

LEADERSHIP & MANAGEMENT

Case Studies in Training
in Higher Education in Africa

Edited by Johann Mouton and Lauren Wildschut



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Abbreviations and acronyms

AAU	Association of African Universities
ACBF	African Capacity Building Foundation
ACBI	African Capacity Building Initiative
ACE	American Council on Education
ACP-EU	Development cooperation between the European Union (EU) and the countries of the African, Caribbean and Pacific Group of States (ACP)
ACU	Association of Commonwealth Universities
ADEA	Association for the Development of Education in Africa
AR	Academic Registrar
CHEMS	Commonwealth Higher Education Management Service
CHET	Centre for Higher Education Transformation
COL	Commonwealth of Learning
CREST	Centre for Research on Evaluation, Science and Technology
CTP	Committee of Technikon Principals
DAAD	German Academic Exchange Service (<i>Deutscher Akademischer Austauschdienst</i>)
DST-NRF	Department of Science and Technology – National Research Foundation
DVC	Deputy Vice-Chancellor
DVCAA	Deputy Vice-Chancellor Academic Affairs
DVCFA	Deputy Vice-Chancellor Finance and Administration
ERA	Evaluation Research Agency
ESA	eastern, central and southern Africa
ESAMI	Eastern and Southern African Management Initiative
GDP	gross domestic product
GER	gross enrolment ratios
GIJ	Ghana Institute of Journalism
GIMPA	Ghana Institute of Management and Public Administration
HE	higher education
HEI	higher education institutions
HELA	Higher Education and Libraries in Africa
HELM	Higher Education Leadership and Management
HELP	Higher Education and Leadership Programme
HERANA	Higher Education Research and Advocacy Network in Africa

HESA	Higher Education South Africa
HOD	Head of Department
HR	Human Resources
HSRC	Human Sciences Research Council
IAU	International Association of Universities
ICT	information and communications technology
IDM	Institute of Management Development (Botswana)
IUIU	Islam University in Uganda
KIST	Kigali Institute of Science and Technology
KNUST	Kwame Nkrumah University of Science and Technology
KSA	knowledge, skills and attitudes
LEAD	Leadership Development Programme
LEDEV	Leadership Development Programme
M&E	monitoring and evaluation
MADEV	Management Development Programme
MDPI	Management Development and Productivity Institute (Ghana)
MIS	management information systems
MLP	Management and Leadership Programme
MoE	Ministry of Education
MP	Members of Parliament
NAB	National Accreditation Board
NABPTEX	National Board for Professional and Technician Examinations (Ghana)
NCHE	National Commission for Higher Education (South Africa) National Council for Higher Education (Uganda)
NCTE	National Council for Tertiary Education (Ghana)
NGO	non-governmental organisation
NUC	National Universities Commission (Nigeria)
NUFFIC	Netherlands Organisation for International Cooperation in Higher Education
OECD	Organisation for Economic Cooperation and Development
OUT	Open University of Tanzania
PHEI	private higher education institutions
PPDA	public procurement and disposable assets
QA	quality assurance
RUFORUM	Regional Universities Forum for Capacity Building in Agriculture
SADC	Southern African Development Community
SAHEL	Saharan Africa Higher Education Leadership

Abbreviations and acronyms

SALT	Senior Academic Leadership Training
SAPAM	Special Action Programme for Administration and Management
SARUA	Southern African Regional Universities Association
SAUVCA	South African Universities Vice-Chancellors Association
SDF	Skills Development Fund
SIDA	Swedish International Development Agency
SPSS	Statistical Package for Social Sciences
SSA	sub-Saharan African
SUA	Sokoine University of Agriculture
SUMA	Senior University Management
TCU	Tanzania Commission of Universities
TELP	Tertiary Education Linkages Project
TNA	training needs assessment
UENR	University of Energy and Natural Resources
UHAS	University of Health and Allied Sciences
UK	United Kingdom
UKZN	University of KwaZulu-Natal
UMAT	University of Mines and Technology
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNILEAD	University Leadership and Management Training Programme
UPE	universal primary education
UPSA	University of Professional Studies, Accra
URC	University Rationalisation Committee
USAID	United States of American International Development Fund
VC	Vice-Chancellor
WHEEL	Women in Higher Education Leadership
ZIPAM	Zimbabwe Institute of Public Administration and Management

Preface

There has been a clear resurgence of interest in training programmes for university leaders and managers at African universities in recent times. Training courses and workshops for university leadership and senior managers at African universities have been designed and offered for at least two decades. In the early 1990s UNESCO invested in an extensive training programme (ACU-CHEMS programme). The Association of African Universities (AAU) pioneered one of the first university leadership and management programmes (SUMA) in 1993, followed in 2003 by the LEDEV (Leadership Development) and MADEV (Management Development) programmes. (The latest version of this programme was a workshop in Kampala, Uganda in 2014.) In South Africa, training in this area was initially spearheaded by HESA (Higher Education South Africa) through its Higher Education Leadership and Management (HELM) initiative. More recently the Southern African Regional Universities Association (SARUA) has also invested in a similar programme (Governance, Leadership and Management Programme, in conjunction with the Wits School for Public Management). Other recent and current initiatives include programmes such as RUFORUM with support from the EU (ACP-EU Project), the UNILEAD project jointly managed by Oldenburg University in Germany and the Nelson Mandela University in South Africa (funded by DAAD, the German Academic Exchange Service).

In 2009, Carnegie Corporation of New York – as part of its institutional strengthening strategy for African universities, and in consultation with African university stakeholders – identified the need to build the capacity of emerging leaders who were being appointed to African university senior leadership roles. Three higher education councils in Africa, the Tanzania Commission of Universities (TCU) in Tanzania, the National Council on Higher Education in Uganda (NCHE) and the National Council of Tertiary Education in Ghana (NCTE) were identified to develop national higher education leadership training programmes. At the same time Carnegie Corporation also commissioned the Evaluation Research Agency (ERA) in Cape Town to provide technical support to these councils as well as to conduct ongoing monitoring and evaluation of the three programmes. Training programmes for university leadership and management were launched first in Tanzania in 2009, followed by Uganda in 2010, and Ghana in 2011.

Although there have been a few cases of evaluation studies of such programmes in Africa (evaluations of the AAU and HELM programmes are examples), it was decided that the scope of this particular investment by Carnegie Corporation justified a more systematic review of the lessons learnt through these programmes. After consultations between Carnegie Corporation, ERA and some senior individuals from the three participating councils, it was decided to embark on a book project that would aim to document and reflect on the learnings from these three intervention programmes.

Rationale

Against the backdrop of major developments and shifts in higher education on the African continent and globally, it is clear that university leaders face many leadership and management challenges. This is the starting point of the book. More specific questions that need to be addressed are:

1. Have the challenges for leadership in higher education management been documented: not just the shifts in education, but the challenges and how leaders at universities have responded to these?
2. Very few of the training interventions on leadership and management in Africa have been well documented. There has been an increase in the number of interventions, but little evidence of lessons learnt. Hence a second question addressed in the book: What lessons have we learnt from the three training programmes?

Preface

The book commences with an introduction that sets the historical context for this initiative. The remainder of the book is divided into three main parts:

Part One consists of two chapters: *A review of African scholarship on university leadership and management* and *The history and landscape of HELM training in Africa*.

Part Two presents the “documentation and lessons learnt” from the three Carnegie-funded country initiatives.

Part Three consists of two chapters: the first describes in detail the monitoring and evaluation process that ran concurrently with the implementation of the country training programmes; the second reviews the uptake and impact of these programmes.

The target audiences

The following stakeholder groupings will find the book relevant and worthwhile:

1. HE councils (especially in Africa) and other bodies that are in the business of designing and implementing interventions such as this.
2. Senior leadership and management at (African) universities.
3. International donor agencies and other agencies (such as UNESCO, IAU, AAU, etc.) that work in this field.
4. Evaluators and scholars in the field of higher education.

Johann Mouton and Lauren Wildschut
February 2015

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Introduction: Origins of the project

Claudia Frittelli

Identifying the need

Vartan Gregorian, President of Carnegie Corporation of New York said in his “New Directions” Report to the Board:

... If African universities are to help serve the goals of national, political and economic development, they must be able to develop, or have access to, the best available knowledge and information, and they must have the intellectual capacity to transform that information and knowledge into policy-related ideas and communicate them to leaders ... Any approach taken, however, must be in the context of an overall plan by a university to ensure sound institutional management, transparent and accountable governance, a thriving intellectual environment, adequate facilities for faculty members and students, and above all effective leadership.

Universities in sub-Saharan Africa have grown from fewer than 20 institutions in 1960 to approximately 650 in 2013, with an enrolment of 5.2 million students in 2010 and the highest rates of growth between 2000 and 2010 (UNESCO Institute for Statistics, 2012). Much of this growth was due to private institutions or fee-paying student schemes at public universities. A new generation of African university leaders is confronted with an external environment increasingly focused on knowledge production, global competitiveness and local relevance; unprecedented expansion of the student body; increased privatisation; new forms of technological educational delivery, knowledge access and administrative systems; a relative decline in government spending along with new approaches to resource mobilisation; expanding international partnership and donor activity; and increased autonomy from government. Simultaneously, African universities are often blamed for a mismatch between high rates of graduate unemployment and the demand for technical skills required for emerging economies. Few countries have yet to adequately address this through strategically differentiated tertiary-education systems. In this environment, the sector requires higher education leaders who have knowledge of global approaches to transformation, who are accountable to their institutions’ missions, capable of formulating and influencing policy, and proficient at building institutions that can manage the often-competing demands of excellence, expansion and relevance. During the course of its 2000–2010 investment in institutional strengthening of African universities, Carnegie Corporation’s Higher Education and Libraries in Africa (HELA) programme identified a need to support the leadership development of emerging leaders at expanding and newly forming universities.

Trends in leadership and governance on the continent

Strengthening university leadership in Africa is critical at a time when the continent’s own political leadership and governance is in transition. The Africa Economic Outlook 2014, a report by the African Development Bank (AfDB), OECD Development Centre and United Nations Development Programme (UNDP) states that:

Africa’s political governance has improved since 2000. Elections have increasingly become peaceful, and the participation of women in political life has increased ... There is a greater determination to fight corruption and illicit outflows of much needed cash – even though both still thrive. However, there are still many challenges ahead. Public protests have increased in recent years, largely in countries undergoing democratic transition. People want jobs and better wages, and they are

keeping a closer eye on their leaders, including through digital media. Violence by non-government actors decreased in 2012 but still remains high compared to levels recorded between 1996 and 2010. Recent surveys indicate that more than a dozen African countries are among 65 globally at an elevated risk of social unrest.

While these changes are promising and fragile, it takes institutions, public attitudes, and other systems to establish democratic governance. These changes point to a need for an academic class of young men and women who ensure democratic achievements are not ephemeral. Universities respond to political systems and reflect their governing systems, but also influence and provide democratic models for states. According to data from surveys of randomly chosen, representative samples of national legislators in 11 sub-Saharan African countries carried out by the African Legislatures Project between 2008 and 2010, 58% of members of parliament (MPs) interviewed had completed some form of tertiary education.¹ Higher education is recognised as essential for the design and operation of modern democratic political systems, for staffing the legislature, judiciary and executive branches of government, as well as regulatory agencies, courts and police, political parties and key civil society organisations.² The potential of a university to act as a training ground for democratic citizenship is best realised by supporting students' exercise of democratic leadership on campus, which consequently is a key opportunity for the development of a national democratic culture.³

Trends in university governance worldwide

The transition in university organisational and governance structures over the last decades worldwide has been described by Bleiklie and Kogan (2007), as a shift in two broad sets of ideas about university governance: 1) A *republic of scholars* in which institutional autonomy and academic freedom are closely related – leadership and decision making are based on collegial decisions made by independent scholars, and 2) the university as a *stakeholder organisation* where “institutional autonomy is considered a basis for strategic decision making by leaders who see their primary task as satisfying the interests of major stakeholders” – the academic voice is one among multiple stakeholders.⁴ Senior leadership has evolved from traditional teams comprised of vice-chancellors, bursars, registrars and librarians to professional management teams including deputy vice-chancellors of academics, research, finance, resource mobilisation, partnerships, teaching and learning, internationalisation, transformation and equity, to name a few. External factors including global rankings, regional accountability mechanisms, donor agendas, new frameworks from regulatory bodies, and networks and partnerships have also impacted African higher education reform. According to the *African Union Outlook on Education Report 2014*, the continent's higher education crisis extends beyond financing and expansion challenges. The sector has failed to deliver on the African Union's vision because it is fundamentally oriented towards teaching, with little focus on research. Research could play a pivotal role in the production of knowledge and creation of innovation to support Africa's improving position in the global economy.⁵ According to Nico Cloete, Director of the Centre for Higher Education Transformation (CHET), South Africa, higher education leadership training should take cognizance of emerging differentiation in higher education. Skills required for leading national flagship universities which were aimed at nation building and development after the period of independence required managing access, resources and political conflict. Those same leadership skills are not adequate for today's current focus on knowledge production. Emerging research universities require leaders to be accountable for inputs, outputs, and indicators of performance, for example. For private universities, the fastest growing sector, the focus will be on attracting students, quality, relevance and profitability. The leadership demands are different from those of predominantly publicly funded undergraduate universities.

1 Mattes, R. & Luescher-Mamashela, T.M. (2012). The roles of higher education in the democratization of politics in Africa: Survey reports from HERANA. *Journal of Higher Education in Africa* 10.1: 139–170.

2 Ibid.

3 Luescher-Mamashela, 2011. From University Democratisation to Managerialism: The changing legitimization of university governance and the place of students. *Tertiary Education and Management* 16.4. DOI: 10.1080/13583883.2010.529161.

4 Bleiklie, I. & Kogan, M. 2007. Organisation and governance of universities. *Higher Education Policy* 20: 477–493.

5 ADEA (Association for the Development of Education in Africa). 2014. African Union Outlook on Education Report 2014. Available at: http://www.adeanet.org/portalv2/sites/default/files/au_outlook_continental_english_2014_w.pdf. Accessed on 9 March 2015.

Rationale and selection of grantees: Higher education national councils

Over the course of the Corporation's USD 100 million investment in institutional strengthening at eight public universities in Tanzania, Uganda, South Africa, Nigeria and Ghana between 2000 and 2010, numerous project leaders were promoted to senior leadership. While some vice-chancellors had participated in leadership development programmes in the US and Europe, most expressed dissatisfaction with the use of irrelevant case studies, uncomparable resource environments and governance structures, as well as little opportunity to build networks with colleagues in Africa. In consultation with African university stakeholders, the vision of HELA's leadership training initiative was to develop national systematic programmes that would establish networks of university leaders who were trained in various approaches to leadership, policy and reform issues; responsive, transparent, and committed to their institutions' goals and countries; familiar with leadership literature and approaches; and sensitive to options for attaining organisational goals.

An additional aim of the programme was to support research and policy dialogue on leadership and governance transitions occurring at African universities. Institutional data and research on leadership in higher education in Africa was scarce. The Council on Development of Social Science Research in Africa (CODESRIA) received funding to address this gap by developing a Higher Education and Leadership Programme (HELP), which conducted research through national and transnational comparative research groups. The CHET Higher Education Research and Advocacy Network in Africa (HERANA) provided institutional data, performance indicators, and conceptual models which served as a platform for senior leaders to assess the actual state and positioning of their universities.

National higher education councils and commissions were the only organisations other than ministries that had a comprehensive reach to the sector. Coordinated by national councils, leadership programmes could cost-effectively train large numbers of senior academics and address national policy challenges within the context of their countries. The Tanzania Commission of Universities (TCU) under the leadership of Executive Secretary Mayunga Nkunya proposed a national programme for its constituents, vetted by Vice-Chancellors Tanzania. In Uganda the National Council for Higher Education Management and Leadership Programme (MLP) aimed to develop 150 competent senior leaders. The National Council for Tertiary Education (NCTE) in Ghana followed with their Senior Academic Leadership Training (SALT) programme, which targeted teams of leaders at select institutions. In addition to sharing resources across councils, these programmes provided a platform for senior leaders to address national higher education policy issues with government-appointed officials, and for private universities to converge with older, established ones. This led to the establishment of national higher education forums in Tanzania, accreditation systems for the private sector in Ghana, and shared practices across private and public institutions in Uganda, for example. The councils' emerging role in higher education became a topic of research itself, resulting in a book entitled, *Higher Education Councils and Commissions in Africa, a comparative study*, by CHET HERANA. The Corporation provided subsequent grant funding to TrustAfrica, a pan-African policy organisation to coordinate higher education multi-sectoral dialogues in Tanzania, Uganda, Nigeria and Ghana which resulted in national discussion of many of the issues raised during the leadership training. The national demand for policy dialogue among government, academic and private sector stakeholders culminated in the planning of an African higher education continental summit entitled, "Revitalising Higher Education for Africa's Future" which took place in Dakar, Senegal 10–12 March 2015.

In brief, the challenges at the outset were multiple: the national councils were overstretched by the demands of regulation and accreditation. Some recruited new staff. Technical assistance was required to establish a framework for training that was locally relevant, transformative and responsive to "needs assessments". Re-orientation was needed to develop a pool of African trainers who facilitated interaction and leveraged participants' own knowledge rather than lectured. Generating modules that drew on African university case studies, frameworks and strategies necessitated pioneering work. Lastly, strategic recruitment needed to be weighed against the political sensitivities of public and private institutions. The Evaluation Research Agency (ERA) was commissioned to monitor and evaluate the programme, but their role expanded to become one of

technical capacity-building to address the numerous challenges. Leadership training in some cases was reduced to basic management training due to a lack of orientation around strategic, human resource and financial management among rotating heads and deans. They are often appointed with minimal experience at a time when the sector is expanding rapidly. Participants reported benefiting from opportunities to reflect on and incorporate democratic and participatory styles of leadership, delegation, interpersonal skills, and supervision on return to their institutions. Largely representative of undergraduate teaching institutions, they also had to be made aware of the priority and incentives for research in their academic systems. The crucial role that research will increasingly play in Africa's development and future requires a new set of leadership skills to enable a critical mass of leading African universities to become excellent research universities. The effectiveness of systematic training programmes over alternative approaches to leadership development are a topic of ongoing discussion. Grantee reflections, learnings, and outcomes on developing these programmes and what they reveal about the state of higher education leadership and management in Africa are the subject of subsequent chapters of this book.

CARNEGIE CORPORATION GRANTMAKING IN AFRICAN HIGHER EDUCATION LEADERSHIP POLICY AND RESEARCH (2007–2015)				
LEADERSHIP TRAINING				
Name of organisation	Programme name	Duration	Number of participants	Amount invested
National Council for Tertiary Education (NCTE)	Senior Academic Leadership Training (SALT)	2010–Present	835	USD 1,390,000
Tanzania Commission for Universities (TCU)	Human Resource Capacity Building for Institutional Management in Tanzanian Universities	2009–2013	358	USD 1,346,700
National Council for Higher Education (NCHE)	Management and Leadership Training Project (MLP)	2009–2013	150 cascaded to 481	USD 611,000
			1674	USD 3,347,700
POLICY AND RESEARCH				
Name of Organisation	Programme name	Duration	Description	Amount invested
Council for the Development of Social Science Research in Africa (CODESRIA)	Higher Education Leadership Programme (HELP)	2011–Present	Comparative Research Networks and National Working Groups on Leadership and Governance research	USD 1,200,000
Centre for Higher Education Transformation Trust (CHET)	Higher Education Research and Advocacy Expertise Network in Africa (HERANA)	2007–Present	Three phases of higher education research in collaboration with flagship universities in eight African countries	USD 2,352,400
TrustAfrica	National Higher Education Dialogues and Continental Summit	2010–Present	Multi-sectoral policy dialogues in Tanzania, Uganda, Ghana and Nigeria culminating in a March 2015 continental summit	USD 2,022,600
				USD 5,575,000
			TOTAL	USD 8,922,700

PART ONE

ISSUES AND CHALLENGES



CHAPTER 1

A REVIEW OF THE SCHOLARSHIP ON HELM TRAINING IN AFRICA

Japhet Bakuwa and Johann Mouton

1.1 Introduction

Higher education is generally accepted as key to social, political and economic development.^{1 2 3 4} The establishment of higher education institutions (HEIs) in Africa in the 1960s (when most African countries attained their political independence) was motivated by the desire to develop the specific skills that African countries needed. Since their establishment in the 1960s, HEIs in Africa have grown and played an important role in building knowledgeable and skilled human capital necessary for development.

