

**BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS
FY2001 NIS COLLEGE AND UNIVERSITY PARTNERSHIP PROGRAM**

REVISED GRANT NARRATIVE

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TAB B

**PROPOSAL
COVER
SHEET**

**BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS
FY2001 NIS COLLEGE AND UNIVERSITY PARTNERSHIPS PROGRAM
PROPOSAL FOR A PARTNERSHIP BETWEEN:**

VANDERBILT UNIVERSITY, NASHVILLE, TENNESSEE

AND

THE EAST-KAZAKHSTAN STATE UNIVERSITY, UST-KAMENOGORSK, KAZAKHSTAN

THE EURASIAN UNIVERSITY, ASTANA, KAZAKHSTAN

KAINAR UNIVERSITY, ALMATY, KAZAKHSTAN

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Academic Field(s) of Project: Education Policy
Higher Education Administration
Educational Leadership

Funding:

Amount requested from DOS:	\$299,652
Total project cost:	\$474,829
U.S. institution's cost-share:	\$152,347
Foreign institutions' cost-share:	\$22,830
Number of U.S. Participants:	10
Males:	6
Females:	4
Number of Foreign Participants:	15
Males:	8
Females:	7

Project start date and end date: Start August 22, 2001; End August 31, 2004

Current and former Bureau-funded grantees

October 7, 2000 – October 21, 2000

U.S. Department of State
Bureau of Education & Cultural Affairs
Visiting Lecturer

AWARDED TO:
Vanderbilt University
Stephen P. Heyneman, Ph.D.
Professor, International Education Policy

October 1, 2000 -- September, 2001

U.S. Department of State

AWARDED TO:
National Council for Eurasia & East European Research

SUBCONTRACT:
Vanderbilt University
Political Science Department

Executive Summary

Project title: Institutional Partnerships in Education Policy, Higher Education Management, and Educational Leadership: A Program of Cooperation Between Kainar, East-Kazakhstan State, Eurasian, and Vanderbilt Universities

Description of proposed academic field/theme

We propose that the Bureau of Education and Cultural Affairs begin a small program of inter-institutional linkages in education policy, higher education management, and educational leadership on grounds that (a) the education sector is a significant factor in the transition to a stable democracy; (b) the managerial and policy issues in the education sector require new skills; and (c) those new skills require training programs in Kazakhstan which do not now exist. The purpose of this small exchange will be to stimulate academic programs in these fields and hence provide the necessary manpower to better guide Kazakhstan's education sector in the future.

Project goals and statement of need

Over the last decade, education officials in New Independent States such as Kazakhstan have had to become more involved with policy analysis, educational management, and general education economics. However, no university or institute in Kazakhstan has specialized in these areas. As a result, the sector is being managed without wider professional exposure to educational management outside the country. This limitation sometimes leads to public disappointment and misunderstanding in public discussions of educational progress. In addition, the lack of a common language in management and economics often creates problematic relations with the Ministries of Finance or Strategic Planning.

The fields of policy, management, and leadership are important factors in the education profession. Knowledge and application in these fields are among the principal U.S. contributions to countries where decentralization, privatization, and local control are new and where social stability may depend on quickly acquiring education management skills. Vanderbilt University has strong programs in each of these areas and an acknowledged background on the education problems of Kazakhstan. Our

proposed program will utilize this U.S. comparative advantage to expand the managerial capacity, professional support, and faculty/curriculum development of local Kazakh higher education institutions.

Brief project summary and outline of specific proposed activities

In essence, the proposed program will incorporate six basic activities:

- 1) **Technical meetings and discussions in Kazakhstan** for general information and technical training on any of the three major areas (policy analysis, higher education management, and educational leadership).
- 2) **Technical discussions/site visits within the U.S.** for very specific training in a particular field.
- 3) **Graduate study in the U.S. leading to a Master of Arts** degree so that Kazakh students to study can return to their own universities to apply their knowledge.
- 4) **Institutional assistance** as each of the three higher education institutions in Kazakhstan develops their own, individual strategic plans.
- 5) **Inter-institutional communications** allowing Kazakhstan faculty to participate in internal discussions and debates regarding curriculum, research interests, problems, and issues.
- 6) **Faculty exchange** providing the chance for faculty to assist in classes and seminars in Kazakhstan and vice versa.

Anticipated results, mutual benefits, and long-term impact

In essence, the proposed program will build mutual understanding and cooperation between the U.S. and the people of the NIS. Through this program, the Bureau can assist Kazakhstan by sharing the comparative advantage of U.S. institutions in fields uniquely American. The program hopes to foster cooperation between the U.S. government and the private sector by encouraging cost-sharing and follow-up activities from U.S. and foreign partners and foundations, both governmental and non-governmental. Linkages between U.S. and NIS institutions will boost managerial capacity, develop faculty and degree programs, and provide inter-institutional support. Stronger and more efficient uses of human capital will result in economic development, stability, and prosperity in Kazakhstan and the NIS, thus furthering the global growth of democracy.

TAB C

NARRATIVE

TAB C: Narrative

This is a proposal to establish inter-institutional linkages between Vanderbilt University in Nashville, Tennessee, and the East Kazakhstan State University, the Eurasian University, and Kainar University in Kazakhstan in the fields of education policy, higher education administration, and educational leadership. First, the proposal provides a brief background so that the reader may better understand why these three fields are of relevance to the overall goals of the Bureau of Education and Cultural Affairs. Next it describes the program itself and why it may be important for the Bureau of Education and Cultural Affairs to pay particular attention to these three fields in Kazakhstan and this precedent-setting program in the Newly Independent States (NIS) more generally. Last, it describes the institutions involved and why they are likely to have the most impact.

Background and statement of need

Since the 1960s, it has been axiomatic to argue that education is an important ingredient for economic development. The U.S. Department of State, the U.S. Agency for International Development, and the World Bank have been the principal suppliers of human capital assistance to institutions in Latin America, Asia, the Middle East, and Africa. Each has had its own interests and comparative advantage. But each donor institution has provided more than simply education.

