Studies (TCLA) of Leiden University, the Netherlands. Through an agreement reached with this last university the Anillo Program will participate in the training of doctoral students within the field of higher education. These different international initiatives are described fully in appropriate sections of this report.

During this first year Anillo Program members have taught courses about higher education policy in various Masters programs given by participating and non-member institutions. This module was taught in MA programs at the University of La Frontera, the University of Chile (Industrial Engineering Department) and the Alberto Hurtado University for a total of 50 students. During this same period Program researchers have guided 6 Masters' theses and one doctoral thesis in different Chilean and foreign universities. Member institutions are also involved in training activities for leading personnel responsible for university management on issues such as research management and curricular innovation and reform, with the attendance of university management personnel. A training course for leading university executives was also given at the Autonomous University of Yucatan, in Merida, Mexico.

The principal outreach method for the scientific community has been, first, that of academic publications, listed in the Appendix and by the *Bulletin of Higher Education Policies*, which published five issues in the program's first year. It is electronically distributed to over two thousand interested people in government agencies, parliament, university leaders, academics, non-governmental organizations, business organizations, and mass communications. Second, four issues of the Bulletin, which synthesizes the results of international research in the higher education field, have been published. Third, program researchers participate on a regular basis in different academic meetings.

The Anillo Program is also involved in the diffusion of information and ideas to non-specialist publics through various types of extension activities. For example, the Program's Director has published over one hundred posts dealing with the analysis of and reflections about higher education issues in his academic blog (www.brunner.cl), while the Program's own site (<http://www.cpce.cl/anillo/>) provides timely information about its research, publications and the activities of researchers, who have in addition gave more than 50 public interviews to the press, radio and television about higher education topics.

In terms of outreach and applied knowledge, the Program has used all the different procedures and instruments originally envisaged in its proposal. The following should be briefly mentioned (for more information see Section IX):

- *Synthesis of research results and recommendations.* Four working documents were produced during the first year: (i) Tertiary education and the labor market - review of the international literature; (ii) Doctoral education in the sciences and engineering in developed countries – recent evolution and perspectives; (iii) Quality assurance in non university tertiary education - an analysis of evaluation mechanisms in OECD countries; (iv) Accreditation processes – information and indicators: an analysis of the international literature. These publications are addressed to public policy and decision makers; boards and leaders of higher education institutions (HEIs), and the media.
- *Public Policy Bulletin of Higher Education Policies.* An e-Bulletin is circulated on a bi-monthly basis to registered public leaders, boards of HEIs, national researchers' networks, relevant private organizations, and media. To date five numbers have been published dealing with the following issues: Contemporary debate about higher education policy; Management of the academic profession; Access, inclusion and equity in university entrance; Performance contracts and strategic planning. These are available at <http://www.cpce.cl/es/publicaciones/boletin-de-politicas-publicas-en-ed-superior>).
- *Academic publications in specialized journals, books and book chapters.* The public here is national and international (specialized) research networks and the academic community at large. These are set out in more detail in section IV in this report and the relevant Appendix provides a detailed list.
- *Opinion columns in the media (print and electronic)* are intended to inform and whenever possible to influence discussions about the public agenda in higher education and to participate in these discussions. Various Program members actively take part in the public sphere.
- *Leadership development for higher education policy* through workshops on higher education policy and management for public sector and HEI personnel in executive positions. Two workshops were organized addressing issues about research management and curricular reform.
- *Support for publishing activities through the Program's site*, so allowing external researchers to present working papers and to be published after peer review. These are to be found at the Program's web page; in the near future, the presentations at the first Congress of Higher Education Researchers, which is being organized by the Anillo Program, will be published.
- *Communication with public leaders of select public agencies to define working issues and priorities.* The program and its members have maintained close ties with the principal agencies in the sector and gained various research contracts as noted in the appropriate sections of this report.
- *International networks: transfer of ideas, knowledge and policy innovations through exchanges with associated centers and participation in international events, consulting & advisory services.* As noted above, the program has active agreements with many institutions in Latin America, the USA and Europe, as well as collaborative projects, academic interchanges and advisory services and consultancies.
- *Platform for collaborative projects through alliances with associated centers and utilization of foreign external consultants to ensure the Program's sustainability and strengthen its endogenous capacities.* In this area, the principal success has been to develop a platform for international collaboration and to reach agreement with the Department of Latin American Studies at Leiden University to develop a joint program for doctoral training in the field of higher education studies.

IV. RESULTS IN RESEARCH

Use a maximum of 5 pages in this section in order to inform the results of the research activities during the Project.

In order to fill up this section please follow the instructions:

- a) Organize this section according to the specific objectives of the Project, mentioning all changes, modifications or replacements. Use for that the Work Plan presented in your Project.
- b) If the research team considers necessary to mention negative results and requires space to discuss them, it should use this section for that purpose.
- c) Include all appendices that you consider that adds value to the presentation of your results. Please do consider that reviewers have a limited time span to do their job.
- d) If you consider necessary give details about the papers published or in progress, and activities of dissemination, you can use this section. Nevertheless the list of publications, outreach, organization and participation in events, must be informed in the Appendix.

Consistent with the original Anillo proposal, the Program's research activities have concentrated during the first year around three areas and followed the research paths originally proposed for each of them. A detailed list of the resulting publications from this work is to be found in the respective Appendix.

Area 1: Institutions and public regulations in mixed competitive higher education systems

- 1.1 *Analysis, evaluation and follow up of recommendations to improve regulations which are produced by the Higher Education Advisory Council (Consejo Asesor de la Educación Superior) their reception by policy and decision makers and other system actors; their incorporation in the sector's public policies; their translation into legal documents and administrative rules and practices.*

J. J. Brunner and C. Peña edited the book *La Reforma de la Educación Superior* (Higher Education Reform) that includes 17 articles in which university authorities and academic experts analyze the challenges that face Chilean institutions in terms of regulations and future finance as seen by different types of institutions (i.e. state, privately funded and established before 1980, Catholic, regional and research universities). (*Reseñas Educativas* (Educational Reviews) provides comments on its content at : <http://edrev.asu.edu/reviews/revs227index.html>).

So too, through his academic blog, the project Director (www.brunner.cl) monitored the reception and debate in the press about the 'Report of the Advisory Council on Higher Education' and the 'Review of Chilean Higher Education' published jointly by the OECD and the World Bank. Around 30 posts were published based on the reactions of diverse actors involved in the debate as well as brief analyses and op.eds.

R. Figueroa and J.J. Brunner are working in collaboration with Ecuadorian researchers on a comparison of higher education legislation in five Ibero-American countries (Spain, Chile, Colombia, Ecuador and Peru) which looks at the following system dimensions; legal definition of higher education, types of institutions of which it is composed, system governance, institutional governance, higher education finance and quality assurance systems. This study is expected to promote debate and reflection about the current proposals for a higher education law being discussed in Ecuador.

These studies are complemented by the O. Espinoza and J. E. Gonzalez's article *Reflections on the concepts of politics, public policy and educational policy* (Reflexiones sobre los conceptos de política, políticas públicas y política educacional) published in *Archivos Analíticos de Políticas Educativas/Education Policy Analysis Archives* which proposes a conceptual framework by which to approach public and educational policy from different theoretical perspectives.