However, HEIs are beset by numerous challenges. Some of these challenges include: inadequate funding and an inability to diversify funding, poor infrastructure and facilities such as laboratories and libraries, increasing demand for access, poor governance, poor leadership and management, inadequate and unqualified staffing exacerbated by brain-drain and the impact of HIV and AIDS, deteriorating quality and relevance of teaching and research which cannot match the demands of the labour market.^{5 6 7 8}

It is said that no institution or organisation can rise above its leadership. Leadership in HEIs, as in any other organisation, plays a crucial role in the development and progress of those institutions. However, many higher education leaders and managers in Africa lack the skills to effectively deal with the enormous challenges HE in Africa faces in the 21st century.

There are few studies that attempt to document the challenges that African higher education leaders and managers face. A study conducted by the Association of African Universities (AAU) in 2013, based on data obtained primarily from university leaders, vice-chancellors, rectors, presidents and senior management staff of 33 African HEIs, found that a majority of leaders and managers lacked skills and that 90% had never attended any leadership training. The study also identified a number of challenges that leaders/managers of HEIs in Africa face. These challenges include: lack of vision for leadership development, lack of qualified staff in leadership/management positions, lack of succession plans, lack of resources (financial and infrastructure), and a lack of structural and systematic training development programmes. Among its recommendations, the study highlighted three:

- The need for building institutional leadership capacities in the region
- The need for equipping HE leaders with leadership and managerial skills

1 Samoff, J. & Carrol, B. 2004a. Conditions, coalitions, and influence: The World Bank and higher education in Africa. Annual Conference of the Comparative and International Education Society, Salt Lake City, 8–12 March 2004.

2 Bloom, D. Canning, D. & Chan, K. 2006. *Higher education and economic development in Africa*. Cambridge, MA: Harvard University.

3 Gyimah-Brempong, G., Paddison, O. & Mitiku, W. 2006. Higher education and economic growth in Africa. *Journal of Development Studies* 42.3: 509–529.

4 Aina, T.A. 2010. Beyond reforms: The politics of higher education transformation in Africa. *African Studies Review* 53.1: 21–40. DOI:10.1353/arw.0.0290.

5 Atteh, S.O. 1996. The crisis in higher education in Africa. *A Journal of Opinion: Issues in African Higher Education* 24.1: 36–42.

6 Aina, 2010.

7 Yizengaw, T. 2008. Challenges facing higher education and lessons from experience. A synthesis report for the Africa-U.S. Higher Education Initiative. A draft working paper. April 2008. Washington, D.C.

8 Pillay, P. 2010. Introduction. In P. Pillay (ed.) *Higher education financing in East and Southern Africa*. Cape Town: African Minds, pp. 1–6.

- That leadership/management capacity development be differentiated on the basis of managerial level, experience and gender.

While a huge amount of research has been done in the domains of policy and teaching and scholarship, some studies (e.g. by the Centre for Research on Science and Technology, at Stellenbosch University) show that little research has been conducted on leadership and management. This lack of sustained scholarship points to the need for more research on leadership and management of HE in Africa. This chapter presents a review of the scholarship on these topics in Africa since 2000. The review elucidates the following themes: university governance; academic freedom and university autonomy; financing; leadership behaviour and style; leadership and gender; strategic planning; quality assurance, social relevance and accreditation; and institutional transformation and reform. As background to a more detailed discussion of these themes, the chapter commences with a synopsis of the state of HE in Africa and highlights two major challenges facing HE in Africa, namely, increased demand for access and inadequate financial resources.

1.2 State of higher education in Africa

Higher education in Africa has a short history. Most universities in Africa were established in the 1960s (the period when most African countries attained their political independence). Since then, African countries have endeavoured to expand and develop the HE sector. For many years, HE in Africa has been dominated by public universities. However, with the introduction of structural adjustment programmes in the 1980s, which focused on measures to reduce the role of the state in development, the ascendancy of market ideology, and the initiation of market-friendly reforms worldwide, the landscape began to change. Despite the fact that private higher education institutions still lag behind in terms of student enrolment, the private sector can be described as the fastest growing sector of HE in Africa. For instance, within sub-Saharan African (SSA) region there are 109 public universities, 526 publicly funded polytechnics or colleges and 456 private universities or colleges. Within this region, public universities account for 72% of the total student enrolment and private institutions account for the remaining 18%.^{9 10} Africa's HE gross enrolment ratio has increased from 1% in 1965 to 7% in 2010.

Despite the fact that African HE has registered some progress in student enrolment and the number of public and private universities over the past 50 years, Africa's higher education sector faces numerous challenges. Some of these challenges, as mentioned earlier, include inadequate funding for research, and an inability to diversify funding; poor governance, leadership and management; poor and inadequate infrastructure and facilities such as laboratories and libraries; deteriorating quality and relevance of teaching and research which cannot match with the demands of the labour market; inadequate and unqualified staffing exacerbated by the brain-drain and impact of HIV and AIDS; lack of academic freedom; erosion of universities' autonomy; perpetual student unrest; and an inability to meet increasing demand for equitable access.^{11 12 13 14 15 16 17} Urgent action is needed to address these challenges if HE is to develop the human resources needed for economic growth in Africa.

9 World Bank. 2009. Accelerating catch up: Tertiary education for growth in SSH Africa. Washington, DC: The World Bank.

10 Southern Africa Regional Universities Association (SARUA), 2012. SARUA Annual Report 2012. Johannesburg: SARUA. Available at: www.sarua.org. Accessed on 30 May 2014.

11 Atteh, 1996.

12 Saint, W. 2004. Higher Education in Ethiopia: The vision and its challenges. *JHEA/RESA* 2.3: 83–113.

13 Sawyerr, A. 2004. Challenges Facing African Universities: Selected Issues. *African Studies Review* 47.1: 1–59.

14 Sall, H.N. & Ndjaye, B.D. 2007. Higher education in Africa. *European Education* 39.4: 43–57.

15 World Bank, 2009

16 Yizengaw, 2008.

17 Pillay, 2010.

1.3 Access and participation

Over the past 50 years, HE student enrolments in African countries have increased significantly. The UNESCO's Institute for Statistics (UIS) reports that over the last four decades the HE system has expanded at almost twice the global rate. Between 2000 and 2010 the total number of students pursuing HE increased from 2,344,000 to 5,228,000.¹⁸ Despite the increased enrolments, this has not matched the demand for tertiary education. Of all the regions of the world, SSA countries have the lowest tertiary gross-enrolment ratios (GER)¹⁹ of 7% while the world's GER stands at 29% (UIS data, August 2014). Note that SSA gross enrolment in 1965 was just 1%.²⁰ The UIS 2012 report indicates that within the Sub-Saharan Africa region only four countries have a tertiary gross enrolment of 10% and above – Ghana (12%), Mauritius (17%), South Africa (18%), and Nigeria (10%).

It is worthwhile noting that participation in HE in Africa favours men. In the SSA region, only 38% of enrolments are women. Although the participation in HE favours men in many African countries, there has been a substantial increase in women's participation in some countries including Burkina Faso, Ethiopia, Malawi and Tanzania.²¹ Furthermore, while most men enrol in the disciplines of commerce, engineering, information communication and technology, and engineering, the majority of women study in the humanities and education.²² It is also pertinent to note that access and participation in HE is also related to socioeconomic status, and it is therefore not surprising that enrolment in most African universities is dominated by students from higher income households. Ironically, public spending on HE as a proportion of the education budget is generally high in most African countries. Financing HE in Africa poses a major challenge not only because funding from public coffers appears to be unsustainable, but also because of the growing demand for public funding of other competing sectors of the economy including primary and secondary education, health, agriculture and social welfare.

For many years, HE in Africa was dominated by public universities.²³ However, the landscape has now reversed. Currently the private sector is a fast growing segment of HE in Africa, however, it still only accounts for a small share of higher education student enrolment because most of the private higher education institutions (PHEIs) are small.²⁴ ²⁵ The number of tertiary education institutions now exceeds 650 – around 200 public and over 450 private.²⁶ ²⁷ As stated in the previous section, the Southern African Regional Universities Association²⁸ reports that there are 109 public universities, 526 publicly funded polytechnics or colleges, and 456 private universities or colleges within southern Africa²⁹. Within the SADC, South Africa alone has 23 public universities accounting for 70% of the overall enrolments in the region. Within southern Africa, public universities account for 72% of the total student enrolment while private institutions account

18 UIS education data from 2012.

19 According to The United Nations Educational, Scientific and Cultural Organisation (UNESCO), the gross enrolment ratio (GER) is the ratio of total enrolment in a specific level of education, regardless of age, expressed as a percentage of the population in the official age group corresponding to this level of education. The GER which is expressed as a percentage can exceed 100% because of early or late entry and/or grade repetition (see *UNESCO's Education for All Report 2008*).

20 Bloom et al., 2006.

21 UIS education data from 2008.

22 Pillay, 2010.

23 Varghese, N.V. 2004. Private higher education in Africa. [A revised version of the paper presented at the Policy Forum on Private Higher Education in Africa, 2–3 November 2004, Accra, Ghana]. International Institute for Educational Planning. Available at: <http://www.unesco.org/iiep>. Retrieved on 30 May 2014; Varghese, N. V. (ed.) 2006. *Growth and expansion of private higher education in Africa*. Paris: UNESCO, Varghese, N.V. 2009. Private sector as a partner in higher education development in Africa (ADEA-WGHE-AAU-IIEP Policy Brief). Paris: UNESCO.

24 Varghese, 2004, 2009.

25 World Bank, 2009.

26 Ibid.

27 Varghese, 2009.

28 SARUA (Southern African Regional Universities Association) was founded in 2005, and its membership constitutes all public universities of the 15 countries that make up the Southern African Development Community (SADC). SARUA aims to "strengthen the leadership and institutions of higher education in the Southern African region". Currently, SARUA has 57 members (see <http://www.sarua.org/>).

29 SARUA, 2012.

for the remaining 18%. In terms of the distribution of PHEIs, Francophone countries account for 53% and Anglophone countries account for 34%.^{30 31} South Africa has the largest number of PHEIs (79), followed by Senegal (41) and the Democratic Republic of Congo (39). Some SSA countries do not have any PHEIs.

The rapid increase of enrolment in HE has compromised the quality of tertiary education in Africa. Universities do not have adequate facilities such as libraries and laboratories or sufficient teaching staff to facilitate teaching and research. Presently, there are 217,000 teaching staff in SSA compared to 10,983,000 for the entire world.³² This means that the student-staff ratio across SSA stands at 24.1 compared to a global ratio of 16.2.

1.4 Financing higher education in Africa

The financing of higher education in Africa has become one of the major issues of discussion among university managers and policy makers in recent years. Since the establishment of universities and colleges in Africa in the 1960s, most public universities have been hugely dependent on public resources.³³ Other development agencies including the World Bank have taken the lead in funding the HE sector in Africa. Arguably, developments in HE in Africa have been heavily influenced by external forces.³⁴ However, the economic crises of the 1970s and 1980s, which resulted in certain global structural reforms, affected the steady flow of both external and internally sourced funding to HE in Africa.^{35 36 37} By the late 1980s public spending on HE had become unsustainable, while student enrolments and the demand for HE remained high. As expected, the dwindling of financial resources to HEIs could not match the increased demand for access, infrastructure and other facilities and materials for teaching and research.

In 1988, the World Bank through its comprehensive analysis of educational development in sub-Saharan Africa titled *Education in sub-Saharan Africa: Policies for adjustment, revitalisation, and expansion*, recommended that African countries needed to develop educational policies that focused on adjustment, revitalisation and selective expansion within levels of education. Among other things, the report emphasised the need for national governments to diversify sources of funding for HE, as well as the need to effectively and efficiently use the available resources to improve HE. In responding to these structural adjustment reforms, many developing countries and donor agencies decided to reduce their expenditure on HE, and many countries and donor agencies shifted their focus from higher to primary education. The World Bank reports that public expenditure per tertiary student fell from USD 6,800 in 1980, to USD 1,200, and has recently averaged about USD 981 in 33 low-income SSA countries. In addition, the World Bank's financial support to Africa's higher education sector which had averaged USD 103 million annually between 1990 and 1994, dropped to USD 30.8 million per year between 1995 and 1999, after which it rose slightly to USD 36.6 million per year between 2000 and 2004 (see Figure 1.1).

30 World Bank, 2009.

31 SARUA, 2012.

32 UIS education data from 2012.

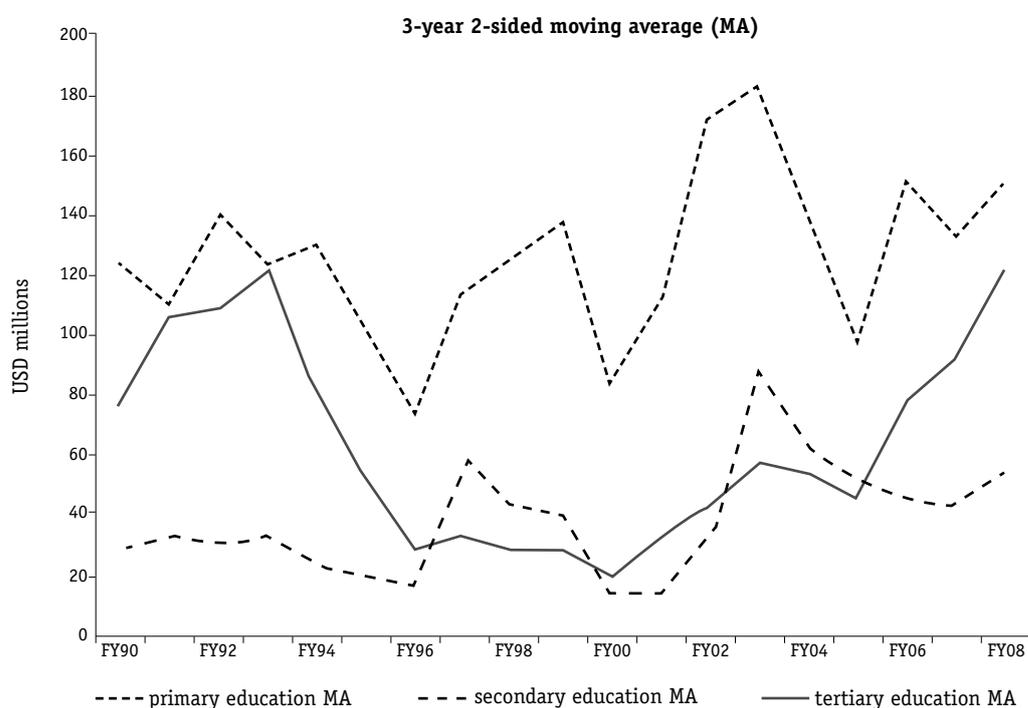
33 Kwapong, A.A. 1973. Universities in the developing countries of Africa: Some problems and prospects. Occasional Paper 13. University of California, Los Angeles: African Studies Center.

34 Samoff & Carrol, 2004a. Samoff, J. & Carrol, B. 2004b. The promise of partnership and continuities of dependence: External support to higher education in Africa. *African Studies Review* 47.1: 67–199.

35 Banya, K. & Elu, J. 2001. The World Bank and financing higher education in Sub-Saharan Africa. *Higher Education* 42: 1–34.

36 Samoff & Carrol, 2004a.

37 World Bank, 1988. *Education in sub-Saharan Africa: Policies for adjustment, revitalisation, and expansion*. Washington, D.C.: The World Bank.

Figure 1.1: World Bank expenditure to Education in SSA region by Sector, Financial Years 1990–2008

Source: Adapted from World Bank (2009)

Figure 1.1 shows that funding for tertiary education rose between 2005 and 2008, averaging about USD 83.9 million, but still remained below the expenditure levels of the 1990s. Interestingly, between the period 1990 and 2004, the World Bank increased its expenditure on primary and tertiary education. Not surprisingly, the decline in World Bank's funding for HE between 1990 and 2004 has led many actors in the education sector to label the World Bank as "an active opponent of tertiary education".³⁸ The reduction of funding to Africa's HE has not only affected low participation rates in HE but also the quality of teaching and research output. However, more funding directed towards primary and secondary education has also increased the number of students at primary and secondary education levels. As a consequence, there is now also greater demand for tertiary education.

Africa's current expenditure on tertiary education as a percentage of GDP stands at 0.78%, which is far below that of OECD member countries. This figure is more than 1.5% of GDP in at least 17 countries, Canada (2.7%), South Korea (2.6%) and the United States (2.8%) (OECD, 2013), but public expenditure on HE as a proportion of the education budget varies from one country to another. For instance, in Kenya between the fiscal years 2002/2003 and 2005/2006 the allocation of funding for HE as a proportion of the education budget increased marginally (11.5% in 2002/2003, 13.8% in 2003/2004 and 16.4% in 2005/2006), but there was substantial decline in HE allocations in both volume and proportion during the 2006/2007 financial year.³⁹ For these five years, higher education expenditure as a proportion of the total education budget averaged 13.74%. Analyses of data from other SSA countries show that governments' recurrent expenditure on HE as a proportion of expenditure on education is declining.⁴⁰

Currently, governments in Africa face severe financial constraints to sustain funding of HE. Moreover, there is also pressure (political or otherwise) that is exerted on national budgets to fund other sectors including primary and secondary education, health, social welfare and agricultural subsidies.

38 World Bank, 2009: 2.

39 Otieno, W. 2010. Kenya. In P. Pillay (ed.) *Higher Education Financing in East and Southern Africa*. Cape Town: African Minds. pp. 29–62.

40 Pillay, 2010.

This means that new avenues through which HE can be funded should be explored. To address this problem, there have been calls for national governments to find other sources of funding for HE. There have been a number of policy options on how universities in Africa can fund their operations with minimal dependence on public funds. Two of these include the private financing of education as well as the establishment of cost-sharing programmes whereby students and parents carry a significant share of the cost of HE. Some African countries including Kenya, Uganda, Ethiopia and Malawi have reduced public funding to HE and implemented policies whereby students can fund their studies through loan schemes, repayable after the students graduate, but other governments are yet to take these drastic measures. It appears there is now renewed interest by international donors and development agencies to revitalise HE in Africa mainly through focusing on 'partnerships' rather than 'aid'.⁴¹

1.5 Leadership and management challenges of HE in Africa

HE is critical to the social and economic development of Africa. In Africa this ideal is hindered by many challenges that institutions of HE face, including a lack of trained, professional leaders and managers. Good leadership is one of the greatest challenges African HEIs face in the 21st century.⁴² Leadership in the university system plays a crucial role in its development and progress.

For many years the notion of 'leadership and management' of HEIs in Africa has been restricted to the activities of those in executive management, and in particular the office of the vice-chancellor. However, more recently there has been a shift from this notion to include principals, vice-principals, registrars, deans and deputy deans of faculties, and heads and deputy heads of departments. HE leaders and managers face many challenges: together with limited institutional autonomy, there is a dearth of leadership development skills to manage staff and the increasing student population. There are poor or no succession plans, underqualified staff in leadership/management positions, inadequate resources (financial and infrastructure) a lack of institutional gender policies and structural and systematic training development programmes. The subsequent sections present an analysis of the themes that various scholars on HE leadership and management in Africa have discussed in the literature, particularly between 2000 and 2013.

1.6 Governance of HEIs in Africa

The governance of higher institutions of education in Africa, as in other parts of the world, has attracted the attention of scholars and policy makers from across the continent.⁴³ Sayed⁴⁴ has noted that the discussions and debates on governance of HE in Africa revolve around issues relating to the purpose of HE, the tension between university autonomy and public accountability, the nature of academic freedom and how it ought to be exercised, and the balance between self-regulation and governmental intervention and control.

The governance of HEIs in Africa can be explained historically.⁴⁵ African universities share a common history. Kwapong⁴⁶ attempted to enumerate six common features that characterise the founding of universities in Africa. First, many African universities were founded after the 1960s – the period during which many African countries attained independence from colonial powers. Second, the main aim of HE in Africa at the time (1960s) was the training of skilled personnel to take over from the departing colonial administrators. Third, all African universities were initially state universities, funded by

41 Samoff & Carrol, 2004b.

42 Ebuara, V.O., Udida, L.A., Ekpiken, W. & Basse, U.U. 2009. Re-inventing the Nigerian dream and the challenge of leadership. Paper presented at the 11th International Conference on Educational Management Association of South Africa (EMASA), 7th–9th August 2009. Available at: www.emasa.co.za/files/emasa2009/8_EMASA2009_Ebuara.pdf. Accessed on 12 June 2014.

43 Hall, M., Symes, A. & Luescher, T. M. 2002. Governance in South African Higher Education. Research Report prepared for the Council on Higher Education. Available at: www.che.org.za.