In other parts of the world, programs often helped universities and education sector leaders analyze themselves, promote their own efficiency, and better communicate with ministries of finance and planning using a language of common discourse – education economics, institution and sector management, and policy analysis. This common language helped education authorities communicate on the same analytic footing as other sectors, such as health, agriculture, finance, and transportation. It also allowed higher education institutions to manage themselves with the same rigor and technical skills as institutions in other fields. We propose that the Bureau of Education and Cultural Affairs begin a small program of institutional linkages that will stimulate other development institutions to form partnerships in these fields from and hence provide in Kazakhstan the valuable service it has in other parts of the world.

When the world's attention was drawn to the NIS in the early 1990s, education's role in development there was unclear. Many people felt education was already universal females were proportionally represented in higher education, and, whatever other distortions were present in the economy, students in math and science were performing at levels equal to or better than in OECD countries. But many lessons have been learned in the last decade.

One of those lessons is that the education systems of the NIS, and Kazakhstan in particular, suffered from many new kinds of development problems. *General economic decline* meant they had to perform well with dramatically fewer resources. *Rapid shifts in governance* meant they had to adapt to new governing authorities and new regulations. *Precipitous changes in the rules pertaining to public and private sectors* meant they had to compete with new institutions in totally unprecedented contexts. *Political changes* meant they had to relieve themselves of the ideology of the Soviet Era. *Professional changes* meant they had to install student-centered pedagogy and new subjects in economics, business, and the social sciences -- particularly those using survey research. *Rapid shifts in government functions* from the center to local regions and rayons meant that the education sectors had to face the demands of managerial decentralization, along with new roles and responsibilities for both central and local authorities. In some instances, these demands led to the most dangerous challenge of all: maintaining social cohesion across the widely divergent and angry ethnic landscape in which each local ethnic community could now help establish its own set of civics and history.¹

Most important, though, educational leaders in Kazakhstan now must think in terms of efficiency and effectiveness. They have to account for the policies that they have devised, and they must report the results from those policies to both a sophisticated public and private shareholders who are now free to inquire about all policies. They have to keep abreast of the multiple shifts in the regulatory environment, and they have to diversify sources of income while lowering tax burdens. They have to make capital investments, yet contend with the lack of property rights normally required for educational equity. They

¹ Heyneman, S.P. (2000, Summer). "From the party/state to multi-ethnic democracy: education and social cohesion in the Europe and Central Asia Region." *Educational Evaluation and Policy Analysis*, 22 (2), 173 – 91.

have to argue the case for resources not on the basis of humanitarian need, but on their record of accomplishment, a record that must be illustrated by accurate and representative empirical evidence.

Despite other accomplishments over the last decade, educational officials in Kazakhstan have learned that they were totally unprepared for the rigor of policy analysis, educational management, or educational economics more generally. No universities in Kazakhstan offered courses in these fields. No research institutes specialized in them. Often there was no vocabulary in Russian or Kazakh to accurately describe the concepts. As a result, the education sector in Kazakhstan does not always have a constructive relationship with the Ministry of Finance. Its reports to parliaments, to the press, and to the general public are still largely normative. Moreover, while high quality educational policy analysis is now available in the West in the financial and telecommunications sectors and increasingly in fields such as social assistance and social security, NIS government ministries still cannot attain such analytic excellence.

Objectives and anticipated mutual benefits

This project will establish linkages between universities in Kazakhstan and Vanderbilt University with three objectives in mind:

- 1) It will help prepare academic programs in three new fields: education policy, higher education administration, and educational leadership;
- 2) It will make possible the exchange of experience -- academic challenges in curriculum, management, and finance. This exchange is expected to enrich the quality of teaching and administration in all participating institutions
- 3) It will lay the groundwork for long-term contact, joint research activities, and doctoral training in these three field

The proposed program between East-Kazakhstan State, Eurasian, Kainar, and Vanderbilt universities builds upon each of these themes. The fields of education policy, higher education management, and educational leadership are among the most important contributions of the U.S. to the education profession, and one of the principal contributions of U.S. institutions to other countries

undergoing rapid economic and social transitions. The U.S. has extensive experience with educational decentralization, school-based management, the mixture of public and private educational systems, the generation of policy reform at the local level, the open competition among public and private higher education institutions, and the integral training role of graduate schools of education in the preparation of educational leaders. All of these elements suggest a comparative advantage for the U.S. in these fields, thus making collaboration with the U.S. a beneficial decision for Kazakhstan and other NIS countries.

With strong programs in each of these three areas and a widely acknowledged background on education problems of Kazakhstan, Vanderbilt University is perhaps the most relevant institution in the U.S. for this particular program. The managerial capacity of Vanderbilt's staff has been demonstrated over many years and comes with strong recommendations in Kazakhstan and the U.S. and with strong linkages to other development-assistance institutions active in the NIS region.

The proposed program includes several sub-components likely to attract the attention and support of other institutions, foundations, and development agencies. The role of the Bureau may be to leverage what could prove to be long-term institutional support from other sources that would not have begun without the Bureau's modest initiative.

Some of the concrete results of these new partnerships will include:

- 1) the resultant strategic plans at three Kazakhstan universities, which should lead to mobilization of financial support at the institutions;
- 2) development of both new academic programs and specific courses in education policy, higher education administration, and educational leadership through an experience exchange;
- 3) expansion of Vanderbilt University's role internationally through this and other program initiatives;
- 4) specific policy changes regarding education at the national or state level in participating nations;
- 5) graduate research both in the U.S. and Kazakhstan;
- 6) at least two publications (domestic or foreign) examining the effects of this program;

- 7) support for broader implementation of this initiative, and the development of similar partnerships with other countries.

In essence, the proposed program provides an opportunity for the Bureau to assist in an important contribution to Kazakhstan in a field uniquely American; to fuel a larger, long-term program of cooperation from other agencies; to strengthen Vanderbilt University's leadership role in this arena and open the door for similar programs with other countries; and, because of the track record of the institutions involved, to accomplish these goals with low levels of managerial risk.