- 1.2 *In parallel, the development of comparative studies which permit the transfer and use of knowledge generated internationally with reference to institutional design and the application of public regulations without weakening diversity and converging toward social objectives.*

The central activity along this research line was the preparation of the book *Higher Education in Chile: Institutions, Markets and Government Policies (1967-2007)* (Educación Superior en Chile: Instituciones, Mercados y Políticas Gubernamentales (1967-2007) by J. J. Brunner to be published in November 2009. The book analyses in detail the transformations experienced by the Chilean higher education system over the last decades, based on four crucial moments: first, the University reform of 1967 that put an end to traditional and pre-professional development of tertiary education institutions; second, the military intervention of universities in 1973; third, the creation of a neo-liberal political-legal framework for higher education, adopted as part of the military regime's modernization of the state in the early 1980s; and fourth, the changes, policies and corrections made by the newly restored democratic regime in 1990 to the present with the aim of expanding equity and assuring quality. The common root that links these moments is the relation between institutions and their academic staff; government policies and regulations, and markets, the forces of supply and demand, and the logic of competition and institutional positioning.

This research line also includes a comparison of higher education indicators in the OECD countries (average values for member countries) and Chile. The dimensions considered are: system output, participation in higher education, labor market impact, production of knowledge, internationalization and financial resources (see the article *Performance of the Chilean system from the perspective of international comparisons* in J. J. Brunner and C. Peña (eds.) *La Reforma de la Educación Superior*.

1.3 *Additional questions for system regulation; (i) how to obtain transparency in a market of mixed suppliers by the legal obligation to inform; (ii) what set of norms to adopt to regulate the award of academic degrees and to facilitate the exercise of professions.*

In the last component of Area 1, the Anillo Program is working, in association with the Department of Industrial Engineering (DII) of the University of Chile, in the design of an information system linked to the university accreditation process, which will also provide information to students about the institutions and programs where they might wish to study. This project is financed by the National Accreditation Commission (Comisión Nacional de Acreditación, CNA) and is a good example of joint activities between the public sector and the Anillo Program, as well as illustrating the transfer of knowledge from academia to the policy sector. Already the Program has produced a first research synthesis by J. Scheele on this topic, titled *Accreditation processes, information and indicators. An analysis of international literature* (Procesos de acreditación: información e indicadores. Un análisis de la literatura internacional).

Also related to this component, O. Espinoza published two texts during 2009: (i) *Certification of Degrees and Professional Qualifications in Latin America and the Caribbean* (Certificación de Títulos y Habilitación Profesional en América Latina y el Caribe) and (ii) *Certification of Degrees; the case of Chile* (Certificación de Títulos: El Caso de Chile) both published by CINDA. These studies examine how degrees are certified in six Latin American countries, including Chile; the requirements for degree registration and professional qualifications, and the entities responsible for these processes.

Area 2: Policies to stimulate and help institutional capacity building

2.1 *Analysis and evaluation of international support policies, mechanisms and instruments in contexts where governments intervene at a distance and use market type mechanisms to finance higher education, their properties and effects on the behavior of academics and institutions and in particular university strategic planning and institutional processes.*

Together with A., Professor at Boston College, on the management of higher education institutions, targeted at Rojas, A. Bernasconi wrote a chapter on institutional governance for a book edited by Philip Altbach university administrators in emerging systems of higher education. The chapter analyses the way that

universities are governed in the context of political economies which are characterized by high institutional autonomy, diversification and resource competition.

Along the same research line, Bernasconi contributed an article on the topic: *Management of quality in universities; where to begin? What are the key dimensions?* (Gestión de la calidad en las universidades: ¿Por dónde partir? ¿Cuáles son las dimensiones claves?), to be published in a book produced by the Chilean National Accreditation Commission. This article takes the view that for higher education institutions to establish quality criteria and to evaluate their fulfillment and continuous monitoring, it is necessary for them to focus on what distinguishes each university as an organization. So the first step toward quality management is for each university to define its unique organizational attributes and not only the broad attributes of its institutional mission.

Brunner published *The Bologna Process from a Latin American perspective*, an article in which the impediments to Latin America undertaking a higher education reform along the lines of the Bologna process are identified. The argument is that Latin American governments increasingly limit their interventions to the institutions' funding and for system coordination rely on the free play of the forces of supply and demand, on institutional corporative interests, and negotiated rules of the game. In these conditions it would not be possible to promote a process similar to Bologna that presupposes strong intergovernmental intervention and coordination.

Lastly, Bernasconi is completing a draft of an article entitled *Private and public pathways to world class research universities: the case of Chile* in which he analyses, as comparative case studies, the experience of the University of Chile and Catholic University of Chile to transform themselves into 'world class' research universities. The article contrasts the different paths followed by each of these universities to strengthen their research functions.

2.2. Comparative analysis, in diverse higher education systems, of private universities' closure and survival rates, from the point of view of institutional self-definition, organizational objectives and resulting management strategies

This research line has been developed in collaboration with the Deutsche Forschungsgemeinschaft (DFG), a component of the joint project "Private Hochschulen im internationalen und historischen Vergleich, 1950-2004" ("An international historical and comparative analysis of private universities 1950-2004"). The researchers include those from the Anillo Program and form the Institute for Higher Education Research from the University of Halle-Wittenberg (M. Stock, G. Lenhardt y R. Reisz). The studies aim to determine the survival rate for private universities in four countries (i.e., Germany, Chile, Rumania and the USA). Researchers involved in this project have produced one article, *The demise of private universities in Chile* (Das Sterben Privater Universitäten in Chile) by E. Fernández and A. Bernasconi. Fernández has also contributed the article *Organizational Survival in Private Higher Education in Chile, Germany, Romania and the United States* (2008), to be published in the volume *Education, Research and Innovation. Policies and Strategies in the Age of Globalization*. This same group working on the DFG project has produced the working paper *Private Hochschulen in Chile, Deutschland, Rumänien und USA – Struktur und Entwicklung* (Institut für Hochschulforschung (HoF) an der Martin Luther-Universität Halle-Wittenberg).

E. Fernández and A. Bernasconi published in the Journal *Die Hochschule* 2008/2 an article on *Das Sterben privater Universitäten in Chile* (Demise of private universities in Chile) which analyses why private universities close in Chile and shows that youth, small size and difficulties of access to finance are the principal causes for the disappearance of universities either on their own volition or as a result of Higher Council of Education's decisions.

2.3 Analysis of cases that refer to the implementation of policies and instruments for promotion and measurement of academic work (which are beginning to be used in Chile); their adaptation to the competitive context that involve/entangle institutions and their impact on the career of academics and organizational cultures.

Bernasconi completed at the end of 2008 and the beginning of 2009 two drafts for articles supported through his Fondecyt Project (N° 1070359) “Regimes of faculty work in Chilean universities: a panel study of organizational structure and change in a market-dominant environment”. The first, titled *A contingency theory perspective on the organization of faculty work*, analyses the rules and policies of academic work in twelve Chilean universities from the point of view of contingency theory and is currently being evaluated by the *Administrative Science Quarterly*. The second article, based on the same data, is *The apotheosis of the Researcher and the Institutionalization of the Academic Profession in Chile* (La apoteosis del investigador y la institucionalización de la profesión académica en Chile); it demonstrates the influence of the academic researcher model across the whole of the academic profession in Chile. This work is currently being evaluated by the Review *ESE Estudios sobre Educación*. A summary can be found in *Boletín Anillo* N° 4.

E. Fernandez participated in a project internal to the Universidad Alberto Hurtado, which analyses the experience of different Chilean universities in creating offices of institutional analysis. The article focuses on their installation, the difficulties facing their implementation and the principal areas in which they work. This resulted in the article *Information and decision making; Offices of Institutional Analysis at Chilean Universities*, (“Información y toma de decisiones: Oficinas de Análisis Institucional en las Universidades Chilenas”) (2009), published in the journal *Revista Calidad de la Educación* co-authored with Felipe Rivera and Pablo Astudillo. This research is linked to activities under Fondecyt project (N° 1085329) entitled “The Limits of Diversity; the state, market, and prestige as sources of organizational isomorphism in Chilean Universities; the case of medical careers” (Límites de la diversidad: el Estado, el mercado y el “prestigio” como fuentes de isomorfismo organizacional en las universidades chilenas. El caso de las carreras de medicina) being undertaken by E. Fernández and A. Bernasconi. The objective is to determine the degree of homogeneity and diversity of organizational structures, functions and decisions at Chilean universities. The work is at the phase of collecting information for the analysis and the writing of an article on the different dimensions of organizational development at Chilean universities.