44 Sayed, Y. 2000. The governance of the South African higher education system: Balancing state control and state supervision in cooperative governance? *International Journal of Educational Development* 20: 475–489.

45 Kwapong, 1973.

46 Ibid.

public money. Fourth, the administration and curricula of African universities were patterned after universities in the “metropolitan” countries. Fifth, most of the universities were established on new campuses and coincided with the establishment of new towns. Thus, these new towns became known as “university towns”. Lastly, all universities were largely staffed by expatriates.

Saint⁴⁷ defines “university governance” as

the mechanisms whereby an institution incorporates the participation of relevant interest groups in defining the scope and content of its work – including the capacity to mediate among these interests when they enter into conflict – and the means whereby it demonstrates accountability to those who support it through its mission mandate and the application of its resources in pursuit of these goals.

As is the case with other universities worldwide, the establishment and governance mechanisms of public universities in Africa is legally provided for by Acts of Parliament and other statutes. It means that public universities are legally owned and governed by the state. Specifically, public and private institutions fall under the national ministries of education, which has a bearing on how these universities are governed. In this regard, most national governments in Africa have developed clearly spelt-out legal frameworks (i.e. laws and statutes) that determine how their public universities ought to be governed. These legal frameworks determine governance arrangements for HE systems, and provide guidance on specific governance issues including autonomy, accountability, government control and stakeholder representation.

Typically, in many African countries, governmental involvement in university affairs is the norm.⁴⁸ In many African countries, (and certainly most Anglophone countries) the head of state is also the university chancellor,⁴⁹ and has the ultimate authority in appointing key university administrators, such as the vice-chancellor and members of the university council.⁵⁰ This model inevitably creates tension between the government and universities, especially with regard to policy formulation and implementation. In other countries, the vice-chancellor is appointed by a minister of education with or without the endorsement of parliament or even the chancellor.⁵¹ The vice-chancellor is equivalent to an American university president.⁵² The vice-chancellor is the academic and administrative head of the institution and is answerable to a university council. The membership of the university council is also appointed by the head of state, and is usually drawn from government, the university, the private sector and in some countries, the student body. The responsibility of a university council is to formulate and implement institutional policy decisions. Thus, a university council is considered as the executive body of a university’s governance system and an advisory body to the university chancellor. University academic affairs are managed by the university senate. Faculties and departments organise teaching. Faculties are headed by deans – who are elected and serve for a specified period – while departments are led by heads who are usually appointed. It is thus quite evident that there is more potential for political interference in the affairs of universities in Anglophone countries.

Unlike in Anglophone countries, a university in a Francophone country such as the Democratic Republic of Congo, is headed by the minister of education (or HE). The rector (who is accountable to the minister of education or HE) is responsible for the day-to-day financial and administrative matters of the university. Deans of faculties and heads of departments are generally elected and possess certain decentralised responsibilities including the admission of students. It is clear that the administrative model is strongly hierarchical. This means that universities in Francophone countries are also characterised by more centralised governance.

47 Saint, W. S. 1992. *Universities in Africa: Strategies for stabilization and revitalisation*. World Bank Technical Paper No. 194. Washington D.C.: The World Bank.

48 Teferra, D. & Altbach, P. G. 2004. African higher education: Challenges for the 21st century. *Higher Education* 47: 21–50. UNESCO Institute for Statistics. 2012. *Global Education Digest* 2012. Montreal: UIS.

49 Saint, 1992.

50 Teferra & Altbach, 2004.

51 Ibid.

52 Ibid.

In contrast, there is relatively more autonomy for universities in the Lusophone countries such as Mozambique. In these countries universities are largely autonomous public institutions. As in Anglophone countries, university councils are responsible for institutional policy making, however their membership is drawn entirely from within the university. In Lusophone countries the university is headed by a rector who possesses considerable authority and is mandated to appoint faculty deans and department heads.

Regardless of their structure, there is consensus that the governance, leadership and management challenges that universities face cut across the African continent. This is largely because the leadership and management styles and systems inherited from the colonialists have simply been adopted indiscriminately. Many African governments have had to reform and transform their governance systems in an attempt to promote what has been termed 'cooperative governance'. In South Africa, for example, the major challenge facing governance of HE in the post-apartheid era has to do with underpinning the nature of the relationship between the government/state and HEIs.⁵³ In view of this, the South African government through the Ministry of Education developed policies to map out the governance of HE in South Africa. Some of these policy documents include The National Commission for HE (NCHE) report (1996), the Green Paper (1996), the White Paper (1997), the Bill on Higher Education, and the Higher Education Act of 1997. Each of these policy texts addresses a particular higher education governance issue. Sayed (2000) noted that these policies were developed to promote "cooperative governance" within the higher education sector. However, Sayed⁵⁴ argued that although the concept of 'cooperative governance' has a seductive appeal,

it masks a number of tensions and contradictions regarding the balance between control and regulation, the nature of decision making, the balance between consultation and co-decision-making, the relationship between the state and civil society, and the policy mechanisms to steer them.

Sayed⁵⁵ sees HE governance in South Africa as an outcome of the politics of policy contestation.

1.7 Academic freedom and university autonomy

While HEIs in developed countries enjoy a fair amount of autonomy, this is not the case in Africa where many universities are controlled by their respective states. Some scholars argue that government control of the HE system can adversely affect the development of HEIs.^{56 57 58}

It is not possible to discuss the governance and management of HE without making reference to academic freedom and the autonomy of institutions. Academic freedom and autonomy are among the most important issues concerning the existence, mission and role of the university worldwide. These twin concepts are essential to universities in their endeavour to address the socioeconomic, political and cultural needs of their particular countries⁵⁹. As a matter of fact, academic freedom is tagged to the autonomy of universities. Arikewuyo and Ilusanya⁶⁰ define university autonomy as "the freedom of an institution to run its own affairs without direction or influence from any level of government." Saint aptly described what autonomy may mean in the context of HE system. He writes:

53 Sayed, Y. 2000.

54 Ibid: 488.

55 Ibid.

56 Bjarnason, S. & Lund, H. 1999. Synopsis of the case studies. In S. Bjarnason & H. Lund (eds) *Government/University Relationships: Three African case studies*. London: Commonwealth Higher Education Management Service, pp. 6–14.

57 Hoare, O. R. 2007. A case study of governance of higher education in Belize: Implications for finance and curricula in higher education. Doctoral thesis. University of South Florida. At: <http://scholarcommons.usf.edu/etd/2217>. Retrieved on 10 June 2014.

58 Du Toit, A. 2008. From autonomy to accountability: Academic freedom under threat in South Africa? *Social Dynamics* 26.1: 76–133.

59 Kwapong, 1973.

60 Arikewuyo, M. O. & Ilusanya, G. 2010. University autonomy in a third-generation university in Nigeria. *Tertiary Education and Management* 16.2: 81–98. DOI: 10.1080/13583881003756468.

For a higher education institution, it means the freedom to determine its own goals and priorities; to select its own leaders; to employ and dismiss staff; to determine enrolment size and rate of growth; and to manage its own budget, including the reallocation of funds among budget items and right to retain for future use any savings generated.⁶¹

In the context of this definition, it means that government's interference or otherwise in the affairs of universities can compromise the autonomy of the institutions. A few studies have been conducted to assess the levels of autonomy among African universities. A study conducted in 27 countries of the British Commonwealth by Richardson and Fielden⁶² found that universities in ten SSA Anglophone countries enjoyed greater autonomy than those in Commonwealth countries in the Mediterranean and Asia, although their autonomy scores were slightly below the Commonwealth mean. This finding suggested that SSA universities were not significantly less autonomous than other Commonwealth universities.

Arikewuyo and Ilusanya⁶³ conducted a study in Nigeria aimed at examining the level of autonomy in one of Nigeria's third-generation universities and found that government intervention was generally regarded as reasonable. Specifically the study found that government never exerted any influence on the appointment, discipline, tenure or dismissal of staff; entry standards and pass and failure rates of students; curriculum and teaching; research and publication; membership and control of senate academic boards and staff. However, the study found that from time to time government exerted its influence on the appointment and dismissal of vice-chancellors; pay and conditions of service of staff; admissions quotas for minority groups; the introduction of new teaching fields; closure and amalgamation of courses; and duration of academic years. Furthermore, the study found that government often exerted its influence on the control of governing councils and the quality control of academic standards, number of students to be admitted and the level of fees to be charged by the universities. Arikewuyo and Ilusanya⁶⁴ observe that these findings support the view that the Nigerian university system allows the governing councils to have control over the appointment, discipline, tenure and dismissal of academic and non-academic staff, and they argue that this is patterned after that of its colonial masters, the United Kingdom, where universities have greater autonomy in recruitment of staff.⁶⁵ As we have already noted, this is not the case in Francophone countries where the state virtually regulates all university staff policies.

Academic freedom can be defined as "the ability of academic staff to teach, conduct research, and publish without outside interference".⁶⁶ Academic freedom is an ideal that faces challenges not only in African countries but across the globe. While there is general agreement about what constitutes academic freedom, there is contestation about how this is exercised.

Arguably, a majority of African governments are intolerant of the exercise of academic freedom – teaching freely, undertaking research of one's own interest, communicating findings openly, expressing dissenting opinions, and the free expression of ideas.

There are numerous recorded cases of African governments' unwarranted interference in academic freedom. Teferra and Altbach⁶⁷ cite cases in Kenya, Algeria and Ethiopia where serious violations of academic freedom have taken place. For instance, over 40 university professors and lecturers from Addis Ababa University were expelled during the mid-1990s. A more recent case of the violation of academic freedom occurred in Malawi in 2011 where a fierce battle for academic freedom raged on for over eight months because the lecturers wanted assurances for their academic freedom from the Government of Malawi. This eventually led to the closure of Chancellor College, a constituent college of the University of Malawi. The stand-off began when a Political Science lecturer was interrogated by the Inspector General of Police for discussing with students the developments that led to the

61 Saint, W. 2009. Legal frameworks for higher education governance in Sub-Saharan Africa. *Higher Education Policy* 22: 523–550: DOI:10.1057/hep.2009.17.

62 Richardson, G. & Fielden, J. 1997. *Measuring the grip of the state: A study of the relationships between governments and universities in selected Commonwealth countries*. London: Commonwealth Higher Education Management.

63 Arikewuyo & Ilusanya, 2010.

64 Ibid.

65 Ibid.

66 Richardson & Fielden, 1997.

67 Teferra & Altbach, 2004;

overthrow of dictatorships in Egypt and Tunisia, and drawing parallels between Malawi's fuel crisis and the uprisings in these two countries including the Arab Spring. The dispute between the lecturers and the Government of Malawi saw four lecturers being fired for their leadership roles in the struggle. After eight months of fighting, the then President of Malawi, Bingu wa Mutharika, issued an order guaranteeing academic freedom and reinstating the lecturers who were fired illegally. The 2011 academic struggle in Malawi is reminiscent of cases of interference of academic freedom during the repressive one-party rule of Hastings Kamuzu Banda.⁶⁸

1.8 Leadership behaviour and style in HEIs

African universities, like universities worldwide, are mandated to engage in three activities: teaching, research and community service.⁶⁹ In order to achieve the tripartite mandate, leadership of African universities need a cordial working relationship with academic and non-academic staff members, students and other stakeholders.

Generally, in most universities in Africa the vice-chancellor is the principal academic and executive officer.⁷⁰ This implies that vice-chancellors have an important responsibility as far as the transformation of African HEIs is concerned. However, the major challenge relates to the manner in which vice-chancellors are appointed, and not necessarily the calibre of people who are appointed to the position. In most African countries, as mentioned earlier, university vice-chancellors are appointed by the head of state. But some pertinent questions can be asked: Who should be the vice-chancellor? What is the ideal selection process? What role should the university governing council and the government play in the process of appointing the vice-chancellor?

The leadership behaviour of vice-chancellors and work behaviour of lecturers and non-academic staff play an important role in achieving the tripartite mandate of universities in Africa.⁷¹ In a study comprising 27 universities of South-West Nigeria to determine the relationship between the leadership behaviour of vice-chancellors (as perceived by lecturers) and work behaviour of lecturers (i.e. level of commitment, conformity, cooperation and participation in the university administration), Oke et al.⁷² found that there is a significant relationship between the vice-chancellors' leadership behaviour and the lecturers' levels of commitment, cooperation and participation in university activities. Positive leadership behaviours of vice-chancellors tended to encourage the lecturers to become highly committed to their work. Conversely, where vice-chancellors were perceived to exhibit uncaring leadership behaviour, the majority of lecturers were uncooperative with university authorities.

1.9 Leadership and gender

Women have been and continue to be under-represented in higher education worldwide,⁷³ which is partly because more men than women participate in HE. University leadership in most African universities and colleges is dominated by men, and this is compounded by the fact that most universities do not have institutional gender policies that promote and support women in taking up leadership and management positions. A study conducted by the the African Association of Universities in 2013 drawing on university leaders, vice-chancellors/rectors/presidents and senior management staff of 33 universities in sub-Saharan Africa found that the number of women in leadership positions is very low and that 81% (27) of the institutions studied had no institutional gender policy.

68 Dr Hastings Kamuzu Banda led Malawi to independence from the British colonial rule in 1964. He ruled Malawi under one-party dictatorship rule from 1964 to 1994. Malawi had its first ever multi-party democratic elections in 1994.

69 Oke, G.G., Okunola, P.O., Oni, A.A. & Adetoro, J.A. 2010. The relationship between vice-chancellors' leadership behavior and the work behavior of lecturers in Nigerian Universities: Implications for leadership training for vice-chancellors. *JHEA/RESA* 8.1: 123-139.

70 Akinwale, O.T. & Adegoju, A. 2012. Aspiring vice-chancellors' rhetoric and the challenges of building a twenty-first Nigerian university. *JHEA/RESA* 10.2: 25-46.

71 Oke et al., 2010.

72 Ibid.

73 Makobela, R.O. 2003. "Donkeys of the university": Organisational culture and its impact on South African women administrators. *Higher Education* 46: 129-145.

A qualitative study by Makobela⁷⁴ to examine the experiences of Black women occupying senior administrative positions at some South African universities found that these women described themselves as “donkeys of the university”, lacking support from both male and female colleagues, and not being recognised or rewarded for their hard work. According to their experiences, the women faulted the institutional cultures which tend to marginalise women administrators and scholars. These findings highlight the need to create environments that are conducive to the appointment of female administrators and scholars.

Another qualitative study by White, Bagilhole and Riordan in 2012 – conducted in Australia, South Africa and the United Kingdom (UK) with 56 male and female managers to analyse career trajectories into university management, the skills required to operate effectively and the power of vice-chancellors (VCs) and their impact on the gendered shaping of university leadership – found that the typical career was modelled on male academic careers. The study revealed that in South Africa and the UK, the perception of the top university leader was that of a man. However, in Australia, where more women have been VCs, there was no such assumption, and VCs are extremely powerful and do influence the gender balance of senior management. The perception that South African leaders of higher institutions have about the position of VC is largely influenced by the dominance of male colleagues taking up these positions at many South African universities. Apparently, this is not unique to South Africa. Many Africans assume that the positions of vice-chancellor or pro-vice-chancellor are only for men. The continued trend of male colleagues assuming the position of VC is likely to affect the participation of female colleagues in university management/leadership.

These studies highlight the need for HEIs in Africa to develop policies deliberately aimed at promoting gender equality and equity so that women can take up executive positions. In addition, HEIs need to create institutional cultures that do not marginalise women administrators and scholars but rather support them. Thus, there is a need to demystify the belief that university top leadership/management is only for men, by training and equipping more female academics with leadership skills so that they can assume leadership positions in African institutions of HE.

1.10 Strategic planning in HEIs

Strategic planning is a fairly recent phenomenon in most African HEIs. It was not until the early 1990s that most of these institutions engaged in serious strategic planning efforts. The preparation of strategic plans was in response to calls by donors for SSA universities to do so.⁷⁵ The development of strategic plans by SSA universities could also be viewed as an extension of the ‘structural adjustment’ reform policies which were adopted by African governments and negatively affected the manner in which HE in Africa was financed and managed. A university strategic plan is a document that articulates a university’s mission, vision, goals, principles and challenges. It also outlines the action needed to achieve the goals and how to address the challenges within a specified time frame (for example, the next five years).

By mid-1995, more than ten universities in sub-Saharan Africa had developed strategic plans.⁷⁶ Some of these universities include Eduardo Mondlane, Dar es Salaam, the University of Ghana, University of Zambia and Fort Hare University. Other universities in the SSA region, including the University of Malawi, only developed their first strategic plans in the early 2000s. The University of Malawi has recently developed its second five-year strategic plan (i.e. 2012 to 2017).⁷⁷

Developing strategic plans for HEIs is not without its challenges. A project dubbed “Strategic Planning in African Universities” was commissioned by UNESCO to investigate experiences in the strategic planning of VCs and their senior colleagues from 59 members of the Association

74 Ibid.

75 Farrant, J.H. & Afonso, L. 1997. Strategic planning in African universities: How relevant are Northern models? *Higher Education Policy* 10.1: 23–30.

76 Ibid.

77 University of Malawi. 2012. University of Malawi Strategic Plan. Available at: <http://www.unima.mw/wpcontent/uploads/2012/07/2012-2017-UNIMA-Strategic-Plan-30-March-2012.pdf>. Retrieved on 25 May 2014.

of Commonwealth Universities (ACU) in sub-Saharan Africa, excluding South Africa.⁷⁸ The study revealed three important findings: firstly, that the publicising and negotiation of the strategic plan are relatively more important than conventional planning theory allows – this may require the involvement of other stakeholders in the early stages of the planning, as well as organising a conference to publicise the strategic plan; secondly, that academic staff should participate in the planning process so that the strategic plan has an “academic” touch; and thirdly, leadership of a university (i.e. the vice-chancellor) is very central to strategic planning and should be fully committed and support those that have been charged with developing the plan. While some HEIs have managed to develop comprehensive strategic plans, VCs and other senior managers still need training on how to go about the process of developing strategic plans that are responsive to the challenges of HEIs within the context of Africa.

1.11 Managing quality

Universities have a special role to play in society and must see to it that they generate knowledge that is not only of a high quality but is also socially relevant. Assuring the quality of HE is the key to achieving policy goals that universities and colleges set for themselves, as well as maintaining the prestigious place that HEIs hold in society. Sawyerr echoes this when he writes:

Universities would not deserve to be called universities, nor would they justify the massive material and psychological investment they enjoy, if they were not above all, principal sources of new knowledge and ideas, of trained minds and workers, and major contributions to the knowledge base for policy and development.⁷⁹

In a stricter sense, Sawyerr implies that HEIs that do not produce creative and critical thinkers are not fit to be called ‘universities’. In short, it is imperative that African universities should strive to produce high-quality and socially relevant graduates who will in turn contribute to the socio-cultural and economic development of Africa. The World Bank (2009) argues that in order to stimulate economic development and growth of the continent, universities in sub-Saharan Africa should prioritise educational quality over the expansion of student enrolments. It has to be acknowledged, however, that the participation rate at most HEIs is still low. This means that institutions of HE in Africa need to achieve a balance between improving the quality of education as well increasing student enrolments.

It is heartening to note that the number of African public and private HEIs has grown. As elsewhere, private HEIs are establishing themselves as an important development partner in the higher education sector in Africa. The number of private tertiary-education institutions in the SSA region now exceeds 450⁸⁰. However, the mushrooming of private HEIs poses other challenges in many countries, including compromised standards, lack of transparency, and an appetite for profits at the expense of educational quality. While not all private universities and colleges exhibit these characteristics, many do. It is therefore necessary to harness the private higher education sector to promote public interest. Two of the measures that have been put in place to guard against compromising the standards and quality of HE are the introduction of quality assurance agencies and the establishment of national councils for HE.

The role of quality assurance agencies is to monitor the quality of education offered by universities. This includes reviewing examinations, courses and programmes offered by faculties and departments. HE councils have been established to regulate both public and private institutions of HE. They also accredit universities and colleges. According to the World Bank,⁸¹ so far one-third of African countries have established national quality assurance agencies. A study commissioned by SARUA in 68 public universities within the SADC in 2008 found that more than half of SADC countries have either established or are in the process of establishing a quality assurance framework. Furthermore, the study

78 Farrant & Afonso, 1997.

79 Sawyerr, 2004: 26.

80 World Bank, 2009.

81 World Bank, 2009.

found that 76% of HEIs have quality assurance systems, but noted that much needs to be done to improve quality assurance practices. Some of the countries that have established national HE councils include Ghana, Nigeria, Uganda, Kenya, Malawi, Mozambique, Rwanda, Tanzania and South Africa.