Description of participating institutions and relevant academic departments/schools and their rationale for their cooperation with one another in pursuit of project objectives

Vanderbilt University

Vanderbilt is an independent teaching and research university located in Nashville, Tennessee. In terms of endowment and other financial resources, Vanderbilt ranks 16th in the U.S. The university enrolls 6,037 undergraduates and 4,157 graduate/professional students, for a total enrollment of 10,194. The student body includes students from all 50 states and more than 90 foreign countries. Racial and ethnic representation of undergraduates:

- **0.2%** of undergraduate students are American Indian or Alaskan Native
- **5.8%** of undergraduate students are Asian or Pacific Islander
- **4.4%** of undergraduate students are Black (non-Hispanic)
- **3.3%** of undergraduate students are Hispanic
- **76.1%** of undergraduate students are White (non-Hispanic)
- **3%** of undergraduate students are International (nonresident aliens)
- **6.9%** of undergraduate students are of unreported/unknown race/ethnicity

The University comprises 10 schools, a public policy institute, a distinguished medical center, and The Freedom Forum First Amendment Center. The Peabody College of Education at Vanderbilt University coordinates many major research, service, and outreach programs. The mission of the college

is to translate reliable knowledge into excellent practice in order to address critical education problems. Ranked 6th in the nation according to *U.S. News & World Report*, Peabody College is home to the Center for Education Technology, the Kennedy Center, the Vanderbilt Institute on Public Policy, and the Center for Education Policy. Vanderbilt is situated in a region of the U.S. traditionally known for its poverty and its struggle for equality. Because Vanderbilt takes community responsibilities very seriously, it has helped low-income communities develop ambitions for self-improvement. Vanderbilt's sense of responsibility also attracts graduate students from all backgrounds, who have goals to serve the public good, anywhere in the world.

For decades, Vanderbilt's programs have integrated teaching and research with domestic and international interests. Integration, rather than programmatic segregation, characterizes our approach to educational policy. Vanderbilt recognizes that many educational problems and solutions are entirely local. At the same time, there are many educational management and economic dilemmas that effectively cross borders. Vanderbilt believes its responsibility is to provide effective training for both.

The Department of Leadership and Organizations (DLO) helps develop graduate students who wish to play leadership roles in the education sector. The term "leadership" is interpreted broadly. The department trains future superintendents of public instruction, future university rectors, future leaders of educational foundations, as well as local and national authorities in both public and private school systems. The department plays a very significant role in U.S. debates over education, but it also has strong international connections. This proposal's director, Dr. Heyneman, is based in the DLO, and in 1997 (prior to joining the Vanderbilt faculty), he served on a team of officials invited by the Kazakhstan government to review education policy. In 2000, he was invited to Kazakhstan as a visiting fellow on behalf of the Bureau of Education and Culture and the Soros Foundation to lecture on matters of education policy.

The East-Kazakhstan State University

East Kazakhstan State University (EKSU) in Ust-Kamenogorsk is the leading university in the eastern part of the country, which is an important but sometimes neglected area. EKSU is a member of

several international associations, and it was among the first universities in Kazakhstan to initiate U.S.-style higher education managerial reforms, including the structure of four undergraduate years followed by professional school programs. Within the university structure there is the Kazakh-American Business College, which provides an American Bachelor's degree in Business Administration. The university offers 19 different post-graduate specialities, and EKSU is active in international cooperative instruction. About 20 students of foreign countries receive diplomas annually, and the staff includes visiting professors from Germany, Canada, Korea, Turkey, and the U.S.

The Eurasian University

The Eurasian University, in the new capital city of Astana, is considered by the government as one of its leading institutions. The university offers specialties in international relations, international law, international economic relations, and international journalism. Founded in 1996, the university has incorporated programs developed by countries of Asia, Europe, and North America. Its library boasts about one million volumes. Being just five-years-old, the Eurasian University's facilities and programs are relatively modern, and the university enjoys a close relationship with the Ministry of Education.

Kainar University

Kainar University in Almaty is one of the first private higher education institutions in Kazakhstan. Because of its effective administration and creative management, it has survived the initial stage of the economic and social transition, and is today among the most respected private institutions in the country. Kainar's mission is "the preparation of highly-qualified specialists for local and foreign activities," and it is a full member of the Association of the Schools of International Relations. The university houses seven schools, including the Department of International Studies. The university also offers master's programs in International Relations, International Economic Relations, and Law.

The university is currently seeking partners for sharing experience, establishing mutual interest, and exchanging students and professors. Kainar's rector, Yerengaip Omarov, has been very supportive of other projects with the Bureau, and he has a solid reputation of administrative efficiency.

Description of needs and goals at the NIS partner institutions

Unlike past education policy and structures in the Soviet Union, higher education is rapidly becoming competitive within Kazakhstan. There is open competition for students among public and private institutions. With the new system of fees and student loans implemented by the government, there is new competition for students within public education. As in the U.S., competition between higher education institutions is healthy.

But changes in policy have been difficult for the institutions themselves. There is little managerial experience preparing them to be responsive to student demand. There is little professional understanding about how to efficiently provide education services in the manner now required. Moreover, there are no institutions that provide training in higher education management. The demand for this training is likely to be high. Similarly, the demand for expertise in education policy and in educational leadership will now be high, too.

This proposed project intends to reinforce the underpinnings of higher education competition already in place in Kazakhstan. By collaborating with three institutions instead of one, none will have an advantage when designing individual academic programs. Each will design a strategic plan, not identical to the others. By selecting one private institution (Kainar), one institution in the new capital (Eurasian), and one institution in the eastern region of Kazakhstan (EKSU), no sub-sector of higher education can be said to have garnered an advantage over the others. In the end, students who wish to enter the new programs of education policy, higher education management, or educational leadership in Kazakhstan will choose from among the competitors.

Detailed description of the proposed linkage program activities over the three years

Six categories of activities (not listed in order of priority) are proposed.