O. Espinoza and L.E. Gonzalez completed an article on *The Evaluation of Academic Performance in Higher Education; a model of analysis* (Evaluación de Desempeño Académico en Educación Superior: Un Modelo de Análisis) which will be published by the National Accreditation Commission in the book *Strategic Management Challenges for Higher Education Institutions* (Desafíos de la Gestión Estratégica de Instituciones de Educación Superior). This study provides a model for the evaluation of academic performance that includes a battery of instruments applicable to the distinct actors involved – students, academic staff, managers and their counterparts. This provides a more complete tool to measure academic work with an integral examination of the distinct levels.

Both authors have also published *Study of the results and impact of support programs for postgraduate training in Chile* (Estudio sobre resultados e impactos de los programas de apoyo a la formación de postgrado en Chile) as part of the project “A study of the results and impact of support programs for post graduate training in sciences and engineering in Ibero-America” (Estudio de resultados e impactos de los programas de apoyo a la formación de posgrado en ciencias e ingeniería en Iberoamérica). This study provides an up-to-date panorama of the evolution of post graduate studies, their projections as well as the impact in terms of advanced human capital formation.

Last, J.J. Brunner and F. Salazar finished a study that measures scientific production in the field of educational research. They propose a measure based on Google Scholar and expressed through the H Index. They then apply this method to research in Chile. In parallel, M. Krauskopf and E. Krauskopf published *An epistemometric vision of ‘Revista Médica de Chile’ and its contribution to medical knowledge* (Una mirada epistemométrica de la *Revista Médica de Chile* y su aporte al conocimiento en Medicina). And Brunner prepared an article, to be published shortly in Brazil, on the field of higher education studies in global perspective, the Latin American region and Chile, concluding that this research area is only weakly structured in Chile and Latin America with a low degree of professionalization and specialization.

Area 3: Quality control processes and procedures in mixed and competitive higher education systems

3.1 *Analysis of procedures used in Chile for quality assurance and institutional accreditation; implicit criteria for the definition of quality, variables considered and their relevance; the application of these criteria and their results; the role of visits undertaken by peer evaluators; decisions of the accrediting organizations and their impact on the institutions.*

Within the framework of the study sponsored by the National Accreditation Commission (CNA) of Chile (mentioned in 1.3 above) the results of institutional and program peer reviews are analyzed to see if the qualitative information provided by this instrument can be used as a way of reporting about quality to the general public (in terms of greater accountability) and to students (to help their choice of institution and study program).

3.2 *The role played by information about graduate employment and in particular for those with doctoral degrees in the sciences and engineering, considered as a key factor for innovation policy (Consejo Nacional de Innovación, 2006, 2005). Here the focus will be on the characteristics of doctoral students in Chile; to identify their motivations in choosing such studies; to describe the career objectives they hope to achieve on graduation and to know how they enter the labor market and their work trajectory.*

The Anillo Program contributes to the project on graduate employment managed by the Centre for Comparative Educational Policies (CPCE) of the Diego Portales University and the Department of Industrial Engineering of the University of Chile to keep up-to-date the information found at the Ministry of Education's web site *Futuro Laboral* (www.futurolaboral.cl). This activity allows an annual renewal of the data on graduate salaries in more than 130 professional careers, one year following their entrance into the labor market, and the probability that graduates in these careers are employed by the end of the first and second year after graduating. J. Scheele has published a review of results research on this topic (*Tertiary Education and the labor market: Professional training, employment and employability - A review of the international literature*) (Educación terciaria y mercado laboral: formación profesional, empleo y empleabilidad. Revisión de la literatura internacional).

In the field of international collaboration (Section VIII), and within the Anillo Program's association with the Center for Studies in Higher Education Management at the Polytechnic University of Valencia, F. Salazar administered a questionnaire to Diego Portales University graduates which will allow further analysis and comparisons with more than twenty-five Latin American and European universities that participated in the Proflex Project.

Also in relation to the topic of graduate employment, Brunner wrote the prologue to the book *The Debate over Skills. A qualitative investigation of higher education and the labor market in Spain* (El Debate de las Competencias. Una investigación cualitativa en torno a la educación superior y el mercado de trabajo en España), by Luis Enrique Alonso, Carlos J. Fernández Rodríguez and José M. Nyssen) and a closely related article (*Higher education and the world of work: Perspectives for inquiry*) (*Educación superior y mundo del trabajo: horizontes de indagación*) for the journal *Calidad en la Educación* (2° Semestre 2008)

González and Espinoza completed their study *Diagnosis of the Supply and Potential Demand for doctorates in Education in Chile* (Diagnóstico de la Oferta y Demanda Potencial de Doctorados en Educación en Chile) financed by the MECESUP program, where they established a profile of students that are taking doctorate degrees in education in Chile, identify the various offers available, and determine the level of satisfaction of the students and their employers with these degree leavers. The same authors published *Quality in higher education; concepts and models* (Calidad de la educación superior: Concepto y modelos) in the journal *Calidad en la Educación*. As well, sponsored by the Anillo Program, Espinoza and Gonzalez concluded their study *Information Systems that support lifelong learning: Experience and proposals in Chile* (Sistemas de Información que Apoyan el Aprendizaje a lo Largo de la Vida: Experiencias y Propuestas para Chile). This report recommends a

system for lifelong learning in Chile, integrating formal education at distinct levels – primary, secondary, higher and non formal education).

In parallel, the Anillo Program actively supports the project ‘Supply, demand, student trajectories and labor participation for PhD students in the fields of science and engineering’ (Oferta, demanda, trayectorias e inserción laboral de graduados doctores en las áreas de las ciencias e ingeniería) sponsored by the Division of Higher Education of the Ministry of Education (Chile), with the participation of Bernasconi, Brunner, Salazar and Scheele, together with T. Ariztía and J. Ossandon, researchers associated with the CPCE (Diego Portales University), and a group of researchers pertaining to the DII of the University of Chile. Five studies are currently underway and will be finalized by March 2010. These studies are: “Employment trajectories of science and engineering Ph.D graduates” (Trayectorias laborales de doctores en ciencias e ingenierías); “Perspectives on the labor participation of PhDs in science and engineering in Chile” (Perspectivas de inserción laboral de estudiantes de doctorado en ciencias e ingenierías en Chile); “The potential demand for science and engineering PhDs in R & D in a number of selected firms” (Demanda potencial de doctores en ciencia e ingeniería para I+D en un número seleccionado de empresas); “The experience of PhDs that work in firms under the incentive contracts scheme for researchers” (Experiencia de doctores que trabajan en empresas bajo el esquema de incentivos para la contratación de investigadores) and “Perceptions from academia on the suitability of doctoral qualifications in science and engineering”(Percepciones del medio académico sobre la pertinencia de la formación de doctorado en ciencia e ingeniería).

3.3 Follow up and analysis of the evolution of quality assurance systems internationally with the purpose of generating comparative knowledge and transferring innovative experiences to Chile.