1.12 Institutional transformation and reform

The HE sector in Africa has witnessed major changes with regard to how leaders responded to reforms and change. Some of these reforms and transformations at HEIs include the merging of two or more institutions. Indeed, transformation and change within the context of leadership style at South African HEIs present a very interesting case study. Transformation and reform at South African HEIs were influenced by the transition to democracy in 1994, the promulgation of a post-apartheid legislative framework (namely the White Paper on Higher Education Transformation,⁸² and the Higher Education Act of 1997),⁸³ and the merging of HEIs (from 36 universities and technikons⁸⁴ to 26 universities) from the early 2000s.

Prior to 1994, governance and management of South African institutions of HE were characterised by highly centralised and autocratic management styles and practices. However, the governance and management of HEIs were transformed after the promulgation of the White Paper on Higher Education Transformation and the Higher Education Act in 1997. The new governance framework was a departure from an exclusive form of governance to cooperative governance. On the one hand, the White Paper encouraged all stakeholders to participate in decision making and the formulation of policies, and also to take responsibility in determining an institution's transformation agenda. It was envisaged that in order for cooperative governance to work, there was a need to create structures and conditions that would enable any differences between stakeholders to be negotiated in participative and transparent ways. On the other hand, the Higher Education Act of 1997⁸⁵ stipulated that the main governance structures within a public university should be the Council, the Senate and the Institutional Forum. In other words, the new legislation and the White Paper have transformed the nature of leadership in South African HEIs. The mergers of South African HEIs presented new challenges for the governance and management of the 'new' universities.

Considering South Africa's socio-political environment prior to 1994, many people thought that leaders at the merger institutions lacked transformational leadership traits as well as the ability to manage the change. According to Vinger and Cilliers,⁸⁶ the concept "transformational leadership" – first coined by Downton in 1973 – "is defined relative to the leader's effect on his/her followers, in which the latter feel trust, admiration, loyalty, and respect towards the former and the followers are motivated to do more than they were originally expected to do". Transformational leadership skills become relevant particularly when two or more institutions are merged. In this arrangement, more often than not, employees of the acquired institution(s) begin to lose a sense of belonging, identity and purpose. This can also lead to anger, depression, anxiety, helplessness and resignations. Others have argued that some employees may develop mechanisms of survival in the merged institution. Transformational leadership is therefore needed to transcend the cultures of the institutions concerned. In the same study by Vinger and Cilliers⁸⁷ to establish whether senior leaders at the merged South African universities exhibited this skill found that the majority of the 190 senior leaders from the seven institutions did exhibit transformational leadership fairly often and managed the change fairly successfully.

82 Department of Education 1997. *Education White Paper 3: A Programme for the Transformation of Higher Education*. Notice 1196 of 1997. Pretoria: Government Gazette.

83 Republic of South Africa 1997. *Higher Education Act No. 101 of 1997*. Government Gazette No. 18515, Notice 1655, 19 December 1997. Pretoria: Government Printers.

84 In the context of South African education system, prior to 2004, a technikon was an institution offering technical and vocational education at tertiary education level. Since 2004, all technikons have changed their status by merging with traditional universities or become universities of technologies, and now offer degree programmes including postgraduate studies.

85 Republic of South Africa 1997.

86 Vinger, G. & Cilliers, F. 2006. Effective transformational leadership behaviours for managing change. *SA Journal of Human Resource Management* 4.2: 1–9.

87 Ibid.

1.13 Employability of university graduates

Another challenge facing leaders and managers of HE in Africa has to do with the employability of their graduates. There is a general assumption that there is a causal relationship between a person's university education and their success in obtaining work in the labour market. Evidently, graduate unemployment rates are high in many African countries and employers bemoan the lack of basic, technical and transferable skills among graduate employees. For instance, the unemployment rate for those with undergraduate degrees in Nigeria is as high as 23.1%. The unemployment rate for graduates across the 25–29 age bracket for Ghana and Kenya is 41.6% and 15.7%, respectively.

A study⁸⁸ funded by the British Council (in partnership with Kenyatta University, Kenya; University of Education, Winneba, Ghana; University of the Free State, South Africa; and University of Ibadan, Nigeria, running from 2013 to 2016) being carried out in Ghana, Nigeria, Kenya and South Africa to understand graduate employability has found that employers express concern about the work readiness of graduates. In other words, employers are dissatisfied with the skills and qualities of graduates. Generally, employers note that there is 'skills mismatch' between their expectations and graduates' display of skills in the work place. According to the study, while employers are generally satisfied with the disciplinary knowledge of the students, they perceive gaps in their IT skills, personal qualities and transferable skills.

Another study carried out in 2014 by the Inter-University Council for East Africa (IUCEA) – a body that regulates HE in five East African countries and also provides a forum for discussion on a wide range of academic and other matters relating to HE – found that at least half of the graduates produced by East African countries are "half-baked" for the job market.⁸⁹ The study's findings indicate that Uganda has the highest rate of graduates (63%) who are perceived to lack job-market skills. Tanzania, Burundi, Rwanda and Kenya have 61%, 55%, 52% and 51% of graduates respectively who are perceived to be unfit for jobs.

The findings from these studies suggest that few graduates from HEIs in Africa acquire the skills needed for the job market. The challenge for HE leaders and managers is to make tertiary education relevant for the job market. It is also important that HE leaders and managers in Africa realise that the solution to graduate unemployment requires concerted efforts between diverse stakeholders including government and industry.

1.14 Conclusion

In conclusion, the HE sector in Africa has an important role to play in the socioeconomic and political development of the continent. However, HEIs in Africa are beset by many challenges. This chapter has given an overview of the scholarship on leadership and management of HE in Africa, and particularly the serious issues leaders and managers of HE in Africa face and how these challenges are being addressed. What is clear is that university top-level leadership and management positions (i.e. vice-chancellor and pro-vice-chancellor) in Africa are dominated by men, and that the majority of leaders and senior managers of HEIs in Africa lack the requisite training and expertise to enable them to operate effectively and address the serious issues facing institutions. Thus the need for institutional-leadership capacity-training programmes cannot be overemphasised. HE in Africa has a great future, but this is to a large extent dependent on the quality of leadership and management of HEIs.

88 The British Council 2014. Can higher education solve Africa's job crisis? Understanding graduate employability in Sub-Saharan Africa. Available at: http://www.britishcouncil.org/sites/britishcouncil.uk2/files/graduate_employability_in_ssa_final-web.pdf. Accessed 8 August 2014.

89 Nganga, G. 2014. Survey finds most East African graduates "half-baked". Available at: <http://www.universityworldnews.com/article.php?story=20140523130246934>. Accessed on 5 August 2014.

CHAPTER 2

THE CONTEXT OF HELM TRAINING IN AFRICA

Johann Mouton, Paul Effah and Kalunde Pilly Sibuga

2.1 Background

Much attention has been paid to the managerial and organisational problems of universities in many developing countries. In general, in the face of increasing enrolments and increasing resource constraints, numerous studies (see, for example, Salmi¹) have identified low internal efficiency, poor managerial and administrative effectiveness, a lack of planning capability, low levels of leadership, a decline in academic quality, and an inability to utilise to best effect the extensive staffing resources of the university as some of the challenges. Such issues are, of course, not new and concern has been expressed for at least 20 years about the need for high-quality university managers in developing countries. However, few interventions were designed and implemented to address these challenges in a consistent (and sustainable) way, either by individual institutions or donor agencies.

Coombe² notes that governments have generally failed to fund improvements in university management, and that many of the donor agencies have often failed to devise and adopt constructive programmes in essential aspects of institutional management and planning. Although agencies such as UNESCO, the British Council, the Netherlands Organisation for International Cooperation in Higher Education (NUFFIC) and various American foundations such as Carnegie Corporation of New York and Ford Foundation have provided support for a number of such programmes, donor finance seems not to have been able to match institutional need.

Tumwine³ reports on the general absence of such training and development in Africa, and indeed its decline in countries like Nigeria from even the small previous base. Also writing primarily about HE in Africa, Lillis⁴ observes that although there has been substantial investment in management training to improve the quality of the school system, such training for the HE sector has received low or zero priority. More generally, the African Capacity Building Initiative (ACBI, 1992) drew attention to the generally poor state of management in much of the public sector in African institutions, despite a number of developments having previously been set in place, including the UNEDIL programme for creating a network of relevant training bodies, the Special Action Programme for Administration and Management (SAPAM), the UNDP Management Programme, the work of the Eastern and Southern African Management Initiative (ESAMI) in Arusha, as well as the ACBI's own initiatives.

In 1987 the VCs of the universities in eastern and southern Africa issued the "Harare Declaration on Staff Development" which called for greater emphasis on coordinated training and development initiatives, including some for management and administrative staff. Although a number of initiatives have subsequently been implemented, the early programmes largely concentrated on

1 Salmi J. 1991, *The Higher Education Crisis in Developing Countries*, Education and Employment Division, Population and Human Resource Department. Washing, DC: World Bank.

2 Coombe, C. 1989. *International development programmes in higher education: A report to the Commonwealth Standing Committee on Student Mobility and Higher Education Co-operation*. London: Commonwealth Secretariat.

3 Tumwine I.W. 1999. *The Training Needs of Non-Academic Staff and the Current Providers of Middle Management Training in African Universities*. Accra: AAU.

4 Lillis K.M. 1989. *Training for Planning and Management: improved Management Systems in Higher Education in Developing Countries*. London: Commonwealth Secretariat.

teaching staff. Over the past 15 to 20 years, programmes have shifted to target middle- and senior management. As outlined below, the various programmes launched by the AAU (SUMA, LEDEV and MADEV) as well as dedicated initiatives by Higher Education South Africa (HESA) and by the National Council for Tertiary Education (NCTE) in Ghana, have all begun to focus on the needs of VCs, DVCs, executive deans and other senior middle-management.

In a comprehensive analysis of the state of HE in Africa, Sawyerr argues that various innovations that came about in the late eighties and early nineties forced African universities, for the first time, to give consideration to the development of strategic plans.

The idea of strategic planning for universities has caught on in the last decade, with very strong encouragement from donor agencies and the AAU which, in collaboration with the Working Group on HE of the Association for the Development of Education in Africa (WGHE/ADEA) has produced a report and provided finance for the development of strategic plans in several universities and commissioned a survey of strategic plans at selected universities in Africa. At the moment, the Working Group is financing the study of innovations in higher education in Africa, and providing seed money for follow-up activities on strategic plans at selected universities.⁵

The report that Sawyerr refers to was the result of a joint workshop between the AAU and UNESCO on the CHEMS initiative (cf. below). But what is interesting in these comments, is the realisation by African universities, as Sawyerr points out, that there was a growing need for training in strategic management and leadership areas. This realisation in the early 1990s followed the disastrous effects of the World Bank's structural adjustment policies on African countries and on the higher education systems in most countries on the continent. Part of the 'recovery' effort since then involved a growing understanding of the imperative of effective and efficient leadership and management at African universities.

2.2 Leadership and management courses: The early days

In 1993 a study done by CHEMS for UNESCO looked at the issue of strengthening middle-management skills in universities. Its author reported that in many developing-country universities increasing enrolments and declining resources had led to "poor managerial and administrative effectiveness" and "low levels of leadership", while the accompanying decline, in some cases, in the quality of university administration was due in part "to a lack of trained middle-level staff to occupy effectively senior positions when vacated by experienced administrative officers".⁶

In South Africa, the findings of two studies carried out by CHEMS in 1996 and based on a sample of 16 universities and ten technikons identified a "massive ... demand for training of staff at all levels" in all of the 15 management topics proposed by CHEMS as potential areas of need.⁷

A study by the staff development agency for UK universities, UCoSDA⁸ identified five key areas for management development and training within the UK university sector:

- strategic management
- operations management (including management of change and quality assurance/maintenance)
- resource/finance management
- people management
- information management.

5 Ibid.

6 UNESCO 1993. *Strengthening the skills of middle management*.

7 UNESCO 1996. *Survey of training providers on management for Commonwealth university staff*.

8 Tumwine, 1996.

Not surprisingly, there is a strong degree of overlap between UCoSDA's key areas and the topics chosen by the South African universities as their priority areas for training from the list presented to them by CHEMS. These are listed below in descending order of popularity:

- leadership
- strategic planning
- managing change
- decision making and governance structures
- managing budgets
- human resource management
- communication skills
- team work
- resource allocation
- negotiation/mediating skills
- managing meetings
- managing privatisation
- implementing computerised management information systems
- managing income-generation activities
- time management
- other (areas proposed were facilitation skills; interpersonal skills, goal setting).

When asked in the CHEMS survey what type of courses they would prefer, there was a widespread preference among staff of South African institutions for short courses, lasting no more than a week, while those for VCs/rectors and their deputies should preferably last only one to three days. Given the increasingly heavy workloads for most university staff, it is likely that this preference would be shared by personnel in other HE systems.

Most South African staff wanted training on campus or on a regional basis for a group of institutions; training at a national or international level was seen as viable only for senior staff. Among middle-level administrators, there was a marked lack of enthusiasm for distance-learning programmes, and most were against the idea that training should be part of an accredited, award-bearing course. In the UK, however, UCoSDA reported that "as credit accumulation and transfer schemes have gained currency, there has been a developing recognition of the potential benefits of accredited programmes of CPD for staff"; the authors do, nevertheless, weigh up the disadvantages as well as the advantages of accredited schemes.⁹

In a review conducted in 1999 (*The Training Needs of Non-Academic Staff and the Current Providers of Middle Management Training in African Universities*) by Dr Immaculate Wamimbi Tumwine (then Communications Officer at the AAU), he described in some detail the position concerning the training provision in African universities. At that time middle-management training existed in only a few institutions. Where it did, responsibility primarily rested with the individual university, although in the case of Nigeria, the National Universities Commission (NUC) did have an interest in staff development, and also appeared interested in extending its limited support to institutions.

In the past some steps were taken to encourage such training, particularly in Nigeria through the NUC. This took two main forms: through donor-supported training programmes (usually funded by the British Council) held either in Nigeria or in the UK, and by support to programmes on university administration run by Obafemi Awolowo University, Ife. Although such programmes are reported still to exist, they appear to be running on a much more restricted basis than previously.

9 Tumwine, 1996.

In Ghana, university administrations themselves have made little provision for such training, but some use has been made of organisations such as the Management Development and Productivity Institute (MDPI) in Accra, the Ghana Institute of Management and Public Administration (GIMPA) in Achimota, and the Institute for Educational Planning and Administration which is part of the University of Cape Coast. Elsewhere, the AAU has attempted to coordinate provision where appropriate, and also to initiate new programmes, including a recent study programme on HE management in Africa, and a series of senior university-management workshops.

In southern Africa little provision has been made for middle-management training. In the past it appears that staff have been expected to have many of the relevant skills on appointment and to acquire the rest while in a post. Where such training has been provided, it has largely taken place at either general public-sector management units or within the private sector, for example, at the Zimbabwe Institute of Public Administration and Management (ZIPAM), Speciss College Zimbabwe, and the Institute of Management Development (IDM) in Gaborone. However, a small number of institutions are reported to be providing their own training, for example, the University of the Free State which has a certificate programme for its own staff.

Tumwine¹⁰ divides the available programmes into four categories:

- Regular short courses
- Certificate and diploma courses
- Postgraduate master's degree courses
- Award-bearing courses taught by distance learning.

As examples of short courses he makes reference to the following: the ESAMI, Arusha, and the GIMPA ten-week course on higher education administration. His example of a diploma course is from Obafemi Owolowo University, Ife, Nigeria (Certificate and Diploma in Higher Education Administration) as is their master's degree in Higher Education Administration.

Within Africa, Tumwine¹¹ concludes that, although the desirability of management training was identified by almost all respondents, there has been little analysis of what form it should take. The evidence that was collected suggested the following:

- That provision for more junior middle-management staff (administrative officers and assistant-registrars, etc.) should emphasise the acquisition of basic skills in a practical way, with respondents suggesting training being delivered in a series of two to four-week workshops.
- For mainstream middle-managers (senior assistant-registrars) broadly based management skills were required by many universities, with staff needing to be taught principles of management, as well as a range of skills. Longer terms of training of up to ten weeks were suggested by some respondents.
- The respondents felt that more senior middle-managers (principal assistant-registrars and deputy-registrars) needed general-management training including personnel management, financial management, planning, and human and organisational behaviour. Many universities in Africa who responded to the request for information felt that senior middle-managers, particularly at the deputy-registrar level, should have a master's degree, both for the direct benefit of the course of study leading to the qualification, and also because of the parity of status with academic staff that it would provide.

10 Ibid.

11 Ibid.

2.3 Leadership training programmes at the AAU: Senior University Management

By the end of the 1980s, the AAU had become greatly concerned about the absence of African scholarly input into the search for solutions to the crisis that had plagued African HE for over a decade. To help close the gap, the Association, with financial support from the Swedish Agency for Research Cooperation with Developing Countries (SIDA/SAREC) and the Government of the Netherlands, established a Study Programme on Higher Education Management in Africa in 1993 to develop local capacity for undertaking systematic research on issues of HE policy and management, and to increase the indigenous knowledge base for African HE policy making.

The results of the studies conducted in this programme highlighted a number of priority areas. These include the underutilisation of resources in public universities and the need for greater cost-consciousness; the relative insignificance of tuition-fee income in university finances and the case for a measure of cost sharing; and the over-subsidisation of municipal services, at the expense of direct academic inputs. Insights opened up by the research reports include the extent of untapped income potentially available in government departments for the support of applied research into areas related to their work – a potential source of additional resources for the support of research and postgraduate study. (This source could be readily tapped if only universities would market their capacities better to government departments, help the latter identify and develop their research needs, and then contract to provide them.) Another study developed a global-funding model for budget preparation and fund allocation for the university system, together with a consistent micro-model for the allocation of funds to departments and faculties. Also quite innovative was a survey of the social background of university students in one university, on the basis of which some very useful suggestions were made. These related to the rationalisation of HE funding policy to ensure that more costs were recovered from students from higher socioeconomic backgrounds, increased access for poorer students, while providing the level of resources needed for improvements in the quality of instruction.

The results of the work done as part of the AAU's Study Programme have been disseminated through publication in professional journals.¹²

A summary report on the completed projects as well as the individual research reports are listed in periodic issues of the AAU Newsletter (see e.g. Vol. 5, No. 3, 1999), while some are published under the *AAU Research Paper Series* (see Appendix A for a list). Other forms of dissemination included seminar and workshop presentations to groups of African ministers of education and heads of national education commissions, university VCs, senior university faculty, and representatives of donors to African HE.

Senior University Management (SUMA) was first offered as a pilot programme during 1991. The first workshop (in Zimbabwe) was held mainly in English, which restricted attendance to participants from Anglophone countries on the continent. Participation was broadened in 1992, however, when the AAU organised a series of workshops using French as the working language (the first of which was SUMA 9). In preparation of SUMA 9, a seminar on the training of trainers was held from April 1–5, 2002 at the headquarters of the Association in Accra, Ghana. Four former rectors with rich experiences in the management of Francophone universities attended this intensive training seminar. They were:

- Professor Hassan Mekouar (Morocco)
- Professor Ahmadou Lamine Ndiaye (Senegal)
- Professor François Rajaoson (Madagascar)
- Professor Filiga Sawadogo (Burkina Faso).

Professor Denis Bérubé (Canada), who was already involved in the AAU's SUMA programme, facilitated this seminar.

¹² See: *Higher Education Policy* 1995 8.1; *Higher Education Policy* 1998 36.1&2.

Nine SUMA workshops were held between 1991 and 2002 across the continent. The dates and venues are listed in Table 2.1 below.

Table 2.1: Chronology of SUMA workshops

1	1991	Harare, Zimbabwe
2	1992	Bujumbura, Burundi
3	1994	Arusha, Tanzania
4	1995	Abidjan, Côte d'Ivoire
5	1997	Cape Town, South Africa
6	1999	Abuja, Nigeria
7	2000	Gaborone, Botswana
8	2001	Cairo, Egypt
9	2002	Ouagadougou, Burkina Faso

The typical attendance figures and workshop topics are illustrated in the seventh SUMA workshop that was held from September 23 to 29, 2000, at the Gaborone Sun, Gaborone, Botswana. The workshop brought together over 24 university leaders, including ten VCs and DVCs. They came from all parts of Africa: Angola, Botswana, Cameroon, Egypt, Ghana, Kenya, Malawi, Mozambique, Rwanda, South Africa, Sudan, Swaziland and Tanzania, and the workshop covered these broad themes:

- Gender and institutional culture
- Resource allocation and financial diversification
- Research management
- Strategic planning
- Staff and student issues
- University governance.