1. Technical Meetings in Kazakhstan.

These meetings are meant for general information and technical training on any of the three major areas. The technical meetings in Kazakhstan will have the following objectives:

- general information and technical training in education policy, higher education administration, and educational leadership
- professional content and skills
- curriculum design for new academic courses in the subject matter
- program design for training of mid-career professionals
- discussion of techniques for responding to government agencies, private sector employees, and students
- skill building in assisting educational institutions through legal and regulatory changes.

Kazakhstan's coordinator, Fatima Kukeyeva; and *Duisek Kamysbaev (will be replaced)* from the East-Kazakhstan State University; *Rakhmetulla Yerkassov (will be replaced)* from the Eurasian University; and Yerengaip Omarov from Kainar University will determine the specific topics most relevant to their individual needs. The program's director, Steven Heyneman, and other Vanderbilt faculty will direct meetings in Kazakhstan. Visits ranging from two to eight weeks will feature topics including a mixture of professional content and skills in education economics, higher education management, and educational leadership. Other visits will focus upon curriculum design and delivery to mid-career as well as traditional students; techniques for responding to demands from governmental agencies and private sector employers as well as traditional students; and the skills of steering public and private educational institutions through rapid changes in the legal and regulatory environment.

2. Technical Meetings and Site Visits within the U.S.

These meetings are meant for specific training in a particular field. The technical meetings and site visits in the U.S. will have the following general objectives:

- meant for specific training within a particular field
- skills in developing curriculum in preparation for curriculum development in Kazakhstan
- training in teaching future managers of higher education institutions
- training in evaluation of higher education management
- training in primary and secondary education reform

- training in program design, featuring technology, special education, teaching and learning, and education policy at the primary and secondary level
- training in faculty pursuit of grants.

During a series of visits to Vanderbilt, Kazakh participants involved with higher education management will be involved in various activities. They will participate in interviews with the Tennessee State Commission on Higher Education (including extensive discussions with the branch that investigates educational fraud); meet with the provost of Volunteer State Community College in Gallatin, Tennessee; visit Tennessee Technical University in Cookeville, as well as other profit-making colleges. Finally, of course, they will meet with the provost of Vanderbilt University. The visits will also include extensive discussion on how future managers of higher education institutions are taught, how curriculum in that field is established, and how success of the academic training in higher education management is evaluated.

The site visit on educational policy will focus on K-12 issues (primary and secondary schools). This visit will include meetings with members of the Davidson County Tennessee school board, the county's superintendent of public instruction (to be selected in Summer 2001), various principals of elementary and secondary schools, union officials, and teachers. Participants will have extensive discussions with faculty members who train future teachers and are keen participants in national education reform efforts, both local and national. In Nashville, Tennessee, the participants will meet with Sally Kilgore, the executive director for Modern Red Schoolhouse, the largest private, non-profit company involved in national school reform based on teacher training interventions. On the Vanderbilt campus, visits will include the centers for education technology, special education, teaching and learning, and education policy. A special interview will be scheduled with the director of the Center for Education Policy, James Guthrie. This interview will focus on how universities contribute to the improvement of education through the training of officials in the fields of education policy. The discussions will include how Vanderbilt establishes its curriculum, how it chooses from among the many applicants, and how its faculty competes for policy reform research grants.

3. Master of Arts degrees in Education Policy, Higher Education Administration, and Educational Leadership.

This program will include opportunities for Kazakh students to spend up to two years at Vanderbilt studying for M.A. degrees in higher education administration, education policy, or educational leadership. The resources of the Bureau of Education and Cultural Affairs will not cover these costs. Nevertheless, the Bureau-sponsored program will lead to demand for lecturers and senior public officials with post-graduate degrees in these areas. Foundations and other institutions will be approached for the resources to make these graduate programs possible. However, it is important to integrate the discussion of this component into the overall Bureau program so as to present the overall picture of the education problem in Kazakhstan and the various solutions under consideration.

4. Institutional Assistance.

Vanderbilt will advise three Kazakh higher educational institutions in developing strategic plans regarding (among other areas):

- new degree programs (such as the three fields of this study)
- diversification of resources
- increasing level of available resources
- boosting educational managerial efficiency
- quality improvement
- technological improvement
- fund-raising
- information resource improvement
- social equity
- property and capital investment.

Each of the three higher education institutions in Kazakhstan will work on their own individual strategic plans. These plans will include concepts for new degree programs, such as in the three fields of this project. They also will include new ideas on educational managerial efficiency, quality improvement,

technological improvement, fund-raising, information resource improvement, social equity, property and capital investment, and many other areas. In addition, the plans will address diversifying resource bases and increasing the level of resources available.

Vanderbilt University will provide advice on each of these plans. Vanderbilt will work with each of the three institutions by helping them craft ideas to be both strategic and pragmatic. In addition, Vanderbilt will put leaders from the three Kazakhstan universities in touch with higher education officials who have worked on strategic plans of a similar kind.

Vanderbilt will deliver this institutional assistance in several ways, including the Internet. *Dr. Kamysbaev (the East-Kazakhstan State University), Dr. Yerkassov (the Eurasian University) both of whom will be replaced,* and Dr. Omarov (Kainar University), will each oversee the formulation of their institution's strategic plan. Those individuals will communicate with colleagues at Vanderbilt on a frequent basis, sending files back-and-forth, commenting, editing, making suggestions, and so forth.

Vanderbilt faculty also will visit each of the three Kazakh institutions to work on the strategic plans. To minimize cost, these visits could be combined with the more general seminars (detailed above), but the function still should be seen as quite different. Also, the study tours to the U.S. will include advanced-level graduate students and faculty in charge of the strategic plans for the three Kazakh institutions. Thus, their personal experiences will include working on the plans themselves.

5. Inter-Institutional Communications.

Participating faculty at the three Kazakhstan universities will join Vanderbilt University's internal list-serv communication, allowing them to participate in internal discussions and debates regarding curriculum, research interests, problems, and issues. They will be asked to share their ideas about similar issues and questions.