J. Scheele has published two studies that synthesize research results around this topic. The first, *Quality Assurance in non-university tertiary education in the OECD countries* (El aseguramiento de la calidad en la educación terciaria no universitaria (ETNU) en los países de la OCDE) provides a development framework and the current status of ETNU in some developed countries and examines the forms of quality assurance, with a focus on institutional accreditation and programs. The second publication, already mentioned, is *The accreditation processes: information and indicators* (Procesos de acreditación: información e indicadores), which examines accreditation in some OECD countries and the models of inspection and evaluation involved. It examines the different forms of accreditation, the corresponding methods of evaluation, the basic quality standards established by accrediting groups as national and international benchmarks, and the indicators that are used to measure higher education program and institutional performance.

V. CONTRIBUTION TO HUMAN CAPITAL FORMATION

V. Formal or institutional training activities

If any of the project participants is involved in a course in which the project research is relevant, please indicate so stating the title of the course or the particular unit of the course that is being dictated, to whom is directed (graduate programs, undergraduate programs) and which of the participants are involved.

*If there is any planning or actual performing of any graduate program regarding, or as consequence of the project research, please mention the state of the art for that particular situation.
Any other activity that you consider relevant to mention in this aspect, please include it here.*

1) Courses

The Anillo research team offers a series of classes (module) at the Master's level, entitled "Policies and Management of Higher Education" to different Master's programs both at member and non-member universities that sign specific agreements for this purpose.

The course objective is to familiarize students with the principal issues in higher education policy discussed in Chile and their impact on the management of institutions, analyzed from an international and comparative perspective. The issues are analyzed in three dimensions; their conceptual bases, their evolution over the last three decades and current trends at a global level. Finally they are examined in terms of their impact on institutional management.

The module consists of 8 sessions each of two hours duration.

The first session deals with the idea of public policies in general and higher education policies in particular, contrasting functional and critical theories. The discussion is illustrated by the application of these theories to issues of educational equity.

The following three sessions examine higher educational policy in Chile since the return of democracy in 1990 and how these policies have been developed from, or modified, those adopted by the military regime in the 1980s. These sessions examine what instruments have been used (and how) for different policies objectives and the results, together with the conflicts and discussions to which they have given rise.

The fifth and sixth sessions develop the context and international trends in higher educational policy. The analysis concentrates on massification, institutional differentiation and functional diversification, academic professionalization, disciplinary specialization and the internationalization of tertiary education. So too, the financing of higher education institutions is reviewed at the international level, as well as the phenomena of privatization and marketization, new suppliers and the recent reforms in teaching and quality assurance systems.

The last two sessions discuss the link that exists between the application of various policy instruments and institutions strategic responses, for example in terms of accreditation and the use of performance contracts as a form of financing institutions. In the final part of the module, a case study is presented about the different strategies employed by Chilean universities, particularly those aspiring to be 'world class' universities.

During this first year, this module was given in the following institutions and programs for a total of 50 students.

| Completed | |
|--------------------------|--|
| Program | Masters in Management and Public Policy |
| Institution | Department of Industrial Engineering, University of Chile |
| Location | Santiago |
| Date | October and November, 2008 |
| Completed | |
| Program | Masters in Education, Masters in Social Management; Masters in Local and Regional Development |
| Institution | University of La Frontera |
| Location | Temuco |
| Date | November 2008 |
| Completed | |
| Program | Masters in Government and Society |
| Institution | Alberto Hurtado University |
| Location | Santiago |
| Date | May 2009 |
| Arranged (future) | |
| Program | Masters in Education with specialization in Management and Leadership; and Curricular and Pedagogical Innovation |
| Institution | Cardenal Raúl Silva Henríquez University |
| Location | Santiago |
| Date | October 2009 |
| Arranged (future) | |
| Program | Masters in Education, Masters in Social Management; Masters in Local and Regional Development |
| Institution | University of the Frontier |
| Location | Temuco |
| Date | November 2009 |

In addition, J. P. Prieto, Anillo principal researcher, offered a module on Quality Management and Assurance within the IGLU Program (Instituto de Gestión y Liderazgo Universitario) at the Universidad de Santiago de Chile, in October 2008. Participating students come from different countries (Chile, Ecuador, Perú and Venezuela). The module's focus is the theory and practice of quality assurance in developed countries and their applicability in the Latin American context.

Finally, J. J. Brunner offered a module on the International Context and Trends of Tertiary Education for academic-management personnel at the Universidad Autónoma de Yucatán (UADY), Mérida, México.

2) Training

This subsection consists mainly in a description of activities focused in the formation and training of students. If there are special highlights that you consider should be mentioned in addition to the information required, please refer to section IV. RESULTS IN RESEARCH, making specific reference to the student work.

Program researchers advise one doctoral thesis and six MA theses. The doctoral student is from the University of Deusto (Spain), while among the MA students, there are three from the University of Chile, two from the Alberto Hurtado University and one from the University of Concepción.

| Doctoral Thesis | |
|-----------------|---|
| Title | Comparative analysis of higher education systems in Latin America and reform tendencies of institution over the last two decades. |
| Candidate | Nelson Ardón Centeno |
| Thesis Advisor | José Joaquín Brunner |
| Program | Doctor in Education |
| Institution | University of Deusto |

| Masters Theses | |
|----------------|--|
| Title | The Role of the state and markets in Colombia's higher education. Analysis of the evolution of the system and its transformation from the public to the private. |
| Candidate | Cristina Arenas |
| Thesis Advisor | Enrique Fernández |
| Readers | Alejandra Contreras, Francisco Meneses |
| Program | Master in Management and Public Policy |
| Institution | Department of Industrial Engineering, University of Chile |
| Title | The role of actors in public policy; the case of the alliance for quality of education. |
| Candidate | Nayelli Orihuela |
| Thesis Advisor | José Joaquín Brunner |
| Readers | Gabriela Rubilar, M. Angélica Pavez |
| Program | Master in Management and Public Policy |
| Institution | Department of Industrial Engineering, University of Chile |
| Title | Analysis of Chilean institutions and the University-productive sector link |
| Candidate | Rafael López |
| Thesis Advisor | Andrés Bernasconi |
| Readers | Jorge Fernández |
| Program | Master in Management and Public Policy |
| Institution | Department of Industrial Engineering, University of Chile |
| Title | The PhD in Chile; instruments and policies for their development in higher education between 1999 and 2006 |
| Candidate | María Soledad Santana Muñoz |
| Thesis Advisor | Enrique Fernández |
| Readers | |
| Program | Master in Government and Society |
| Institution | Alberto Hurtado University |

| | |
|----------------|---|
| | |
| Title | Analysis and evaluation of e-learning technological platforms for later implementation and planning of resources based on competition structure |
| Candidate | Juan Maldonado |
| Thesis Advisor | Enrique Fernández |
| Readers | |
| Program | |
| Institution | Alberto Hurtado University |
| | |
| Title | Profile of the students who abandon the Catholic University of Holy Conception; a case study |
| Candidate | Magdalena Saldaña |
| Thesis Advisor | Enrique Fernández, Omar Barriga |
| Readers | |
| Program | Masters in Social Research and Development |
| Institution | University of Concepcion |

Of great importance to the Anillo Program – through the Centre for Comparative Policies in Education at the Diego Portales University – is the agreement, in August 2009, with the Department of Latin American Studies (TECLA) of Leiden University, in the Netherlands, to jointly develop a program for doctoral training for Chilean professionals with a Master’s degree or equivalent. Once accepted as Leiden doctoral candidates, they will develop their thesis in Chile under the guidance of Anillo researchers and of a Leiden University ‘promoter’ (an academic tutor formally entitled to present students to a doctoral examination). When the thesis is satisfactorily completed, the student is examined by a commission of Leiden professors and if successful can petition for the doctoral degree under the rules of the University (see the agreement in the Appendix). Leiden University is ranked as twenty-third among the top European Universities and among the first hundred in the world according to the Academic Ranking of World Universities.