Closer inspection of the workshop report showed, quite interestingly, that most presenters included a list of scholarly readings – in some cases also by African scholars – in their preparatory materials for the workshops. A selection of these titles is presented below:

Institutional culture: General (Berube/Mama)

- Joan Acker, "Hierarchies, jobs and bodies: A theory of gendered organisations".
- Catherine Itzin, "Gender, culture, power and change: A materialist analysis".
- Isabel Phiri, "Gender and academic freedom".

Strategic planning (Benneh)

- John H. Farrant, "Strategic planning in African universities".
- George Keller, "Shaping an academic strategy", in *Academic strategy: The management revolution in American HE*.
- Henry Mintzberg, "The fall and rise of strategic planning".

Staff/student policies (Daniel)

- J.H. Newman, "The idea of a university".
- R.W. July, "The idea of an African university".
- Jolly Mazimpaka & G.F. Daniel, "Post-genocide restructuring of HE in Rwanda, an overview".

Research management (Benneh)

- Berit Olson, "The role of research in African universities".
- David Court, "Re-creating an intellectual ethic in African universities".
- Kenneth Prewitt (ed.), "Networks in international capacity building: Cases from sub-Saharan Africa".
- Thandika Mkandawire, "Notes on consultancy and research in Africa".

Managing institutional pressures (Sawyers)

- M.J. Smith, "Leadership in a crisis: does it make a difference?"
- Estela Bensimon, "The meaning of 'good presidential leadership': a frame analysis".
- Burton Clark, "Collegial entrepreneurialism in proactive universities: Lessons from Europe".
- Peter Eckel et al., "Reports from the road: Insights on institutional change".

After having run for a decade, a review of the SUMA workshops was commissioned during 2003. The subsequent report recommended that future workshops needed to differentiate between two related but distinct aspects of HE leadership and management training, namely, (1) HE studies and (2) leadership development and management training. Within the latter, a further distinction was drawn between *leadership* development and *management* training, reflecting different capacity-building requirements. This led to the development of the LEDEV and MADEV workshops that commenced in 2003.

2.4 LEDEV – leadership development workshops

In 2003, having gained credibility among its member institutions, African governments, development partners and the global higher education community, the AAU launched a new strategic plan (for the period 2003 to 2010) in order to provide effective support for African HEIs in their core functions of teaching and learning, research and service to their communities. This was aimed at enhancing the impact of the African higher education community and its institutions on national, regional and global affairs, and policy. An additional goal was to provide efficient management of the Association, with sound programme-implementation capacity and a secure resource base.

The broad aim of LEDEV was to enhance the leadership skills of university leaders, particularly promoting innovation and managing change. This would be achieved through intensive participant interaction over carefully selected case studies and other material, and lead lectures, in a process facilitated by eminent resource persons.

The AAU LEDEV built on SUMA, incorporating the outcome of a survey of similar programmes in Africa and beyond. Participation was drawn from the leadership of Africa's HE, with a particular focus on newly appointed rectors, VCs, DVCs of public and private institutions, university council members, as well as heads of national and regional higher education regulatory agencies.

The main target groups for LEDEV were:

- VCs, rectors, presidents and principals
- DVCs, deputy rectors, and vice-presidents
- Directors of institutes, deans of faculties
- Members of university councils
- Heads and deputy heads of HE regulatory agencies.

The programme documents articulated the following expected learning outcomes:

- Increased awareness of leadership issues, and the sharing of experiences among senior university executives to enhance their innovative leadership capacity
- Improved networking
- Inspiring, responsive and innovative leadership
- Better strategic planning and direction-setting.

The main themes of LEDEV were selected from the following:

- Financial management: resource mobilisation and allocation; financial analysis, reporting and performance monitoring
- Institutional culture, gender and change
- Conflict management and resolution
- Quality assurance
- University leadership and the fight against HIV and AIDS
- ICT and research and education networking.

To ensure effective interaction and exchange, the number of participants at each workshop was limited to a maximum of 40. Participation was open to all involved in HE leadership; preference was given to persons in universities and equivalent institutions holding the positions listed above.

The workshops involved a whole range of pedagogic modes and contents. Workshop materials were discussed and deliberated upon through intensive participant interaction over carefully selected case studies and other material, with lead lectures and group work, in a process facilitated by resource persons. During the final module, "From theory to action", participants were encouraged to reflect on the lessons of the previous eight days and, on that basis, select a set of measures which fell within their mandate at their home institutions, and which they could implement on their return. The idea was that within six months each participant was to share a report on their progress with the AAU and their colleagues. Three selected participants presented their proposals to the group as a basis for a thorough exploration of how to construct realistic and actionable proposals. In turn, the presenters received constructive comments on their proposals.

The first LEDEV workshop was held between August 13 and 25, 2007 in Windhoek, Namibia and included the following topics:

Table 2.2: LEDEV I modules

Module	Presenter
The role of institutional leadership in quality assurance	Singh
The role of leadership in the fight against HIV and AIDS	Chetty/Wane/Otaala/Owino
Organisational analysis and change in African Universities	Mama
Gendered organisational analysis and change for African universities	Mama
CT and research and education network	Barry
Financial planning and budgeting	Berube
From theory to action	Sawyerr

The second AAU LEDEV was held at Hôtel des Mille Collines in Kigali, Rwanda, 23 April to 2 May 2008. The event, hosted by the Kigali Institute of Science and Technology (KIST), brought together 27 participants – two VCs, three DVCs, an executive director of a national council on HE, and 21 other senior academics and university managers – from seven countries in Africa. Six of the participants were women. The workshop was funded principally under the AAU Capacity

Development Project for the Revitalisation of African Higher Education Institutions (AAU-CADRE) financed by the African Capacity Building Foundation (ACBF), with a supplementary grant of US\$ 9,540 from the Swedish International Development Agency (SIDA), Lusaka.

Five more workshops have subsequently been held in Dakar, Senegal (October 2009), Mombasa, Kenya (September 2010), Victoria Falls, Zimbabwe (September, 2013), Ouagadougou, Burkina Faso (November, 2013) and Kampala, Uganda (February, 2014).

2.5 MADEV – management development workshops

The MADEV Workshop Series was a new addition to the AAU's Leadership and Management Programme and a follow-up to the Association's SUMA Workshop Series which ran from 1991 to 2003.

Broadly, the MADEV series aimed at enhancing the development of professional skills of managers of HE institutions by equipping them with management skills and attitudes that would help them appreciate the environment in which they were operating and effectively use resources at their disposal towards the achievement of organisational goals. MADEV targeted pro-/DVCs, vice rectors, deans, deputy deans, directors/coordinators of institutes and heads of academic departments.

The following learning outcomes were formulated for the MADEV workshops:

- Efficient and effective management capacity and better service delivery in African HEIs
- Increased collaboration and networking among university middle-managers across the continent
- Responsive and effective approaches to challenges of institutions of HE
- Better strategic planning in HEIs.

The first MADEV workshop was held at GIMPA in Accra during March 2008. Eleven modules were covered during the workshop. The table below summarises the content and names of presenters of the eleven modules.

Table 2.3: MADEV I modules

Module	Facilitator
Strategic thinking and management	Adei
Managing university departments and faculties	Badu
Project management	Amposah and Appiah
Quality assurance and accreditation	Badu and Kufuor
Team building and negotiation skills	Appiah
Communication and PR	Pratt and Quayson
Leading bureaucratic organisations within African cultural context	Luhanga and Adei
HR management	Owusu-Numako
Financial management	Cudjoe and Quayson
Personal organisation	Adei
HIV and AIDS challenges in HE	Anarfi and Wani

The second MADEV workshop was hosted by Mzumbe University in March 2009 at Morogoro in Tanzania. Facilitators included representation from the following universities: Mzumbe, Dar es Salaam and GIMPA. Overall 33 participants from 12 African countries attended namely: Botswana, Eritrea, Ethiopia, Ghana, Kenya, Lesotho, Nigeria, Rwanda, South Africa, Tanzania, Uganda and Zimbabwe.

Workshop sessions were preceded by introductory lectures by resource persons, followed by interactive discussion, short workshops, group discussions and exercises. The curriculum for MADEV II was varied slightly to reflect recommendations arising from the review of the first workshop. The themes explored included the following:

Table 2.4: MADEV II modules

Module	Facilitator
General principles in management	Matiku
Personal organisation	Matiku
Strategic thinking and planning in management	Kuzilwa
Managing university faculties and departments	Mgasa
Project management	Nkya
Total quality management	Kimeme
Financial management	Kasilo
Human resource management	Itika
Communications and public relations in the university context	Pratt
ICT in university management	Kamuzora
HIV and AIDS challenge in HEIs	Mbilima

The third MADEV workshop was held in Botswana between 24 May and 5 June 2010. Twenty-seven participants attended from nine African countries, namely, Botswana, Cameroon, Ghana, Kenya, Liberia, Nigeria, Sudan, Uganda, Zambia and Zimbabwe. The workshop orientation and mode remained the same as the previous workshop. Workshop sessions were preceded by introductory lectures by resource persons, followed by interactive discussion, short workshops, group discussions and exercises. The curriculum was varied, taking into account suggestions from MADEV II. The number of modules was reduced from 11 to eight.

Table 2.5: MADEV III modules

Module	Facilitator
General principles in management	Pansiri
Strategic thinking and planning in management	Muranda
Managing university departments and faculties in the African context	Totolo
Total quality management	Kimeme
Financial management	Hove
Communication and public relations within the university context	Pratt
ICT in university management	Kamuzora
HIV and AIDS challenge in African universities	Mbilima

No information (according to the AAU website) is available about any workshops after 2010.

2.6 Country-specific programmes

Our discussion in this chapter thus far has focused on programmes in leadership and management that were offered across the continent, and most notably by the AAU. These programmes had a very clear, structured content. Although the presenters differed, the themes and contents of the workshops were very similar. While the AAU presented these courses, individual African countries also developed their own training programmes to meet their specific needs. Most of these programmes originated in the past decade and, in some cases, fed directly to the current leadership and management programmes of the national commissions and councils for education in Tanzania, Uganda and Ghana which are supported by Carnegie Corporation of New York.

Ghana¹³

As this chapter has shown, structured and systematic leadership training for academic managers in HE in Africa is a relatively recent phenomenon when compared to business and industry and only began during the early 1990s when the AAU initiated its Senior University Management (SUMA) training programmes.

With the AAU's headquarters being in Ghana, the SUMA training benefitted the HEIs in Ghana in two ways. Firstly, it raised awareness of the training and underscored its importance and secondly, it equipped some of the senior faculty and administrators as resource persons and participants. The impact of the SUMA training was, however, limited because of its scale of operations. (Only about thirty participants were involved.)

This period coincided with the appointment of Paul Effah as the Executive Secretary of the National Council for Tertiary Education (NCTE) in Ghana, and he identified the urgent need to address some of the skills gaps in the performance of senior university managers and the councils of the various institutions. His first step was to seek funding from the Association for the Development of Education in African (ADEA) Working Group in Higher Education to develop a manual for the training of university council members, since the councils appointed the senior university managers, including the VCs. It was not an easy beginning. Initial comments from some of the VCs and registrars were very discouraging, because, as it was noted, universities were not considered to be business concerns and business principles could not easily be applied to universities. Another intimidating issue was how relatively junior colleagues would gain the respect of a gathering of very senior colleagues on subjects which some of them had had decades of academic experience.

Two strategies were adopted to address these concerns. The first was to invite a highly respected academic, Professor Henrietta Mensa-Bonsu from the Faculty of Law at the University of Ghana, Legon, to jointly prepare the training manual with Effah, using *Effective Governance (1999)*, a book written in South Africa by Fred Hayward and Daniel Nicaiyana. This provided the framework for this new manual on governance in Ghana, which was urgently needed as a number of mistakes were beginning to be noticed in the administration at some of the HEIs, particularly the newer ones. Due to changes in government, new appointments of people inexperienced in HE administration had been made to the various councils.

Another strategy was to undertake a comprehensive review of many other manuals and to make the Ghana manual reader-friendly. Arguably the most effective approach was to have the draft manual reviewed by leaders in Ghanaian HE, the likes of Prof. Alex Kwabong, the first African VC of the premier university, the University of Ghana; Dr E. Evans-Anfom, a former VC and chairman of the then National Council for Higher Education; Professor George Benneh, Chairman of the NCTE; Dr R.B. Turkson, former dean of the Faculty of Law, University of Ghana; and Mr William Saint of the World Bank.

After their comments had been taken into account, the revised draft was sent to all members of councils, before planning and organising a workshop. Feedback from the first workshop was good, and so following its success, the NCTE decided that all newly appointed councils should go through a similar orientation. It was the enthusiasm generated from this workshop on governance which led to the next step, which was to prepare another manual for training VCs and heads of other tertiary education institutions. Carnegie Corporation of New York also provided funding for the preparation of a strategic plan for the NCTE and additional funding for a book on academic leadership.¹⁴ Two other manuals were written jointly by Paul Effah and Henrietta Mensa-Bonsu on conflict resolution.¹⁵

13 This section was contributed by Prof. Paul Effah.

14 Effah, P. 2003. *Leadership in Academic Institutions*. Legon-Accra: NCTE.

15 Effah, P. & Mensa-Bonsu, H. 2003a. *Conflict management and resolution skills for managers of tertiary education institutions*. Legon-Accra: NCTE. Effah, P. & Mensa-Bonsu, H. 2003b. *Mechanics of dispute resolution for managers of tertiary education institutions*. Legon-Accra: NCTE.

A process similar to that adopted for the draft on Governance of Tertiary Education Institutions in Ghana was followed. The VCs and other senior university managers reviewed the drafts before they were used as the basis for the leadership training, and the NCTE similarly decided that all newly appointed heads should go through that kind of training. It is significant to note that after the first workshop, the Committee of Vice-Chancellors and some of the institutions decided to fund these training programmes. In some cases, the individual institutions invited the NCTE resource persons to facilitate the workshops in their institutions.

Thus, a number of things provided the foundation for the leadership training in the universities in Ghana. The first was strong, decisive leadership at the system-wide level committed to the training; the second was the development of manuals written by people with sufficient authority and seniority in HE; and the third was the institutionalisation of the training programmes by the NCTE.

The first workshop for VCs and other university leaders took place at Agona Swedru in the Central Region of Ghana on 2 and 3 December 2002. Twenty-six participants made up of VCs, pro-VCs, registrars and finance officers of public universities attended the workshop. The Chief Director of the Ministry of Education also attended. The topics covered and their respective resource persons are listed in the table below.

Table 2.6: First NCHE workshop in Ghana – 2002

Topic	Presenter
Leadership development	Paul Effah, Executive Secretary, NCTE
The academic environment	Prof. F.O. Kwami, former VC, Kwame Nkrumah University of Science and Technology
The role of leadership in successful strategic planning	Dr Fred Hayward, American Council on Education, USA
Leadership and conflict management and resolution	Prof. Henrietta J.A.N. Mensa-Bonsu, Faculty of Law, University of Ghana, Legon
Leadership at the institutional, faculty and departmental level	Prof. S.K. Adjepong, former VC, University of Cape Coast
Business Strategy Simulation	Martyn Mensah, BDC Consulting, Accra, Ghana

The presentations generated a lot of interest and were rated highly by the participants. Some of the comments of the participants included the following:

- Extremely useful presentations
- Excellent presentations, demonstrating rich experience
- Good overview on management of tertiary education institutions with important revelations about the position of librarians
- More illustrations and case studies should be included in future presentations
- The resource persons demonstrated in-depth knowledge of all the structures constituting the academic environment

This first workshop was typical of the training workshops which characterised the tertiary education landscape for university council members, managers and leaders of institutions in Ghana between 2001 and 2010. These training programmes provided support and motivation for the submission of the most recent proposal (2010) to Carnegie Corporation of New York and led to the new block of training programmes conducted in Ghana since 2010 under the auspices of the NCTE (see Chapter 5).

Tanzania¹⁶

In Tanzania, the growth of the HE sector throughout the 1970s and early 1980s was slow, primarily due to governments emphasis on developing primary education, which led to the introduction of universal primary education in the mid-1970s. In addition, there also was very little demand for HE at the time since the existing policies did not allow for the establishment of private HEIs in the country. This meant that HE was exclusively in the public sector. Because of limited resources, the sector could not grow sufficiently to meet the needs of the country. As a result, HE remained the privilege of an 'elitist' group and was only a dream for most potential candidates.

During the late 1980s and 1990s, Tanzania embarked on efforts to liberalise its political and socioeconomic policies. The liberal reforms culminated in increased demands for social services, including HE. Based on that expectation, the government decided to establish the Open University of Tanzania in 1992 in order to expand HE student enrolment capacity in the country. But by 1995 Tanzania still had only three universities – all public – namely the University of Dar es Salaam (UDSM), Sokoine University of Agriculture (SUA) and the Open University of Tanzania (OUT). In addition, most leaders of the three universities (UDSM, SUA and OUT) were products of UDSM, which had established a good academic and institutional reputation.

The political and socioeconomic reforms that were initiated in the late 1980s became more diversified in the 1990s, enabling the private sector to play a major role, not only in economic activities but also in the provision of HE. The first private universities were established in 1996, namely, Hubert Kairuki Memorial University, Makumira University College, and Kilimanjaro Christian Medical College, the latter two being constituent colleges of Tumaini University. This development heralded an unprecedented expansion of HE in the country. Furthermore, Tanzania had begun to witness growing public awareness of the importance of education at all levels, including HE, for socioeconomic development. This led to an exponential increase in the demand for access to HE, which opened opportunities for increased private-sector engagement in the HE subsector.

As a result, there has been a steady increase in the number of both public and private universities and universities colleges since the mid-1990s. With the increase in the number of such institutions, and having realised the need to regulate the operations of the institutions, the Parliament of Tanzania enacted the Universities Act No. 7 of 2005, establishing the Tanzania Commission of Universities (TCU) which was then mandated to recognise, approve, register and accredit universities among other things. By November 2013, the list of institutions registered with the TCU comprised 28 universities (17 private) and 19 university colleges (15 private).¹⁷

The official recognition of universities by the TCU is a process that culminates in the issue of an official charter by the President to the university or university college in question. In the case of public universities, the charter, among other things, stipulates the procedures for appointment of leaders (VC and DVC) and top managers (principals, deans and directors), as well as the middle-level managers (heads of departments) of universities. However, there is no clear indication of the qualifications or training requirements for persons appointed to such positions. Not surprisingly then the rapid increase in the number of universities and university colleges over this period created a sudden upsurge in the demand for leaders and managers, and some relatively young and inexperienced staff were appointed. It even became quite common practice for persons in mid-career or from the lower rungs of the academic ladder, with little or no experience in administration and without any formal training, to be appointed to positions of VC, DVC, directors and deans. Consequently, there were situations where the knowledge and skills of the appointed persons fell far short of the leadership and management skills normally required to deal with the challenges of diverse and large populations of staff and students. This was evident in the response of leaders and managers of universities to the training needs-assessment survey that was conducted prior to the formulation of the TCU-implemented project, Human Resource Capacity Building for Institutional Management in Tanzanian Universities (2009–2011). (See Chapter 3 for more detail.)

¹⁶ This section was contributed by Prof. Sibuga.

¹⁷ See www.tcu.org.

Act No. 7 of 2005 also mandates the TCU to oversee institutional management processes at all universities in the country in order to regulate the HE management system. Accordingly, when the TCU formulated their capacity-building project, leaders and managers from both public and private universities and university colleges approved by the TCU were eligible for training.

In the formative stages of the project, it became apparent that issues of gender ought to be given due consideration. Historically, the involvement of women in HE in Tanzania has always lagged behind that of men. This has resulted in an imbalance in gender representation in almost all university leadership and management positions. The socialisation of girls in which leadership and management are portrayed as the domain of men has to a large extent excluded women from leadership and management positions in universities and university colleges across Tanzania. Furthermore, the lack of institutional frameworks to motivate female academics to aspire to leadership positions has placed women at a disadvantage. The TCU project sought to address this by specifically targeting the involvement of upcoming female academics as one of the project objectives.

The establishment of new universities, as pointed out earlier, created increased demand for skilled institutional managers. In almost all cases, leaders and managers for the new universities were drawn predominantly from existing universities. While this created an opportunity for personal advancement, the potential pool of leaders and managers at the older university was reduced. In view of the ongoing policy reforms in Tanzania, universities needed to have leaders and managers who could function within the framework of emerging policies and fulfil their roles and functions as part of the reform process.