Librarians at the Kazakh institutions will communicate with each other, as will specialists on computer and other educational technology areas. Specific faculty working on research and managerial consultancy projects will be placed on a "matching list" of common research and academic interests for person-to-person contact.

Finally, the Kazakh universities will become partners in Vanderbilt's developing program, "Department of Leadership and Organizations (DLO) Online", which will provide the necessary resources to train educational leaders through the Internet. We will also treat these three universities as test cases to show this program has international credibility.

6. Faculty Exchange.

In addition to better understanding domestic higher education, faculty assistance in teaching courses (both in Kazakhstan and at Vanderbilt) will give students the opportunity to learn from and have discussions with faculty from abroad; it will also give faculty and students new perspectives in the higher education classroom experience.

Costs will prevent this category from becoming too large, but each participant believes it will be useful to have faculty assist in classes and seminars in Kazakhstan and vice versa. The project director, Dr. Heyneman, teaches a graduate seminar entitled "International Issues in Higher Education Policy Reform"; he will welcome one of the participating rectors or another senior Kazakh official to join that course. Invitations will be encouraged for contributions to discussions of any topics relevant to education policy, higher education administration, and educational leadership.

Names and qualifications of designated project directors (CVs for each are attached)

Stephen P. Heyneman, Program Director.

For 21 years, Dr. Heyneman helped design educational program policies for the World Bank. Between 1990 and 1996, he served as the World Bank manager for Human Development (Education, Health, and Social Assistance) in the Europe and Central Asia Region, managing all educational programs of the World Bank in the region

In 1990 he began with three countries (Romania, Hungary and the Czech Republic), but during the next 18 months he was assigned responsibility for 27 new countries, including the 15 republics of the former Soviet Union and Kazakhstan. He led the first work on education in the post-Soviet era, and he helped to identify the inherited structural and policy problems and the new ones acquired in the transition. He was a team member for the 1997 education sector report sponsored by the Kazakhstan Institute of

Strategic Planning, and in fall 2000, Dr. Heyneman was invited as a lecturer to senior staff of the ministries of education, finance, planning parliamentarians, and university rectors on behalf of the Visiting Scholars program of the Bureau of Education and Cultural Affairs and the Soros Foundation in Kazakhstan. Now, as Professor of International Education Policy at Vanderbilt University, with encouraging colleagues and university, he is in a position to help build institutions in a new way, hence this proposal.

Fatima Kukeyeva, Kazakhstan coordinator.

Ms. Kukeyeva serves as an associate professor of international relations and foreign policy at Kainar University and also at Kazakh State National University, thus bringing both a private and public education background. Having spent time at the University of Alabama-Birmingham on two separate occasions (in 1994 and 1998), Ms. Kukeyeva also brings an experience of Southern U.S. culture into her role. She has taught courses with a wide range of international elements, from U.S. history (in English) and foreign policy to the history of international relations. Her publications have examined similar elements, and her main ones have focused on issues quite relevant to this proposal. In 1998, she published *International Organizations in the Modern World* and *Tempus Program in Kazakhstan*.

Duisek Kamysbaev, representative, The East-Kazakhstan State University.

Dr. Kamysbaev has published more than 80 scientific works and currently serves as vice-rector in scientific research and international relations of EKSU. Having worked primarily at state universities in Kazakhstan for the past 25-plus years, Dr. Kamysbaev has experienced from a professional point of view the recent shifts in NIS higher education. His lengthy record of experience will prove valuable to the project.

Rakhmetulla Sharapidenovich Yerkassov, representative, The Eurasian University.

Dr. Yerkassov currently serves as vice-rector of the researches and international relations at the Eurasian University. His role at the university includes coordinating the work of the school on international relations, and one of his goals is to build partnerships with colleges and universities around the world. He has served in this capacity since 1977, and thus he brings vast experience to this project.

During his tenure, Dr. Yerkassov has participated in the signing of various agreements with the universities of 'long-distance' nations. His background will fit well with the economic aspects of the proposal, as his professional interests include educational commerce, education technology, and higher education finance.

Yerengaip S. Omarov, representative, Kainar University

Dr. Omarov has been president of Kainar University since its inception in 1991. In 1995, he helped direct the TEMPUS TESIS project "Organization of the International Studies"; in 1996 he forged an alliance with Prince Charles that allows Kainar alumni to enroll in postgraduate courses in the U.K. Dr. Omarov has embraced international cooperatives and has long supported Bureau projects. In his years as leader of Kainar, he has also built a solid reputation for administrative efficiency. His leadership experience also includes the presidency of the National Academy of Natural Sciences in Almaty since 1995.

Program evaluation plan identifying anticipated outcomes and performance requirements

We will take both formative and final assessments of the initiative. Within the first three months, representatives from each partner will collaborate on the development of a set of indicators of success and benchmarks for progress. Formative evaluations will focus on intermediate progress. The final assessment will focus on the degree to which we have met our initial objectives.

Laura Desimone, assistant professor of public policy and education, Vanderbilt University

Michael McLendon, assistant professor of higher education administration, Vanderbilt University

Thomas Smith, assistant professor of public policy and education, Vanderbilt University

Danna Balafanova, graduate assistant, Vanderbilt University

Final Assessment

Below we suggest possible indicators of successful completion of the project.

Objective 1:

1. Mobilization of financial support at each partnering institution.

2. Development of scope and breadth of course requirements and offerings for each program.
3. Mobilization of experts from each of the partner countries to support and define program.
4. Evaluation of the number and quality of program inquiries and applications.
5. Progress of program enrollees.
6. Completion rates of participants.

Objective 2:

1. Scope and depth of cross-national exchanges in program areas.
2. Participants self-report on the impact of the exchange.
3. Policy changes at national or state level in participating nations that can be linked to exchanges.

Objective 3:

1. Level of co-financing of graduate studies in the three fields.
2. Number of graduate students in these fields.
3. Number and variety of joint research activities in these fields.
4. Variety of similar programs in the NIS countries stimulated by this initial activity.