3) *Post doctorates and young researchers work*

Describe in this section the research that is being done by postdocs or new young researchers. Notice that the research topics of these participants should be related to the project, but not necessarily to the same lines of its research.

The Anillo Program has supported three young researchers during its first year, working in different research activities and institutional management.

Paulina Berrios worked on the 'Supply, demand, study trajectories and labor participation of doctoral graduates in science and engineering' project. She helped with a state of the art bibliographic revision about research on study trajectories and labor participation of science and education doctoral graduates in the USA. She also undertook a review of the foreign literature on the training of engineering doctoral candidates and their recent evolution and perspectives for developing countries. She contributed to the methodological design of the project and the interviews, which amount to 250 respondents currently working in academia and businesses.

Felipe Salazar participated in the project design of 'Supply, demand, study trajectories and labor participation of doctoral graduates in science and engineering' as well as being in charge of the on-line interviews soon to be administered to various university authorities. He also led the Diego Portales University participation in the *Proflex* study (Europe – Latin-American follow up study of graduates). He presently coordinates a project with the national newspaper *La Tercera* that attempts to characterize the university experience of students who are the first in their family to attend a tertiary education institution. This project will undertake an on-line survey of secondary students who took the university entrance examination (PSU) in 2008. Salazar also manages the Anillo's web page. He is the co-author with J.J. Brunner of the article 'Educational Research in Chile; a non conventional bibliometric approximation'.

Judith Scheele has worked principally on systematic reviews of the international literature on issues connected to the Program's research activities during this period. As a result, four studies have been published electronically as working documents:

- Doctoral training in sciences and engineering in developing countries: recent evolution and perspectives. A bibliographic review that examines the current state of doctoral programs in OECD countries;
- Tertiary education and the labor market. Literature review of the employability of higher education graduates;
- Quality assurance in non-university tertiary education: bibliographic review about evaluation mechanism;
- Accreditation processes, information and indicators. Bibliographic review of indicators used for accreditation.

VI. FORMATION OF NATIONAL NETWORKS

Use a maximum of 2 pages in this section, in order to inform about the progress of the proposed plan to establish links and networks with national institutions. As an example of national institutions are: División de Educación Superior - MINEDUC, Comisión Nacional de Acreditación, Centro Interuniversitario de Desarrollo.

You must describe the activities performed in order to achieve networks with national organizations, keeping in mind your original project and subsequent modifications, and specify the objectives related with each activity.

Consistent with the Anillo Program's original proposal, researchers have actively participated in the creation of national networks of researchers, policy makers and institutional leaders in the higher education sector. Various mechanisms have been employed.

- 1) The development of electronic publications (e-working papers) at Center for Comparative Policies in Education (CPCE) of the Diego Portales University. These publications (see <http://www.cpce.cl/es/publicaciones/documentos-de-trabajo>) rely on an editorial committee and are open to all researchers in the field as a way of diffusing their academic work.
- 2) Organization of a Chilean Congress for Higher Education Research. The first will take place in October 2009 and papers approved by a editorial committee will be presented during this event.
- 3) Distribution of news, information and publications linked to the Anillo Program through a mailing list of around 3000 addresses of those interested in Program activities.

The Anillo Program has fluid and continuous communications with the major public agencies involved in higher education, science and innovation as well as with the boards and authorities of higher education institutions.

| Institution | Link |
|---|---|
| Higher Education Council (<i>Consejo Superior de Educación, CSE</i>) | <ul style="list-style-type: none"> • Active participation of CSE's professional personnel in academic discussions organized by the Program. • P. Mena, Head of the Research Department, Technical Secretariat, of the CSE is a member of the Editorial Committee of the Chilean Congress of Higher Education Research being organized by the Anillo Program. • Anillo researchers make up a panel of experts to evaluate the research financed by the CSE. • Anillo researchers participate in the Editorial Committee of the CSE journal <i>Calidad en la Educación</i>. |
| National Accreditation Commission (<i>Comisión Nacional de Acreditación CNA</i>) | <ul style="list-style-type: none"> • Anillo researchers participate together with the CPCE and the DII, in the CNA-sponsored project for the design of an information system for accreditation. Monthly working meetings with CNA Technical Secretariat. • N. Fleet, Head of the Research Department at the CNA, is a member of the Editorial Committee of the Chilean Congress of Higher Education. • J. P. Prieto, Anillo researcher, technically assisted the CNA in the formulation of its institutional strategic plan. |
| Interuniversity Development Center (<i>Centro Inter universitario de Desarrollo, CINDA</i>) | <ul style="list-style-type: none"> • Program researchers are working with CINDA on the second edition (2010) of the Ibero-American Higher Education Report. • María José Lemaitre, a CINDA researcher, is a consultant to Area 3 of the Anillo Program on quality assurance and participates in academic discussions on the topic. |
| Higher Education Division Ministry of Education (MINEDUC) (<i>División de</i> | <ul style="list-style-type: none"> • Anillo researchers are closely linked to the work and activities of MINEDUC with various projects such as: the Observatory of Chilean |

| | |
|---|---|
| Educación Superior, Ministerio) | <p>Higher Education Graduates (<i>Observatorio de Graduados de la Educación Superior Chilena</i> (www.futurolaboral.cl); project 'Supply, demand, study trajectories and labor participation of doctoral graduates in science and engineering'; a project for designing and implementing a credit transfer scheme in Chilean universities, and a project for studying an initial design of a national qualifications scheme.</p> <ul style="list-style-type: none"> • Anillo researchers have participated in all the discussions about higher education policy organized by MINEDUC, among which were an international seminar sponsored by the OECD and the World Bank, and another by UNESCO. |
| MECESUP | <ul style="list-style-type: none"> • Brunner is a member of the International Advisory Committee of the MECESUP program which is evaluating the application of performance contracts between universities and MINEDUC. Prieto represents the MECESUP program in the design and monitoring processes of the performance contract with the Universidad de Chile for the development of the social sciences and the humanities |
| CONICYT (Comisión Nacional de Investigación Científica y Tecnológica) | <ul style="list-style-type: none"> • M. Krauskopf, Anillo associate researcher, is a member of the specialized group of the National Science and Technology Council (Conicyt) for core funding of Chilean excellence R& D Centers. |
| Consejo Nacional de Innovación para la Competitividad (National Council for Innovation & Competitiveness) | <ul style="list-style-type: none"> • M. Krauskopf is a member of the National Council for Innovation & Competitiveness. |

VII. INTERNATIONAL COOPERATION

Use a maximum of 2 pages in this section. Describe the proposed activities planned, in order to establish significant links with researchers, institutions and international centers. As an example of International Institutions, are: Universidad Politécnica de Valencia - Centro de Estudios en la Gestión de la Educación Superior, Martin-Luther-Universität Halle-Wittenberg - Institut für Hochschulforschung (HoF), University at Albany, State University of New York - Comparative and International Education Policy Program, Etc.

Exchange of students also must be informed in this section.

If the activities described have received funds from other sources, please indicate.

In the period from September 2008 to September 2009 the Anillo Program developed a number of international collaborative activities.

First, the Program implemented collaborative initiatives with its three associated foreign centers.