In summary then: the proliferation of universities in the quest to broaden higher education opportunities began to outstretch the pool of potential leaders and managers. More often than not, the majority of men and women who were appointed to lead and manage universities and colleges were ill-equipped to do so. Furthermore, the absence of opportunities and/or requirements for them to undertake 'in-service' training following appointment helped to perpetuate existing management inefficiencies, which resulted in dissatisfied staff and students, and loss of standing in the global HE arena.

The TCU was therefore highly motivated to initiate efforts to increase the country's preparedness in meeting the leadership and management needs and challenges of the existing and newly founded universities. The TCU aimed to use experiences gained from this human resource capacity-building project to nurture the evolution of an institutional framework within and/or outside the TCU to establish and sustain similar training (with funding from government) to follow on from the Carnegie-supported project.

South Africa

HESA was formed on 9 May 2005 as the successor to the two statutory representative organisations for universities and universities of technology – the South African Universities Vice-Chancellors Association (SAUVCA) and the Committee of Technikon Principals (CTP). The formation of HESA was in part driven by the restructuring of the HE sector, but more importantly, it was a response to the need for a strong, unified body of leadership.

The HESA office runs various programmes and a range of projects. These programmes offer support to the HE sector in the areas of capacity development for leadership, improved enrolment services and assisting students and staff in the mitigation of the HIV and AIDS epidemic. One such programme is Higher Education Leadership and Management (HELM). HELM defines its mission as follows: to explore and create dynamic leadership solutions that address organisational and individual capacity needs in South African HE. Its underlying aim is to guide, assist and support HE leaders and managers to successfully navigate the constant challenges of change and effectively interpret the operational impact of internal and external drivers.

As early as 2000, SAUVCA (HESA's predecessor organisation) recognised that there was a critical need for leadership and management development in South African institutions, where capacity was limited. To this end, SAUVCA members supported the development and implementation of a leadership and management capacity-building programme. The overarching objective of the programme was to provide training in leadership and management to the middle-level and senior executives of the 23 public universities. The programme aims were:

- To improve the quality of leadership of South African Universities in light of the rapidly changing landscape of the HE system and in the context of diminishing resources
- To keep abreast of the changing policy environment of the HE system
- To inculcate policies and procedures that would ensure the production of graduates of a high quality to meet the exacting human-resource needs of the country
- To implement a culture of continuous quality improvement
- To ensure effective and efficient operations of the university for optimum outcomes with diminishing resources
- To ensure transparency, accountability and reliability in decision making
- To increase the output of postgraduates and the quantum of research
- To ensure that graduates, in addition to acquiring skills and knowledge, were trained as critical citizens in a post-apartheid democratic society
- To embrace a broad programme of transformation in an endeavour to reverse the handicaps the apartheid era instilled in the majority of the population
- To connect the university to local, national and international partnerships in order to leverage global skills, knowledge and expertise
- To ensure that universities are embedded in their local context and that they utilise their expertise and resources for the development of the community.

Since 2002, HELM has delivered 37 executive development events, attended by more than 1,000 senior and middle-managers, from VCs to heads of schools and departments. It provides up-to-date and relevant knowledge on the core aspects of leadership and management within the sector. An important by-product of these events are the ongoing relationships and support networks between senior- and middle-managers that HELM has facilitated.

By 2005, HELM had reached 187 senior managers in HEIs across South Africa. The most comprehensive offering occurred in 2005 when 12 programmes were offered – including a new initiative known as *Thematic Workshops*, which attracted a cross section of management interested in a particular theme. Another initiative launched during this period was preparation for a Certificate in Higher Education Management which HESA offers (from June 2006) in association with the University of the Witwatersrand's School of Public Development and Management.

Another initiative launched in the same year, was the Women in Higher Education Leadership (WHEEL) programme, in partnership with UNCF and USAID. The pilot programme (in 2006) offered leadership and management-development opportunities to 20 women in senior positions through mentoring and coaching workshops, and participation in HELM's Certificate in HE Management Programme. WHEEL built on the successes of the Gender Equity Support programme at the historically disadvantaged institutions, which formed part of the Tertiary Education Linkages Project (TELP). Through consultations and discussions, it has emerged that, in future, rather than running a national programme such as WHEEL, HESA will undertake an audit and scan of existing institutional initiatives that promote the development of women as leaders in HE.

There are currently two components to the HELM Programme. The first is the HESA Fellows Exchange component, which allows participants to be placed in host institutions for a period of six weeks, under the tutelage of an experienced mentor. Second, is the LEAD component, which focuses on middle-management professionals.

The HESA Fellows Exchange Programme

The HELM ACE Fellows Programme 2009 for Executive Managers provides opportunities for executive managers to participate in the International Links Programme. The objectives of the programme are:

- To provide opportunities for developing professional management skills and competence through a mentoring programme with executive management in a US HE institution
- To provide opportunities for sharing leadership and management experiences and expertise in an international context
- To build international networks with colleagues in US HE institutions
- To facilitate personal development for the benefit of the individual and his/her nominating institution.

All executive managers at South African universities are eligible for nomination. For this purpose, executive managers include deputy vice-chancellors, registrars, executive deans and executive assistants/directors/special advisors to the VC. The programme takes place over approximately five weeks.

Three candidates are selected to attend a week-long ACE Fellows Programme Seminar (during August) and then spend the rest of the time working with senior leaders (including the President/CEO) at a US HE institution, in a 'shadow-management' capacity. Successful candidates are informed of the host institutions in the USA prior to their placement. HESA covers the registration fee for the ACE Seminar, and a reasonable allowance for living expenses. The institution is required to cover all travelling costs for the nominated fellow.

The LEAD Programme

LEAD is a component of HELM that serves as an entry point for professionals interested in a career in middle management within our universities. The LEAD Programme provides exciting opportunities for qualified individuals to develop their experience, knowledge and skills and to serve as middle-managers in our university sector, while also contributing to the development and advancement of their own institutions. The Programme aims to develop a talented pool of seasoned middle-management professionals who can then be drawn upon by individual universities to replenish middle-management functions in the short to medium term, and senior management functions in the long term.

The duration of the Programme is for a period of up to three months, depending on the participants' performance. Successful applicants are required to attend two residential five-day workshops during the programme. The workshops are facilitated by experts from the sector on a range of management challenges. Case studies that relate to issues such as HE policy and regulatory framework, strategic planning within HE, financing HEIs, resource management (people, infrastructure and finance) and management of change are used during the workshops.

To provide opportunities for participants to build their competencies and to apply their expertise, a focus of the programme is on university operations. While assignments vary depending upon the specific needs of the experts, participants work as entry-level or mid-level managers. To this end, high-level practitioners and experts from the HE sector and networks are invited to share their knowledge and experience with the participants. Participants receive feedback on work performance and developmental needs through regular discussions and reviews.

In broad terms, the main features of the programme are as follows:

Module 1: Academic policy and planning

The purpose of this module is to contextualise HE within its policy, regulatory, socioeconomic and global environments. The module provides an introduction both to international and local trends in HE, and provides a specific focus on the academic planning requirements in the local context. The content for this module includes international trends in HE, the South African HE legal framework and policy context, legislated structures of governance in South African HE, policy steering and national and institutional plans.

Module 2: Governance and strategy

The purpose of this module is to enhance understandings, analysis and the application of governance and leadership concepts and techniques within the HE context. The content for this module includes institutional governance, strategic leadership and management, strategic planning for institutions and challenges facing managers in transforming institutions.

Module 3: Systems management

The purpose of this module is to introduce participants to the management of key systems in HE. The content of this module includes information management, quality management in HE including performance indicators, funding and financial management and programme and project management.

Module 4: Managing people and change

The purpose of this module is to explore contemporary understandings and applications of organisation development and change, with a specific focus on human resource management and development. The content of this module includes organisational theory and design, organisational culture, change management, human resource management and performance management in HE.

At the conclusion of the programme, the participants are expected to be able to:

- Demonstrate an understanding of the socio-political environment as it impacts on HEIs, as well as an understanding of the global challenges facing HE
- Demonstrate an understanding of the key policy documents and steering mechanisms of the South African HE policy context
- Have acquired key leadership and management concepts and issues to enable the participant to apply systems thinking in designing innovative and effective management approaches
- Have acquired and demonstrate the ability to engage in contemporary debates of institutional management, organisational responses and performances in relation to benchmarks and standards with a view to developing individual responses tailored to use within institutions
- Critically reflect on their practices as institutional managers, analyse complex organisational issues and apply higher-order intellectual skills to these situations
- Work effectively as a member of a team, including undertaking self-directed learning and contributing to group learning.

This programme prioritises informal development practices (i.e. roundtable debates, networking, public lectures, mentoring and coaching) to enable the participants to reflect on what they learn in real-life situations and apply their learning to their own environments. A distinction is made between intellectual and organisational leadership. There has always been intellectual leadership in universities because all good researchers seek to be at the forefront of their disciplines. But organisational leadership, to do with getting the structures right, effecting the balance between trust and control, and securing institutional change is a different matter. This kind of leadership is about organising academic workers so as to advance institutional successes within the chaos and contradiction that is a university.¹⁸

The LEAD Programme provides qualified individuals exciting opportunities to develop their experience, knowledge and skills, to serve as middle-managers in the sector. This programme is ideally targeted for those who are currently working as:

- Head of schools
- Head of academic departments
- Directors
- Deputy-directors.

Typical participants are those who:

- Hold a master's degree (or equivalent)
- Have a minimum of five years' relevant work experience in HE
- Are under 45 years of age (as the LEAD Programme is for middle-management professionals)
- Possess a high degree of personal commitment and professional orientation
- Have had some initial work experience in a middle-management position within the HE sector
- Are committed to attend the two compulsory workshops
- Are available for the whole period of the Programme (from January to April each year) and who will attend all the planned activities.

The Programme will cover all the costs of participation for successful candidates, including travel, full board and lodging, visa fees and health insurance where required.

2.7 New initiatives

In addition to the AAU and country-specific programmes discussed in the chapter thus far, there are a few new training programmes emerging for managers at African universities. Perhaps the most ambitious is an initiative by the Regional Universities Forum (RUFORUM) for Capacity Building in Agriculture. RUFORUM is a consortium of 25 universities in eastern, central and southern Africa (ESA) that was established in 2004. It is registered as an international non-governmental organisation (NGO) and has a mandate to oversee graduate training and networks in the region. RUFORUM recognises the important and largely unfulfilled role that universities play in contributing to the wellbeing of small-scale farmers and the economic development of countries throughout the sub-Saharan Africa region. This contribution is made through providing the rural development workforce with highly qualified graduates who are able to produce and disseminate demand-driven, development-oriented applied research through participatory processes with other researchers, farmers, policy makers and business.

RUFORUM's mission is to strengthen the capacities of universities to foster innovations that are responsive to the needs of small-holding farmers and that will result in agricultural policy and practice reform. Achieving this demands good leadership and management, which remain a key challenge for most African university administrators.

¹⁸ Dearlove, J. 1998. The deadly dull issue of university 'administration'? Good governance, managerialism and organising academic work. *Higher Education Policy* 11.1: 59–79.

According to RUFORUM, the weak management systems in universities in the ESA region are manifested through ineffective communication, poor resources management, inadequate funding and a lack of quality assurance. The RUFORUM Secretariat, with the support of ACP-EU EDULINK, has just launched a three-year regional project – Catalyzing Change in African Universities (CCAU) – aimed at developing leadership, management and cross-cutting professional competencies of university managers and lecturers. RUFORUM is currently looking for a service provider to facilitate the implementation of selected activities in its Result Area 1.

The overall objective of this programme is to facilitate the development of improved capacities and enhanced skills of university senior managers in leadership and management, in order to ensure continued relevance and visibility.

The specific objectives for the consultancy service include:

- Strengthening the leadership and management competencies of university senior managers
- Designing course modules, materials and models for training and learning sessions for change management
- Developing a university senior managers' leadership and management learning and mentoring framework
- Designing a strategy for follow-up (M&E) and scaling up and expanding the programme to all RUFORUM universities.

The specific tasks will include:

- Identifying institutional gaps in leadership and management in three target universities (Makerere University, Sokoine University of Agriculture and the University of Malawi)
- Designing short training modules for senior managers (including VCs and their deputies, directors, registrars, deans and graduate school heads among others)
- Producing training modules and resource materials
- Conducting workshops
- Facilitating regional reflective learning sessions
- Developing an e-platform for virtual learning and sharing
- Establishing internal peer learning groups
- Conducting follow-up sessions for managers and obtaining feedback from managers and their peers.

It is envisaged that the programme would generate the following outputs:

- A refined implementation process, with a developed framework of knowledge and established project administration structures
- Strengthened leadership and management competencies of university senior managers, including in aspects of financial management
- New cross-cutting professional skills (including interpersonal skills) for lecturers and junior university staff such as heads of departments and programme managers
- The identification and piloting of international good practices for the efficient management of university programmes
- Enhanced partnerships for effective networking and institutional change management.

The main approach to implementation will be through short skills-enhancement courses, tailored for the targeted institutions and managed over a three-year period. The training will be enhanced through mentoring and professional networking within the sub-region. The process will require an iterative set of short learning sessions, followed by practice and periodic lesson-sharing.

The action seeks to support ongoing efforts by RUFORUM to build adaptive university management structures in its member universities. It also builds on the Africa-USA HE collaboration, the FARA NARS assessments, which called for new approaches and innovative initiatives to address critical human and institutional capacity deficiencies in African universities and research systems. It is thus complementary, and will build synergy with the FARA programme on Strengthening Capacity for Agricultural Research for Development in Africa. The project also complements the work of the AAU Mobilising Regional Capacity Initiative, which aims to strengthen networking among African HEIs. A key component in all these efforts is that of strengthening the leadership and management of HEIs in Africa. The partner institutions involved in this initiative are: Makerere University, Uganda; the University of Malawi; Sokoine University of Agriculture, Tanzania; and the University of Greenwich, UK.

2.8 Concluding comments

Our review of training in leadership and management for African universities shows that there is a tradition of training programmes going back more than 20 years. Various initiatives have been implemented by diverse organisations and with varying uptake in a relatively small number of countries. There is clear evidence of a fairly significant investment in the development of training materials, as well using some of the best African scholars in HE in these various programmes. What is not clear, however, is the extent to which subsequent programmes (outside of Ghana) have built on previous programmes. There is little evidence either of continuity between these various initiatives or of any accumulation of learning from one programme to the other. In the same vein, we also came across very few rigorous reports and evaluations of the value and impact of the different programmes reviewed here. In the final analysis, it is clear that more systematic documentation and rigorous evaluation studies are required to ensure that the value of these initiatives are retained for future generations of African university leaders and managers.

PART TWO

COUNTRY CASE STUDIES



CHAPTER 3

TANZANIA

Daniel Mkude, Sifuni Mchome and Kalunde Sibuga

3.1 Introduction: Background

To appreciate the design and structure of the leadership training programme adopted in Tanzania it might be useful to explain the background and rationale for launching the programme at that particular juncture of the country's history and development. The rationale can be divided into three interlinked factors: local, regional and global imperatives.

Local and national level

From the mid-1970s there was a marked shift in the country's development paradigm, changing it from a controlled- to a market-driven economy. The political and market-oriented socioeconomic reforms that were initiated in the late 1980s diversified in the 1990s, enabling the private sector to play a major role not only in economic activities, but also in the provision of HE. Accordingly, in 1996 private university institutions started to emerge in Tanzania for the first time, as explained in Chapter 2.6 earlier. The subsequent entry of competitiveness in HE provision posed a significant challenge to the way HE was organised and implemented; in particular, it affected university-government relationships. The government adopted a 'hands off, eyes on' posture in its dealings with parastatal organisations, including HEIs. Understandably, this had an enormous impact on university management and practices. The leadership training programme took cognizance of this and tried to sensitise and urge leaders of institutions to act more independently, and to be more proactive in dealing with challenges facing their respective institutions.

Regional and continental level

Tanzania, like many other newly independent African states, established HEIs from the 1960s because they believed that such institutions were essential for stimulating and sustaining economic development. By the late 1980s, however, several universities were experiencing a steady decline due to the worldwide economic slump of the mid-1980s. A World Bank report of the late 1980s described universities in sub-Saharan Africa then as plagued by four interrelated weaknesses:

- Programmes of a dubious quality and irrelevant to the country's economic needs
- Questionable attempts to develop an indigenous brand of the HE system
- Needlessly high costs
- Socially inequitable and economically inefficient financing.

Consequently, the World Bank advised African governments to direct their attention and resources away from higher education to primary and secondary education. The leadership training programmes initiated and conducted by the AAU in the early 1990s were principally prompted by this World Bank prescription, which essentially threatened the survival of HEIs on the continent. The AAU agreed there was poor management in many of these institutions but thought the correct remedy was not to stifle them but to encourage them to adopt radical change in their institutional management.

One of the areas in which African universities have tended to underperform has been the area of management effectiveness in the face of crisis. Part of the answer to this problem has to do with the role of leadership in appreciating strategic options and deploying the skills necessary to guide their institutions into making the right choices and following through on them.¹

The AAU believed that wise planning and the judicious use of resources would go a long way towards revitalising and stabilising HEIs in Africa, which is why strategic planning and financing were the two dominant themes of the leadership training programmes of the AAU. The Tanzania training programme also took cognizance of this in its training design, particularly in the selection of topics and modes of delivery. Visits to successful institutions were also envisaged to this end.

Global and international level

It was already being widely acknowledged worldwide that HE was in a crisis and that reforms were badly needed to address the situation. Since the crisis was multifaceted, it was felt that reforms also had to be multifaceted. Four areas were repeatedly cited as areas needing urgent attention by HE providers. These were the need for:

- A greater differentiation of HEIs, including the development of private institutions
- A diversification of funding sources for public HE
- A redefinition of the role of the state in HE, with greater emphasis on institutional autonomy and accountability
- An emphasis on the importance of policies explicitly designed to prioritise quality and equity objectives.

Tanzania's socio-cultural context is quite distinct, being derived from the country's socio-political past. The system was characterised by centralised planning, management and decision-making styles. Institutional leadership needed to be changed to match the current national and global socioeconomic reforms dictated by market forces. Thus the Tanzania Commission of Universities (TCU) project was designed to rebuild the human-resource capacity of management of HEIs in Tanzania within a short- and long-term perspective. Its objectives were:

- To train top university managers (VCs, DVCs) and university governance (university council members) in their management of academic and administrative matters pertaining to the staff, students and property of HEIs
- To train middle-level university managers (principals, provosts, deans and directors) to manage change and to respond to emerging needs in the global education arena
- To train third-level university personnel (heads of academic and administrative departments, bureaus, etc.) to provide the required leadership support in handling staff, students and financial matters
- To professionalise training in management of HEIs as a step towards nurturing a sustainable mechanism that would ensure the availability of quality managers in the long term.

The training design took these elements into account and tried to draw participants' attention to these global imperatives. It was also one of the aims of the training programme to enable graduates from Tanzanian universities to compete globally.

1 AAU. 1999. *Higher Education in Africa: A course book*. p. 11.

3.2 Needs assessment for HELM training

In October 2008 the TCU conducted a needs-assessment study in order to initiate the new training programme on university leadership and management. The study was designed to solicit views and opinions about the training programme with regard to its contents, proposed skills, methodology and learning outcomes.

A questionnaire was prepared and administered to 56 respondents from 20 universities/colleges, as shown in Table 3.1.

Table 3.1: Universities/colleges covered in the study

Institution	Frequency	Percent	Valid percent	Cumulative percent
KCMC	2	3.6	3.6	3.6
DUCE	1	1.8	1.8	5.4
Zanzibar University	8	14.3	14.3	19.6
IJMC	1	1.8	1.8	21.4
Bugando	2	3.6	3.6	25.0
Tumaini University	1	1.8	1.8	26.8
IMTU	4	7.1	7.1	33.9
MUCE	2	3.6	3.6	37.5
St. Johns	14	25.0	25.0	62.5
SUA	1	1.8	1.8	64.3
OUT	3	5.4	5.4	69.6
Mout Meru	2	3.6	3.6	73.2
Muslim University of Morogoro	6	10.7	10.7	83.9
Hubert Kairuki Memorial	1	1.8	1.8	85.7
State University of Zanzibar	1	1.8	1.8	87.5
Teofilo Kisanji University	1	1.8	1.8	89.3
Mzumbe	1	1.8	1.8	91.1
UDSM	1	1.8	1.8	92.9
University of Arusha	3	5.4	5.4	98.2
MUHAS	1	1.8	1.8	100.0
Total	60	100.0	100.0	

Profile of respondents

Positions

Table 3.2 shows the positions held by those interviewed.