An initial logistical component will provide an early possibility of difficulty. During the first year, the advanced level graduate students will be identified, and the first round of overseas visits will commence. As this project will last three years, the possibility exists that graduate students who start with the program may no longer be graduate students by its completion. Thus, solid documentation and information transfer will be of primary importance.

Calendar of activities, including yearly objective measures

The trips to the various Tennessee educational institutions will occur during the first year. Four Kazakhstan officials will each spend 24 days at Vanderbilt. One Vanderbilt faculty member will spend 2 weeks in Kazakhstan for technical meetings and development. One Vanderbilt advanced level graduate student will spend 8 weeks in Kazakhstan as part of research and a faculty exchange. Each of the 3

Kazakhstan universities will send a scholar to Vanderbilt for a 4-month stay. The goals of the initial visits will be planning, and thus the outcomes will be measured in three-ways: (1) timely completion of every scheduled visit during the first year; (2) accurate following of budgetary guidelines for activities and expenditures; and (3) an outline of a strategic plan for each university. Reviewers will determine if, by the end of Year One, each outline addresses:

- 1) Concepts for new degree programs, such as in the three fields of this project.
- 2) New ideas on educational managerial efficiency, quality improvement, technological improvement, fund-raising, information resource improvement, social equity, property and capital investment, and any other areas deemed important by the university.
- 3) Plans to diversify resource bases and increase the level of resources available.

In addition, the technical and material components should all be in place by the end of Year One.

The second year will feature each of the four Kazakhstan officials spending 22 days in Nashville. Each of the 3 Kazakhstan universities will send a scholar to Vanderbilt for 4 months. One Vanderbilt faculty member will spend 2 weeks in Kazakhstan for technical meetings and development, and one Vanderbilt graduate student will spend 8 weeks in Kazakhstan as part of research and a faculty exchange. The goals during this second year will be for the three Kazakh universities to test some new ideas under the leadership and guidance of Vanderbilt faculty and staff. In addition, the faculty from Kazakhstan will participate in a faculty exchange that will allow them to participate in Dr. Heyneman's course and attain a working knowledge of higher education in the U.S. A potential difficulty could be unclear role definition during an extended stay, and thus each visit will need precise planning to maximize the financial benefits.

Outcomes for Year Two will be measured by the production of a first draft of a strategic plan that thoroughly details implementation of the aforementioned three items. In addition, feedback will be elicited from each participant, as well as students and staff at the various universities, to judge the effectiveness of the program to that point and to suggest improvements or alterations for the final year. Also, Year Two will provide Vanderbilt the opportunity to examine internal benefits. These will be

measured by the attainment and implementation of other grants to fund this and similar initiatives, as well as the expansion of establishment of the program itself.

Final drafts of the strategic plans will be completed during Year Three. Visits will include each of the four Kazakhstan officials spending 10 days in Nashville. Each of the 3 Kazakhstan universities will send a scholar to Vanderbilt for 4 months. One Vanderbilt faculty member will spend 2 weeks in Kazakhstan for technical meetings and development, and one Vanderbilt graduate student will spend 8 weeks in Kazakhstan as part of research and a faculty exchange.

Success of the program will be based, not only on successful completion of plans by each NIS institution, but also by at least initial approval and implementation by each university. Potential difficulties could arise in this stage due to political or organizational policy roadblocks. Under the best-case scenario, these will be just the first of many similar strategic plans being installed thanks to this plan. At the end of Year Three, Vanderbilt should be participating in at least three other initiatives (either connected directly or indirectly with this proposal) with separate funders. Also, at least two publications (domestic or foreign) examining the effects of this program should have been produced by the end of the term.

Describe how the proposed program builds on past international activities and/or develops other international programs (domestic)

In addition to building upon the extensive work completed by Dr. Heyneman both before and during his tenure at Vanderbilt, this proposal will add to the university's strong international program in development economics. Vanderbilt's Graduate Program of Economic Development (GDEP), led by Dr. James Foster, offers a Master's degree for students from many countries. Students are sent to Vanderbilt to study and then return to their home ministries, often the Ministry of Finance or Economy. To date, students have come to Vanderbilt from about 120 countries for this program, and many students have come from the NIS. Additionally, the program is rated as #11 in the U.S. for citations per faculty member. Faculty from this program will be able to provide expertise both to the designers of this program, as well as Kazakhstan participants. Furthermore, in January 2001, the GDEP, in conjunction

with CARANA Corporation of Arlington, Virginia, obtained a USAID contract “Regional Business & Economics Education Initiative” to expand opportunities, especially with regard to education, in Central Asia. Also, in November 2000, Vanderbilt’s Department of Leadership & Organizations invited Professor Mukhamejam Issayev from Kazakhstan to Nashville to conduct his research and development program in the teaching of the English-language in a multi-ethnic society. These two examples underscore the commitment of Vanderbilt and a large funding organization to international cooperation and development.

Plan for continued activity to build upon program achievements without additional U.S. government support

Many programs have difficulty continuing once the original grant is completed. This program, however, is likely to continue beyond the initial period for three reasons. First, this is only an initial phase. Once professional programs are established in educational leadership, higher education and educational policy, new relationships can be established for graduate training to the Ph.D. level, for collaborative research, and for participating in joint technical assistance activities in other parts of the NIS.

Second, other efforts to establish university programs in educational leadership, higher education management, and educational policy are likely in many parts of the NIS, including other parts of Central Asia. This first experience will be used to inform and improve subsequent activities.

Third, this particular program in the education sector is likely to lead to other education sector activities -- policy reviews, consulting with local authorities and entrepreneurial endeavors with other institutions in Kazakhstan and elsewhere. The initial grant, in essence, is only a first step in a much longer process of institution building.