- 1) Centro de Estudios en Gestión de la Educación Superior de la Universidad Politécnica de Valencia (UPV), Spain.
The Anillo Program participates in the UPV Center managed *Proflex* project, which is a European and Latin American study examining the labor participation of graduates of twenty universities, among which is the Diego Portales University. A survey was administered to graduates using the *Proflex* on-line platform. A report will be prepared about graduate labor market experience using comparative indicators with the other participating universities.
- 2) Institute for Research in Higher Education, Halle-Wittenberg University, Germany
E. Fernández, Anillo researcher, attended the German center as part of the project 'Private universities; an international comparative and historical analysis, 1950-2004' (Private Hochschulen im internationalen und historischen Vergleich, 1950-2004), which he is undertaking with German researcher Manfred Stock, Gero Lenhardt and Robert Reisz. This *stage* took place during the months of January and February 2009.
- 3) Comparative and International Education Policy Program (CIEPP), State University of New York. (Albany)
Paulina Berríos, Anillo young researcher, is studying for her doctorate at CIEPP. She has been an active participant, both in Chile and New York, in the 'Supply, demand, study trajectories and labor participation of doctoral graduates in science and engineering' project.

Second, the Anillo Program has developed a number of other international activities.

4) UNESCO

The project works closely with the UNESCO Chair on Comparative Higher Education Policies, which is based at the Diego Portales University. O. Espinoza, associate researcher, has undertaken research with UNESCO's International Institute for Educational Planning (IIEP). As a member of the Steering Committee of the Global Initiative for Quality Assurance Capacity (GIQAC), based at UNESCO, J. J. Brunner attended the December 2008 meeting. The next meeting will be in December 2009,

5) Organization for Economic Cooperation and Development (OECD)

In November 2008, J. J. Brunner was a member of the OECD-World Bank mission to evaluate Egypt's higher education system and policies. This report will be published in December 2009. In April 2009, Anillo researchers participated in the international seminar, held in Santiago, to discuss the OECD-World Bank review of Chile's higher education. In August 2009, the Program director met with the OECD-World Bank mission to evaluate the national postgraduate scholarship program.

6) Leiden University

The Department of Latin American Studies (TCLA) at Leiden University, represented by Professor Patricio Silva, entered into an academic agreement (August 2009) with the Center for Comparative Policies in Education (CPCE) of the Diego Portales University to allow the Anillo Program researchers to act as joint thesis advisers for Chilean doctoral students in the field of higher education studies. The first meeting with potential candidates from Chilean universities applying for Leiden University's doctoral program took place on August 18, 2009. Thesis proposals will be presented in October 2009.

7) Autonomous University of Yucatan (UADY), Mérida, México

In February 2009, the Program's Director gave two presentations at UADY, to academic staff and university management personnel. The first was entitled 'International trends in higher education and challenges to university management' followed by 'International trends in Higher Education and challenges to academic work and university governance'. In addition, Brunner offered a two day workshop on International Trends in Higher Education as part of the Diploma in Strategic Management of Educational Institutions organized by the UADY's Planning, Evaluation and Management Coordination Unit.

8) Foundation Ecuador for Progress in Reforms and Opportunities (Fundación Ecuador para el Avance de las Reformas y las Oportunidades) - Grupo FARO-Ecuador

Through CPCE of the Diego Portales University the Anillo program has signed an inter-institutional cooperative agreement with Ecuadorian organizations to carry out a study on comparative higher education legislation based on a group of Ibero American countries. The first report will be completed by October 2009.

VIII. DISSEMINATION AND OUTREACH

Describe here all activities of outreach from the project (by externalizing activities, communicating results or procedures or outcomes) to other domains not related to the project discipline (general public, other professionals, basic or high school students, private sector, others). If activities informed were funded from other sources (public programs, international grants, etc) this must be indicated.

When describing these activities, describe audiences, places, institutions, participants of the project, responsible of the activity, dates, and/or objectives. Include additional material (posters, pamphlets, newspapers, chronicles, etc).

Academic Seminars

Academic seminars are held monthly to discuss Anillo's research-in-progress or presentations by invited researchers. The meetings are prearranged through e-mail communications and announced in the Program's web page. Participants are researchers, policy makers and postgraduate students. The seminar series began in May 2009 and has held and planned the following sessions.

| Date | Presenter | Subject |
|-------------------|------------------------|---|
| May 26, 2009 | Andrés Bernasconi | Management of faculty in Chilean Universities; institutionalization of the academic profession in a market context. |
| July 3, 2009 | Óscar Espinoza | Public policy in higher education from the point of view of equity; the case of Chile. |
| July 10, 2009 | Enrique Fernández | Change of paradigm in the management of Higher Education institutions. |
| September 4, 2009 | María José Lemaitre | Quality Assurance; Public policy and University Management. |
| October 9, 2009 | Andrés Bernasconi | Private and public pathways to world class research universities: the case of Chile. |
| November 6, 2009 | Tomás Ariztía and team | Supply, demand, study and employment trajectories of Science and Engineering PhDs. |

Management workshop

The Anillo Program organizes workshops on selected higher education management issues for board members and university administrators as well as those interested in the public and private sector. The first was held in 2008, in association with the University of La Frontera in the town of Pucón, entitled 'Management of Research Programs'. The 2009 workshop is on 'Curricular innovation and teaching reform' and will analyze distinct management modalities for issues specific to higher education teaching. The workshop will examine management theories, the relevant public policies and specific examples of institutions as case studies.

Higher Education Public Policy Bulletin

The Higher Education Public Policy Bulletin (*Boletín de Políticas Públicas en Educación Superior*, PPES) is a bimonthly publication, with an editorial committee of Anillo researchers. Each issue is dedicated to a specific research issue of interest to the Program and for Chilean higher education policy-makers. The object is to provide concise reports about public policy in tertiary education and disseminate information and knowledge from the academy to policy makers, administrators and evaluators. The PPES has a mailing list of more than three thousand addresses including members of the Chilean government and Parliament, political parties, business and professional organizations, as well as higher education academic administrators and staff. The bulletin is also published on the Anillo web page and can be downloaded free. To date there have been 1.154 downloads for the five bulletins.

The issues already published have the following content.

| No. | Theme | Editor |
|---------------|--|----------------------|
| 1 | Higher Education Policies; challenges, topics and priority areas | José Joaquín Brunner |
| Date | Topics | |
| October 2008 | What are the challenges facing higher education policies today, issues and priority areas? | |
| | What orientations and procedures do policies favor? | |
| | How are markets structured and what role do they play in policy regulation? | |
| | What policies are used for financing tertiary education? | |
| | How are government institutions adapting? | |
| | What are the interesting lessons for Chile? | |
| No. | Theme | Editor |
| 2 | Equity and inclusion challenges to higher education | Óscar Espinoza |
| Date | Topics | |
| December 2008 | What inclusion policies are followed by countries with a high coverage of tertiary education? | |
| | What rules do higher education inequities follow? | |
| | What policy rules are recommended to tackle the phenomena of inequity and exclusion? | |
| | By how much and how do admission strategies influence equity and exclusion? | |
| | What kind of student support programs are developed in Latin America? | |
| | The case of Chile; what has been done and what is proposed to be done? | |
| No. | Theme | Editor |
| 3 | Performance contracts | Juan Pablo Prieto |
| Date | Topics | |
| December 2008 | What public supply funding models are used internationally? | |
| | What are the objectives of performance contracts in Chile? | |
| | What types of performance contracts have been adopted in Chile? | |
| | What performance contracts are being applied and what are their characteristics? | |
| | What are the key aspects of Chilean experience? | |
| | What issues have to watch for? | |
| No. | Theme | Editor |
| 4 | Management of the academic profession | Andrés Bernasconi |
| Date | Topics | |
| June 2009 | What are the challenges that face higher education policies in this area? What are the topics and priority issues? | |
| | What directions and procedures for faculty management are currently policy preferences? | |
| | How markets for faculty are structured and what role does public regulation play? | |
| | How is institutional governance adapting to the new challenges in faculty management? | |
| | What results are of interest to Chile? | |
| No. | Theme | Editor |
| 5 | Strategic Planning | Enrique Fernández |
| Date | Topics | |
| August 2009 | What is the origin of strategic planning and how is it being introduced into Chilean higher education? | |
| | What is pertinent to an organization in developing a strategic plan? | |
| | What stages and elements make up a strategic plan? | |
| | What peculiarities of universities make implementation difficult? | |
| | What are the difficulties experienced by Chilean universities to implement their strategic plan? | |
| | What is to be learned from actual experience? | |

Consultant panel

Anillo researchers make up an expert panel to evaluate and suggest adjustments in the development of small-research projects funded by the National Educational Council (Consejo Superior de Educación, CSE). With this purpose a meeting was held on April 28, 2009, at the Alberto Hurtado University, attended by projects' leading researchers, Anillo researchers and CSE staff.