Table 3.2: Positions held by respondents

Position	Frequency	Percent	Valid percent	Cumulative percent
VC/rector	10	17.9	17.9	17.9
Provost/deputy VC	15	26.8	26.8	44.6
Principal	3	5.4	5.4	50.0
Deputy principal	4	7.1	7.1	57.1
Dean/director	15	26.8	26.8	83.9
Head of department	8	14.3	14.3	98.2
Chaplain	1	1.8	1.8	100.0
Total	56	100.0	100.0	

Gender

Table 3.3 shows there is a gender imbalance in the leadership of HEIs – 87.3% of the respondents were men and only 12.7% were women.

Table 3.3: Gender of the respondents

Respondent	Gender	Frequency	Percent	Valid percent	Cumulative percent
Valid	Men	48	85.7	87.3	87.3
	Women	7	12.5	12.7	100.0
	Sub-Total	55	98.2	100.0	
Missing	1	1	1.8		
Total	56	100.0			

Age

The majority of the respondents, at 66.6%, were between 50 and 69 years, 18.5% were between 40 and 49 years, 11.1% were less than 40 years and 3.7% were 70 years or above, as shown in Table 3.4.

Table 3.4: Age of the respondents

Respondents	Age	Frequency	Percent	Valid percent	Cumulative percent
Valid	<40	6	10.7	11.1	11.1
	40–49	10	17.9	18.5	29.6
	50–59	18	32.1	33.3	63.0
	60–69	18	32.1	33.3	96.3
	70+	2	3.6	3.7	100.0
Missing	System	2	3.6		
Total		56	100.0		

It is of concern to note that Table 3.4 above suggests that the majority of individuals in leadership positions at Tanzania’s HE institutions are nearing retirement age. This implies that urgent measures should be taken to equip younger members of staff with the requisite leadership and management skills.

Academic status

Of the 56 respondents, 35 (62.5%) held a doctoral degree, 20 (35.7%) a master’s degree and only 1 (1.8%) had a bachelor’s degree. All ten chief executive (VCs/rectors) interviewed held a PhD. With regards to academic rank, the findings show that of the 49 respondents, 14 (28.6%) were full professors, 13 (26.5%) were associate professors, 8 (16.3%) were senior lecturers, and 12 (24.5%) were lecturers.

Method of appointment to current leadership position

The findings from the needs-assessment study suggest that, in some cases, there was no clear procedure for appointing leaders at the institutions. For example, of the 56 respondents, 22 (39.3%) were appointed via a recruitment committee, while the rest were appointed through other procedures (democratic elections, advertisements and interviews, or a combination of these procedures).

Length of service in present leadership position

Of the 56 respondents, the majority (63.6%) had served in their present positions for less than two years, which implies that they were relatively new in their positions. Thus they were perfectly positioned for training in leadership and management.

Table 3.5: Length of service in the institution

Length of service	Frequency	Valid percent	Cumulative percent
Less than a year	13	23.6	23.6
1 to 2 years	22	40.0	63.6
2 to 3 years	4	7.3	70.9
3 to 4 years	8	14.5	85.5
4 years or longer	8	14.5	100.0
Total	55	100.0	
System	1		
	56		

Prior leadership training

Of the 56 respondents, only 23 (41.1%) indicated that they had had any leadership training prior to their present appointment. The courses they had attended included:

- Administration and management
- Budgeting
- Curriculum innovation
- Educational planning
- Strategic planning and team building
- Project management
- Basics for organisation
- Leadership concepts and behaviour in small and large organisations
- Development of fundable research proposals
- Problems in institutional management
- Theories of leadership from a sociological perspective
- Relevance and validity for quality education in universities.

Broad areas of training interest and their prioritisation

Eight broad areas of study interest were listed in the questionnaire and the respondents were asked to choose a maximum of five and to prioritise them. The findings are given in Table 3.6 (1 being the most urgent training priority).

Table 3.6: Broad areas of training interest and their prioritisation

Area of study	Respondents					
	No.	% who consider it priority				
		1	2	3	4	5
Leadership in academic institutions	50	62.0	8.0	16.0	8.0	6.0
Strategic planning and institutional reform management	44	13.0	34.1	20.5	15.9	15.9
Human resource management	32	12.0	25.0	28.1	21.9	12.5
Resources mobilisation, internal income generation and fundraising strategies	41	12.2	24.4	22.0	24.4	17.1
Management of research, projects management and intellectual property rights	32	18.8	18.8	25.0	18.8	18.8
Quality assurance practices in HE	38	18.4	26.3	10.5	18.4	26.3
Management and management of ethics in Tanzania	20	5.0	15.0	5.0	35.0	40.0
Student governance systems and practices	21	14.3	19.0	14.3	19.0	33.3

Preferred training methodology

Four methods around which the workshop could be designed were suggested in the questionnaire. These were (1) presentation followed by general and group discussion; (2) presentation followed by individual and group assignments; (3) case studies sharing best practices; and (4) study visits and sharing of reports. The first method ranked first (75%), followed by study visits and sharing of reports (66%), then case studies and sharing best practices (64.2%) third; and presentation followed by individual and group assignments, which was the least preferred method (21.4%).

Length and site of training

Appreciating the importance of the training, the majority of the respondents (50%) suggested courses of five days each, while 28.8%, 11.5% and 7.7% suggested three, four and two days respectively. Their comments suggested that they viewed such training as important and overdue. They also indicated a preference for the training to be done outside Dar es Salaam to allow for serious and maximum participation.

TCU subsequently developed a comprehensive training programme which took the views of these stakeholders into account. It needs to be stressed, however, that the design also considered the concerns and requirements that had been articulated at the national, regional and global levels, and other broader factors.

3.3 Identification and selection of target groups

As this programme focused on the current and the future generation of university leadership, the target groups were top university management (council members, VCs, principals, provosts and their deputies), senior management (directors and deans) and middle management (heads of departments and senior academics with leadership potential). Particular emphasis was also put on promoting and preparing female academics for leadership roles in universities.

The tone and style of institutional development in a university setting is largely set by the leadership, particularly the top leadership. However, given Tanzania's socialist past, the lower levels of leadership were accustomed to being involved in decision making, particularly when they had to implement the decisions. The socialist framework had emphasised the power of grass-root units and the notion of collective responsibility. This programme sought to exploit this as it was argued that in the modern world, particularly in a university context, leadership is not a solo performance. To be effective a leader has to embrace and demonstrate co-responsibility.

As a matter of principle, therefore, the training targeted the entire spectrum of leadership but placed particular emphasis on the top leadership. Disharmony between the different layers of university leadership has often been cited as a source of dysfunction at universities. Accordingly the programme was designed to sensitise and train:

- Top university managers (VCs, DVCs) and university council members in skills and competencies required for handling academic and administrative matters pertaining to the staff, students and property of HEIs
- Middle-level university management (principals, provosts, deans and directors) to manage change and respond adequately to emerging needs in the global education arena
- Third-level university management (heads of academic and administrative departments, bureaus, etc.) to provide support in handling staff, students and financial matters in order to promote a sense of collective responsibility.

As the training was aimed at giving prominence to institutional interests and to enhance the institution's capacity to fulfil its mission satisfactorily, the VC, as chief executive, was asked to select the participants, as he would be best placed to identify who would have the best multiplier effect once sensitised. This approach had positive and negative sides to it. On the negative side,

there were numerous delays in forming training cohorts, because many VCs were slow in replying to the invitation letters. Frequent follow-ups by telephone were necessary to get results. On the positive side, the approach promoted a sense of institutional unity of purpose. The fragility of national unity in many African countries is often reflected in the way institutions operate, and every opportunity should therefore be used to promote unity of purpose in institution building.

A number of deans and directors participated in workshops organised specifically for VCs, largely because at the time they were acting VCs or deputy VCs. The project team did not consider it wise to reject such participants since they were sent as representatives of the leaders of their respective institutions.

Because each of the workshops for VCs had a different theme, it would have been possible for a VC to cover the whole spectrum of training topics. In practice, however, no one was able to do this since many VCs missed sessions due to other pressing engagements.

Although the training was designed primarily for practicing leaders and not potential ones, efforts were also made to provide training for academics, particularly women, who showed special potential for leadership. (However, these academics did not fit comfortably into the training cohorts since they lacked leadership experience. It was also not clear to them if or how soon they would assume leadership positions and thus they were not particularly motivated.)

3.4 Training model and mode of delivery

The above-mentioned factors were at the heart of the conceptualisation and development of the Tanzania leadership training programme. Actual implementation of the programme was affected by a range of factors, such as having adequate human and financial resources as well as logistical support.

Programme goal and objectives

The main goal of the programme was to build human resource capacity by equipping the managers of HEIs in Tanzania with basic management tools.

The specific objectives were defined as follows:

- To provide top university managers (VCs, DVCs) and university governance (university council members) with new leadership and management skills to deal with a range of staff and student affairs, including conflict management and resolution
- To train middle-level management (principals, provosts, deans and directors) to manage change and to respond to emerging needs in the global education arena
- To equip third-level management (heads of academic and administrative departments, bureaus, etc.) with skills that will enable them to provide support to leadership in their handling of staff, student and financial matters so as to create harmony
- To expose academic staff with leadership potential to a range of skills in preparation for future management positions at HEIs
- To increase the visibility of emerging female academics as potential leaders in HEIs
- To sensitise top- and middle-level university management to gender issues
- To formalise professional training in management of HEIs as a process towards nurturing a sustainable mechanism for ensuring there are well-trained leaders at HEIs in the long term
- To sensitise top university managers (VCs, DVCs) and middle-level management (principals, provosts, deans and directors) to best practices in university leadership and management

- To train third-level university management (heads of academic and administrative departments, bureaus, deans of students) in order to build a critical mass of qualified staff for sustainable management of the HE sector.

Intervention activities

The project objectives were to be achieved through different training workshops for each target group, and were organised around themes facilitated by experienced national and international presenters. The training activities included:

- Study tours to successful institutions, interspersed with tailor-made seminars or lectures
- Mentoring and working closely with experienced people
- Self-study modules specifically designed to teach a particular skill or range of skills with or without a tutor
- Interactive workshops facilitated by experienced resource persons or retired VCs for a specified period of time
- Case presentations from past VCs and VCs who had visited international universities.

Identification of presenters/facilitators

The training focused on solving particular problems experienced by leaders in the course of executing their duties. Such training requires presenters with both theoretical and practical knowledge, thus a main consideration was to find subject experts who also had the ability to engage with the participants.

Since this was the first of this kind of training in the country, the search for suitable and presenters was particularly challenging. Also as a matter of principle it had been decided that each module should be assigned to two resource persons; one of them should preferably be from outside Tanzania. Unfortunately, only five external experts were eventually able to participate: three Kenyans, one Canadian, and one South African. One of the lessons learnt here is that there is a need to develop local capacity in leadership training too. Relying on outside facilitators can be culturally awkward, costly and logistically challenging.

In the end, the programme used a total of 33 facilitators from both within and outside Tanzania. External presenters covered the training on student governance, curriculum development and quality assurance, and HE leadership. The TCU linked up with the existing parallel programmes and organisations that had expertise in these issues, such as HERANA/Centre for Higher Education Training (CHET) and the Commonwealth of Learning (COL).

Training workshops

During the implementation, (January 2009 to December 2011) 358 university leaders (75% of the originally envisaged 480) were trained in 40 series of workshops.

Duration and frequency: Training was conducted four times a year and it involved three training cohorts, each training for two days. The three training sessions ran back to back in order to minimise the travelling costs of the facilitators. Sessions began with a presentation from the TCU Secretariat in which the importance of the topic for institutional success was “elaborately explained”. A summary of such remarks can be found in the book of workshop proceedings, *Study Visits to Overseas Universities*, TCU, June 2010. This was followed by a one-hour power point presentation by the main facilitator of the particular topic. Participants were encouraged to interrupt and ask questions or for clarifications during the presentation. The emphasis throughout was on sharing ideas and experiences; the facilitator’s role was to generate enthusiasm and stimulate discussion in the group. At the end of each presentation there was a general discussion on the particular topic.

Group discussions were held in the afternoons. The groups were randomly formed but care was taken to vary their composition. Topics for discussion were set by the facilitators. The day ended with a plenary session where the group work was presented and discussed.

Study visits

The programme was supplemented by study visits, where by top university leaders were given the opportunity to visit other universities abroad to learn about best practices. By the end of the programme, a total of 19 (63%) of the envisaged 30 top university leaders had visited various overseas universities in Asia, America, Europe and Australia. The best practices learnt from these universities were shared with other members during the training workshops.

Eleven study visits were conducted during the period. Guidelines and terms of reference for the visits were developed and applied. A summary of the 11 reports can also be found on pages viii to xi of the same book.) The universities visited included four in the USA, two in Australia and one each in Ireland, The Netherlands, China, Malaysia and Spain. The reports were presented and discussed at some of the training. A full report about each visit as submitted by participants can be found in a TCU book entitled *Study Visits to Overseas Universities*.

Some lessons learnt

- Leadership training should be differentiated from studying and analysing leadership as an academic discipline or exercise
- A good training design should take account of the broader environmental factors and be sensitive to resource constraints
- What leaders want may not always be what they need
- Monitoring and evaluation should be closely aligned to agreed-upon objectives rather than be fitted to the interests and philosophy of the monitoring firm
- Management specialists are not the best institutional leaders, nor are they the best trainers/sensitisers of institutional leaders.

3.5 Identified areas for training

The topics covered were tailor-made to fit the specific group of leaders. The broad themes covered were identical for all cohorts; the difference however was in the selection of subthemes and levels of detail. Ten topics were covered during the implementation of the project (2009–2011) as follows:

1. **Leadership in academic institutions:** This broad topic included the following subtopics: criticality of leadership for organisational success, types and styles of leadership, the recruitment and selection of leaders, cultivating trust and respect, avoiding tyrannical and discriminatory practices in African leadership settings, creating vision and constantly and consistently focusing on it, and factors that tear institutions apart or render them dysfunctional.
2. **Strategic planning and reform management:** This theme was covered by the following subtopics: environmental scanning, SWOC analysis, rational priority-setting techniques, systemic issues pertaining to institutional reform (such as numbers, diversity, technology, changing demands etc.), proactive engagement, goal setting, progress monitoring and evaluation techniques, techniques of capitalising on strength and reduction of threats, and unit cost monitoring.

3. **Human resource management:** Subtopics covered here included: recruitment and selection policies, interview techniques, employee development and training, recognition of institutional hierarchy, employee performance appraisal, workplace conflict management and resolution, labour and administrative law theories and practices, principles of natural justice, employee motivation, team spirit, team work and team building, calculating and setting workload norms.
4. **Resource mobilisation – income generation and fundraising strategies:** Under this topic, the following subtopics were covered: financial source diversification, sound financial management systems, fair allocation of meagre resources, judicious cost-cutting measures, outsourcing techniques, promotion of contract research and consultancy services, linking up with industry and business communities, business and technology incubation, fundraising techniques, techniques of relating with funding agencies, factors that undermine trust with funding agencies (poor accounting, frequent reporting delays, poorly prepared reports, frequent miscalculations), continuing education programmes, special fee-paying programmes, effective resource-utilisation strategies, effective utilisation of institutional resources and exploitation of institutional competitive advantages.
5. **Management of research, projects and intellectual property rights:** This topic covered the following subtopics: training in research techniques, possible sources of research funding and conditions for successful bidding, project write-up techniques, laws on intellectual property rights, protection and sale of patents and other intellectual property safeguards, research networking and collaboration and research priority setting.
6. **Quality assurance practices in higher education:** Subtopics covered under this topic included: traditional modes of quality assurance, academic self-sufficiency of universities, self-assessment at institutional and programme level, institutional quality assurance frameworks, the need to externalise quality assurance mechanisms, accountability, commercialisation of HE delivery systems, quality assurance and cross-border education, pressures to de-regulate HE provision, malpractices in the HE industry, future trends and the need for vigilance, and national qualifications frameworks.
7. **Management and management ethics:** Subtopics under this topic included: code of public service ethics, leadership guidelines, staff and stakeholder public relations, laws and regulations governing the running of educational institutions in Tanzania, administrative laws and how to relate to law-enforcing organs in various situations, how to deal with the media and media allegations, institutional marketing strategies, meeting public expectations, national procurement principles and legislation, management malpractices including possible corruption categories in HE, and their prevention and redress.
8. **Gender analysis skills and competencies in universities:** Subtopics covered here include gender in organisations/universities, understanding key gender concepts for application, gender and planning, gender budgeting, gender and monitoring and assertiveness skills.
9. **Student governance systems and practices:** Subtopics included: moving from paternalistic to participatory student governance structures, cost-sharing policies in HE, genuine student struggle versus hooliganism and anarchy, student engagement in services to the public, democratic participation in student government, modes of effective student representation in organs of governance, the nature and value of student associations, and the internalisation of students' experiences and confidence building.

10. **ICT for institutional prosperity:** Subtopics covered included: current trends in ICT development in Tanzania and globally, and ICT as a tool for facilitating the implementation of institutional core functions.

3.6 Uptake and impact

Despite being the first programme of HE leadership training in the history of Tanzania, it was well received by almost all the higher learning institutions nationwide. The results of both the evaluation conducted by ERA and the impact assessment done by the TCU suggest that it was considered useful and many participants would like to have it institutionalised. This programme has changed the way of doing things in many aspects of university leadership and management.

The impact assessment of the leadership training programme conducted by the TCU indicated that before the programme:

- Very few institutions (e.g. UDSM, MUHAS, ARDHI, SUA and Mzumbe) had fundraising activities. This could be attributed to the long-standing attitude of dependency on government subvention and students' fees characteristic of most public universities.
- There was limited institutional visibility as well as low institutional credibility nationally and internationally, particularly for new universities.
- Some universities did not take gender issues seriously.
- Dialogue channels between management and students and management and staff were not properly institutionalised.
- In most institutions the use of ICT was rather limited and primarily meant to facilitate staff research.
- Governance and institutional management structures of some institutions were not clearly defined.
- The findings from the impact assessment show that 9 out of 16 (or 56%) universities had no quality-assurance units and 5 out of 11 (45.5%) had no quality-assurance policies.

After three years of the programme it is believed to have had a significant impact on these areas:

- *Enhanced institutional visibility and credibility*
 - Most institutions have reportedly established or are in the process of establishing links within and outside Tanzania. Study visits by VCs, DVCs and provosts to overseas universities have enabled nearly all the institutions to create links in important areas such as student and staff exchange, provision of teaching and learning materials and books, equipment other than teaching aids, scholarships and external examination arrangements.
 - Many institutions have advertised their academic programmes nationally and internationally through their websites, and as a result have been able to admit foreign students into their programmes. Seventeen out of the 18 institutions report having academic staff of other nationalities.
- *Improved gender balance and awareness in institutional leadership*
 - Many institutions are striving to establish a gender policy and most institutions give priority to female candidates during recruitment, *ceteris paribus*. There are affirmative actions towards achieving gender balance in all the institutions.
 - There are also deliberate efforts to involve women in university committees and other leadership positions.

- *Institutionalised dialogue channels between management and students and management and staff*

In most institutions there are avenues for dialogue between the management and students and between the management and staff, both academic and administrative. Meetings are organised where views are aired freely and the management takes note of burning issues for appropriate action. This is a sign of good governance.

- *Institutional profile and systems diversified and modernised through use of ICT*

ICT is invariably used in many institutions to support research, teaching and learning as well as administrative operations. There is improved use of the internet in almost all institutions. Both academic staff members and students can access and download teaching and research materials, including electronic books, journals and other educational materials for effective studying.
- *Improved governance and institutional management structures*
 - Many institutions have improved their governance and institutional management structures to demonstrate their accountability to students, academic staff, administrative staff and members of council and senate.
 - Some institutions have embarked on the process of restructuring their organisational chart to fit the recommendations given in the leadership training programme. This has not only enhanced their performance but has also reduced the bureaucracy in some institutions.
- *Institutionalised quality-assurance systems*

The results of the impact assessment indicate that 17 out of 18 institutions (94.4%) have now put quality-assurance units in place at the institutional level, and 12 out of 17 (70.6%) have quality-assurance policies.
- *Enhanced institutional funding profiles*
 - Of the 17 institutions, 16 (94.1%) have fundraising activities including established fundraising committees, conducting short courses and training courses for staff on how to write fundable programme proposals, and are leasing university premises whereby investors are allowed to build, operate and transfer structures.
 - Services that used to be performed by university personnel (such as cafeteria services, printing and cleaning) have been outsourced in order to cut down running costs.