Chronology of exchange activities

YEAR ONE: Each of the four Kazakhstan officials will spend 24 days in Nashville. Each of the 3 Kazakhstan universities will send a scholar to Vanderbilt for four months. One Vanderbilt faculty member will spend 2 weeks in Kazakhstan for technical meetings and development. One Vanderbilt

advanced level graduate student will spend 8 weeks in Kazakhstan as part of research and a faculty exchange. The goals of the initial visits will be planning, and thus the outcomes will be measured in three ways: (1) timely completion of every scheduled visit during the first year; (2) accurate following of budgetary guidelines for activities and expenditures; and (3) an outline of a strategic plan for each university.

YEAR TWO: Each of the four Kazakhstan officials will spend 22 days in Nashville. Each of the 3 Kazakhstan universities will send a scholar to Vanderbilt for four months. One Vanderbilt faculty member will spend 2 weeks in Kazakhstan for technical meetings and development. One Vanderbilt graduate student will spend 8 weeks in Kazakhstan as part of research and a faculty exchange. The goals during this second year will be for the three Kazakh universities to test some new ideas under the leadership and guidance of Vanderbilt faculty and staff. In addition, the faculty from Kazakhstan will participate in a faculty exchange that will allow them to participate in Dr. Heyneman's course and attain a working knowledge of higher education in the U.S.

YEAR THREE: Each of the four Kazakhstan officials will spend 10 days in Nashville. Each of the 3 Kazakhstan universities will send a scholar to Vanderbilt for four months. One Vanderbilt faculty member will spend 2 weeks in Kazakhstan for technical meetings and development. One Vanderbilt graduate student will spend 8 weeks in Kazakhstan as part of research and a faculty exchange. Final drafts of the strategic plans will be completed during Year Three. Success of the program will be based, not only on successful completion of plans by each NIS institution, but also by at least initial approval and implementation by each university. Each coordinator will make a final trip during Year Three.

TAB D

**BUDGET
SUBMISSION**

TAB D: Budget Submission

Budget Narrative

1. International Travel

Kazakhstan university participants will make a total of 18 trips (six per university), the Kazakhstan coordinator will make 3 trips (one per year), and Vanderbilt participants will make a total of 6 trips. Two of the 6 Vanderbilt trips to Kazakhstan will be financed by Vanderbilt in-kind. The in-kind trips will send three Vanderbilt faculty members (one per year) to Kazakhstan for two weeks of technical meetings and development. The other three trips (one per year) to Kazakhstan will provide Vanderbilt participants in an exchange lasting 8 weeks. These will provide the opportunity to teach, develop courses, and conduct research in Kazakhstan. The six visits to the U.S. for each of the Kazakhstan universities will allow for a faculty exchange, specific training, and assistance with the development of strategic plans. The trip each year by the Kazakhstan coordinator will allow her to conduct a yearly analysis of the program, maintain continuity among the three Kazakhstan participant, and work directly on the strategic plans while receive support from Vanderbilt faculty. Airfare on a commercial, U.S. flag-carrier is \$2200, roundtrip. This amounts to a bureau request of **\$59,400**.

2. In-Country Travel Overseas

Vanderbilt participants will need to travel from city to city in Kazakhstan. This will be dependent upon ground and air travel. There will be 6 trips to Kazakhstan. Three of these trips will be for at least 8 weeks, and each will involve semi-weekly plane trips from Almaty to the other universities. The other three trips will involve visits between cities, for a total of 9 more plane trips. Each plane trip will cost \$200, and there will be 21 total plane trips in Kazakhstan. The total bureau request for domestic travel is thus **\$4,200**.

3. Local Transportation Allowance

Vanderbilt University is located in Nashville, Tennessee, which does not have a strong public transportation system. Visits will be made to a community college, a technical institute, a public college,

and to the State Department of Education. This will involve transporting multiple participants during at least 10 visits. Vanderbilt will provide two vans, for a cost-share of \$75/day per van; a total of \$1500.

4. Per Diem

Per diem expenses will be incurred for each visit. These trips total 1,470 days, as detailed below. All figures are based upon the published U.S. government rate (except for rent, which was based on a single-bedroom apartment cost in Nashville).

Bureau-financed: -- 12 visits to **Nashville**, a total of 224 days (56 days for each of 4 officials) @ \$114/day....\$25,536.

-- 9 visits to Nashville, 120 days per diem @ \$42/day meals plus incidental expenses, plus \$2000 per stay for lodging (apartment)...\$23,040.

-- 3 Vanderbilt participants in **Almaty** for 14 days each @ \$263/day...\$11,046.

Kazakhstan institutions: Will provide homestay/dormitory/hotel + food/incidental costs for the 3 extended stay visits (60 days) for Vanderbilt participants @ \$40/day meals and incidental expenses + \$25/day *dorm/home* costs for a total \$11,700.

Total Bureau cost: **\$59,622.**

Total Kazakhstan cost-share: \$11,700.

5. Educational Materials/Electronic Communications

To further the “DLO Online” program and other Vanderbilt shared resources, appropriate access, software, and equipment will be required. This will necessitate, for each Kazakhstan university, a dedicated computer (3 @ \$3,000/each = \$9,000), satellite hookup (3 @ \$500/each = \$1,500), and high-speed Internet access (3 installs @ \$1,000/each = \$3,000). In addition, access to modern presentation materials, such as a powerpoint slide projector (3 @ \$1,000/each = \$3,000.). An additional \$2,000/yr. (\$24,000 total) will be allocated to each institution for software, materials, and technical support.

Also, materials will need to be translated from Kazakh into English, and possibly from English to Kazakh. \$1000/year will be dedicated to the acquisition of such materials, and this will be Kazakhstan's cost-share.

This study will want to publish its findings for distribution throughout Kazakhstan. \$1,000 will be requested to cover the cost of publication materials. And, finally books and other publications will need to be purchased for courses and presentations. \$1,000/semester, \$6,000 total for books. Subscriptions to *Educational Evaluation and Policy Analysis*, *International Policy Research & Practice*, and *International Journal of Educational Leadership* will cost a total of \$2,700.

Total Bureau request: **\$50,200.**

6. Salary for Program Participants (cost-sharing only)

Vanderbilt University will continue to pay the salaries of their participants while they are working in Kazakhstan.