Blog

The director of the Anillo Program maintains an academic blog to distribute various documents, articles and analyses about educational policies. Each posting gives the context of the topic discussed and provides links to appropriate electronic resources. Between September 2008 and August 2009 the blog recorded 192 new postings on higher education topics. According to Google Analytics between September 24, 2008 and September 24, 2009 there were 39.995 visits of which 30.000 were unique visitors. Visitors national origin is Chilean (65%) and the remaining third composed of nationals from Mexico, Colombia, Argentina, Peru, Venezuela, Spain, United States, Brazil and Ecuador in that order (figures include only countries with more than 350 annual visits).

Web location and mailing list

The Anillo web page is to be found as part of CPCE ((<http://www.cpce.cl/anillo/>) and contains information about how to contact Program researchers, a publications list (with downloadable documents), digital copies of the PPES Bulletin, a registry of past activities, and inscription by e-address to future events and news. Between June 1st and August 31, 2009, 1.929 visits were logged. The Program also distributes a monthly information bulletin about current activities and invitations to future events to a list of more than 3000 Chilean and foreign subscribers.

Opinion columns

During this one-year period 21 op ed columns in national newspapers were published by Anillo researchers on higher education policy. They have also given numerous radio, television and press interviews on specific higher education policy issues.

Presentations and conferences

The list of presentations and conferences given by Anillo researchers for knowledge and information diffusion purposes are listed in the Appendix.

2) Knowledge transfer

This section must be filled up only by those projects formulated under OPEN modality.

Include here information originated from your proposal, that may have applications value or that has been or may be transferred to other professionals or areas or institutions in which it can be used. These may be information procedures, results or conclusions that have arisen from your research in that may be used or applied in public sectors, economic or private areas or any focalized and specific actions. Please, when making this description, include the type of information transfer, the sector of domain to which it has been transferred, the name of the people involved, and, if applies, the dates in which this has occurred.

Not applicable.

IX. TRANSFER OF RESULTS AND KNOWLEDGE TO PUBLIC ENTITIES

This section must be filled up only by those projects formulated under INNOVATIONS ON PUBLIC POLICIES modality.

You must give information about the progress of the plan for the transfer of results and knowledge to public entities presented in your original proposal. Indicate the accomplishment of the objectives and the state of the activities originally planned. Keep in mind your original project and all suggestions made by the reviewers.

The plan for knowledge transfer included in the original Anillo proposal has yielded satisfactory results. It consisted of nine interrelated subcomponents and each one operates through a distinctive mechanism with the purpose of linking the Program's work to public objectives. The components are identified below in terms of their associated activities and target groups.

Distribution of a bimonthly electronic bulletin to more than 3.000 addresses in the academic world and policy makers on various policy issues in the field of higher education.

Quarterly publication and distribution of Research Syntheses on Anillo topics; four publications have been issued in the first year.

Publication of articles in specialized journals, books and chapters of books: 37 pieces have been published during a 12 month period.

Appearances in the press through opinion columns; more than 20 columns have been published and dozens of interviews given to different media.

Workshops about the management of higher education; the first was organized in 2008 and a second will take place in 2009 and already there are two institutions interested in hosting the 2010 meetings.

A website that disseminates Anillo's work, its activities and publications, as well as providing information about events and updates, together with invitations to academics to participate in the Program's different activities. The web page has been continuously active and has functioned since the beginning of the Program. Anillo organizes an annual meeting for researchers in the field of higher education studies; this Chilean Congress for Higher Education Research will take place for the first time in October 2009.

Links to institutions that are relevant for Anillo's research agenda; through projects and other concrete initiatives, the Program has strong links with the principal public agencies involved in higher education policy design and implementation as well as circulating materials for policy makers, members of Parliament, political parties and think tanks.

Interchanges with associated centers abroad and participation in international events; as shown in Section VI there are frequent activities with centers in Germany, Spain and the United States as well as joint collaborative activities with international organizations, universities and foundations located in Latin America.

X. LESSONS LEARNED

The following section can be used in case of available information related to the possible difficulties, inconveniences or similar issues in the management of the project within the host institution, associated institutions, CONICYT, institution and researchers or any other combination of participants and activities involved. The idea is to resolve these issues on behalf of better practices in the current and future handling of these initiatives.

Information provided in this section must be concise, stating all variables involved and outcomes. Do not extend further than 2 pages. Remember that this information is confidential.

There can be no satisfactory reply after one year to the important question of 'lesson learned' so that this section can only be considered as tentative. However what can be said is that higher education is becoming an urgent public policy issue in Chile against a background of increasing massification, dynamic private university changes (consolidation) and an uncertain grip by the government on policy directions. There is no doubt that the Anillo researchers and others have a great responsibility to provide sensible and effective research.

In this context the following tentative lessons are ventured.

1. Network projects like Anillo force researchers to communicate and interchange ideas, publications and students. In an incipient field like higher education policy studies, this must not be underestimated. The alternative is probably good or satisfactory research but highly fragmented to the point of being hidden in different (and sometimes rival) universities and research centers. The Anillo Program offers the opportunity to break this common tendency and build a practical and applied field at a time of great public demand.
2. The three-year Program horizon offers a sense of stability so that different research groups have a perspective about how their working relations will develop over this time period. This greater sense of institutional security takes three forms. First, the authorities of the participating institutions are more willing to provide backing if they see that this is not a one off project; second, relations between institutions gain greater legitimacy which eases the often considerable administrative rules and creates an interest that goes beyond a particular Department or Faculty. Third, the three-year horizon allows the Anillo Program to enter into international negotiations with institutions and agencies that are not by their very nature likely to be concluded quickly. In our experience, European and North American higher education institutions are increasingly cautious about signing agreements with developing country institutions that do not have a strong backing of their national agencies or the institutions themselves.
3. The Anillo Program has been surprised at the demand for information about higher education from government, private and public universities, students and the public at large. Programs like this – and we are in no way the only one – seem to be meeting a pent up and an often unclear set of demands. Thus although the Anillo Program must guard against premature exposure (and the temptation of promising too much) – we have only been running a year – there is little doubt that the Anillo Program offers a valuable opportunity which must be seized. In this the Program is fortunate in building on different degrees of institutional commitment – we all undertake teaching, research and outreach – from different (not-directly-Anillo) projects. That is Anillo is not unique but offers the opportunity of integrating different activities in a much more coherent way.
4. As noted the higher education system in Chile is going through profound changes and there is little doubt that it will continue, so leading to quite serious public choices about university status, access, equity, funding and the value of non-university tertiary education. Again, as noted above, there are considerable opportunities to influence the public debate. However all this comes with a cost and however generous the Anillo Program may be is unlikely to cover all exigencies. The higher education system like any responsive system is being affected by the global downturn so that the question of resources is likely to

be more pressing next year. While this has led tertiary education institutions into becoming more realistic about management, greater demand requires continuous links between training specialized staff and researchers. In brief, Anillo researchers and university administrators must think not only about where to put their pesos but attempt to ensure continuity in training and education for this field beyond the three year horizon. We expect to have a clearer picture next year.