Vanderbilt-financed: (Short-term costs of senior faculty = \$15,000/month)

3 senior-level faculty visits for _ month each = \$7500 * 3 = \$22,500

3 Vanderbilt participant visits for 8-weeks @ \$1,050/month = \$6,300

Total Bureau cost: **\$0**

7. Faculty Replacement Costs

Visits will be arranged so that no senior-level faculty person will stay longer than 2 weeks, and travel dates will be arranged so that these faculty do not miss enough class meetings to warrant a paid replacement.

Total Bureau cost: **\$0**

8. Stipends (NIS participants only)...up to 3 semesters per participant only

Stipends will be provided at the maximum level allowed for the Kazakhstan coordinator. The coordinators (all rectors or vice-rectors) from the individual universities will receive 15-percent less than the coordinator. The other university participants, who will each spend an extended period in the U.S., will receive \$300/semester, which is 60-percent of the maximum.

Kazakhstan coordinator:	3 semesters @ \$500/semester = \$1,500
3 Kazakhstan university representatives:	3 semesters/ea. @ \$425/semester = \$3,825
9 Kazakhstan university participants (1 participant from each school each year, each receiving 2 semesters of stipends)	18 semesters @ \$250/semester = \$4,500
Total Bureau cost:	\$9,825

9. Association Memberships

Each Kazakhstan university will join (1) the American Society of Higher Education, (2) the Comparative and International Education Society, and (3) the American Educational Research Association, for a total of 9 annual memberships (for 3 years) @ \$100 per annual membership = **\$2,700.**

10. Interpretation Fees

It will not be expected that any of the U.S. participants speak fluid Kazakh. Some of the Kazakh's may be fluid in English, but not all. Thus, the proposal will provide \$2,400/yr. for interpretation fees for each country, for a total of \$4,800/yr. in interpretation fees. Total bureau cost: **\$14,400.**

11. Health Insurance (NIS participants)

42 months total spent in the U.S. @ \$75/month = **\$3,150**

12. Evacuation Insurance

For 6 visits to Kazakhstan = **\$2,100**

13. Fees for outside consultants reporting on the project

The \$36,000 budgeted for consultant evaluation of the project has been appropriated to honoraria, per diem, and travel. As a consultant has not yet been hired, we cannot predict exactly where the consultant will be based. However, a significant amount of the consultant's work will be completed at his or her home office.

During years one and two, we will hire a consultant for evaluation services for 20 days each year. Ten of those days each year will be spent at Vanderbilt. During year three, the final year of the project, we will again employ a consultant to spend 12 days in Nashville, 8 days at his or her home office, and also 10 days in Kazakhstan. The final phase of the project is based upon implementation of the goals,

and the evaluator will observe these first-hand. In addition, the consultant will advise on publications throughout the life of the project, but especially in the final year.

The Bureau will fund honoraria at \$350/day, per diem in Nashville at \$114/day, and per diem in Kazakhstan at \$263/day. Also, the Bureau will fund airfare for travel between the consultant's office and Nashville and Kazakhstan.

Total Bureau cost: \$36,000.

14. Direct Administrative Costs:

Salaries and Benefits

Vanderbilt's project director will spend five-percent of his time working on this project. A five-percent buyout of his salary for the duration of the grant (3 years) = \$21,000.

The Kazakhstan institutions will employ seven graduate assistants (two for each institution and one for the coordinator) for the duration of the project. These graduate assistants will be in charge of handling the administrative tasks and planning for the host university. In addition, these graduate assistants will each make at least one international visit during the course of the project. Seven assistants @ \$54/month = \$375/month or \$4,500/yr. * 3 years = \$13,500.

Vanderbilt University will utilize half-time graduate assistant (a total of 10 hours per week) on this project. The graduate assistant will make at least one of the international trips as well as trips to Washington to assist in the study tours. In addition, the assistant will handle many of the administrative tasks and the coordination of various efforts domestically. While overseas, the assistant will lead or assist in a course while also conducting an examination of the Kazakhstan education system. One assistant @ \$525/month * 9 months * 3 years = \$14,175.

Total Bureau cost: **\$48,675.**

Communications

The project will try to utilize e-mail communication as much as possible, thus avoiding long distance calls. Still, international calls will need to be placed on occasion. In addition, packages of books and materials will be shipped regularly, and documents will need to be faxed on a regular basis. Long-

distance calls will be placed to consultants and to make reservations also. Total budget for postage, FAX, and telephone for three years will = \$5,000. Vanderbilt, the coordinating institution, will finance \$300/yr. for a total of \$900. Each Kazakhstan institution will cost-share \$240/yr., for a total Kazakhstan cost of \$720. This leaves the total Bureau cost at **\$3,380**.

Office supplies

The Bureau will provide \$2,000/yr. worth of office supplies for this project, for a total Bureau cost of **\$6,000**.

Vanderbilt will contribute \$500/yr. for a total of \$1,500. Each Kazakh institution will allocate \$300/yr., for a Kazakhstan total of \$2,700.

Indirect costs

Vanderbilt's facilities & administration rate for non-research sponsored projects is 36% on any funds Vanderbilt cost-shares. Vanderbilt will (1) cost share the difference in the indirect cost between what the Bureau will pay (since the Bureau is not allowing any of these costs, this is \$0) and the 36%, and (2) Vanderbilt will also pay 36% on their cost-shared portion. Thus, since the direct costs from the Bureau are \$299,652, and the Bureau is not allowing overhead costs, Vanderbilt will cost share 36%, or \$107,875. In addition, since Vanderbilt is cost-sharing \$32,700, Vanderbilt will also cost share 36% of that, or \$11,772. Thus, Vanderbilt's total indirect cost-share amount is $\$107,875 + \$11,772 = \$119,647$.

Kazakhstan institution will use a standard 26% rate on any funds they cost-share. Each institution is cost-sharing a total of \$6,040, and thus each will cost share 26% of that, or \$1,570.