5. Finally a general comment on the twin requirements of programs, like Anillo (SOC01), that are funded to promote 'innovation in public policies'. At the core of these programs are applied research and the transfer of knowledge to the public sphere and policy makers. However at the same time, there is a demand, similar to any pure academic-research program, first to produce ISI registered articles and second, to report only those that are the direct result of the Anillo Program. There are a number of issues involved here, faced not just by this but other similar programs, of which three are worth noting briefly at this stage:

- a. Applied research on local problems, encompassing improving public policies and the transfer and dissemination of knowledge is often unattractive to journals registered by the Web of Science (ISI).
- b. As is well known social science research in general and in the fields of education and higher education studies in particular, are clearly underrepresented in the ISI databases. This is not just a question of language – which can be overcome – but principally a result of the type of knowledge production and dissemination in these fields, very different from production and communication practices in the natural sciences and other disciplines favored by ISI type of bibliometric measures. The work of Brunner and Salazar (2009) published by the Anillo Program and noted above, explores this situation at length.
- c. An associative program like Anillo demonstrates its value and power because it can generate synergies, economies of scale, and spin offs among the distinct elements that make up the overall enterprise. So it is difficult to account for projects and activities that are exclusively the property of Anillo alone. This assumes that the research is sponsored by, and researchers work only for, an Anillo Program rather than integrating all their activities into an overall shared purpose. If research is to be considered exclusively by programs then these activities can only be represented unfairly in a fragmented way and the researchers as isolated, part time individuals. And it is precisely these circumstances that the spirit and practice of the Anillo programs seeks to overcome.

XI. INDICATORS OF THE PERIOD INFORMED

The following Table contains indicators for the period informed in this report (around 12 months of operations). This information must be consistent with the information available in the preceding tables and should be only related to this Project.

This program recognizes the limited utility of this kind of indicators, and the fact that they do not cover most of the actual impact of your activities. Nevertheless, you can fill "N/A" in those cases in which the indicators do not apply to your project.

If you presented your own indicators in the original proposal, specifically in the sections Formation of National Networks and International Cooperation; you must include them at the end of this table.

In addition, if you require or would like to define indicators particular to your activities, results or impact at this point, also include them at the end of this table, following the already mentioned in your original project.

| DEVELOPMENT AREAS | INDICATORS | VALUE |
|--|--|-------|
| General | Number of main researchers. | 2 |
| | Female gender (%) of main researchers. | - |
| | Number of associated researchers. | 2 |
| | Female gender (%) of associated researchers. | - |
| | Percentage of the project costs contributed by non-governmental sources. | - |
| Scientific production | Number of ISI publications ¹ . | 3 |
| | Number of non ISI publications ² . | 17 |
| | Annual average impact index of the journals in which the project researchers | - |
| | Number of presentations in congress/conferences abroad. | 11 |
| | Number of presentations in congress/conferences attended in Chile. | 12 |
| Human capital formation and training | Number of undergraduate students ³ . | 0 |
| | Female (%) of undergraduate students. | 0 |
| | Number of Master's students. | 6 |
| | Female (%) of Master's students. | 66% |
| | Number of Ph.D. students. | 1 |
| | Female (%) of Ph.D. students. | 0% |
| | Number of postdocs participating in the project. | 0 |
| | Female (%) of postdocs. | 0% |
| | Number of undergraduate theses finished. | 0 |
| Number of graduate theses finished (Master). | 1 | |
| Number of graduate theses finished (Ph.D). | 0 | |

Note: Please save all the documentation pertinent to verify the information from the tables.

¹ Accepted, in press or published.

² Accepted, in press or published.

³ Only consider students funded with resources from this project.

| DEVELOPMENT AREAS | INDICATORS | VALUE |
|--|---|-------|
| National collaboration and networking | Percentage of publications co-authored with external researchers ⁴ . | 27,8% |
| | Percentage of publications co-authored with researchers of this Project ⁵ . | 2,8% |
| | Percentage of co-tutored theses with external researchers. | 14% |
| | Percentage of co-tutored theses with researchers of the Project. | 0% |
| | Number of stays/visits from students from other centers in Chile. | 0 |
| | Number of stays/visits from researchers from other centers in Chile | 6 |
| | Number of stays/visits to national institutions by students of this project. | 0 |
| International collaboration | Number of stays/visits to national institutions by researchers of this project. | 11 |
| | Percentage of publications with foreign co-authors. | 1 |
| | Number of applications to diversified funds with international collaboration. | 0 |
| | Number of stays/visits from students of centers abroad. | 0 |
| | Number of stays/visits from researchers of centers abroad. | 3 |
| | Number of stays/visits to centers abroad done by students of the project. | 0 |
| Dissemination and community impact | Number of stays/visits to centers abroad done by researchers of the project. | 9 |
| | Number of seminars, workshops and conferences organized by the researchers of this Project ⁶ . | 6 |
| | Number of other dissemination/extramural events ⁷ . | 6 |
| Application/transfer of the knowledge generated and impact on public policies | Total number of attendants to dissemination events. | 290 |
| | Public organizations interested in the Project progress | 1 |
| | Other activities in collaboration with entities responsible of defining public policies (specify) | 0 |
| | If you have indicators originally not included in the original proposal, you may add them here. | |

INDICATORS FOR PROJECT IN INNOVATIONS ON PUBLIC POLICIES MODALITY

This table must be filled in only by those projects formulated under INNOVATIONS ON PUBLIC POLICIES modality. You must indicate here those indicators that allow evaluate the achievements related with the plan of transfer of results and knowledge to public entities. Also include here indicators of the results achieved in establishing links with public and/or private entities, in order to potentially facilitate the implementation of innovations in public policies.

| Name of Indicator | Value |
|-------------------------------------|-------|
| Bimonthly electronic bulletin | 5 |
| Research synthesis on Anillo topics | 4 |
| Working papers | 1 |
| | |
| | |

Note: Please save all the documentation pertinent to verify the information from the tables.

⁴ Researchers not receiving resources from this project.

⁵ Main, associated researchers and postdocs.

⁶ Activities organized by the research team. Do not consider students.

⁷ Presentations, courses and any other initiatives with focus on the community (schools, ethnic communities, neighbors' associations, other)

V. APPENDIX

PUBLICATIONS - Tables A1, A2 and A3.

List the publications resulting from the project period. Include only manuscripts accepted and in press-published publications.

Include in the appendixes letters o email messages confirming reception or acceptance to the printed report.

Include abstracts only of those papers published. Do not include manuscripts in preparation

HUMAN CAPITAL TRAINING - Tables A4 and A5.

List the theses (undergraduate's, master's and/or PhD's) resulting from the project, indicating if they are finished or in process.

List postdoctoral fellows and his/her research topics

NATIONAL NETWORKS AND INTERNATIONAL COOPERATION - Table A6 and A7.

List persons and institutions with which the project team developed cooperation activities altogether

DISSEMINATION AND OUTREACH - Table A8, A9 and A10.

List courses, seminars, conferences and workshops where members of the project took part presenting results-not only as part of an audience-.

Include summaries or abstracts from presentations of on seminars or congress, symposia, workshops and all appendices that you consider adding value to the presentation of your research results.

Include additional or graphic material from dissemination activities and outreach, and any other thing that you consider relevant.

TRANSFERENCE AND LINKS AND PATENTS - Table A11 and A12.

List institutions to which the project team has transfer knowledge, methodology, good practices or has performed consultancy, scientific training, etc.

List national or international patents applied for or granted.

AWARDS - Table A13.

List awards granted in the period.