Not everything that happened after the training programme can be attributed to it as a number of developments were already underway at some universities. However, the training programme has certainly helped to popularise and spread these developments to other universities in the country. For example, the practice of outsourcing non-essential services which began at the University of Dar es Salaam prior to the programme has subsequently spread and is being copied by other universities, both public and private, largely as a result of interaction and contacts made during the training programme.

Institutionalisation and sustainability of the programme

The findings of the impact assessment appear to suggest that most institutions feel strongly that the leadership training initiative could be sustained through the collective involvement of the government, the TCU and higher learning institutions. This is largely due to the fact that the current leadership has seen the advantages of such a programme and is prepared to pass on the knowledge gained to future leaders of the universities.

Considering the significance and viability of the programme, the TCU in collaboration with university institutions has agreed to chart plans and strategies towards institutionalising it and making it sustainable. Such strategies include but are not limited to the following:

- The TCU will set aside funds to be used for the purpose of university institutions capacity-building programmes. In the same way, each university institution is encouraged to set aside adequate funds to cover capacity-building programmes that the TCU will organise from time to time.
- The TCU, in collaboration with university institutions will continue to dialogue with development partners and other financing institutions in order to secure the required financial support for the various capacity building programmes.

Challenges and future prospects

Despite the positive impact of the programme, there are still some challenges. ERA identified the following in their summative evaluation report:

- The training programme enables top university management to make leadership changes in their institutions, particularly their leadership style, strategic planning, improved stakeholder involvement, as well as resource mobilisation. However, there has been a lack of support and appreciation from their superiors.
On the other hand, senior managers who had attended the training and reported that they had made changes in their leadership and management styles, strategic planning and curriculum development felt that they still did not have enough control in these areas and were not supported by university authorities.
- Middle-management who attended the training programme had made changes in their management practices, gender focus, strategic planning and approaches to student affairs. However, like the respondents in other positions, some middle-managers were unable to make changes due to financial constraints.
- Other challenges that are common to all the categories of university leadership and management include, but are not limited to, the following:
 - Insufficient competent staff to undertake fundraising activities
 - Extended overseas study visits of deans and directors that place an extra burden on other staff
 - Concern that adopting affirmative action to improve the gender balance in institutional leadership may compromise the quality of university leadership
 - Difficulty in achieving a balance between dialogue between university top management and students on one hand, and staff on the other hand
 - Lack of competent staff to carry out the quality-assurance processes
 - The entrenched attitudes of senior university leaders
 - The availability of local financial resources to sustain the leadership training programme.

Institutionalisation of leadership training

- *Initiatives by the TCU*

It was envisaged that the TCU-implemented project on human capacity building would serve as a catalyst for the establishment of a permanent unit at the TCU responsible for the professional development of university leaders and managers. While this has not been fully realised, the TCU has established relevant support units in the interim. Specifically, the TCU has established a resource centre at its headquarters in Dar es Salaam and similar resources are also available electronically at the TCU website (www.tcu.org). The resource centre includes, among other materials, all the training modules that were used during training sessions for the capacity-building project. To complement this effort, the TCU has also established a University Services Unit that works closely with universities and university colleges to determine their needs.
- *Government of Tanzania initiatives*

The TCU leadership has used every available opportunity to highlight the project activities to government leaders (including the President) as a way of raising awareness of the importance of such training for the wellbeing of universities and other institutions in the country. During the life-time of the TCU capacity-building project, the Government of Tanzania established The Uongozi Institute based in Dar es Salaam. However, the mandates of the Institute go beyond Tanzania as it aims to support African leaders in their quest to achieve sustainable development for their nations and for Africa. The training offered by the Institute seeks to inspire and promote the recognition of the role of leadership in sustainable development. The Institute is still in its infancy and receives substantial support from the Finnish government. The Institute offers African leaders opportunities for:

 - Leadership training and development.
 - Sharing of knowledge related to leadership, strategic thinking and sustainable development.
 - Discussion on leadership and strategies for sustainable development.
 - Creating networks with other leaders for leadership development and strategic planning for sustainable development.
- *Efforts by individual universities and university colleges*

Although many universities and university colleges are running their own leadership training programmes, these are still very ad hoc, and have not yet been integrated into the institutions' occasional or regular activities. Documentation of these initiatives is still patchy.

3.7 Conclusion

This chapter attempted to provide some insight into the three-year programme on human resource capacity building for institutional management in Tanzanian universities. The chapter has provided some useful thoughts on the uptake, impact and sustainability of the university leadership and management training programme. Some of the challenges resulting from implementation of the programme have also been highlighted.

Generally speaking, the programme has been very useful and added value to the leadership and management of university institutions in Tanzania. Despite some of the challenges mentioned, the programme has had an enormous positive impact on the entire spectrum of the HE system in Tanzania. It is hoped that this mutual cooperation and collaboration between the TCU and Carnegie Corporation of New York will be maintained and will serve as a springboard for cooperation in other initiatives of a similar nature in future.

CHAPTER 4

UGANDA

Emuron Olupot, Pius Achanga and Abdu Kasozi

4.1 Introduction: Background

Since the 1990s, external and internal forces have brought a number of changes to universities in Uganda. These include a reduction in funding to public universities, the liberalisation of the higher education sector, and a re-organisation of the academic year from terms to semester and trimester systems. The aforementioned changes in turn affected student enrolment, staffing recruitment policies, curricula, pedagogy as well as the infrastructure. In the report of the Education Policy Review Commission¹ in which 83 recommendations were made, the following was fundamental: “Privately sponsored students [should] be encouraged to join publicly-funded tertiary institutions provided they satisfy the entry requirements and the pedagogical facilities in a given institution can accommodate them”. In addition, the same Commission urged government to shift funding from higher to primary education with a further proposal: “Students and parents [should] assume full responsibility of meeting all non-instructional expenses such as [the] cost of transport to and from their homes, pocket money, feeding and dependant allowance[s]”.² As a result of this recommendation, cost sharing, among other things, was introduced into HE in Uganda. In essence, the liberalisation of HE pre-empted public universities opening their doors to those who could afford to pay for their education. These changes transformed the roles of both universities and academics in Uganda.³

Nationally, liberalisation has had at least two major effects on university education. Firstly, it led to an increase in the number of HEIs, which resulted in an increase in the annual output of HE and raised awareness of university education among the population generally. Subsequently, the demand for more accountability from universities also increased compared to the previous decade. This came at a time when the demand for HE had increased substantially, as evidenced by the increased student enrolments at the various universities in Uganda. However, this increase also revealed a mismatch between students and facilities. In one of the National Council on Higher Education (NCHE) reports⁴ to Carnegie Corporation of New York it was observed that this mismatch was exacerbated by declining government funding and the lack of leadership training and the transformational leaders who could manage this. As Senge⁵ explains, change is often a problem and people who are not equally progressive may find many options unacceptable. Their influence on the decisions on pedagogy, assessment and curriculum may stifle the innovative ideas of others.

Secondly, liberalisation of HE provision opened the way for the private sector to become a key player in HE in Uganda. As recently as 1987 there was only one institution with university status in Uganda, with an enrolment of about 10,000 students. But by 2013 there were 39 HEIs with degree-awarding status with some 152,805 students. When those in other tertiary institutions are added, the number exceeds 190,000. This exponential increase was to be expected as a natural consequence of the advent of the universal primary education (UPE) graduates who were now accessing the tertiary education subsector.

1 Education Policy Review Commission (EPRC). Report 1989.

2 Ibid.: 90.

3 Briggs, S. 2005. Changing roles and competencies of academics. *Active Learning in Higher Education* 6.3: 256-268.

4 National Council for Higher Education Uganda (NCHE). 2009. Report to Carnegie Corporation of New York.

5 Senge, P.M. 2000. Strategies for change leaders; Lessons for change leaders, in *Leader to Leader*. San Francisco: Drucker Foundation, Jossey-Bass.

A survey of HEIs by the NCHE in 2004⁶ (the data collected from HEIs in 2005 and 2006 and the Executive Director's participation in the Presidential Visitation to public universities in 2006 and 2007) indicates that the quality of HE delivery in Uganda was declining rapidly. In many institutions, staff qualifications and experience were declining due to that fact that there were insufficient funds budgeted for educational inputs. Moreover, study areas (classrooms, laboratories, libraries) were overcrowded, staff salaries were low and there was little incentive for research. There was not enough money for the maintenance of the infrastructure and few institutions had comprehensive internal quality-assurance mechanisms. References to the same studies also indicate that most institutions had outdated curricula based on memorisation and not on problem solving, all of which were oriented towards civil-service employment (contracting).

It is worth noting that liberalisation not only led to the opening up of new institutions, but also introduced competition into the provision of HE, and universities started marketing themselves in order to attract students. It can be argued that these changes contributed to the decline in the quality of university education in Uganda. For instance, courses within the same university were duplicated, mismanagement of academic affairs increased (for example missing coursework and examination results).⁷ The same Visitation Committee noted that top management in public universities was not in control and that they had not risen to broader challenges of strategic management that would have entailed making difficult choices for their universities. According to Shattock,⁸ if universities' core services and systems do not work, there will be low academic morale, low public esteem of universities, a decline in institutional infrastructure, run down student residences, poor food services and maintenance backlogs. This was valid for many Ugandan universities at the time, and consequently, as observed by Mamdani,⁹ there was growing public scepticism about the capacity of universities to deliver quality education.

In 2009, the National Council for Higher Education therefore realised that there was a gap in its efforts to improve the delivery of quality education in institutions of higher learning in Uganda. Most of the NCHE's prior focus for improving the quality of HE in Uganda and Africa (generally) was, understandably, on training academic staff, improving facilities, research and the physical infrastructure of institutions. Although rather late, it was realised that the governance of institutions of higher learning was equally important for delivering quality HE. Institutions of higher learning must be well managed if quality higher education is to be delivered. As it was then, and now, managers were simply extracted from classrooms or research facilities to administrative boardrooms without being trained on how to manage the education institutions they were called upon to govern. Yet management is a science to which administrators should be exposed before they are asked to lead such critical social institutions as universities and colleges. To support this, Achanga says:

[W]ithin most African states, the selection of university management and leadership has been based on academic achievement and government endorsement. In most countries, top university leadership, such as the vice-chancellors and rectors, gains access to such positions on the basis of being renowned scholars.¹⁰

Hence, in April/May 2008, the NCHE started to plan for the training of managers of institutions of higher learning. The purposes of the training were identified as follows:

- To enable new and seasoned HE administrators to learn the best practices of managing institutions of higher learning.
- To support potential managers in studying the Ugandan and regional issues that influence the administration of HEIs in eastern and central Africa.

6 NCHE. 2005. The State of Higher Education and Training in Uganda – a report on data collected from institutions of higher learning.

7 Report of the Visitation Committee to Public Universities, 2007.

8 Shattock, M. 2003. *Managing Successful Universities*. Buckingham: The Society for Research into Higher Education and Open University Press, p.34.

9 Mamdani, M. 2007. *Scholars in the marketplace: the dilemmas of neo-liberal reform at Makerere University, 1989–2005*. Kampala: Fountain Publishers.

10 Achanga, P.C. 2012. Managing and leading African universities in a globalized world, *International Higher Education* 67: 18–19.

- To enable the administrators (current or potential) to understand global and domestic forces that affect the administration of HE.
- To empower these leaders to manage their institutions well in order to deliver quality HE.
- To create a pool of trained personnel from whom administrators could be selected as vacancies arise in the tertiary subsector.
- To facilitate potential managers to experience managing institutions of higher learning.

Therefore, in order to inform the design and development of such a training course, a needs-assessment study was conceptualised at this time. The purpose of the study was to assess the needs of current and potential managers in order to manage universities in Uganda, with the aim of enabling the NCHC to organise training workshops in leadership and managerial skills.

4.2 Needs assessment for HELM training

The needs-assessment study adopted a survey research design in order to identify the training needs of current and potential managers in universities. Universities were put into two groups, namely private and public institutions. After stratification, four public and eight private universities were randomly selected. Since certain categories of respondents could easily be identified by the name of their university, all the universities in the sample were allocated serial numbers. All the top managers (i.e. the VCs, DVCs, university secretaries, academic registrars, deans of students, and bursars) of each university were purposively selected. Middle-managers (i.e. deans of faculties, heads of departments and senior staff) were randomly sampled to participate in the study. Table 4.1 provides a summary of the study participants.

Table 4.1: Selected universities, respondents and questionnaire return rate

Type	VC	Finance & admin. managers	Academic managers	Deans of students	Potential managers (senior academic staff)	Total questionnaires distributed	Total questionnaires returned
Public	1	5	9	1	8	24	1
Private	1	5	9	1	8	24	13
Private	1	5	9	1	8	24	8
Private	1	5	9	1	8	24	20
Public	1	5	9	1	8	24	14
Private	1	5	9	1	8	24	11
Private	1	3	5	1	5	15	2
Public	1	5	9	1	8	24	4
Private	1	3	5	1	5	15	0
Private	1	5	9	1	8	24	0
Public	1	5	9	1	8	24	13
Private	1	3	5	1	5	15	0

Data was collected using questionnaires to ensure wide coverage, easy data collection, presentation and analysis. Five questionnaires were designed; one for VCs, the second was for administrative staff in charge of academics (this included the deputy vice-chancellor academic affairs (DVCAA), academic registrar (AR), deans/directors and heads of departments), the third questionnaire was for administrative staff in charge of administration and finance (deputy vice-chancellor finance and administration (DVCFA), university secretary (US), bursar, and accountants), the fourth was for deans of students and the last for senior staff. Senior staff members were targeted because they were viewed as potential managers. There were minor variations in the items in the questionnaires

but they all solicited information on four main areas: administration, leadership, human-resource roles and financial management. There were both open and close-ended questions. The close-ended section required the respondents to comment on the levels of importance of the different aspects of administrative, leadership, human-resource and financial roles, and their levels of confidence in performing them.

A number of quality control procedures were instituted to control both sampling and non-sampling errors, and to manage data quality and integrity. Questionnaires were developed in close consultation with officials from the NCHES and a consultant from South Africa. They were then pre-tested in Uganda Christian University, Mukono and Makerere University. The respondents in the pre-test were not involved in the main study. After the pilot, items that were deemed to be irrelevant or invalid were deleted. The distribution and collection of the completed questionnaires was a tedious process, involving several trips and phone calls, sometimes to no avail. Coupled with this, the study was conducted at a time when universities were busy with end-of-semester examinations. Quantitative data was analysed using the Statistical Package for Social Sciences (SPSS Version 13.0).

The sample profile is predominantly male and falls into the age bracket of 30 to 59, reflecting the current demographics of university managers in Uganda.

Findings

Administrative roles

All administrative roles were considered to be very important by the respondents. However, in 13 of the 19 items, the academic managers exhibited low levels of confidence in performing specific tasks such as: coordinating community outreach programmes; representing the university to government line ministries; using IT in teaching, research, community outreach and administration; and ensuring that university equipment used in teaching, research and community outreach was maintained. However, findings from the financial and administrative managers and deans of students showed a higher level of confidence in performing administrative roles. For instance, over half of the financial and administrative managers were confident in performing seven of the 12 administrative roles. At the same time they were not confident about representing their universities to government line ministries or enforcing IT-use in university administration. Senior academic staff expressed high levels of confidence in performing administrative roles directly linked to academic affairs. However, they were less confident in performing 15 out of the 19 roles. These included formulating strategic mission and vision statements, policies and bylaws, and fostering IT-usage in teaching, research and community outreach.

Leadership roles

All leadership roles were considered very important by the respondents. Despite this ranking, half of the academic managers indicated that they were not confident in performing 13 out of the 20 items on leadership, including ensuring that the full capabilities of the university non-human resources were exploited; providing leadership in fundraising strategies, budgeting and implementing budgets; and in monitoring strategic action plans. Financial and administrative managers expressed higher levels of confidence in performing similar roles. However, half of them were not very confident in performing nine out of the 20 leadership roles including: motivating staff for their professional growth; ensuring full use of the capabilities of university human resources and non-human resources; ensuring external and internal university harmony; and building a positive institutional culture and image. Similar to their ratings on administrative roles, deans of students rated items under leadership roles highly. However, they also indicated that they did not feel very confident in monitoring university strategic action plans or providing leadership in budgeting. Senior academic staff were very confident in performing leadership roles directly linked to academic affairs. However, they expressed less confidence in performing the majority of the leadership roles (15 out of the 19) including providing leadership in fundraising, budgeting and implementing budgets, and developing and monitoring university strategic and action plans.

Human-resource management roles

Generally, human-resource management roles were ranked highly by deans of students and financial and administrative managers. However, less than 90% of the academic managers and senior academic staff ranked it as very important. Among the academic managers, most were confident in performing the majority (17 out of the 19) of the human-resource management roles, including: rewarding and motivating staff; conducting support supervision and monitoring staff; developing performance appraisal systems for staff; developing staff in relevant knowledge, skills and attitudes; and in organising continuous professional development and career plans for staff. Although, human-resource management roles were rated as very important, the majority of the finance and administrative managers expressed confidence in performing 13 out of the 18 items. Among these were: orienting/developing staff in relevant knowledge, skills and attitudes; developing performance appraisal systems for staff; assessing staff performance; conducting support supervision and monitoring staff; developing succession and placement plans; and organising retirement plans for staff. Among the deans of students, their level of confidence in performing human-resource management roles was slightly better than that of the financial and administrative managers. Deans of students indicated that they were not confident in performing nine of the 19 roles in this category, including rewarding and motivating staff, and developing succession and placement plans. Among the senior academic staff, over 70% rated human-resource management roles as very important. Ninety percent of the same group then also rated the specific functions of keeping-up-to-date, accurate and accessible records, assigning roles and responsibilities to staff, managing and resolving conflict, orienting staff in relevant knowledge, skills and attitudes, as well as assessing staff performance as very important, although the majority of them were less confident in being able to perform these.

Financial management roles

This is an area that constitutes the major training need for the majority of the current managers in Ugandan universities, particularly, the academic managers, deans of students and potential managers. A substantial percentage of the financial and administrative managers were confident in performing this role. However, although over 65% of the academic managers rated financial management as very important, 60% were not confident in performing some of the very basic aspects of their jobs such as: mobilising financial resources (31%); procuring equipment and materials (31%); and ensuring IT-use in financial management (39%). In the same vein, deans of students in this study were very confident in ensuring proper use of university funds (100%) and keeping accurate accounting records (86%) but weak in ensuring IT-use in financial management (29%), in mobilising financial resources for the university (29%), and coordinating its financial affairs (43%). Senior academic staff reported that they could keep accurate records (87%) but not effectively perform all the other aspects of financial roles, including mobilising funding for their respective universities, preparing budgets, and ensuring various units follow financial regulations. Their ability to carry out these tasks were all rated below 25%.

Discussion

Most university managers in this study were between 30 and 49 years of age. This indicates that the bulk of the current managers could potentially serve their respective universities for some time to come. However, there are few managers in the 20 to 25 age bracket, which means there will probably be a dearth of management personnel in the next decade. Most of the top and potential managers in this study are also men, all of whom had assumed their current positions in the 2000s. This is an indication that the bulk of the managers in the next decade will continue to be male.

The majority of the respondents had not received any leadership training since their assumption of duty. Of those who had received training, such training was management-oriented. This implies that most managers learnt 'on the job', and given that many of them are not confident in performing their roles, they need formal training.

As very few managers had received any training in financial and human-resource management, their lack of confidence in performing these roles was not surprising. Conversely, in spite of not receiving training in administration and leadership, the findings showed that most of the managers were confident in performing these roles.

Financial and human-resource management roles thus constituted the key training areas. The major human-resource management challenge for all the respondents in this study was promoting staff welfare (e.g. professional growth, rewarding and motivating staff, preparing succession and retirement plans). Enforcing the use of IT in various university management functions also remains problematic.

Managers who were very confident in performing various management functions fell into the age bracket of 40 years and above. These managers clearly rely on their experience to confidently carry out their daily routines. Furthermore, managers of over sixty did not express the need for training since they were about to retire. The bulk of the managers (some deans and several heads of departments) between 20 and 39 were not very confident in performing various management roles, and expressed the need for training. It appears that most university managers delegate the roles that they are not confident in performing. For instance, many managers relied on accountants to perform various financial management roles although managers such as deans are the designated accounting officers for their respective faculties.

The study illustrated that current and potential managers find their human-resource and financial management roles difficult. As a result, it was recommended that a training programme be designed with the following contents.

Strategic management

- The importance of strategic management, strategy formulation and implementation, strategic management, developing a strategic vision and mission
- Leadership and change management
- Quality improvement.

Human-resource management

- Staff training needs-assessment and development
- Performance management (output-oriented performance monitoring)
- Motivation (especially non-financial motivation, such as rewarding good performance or group rewards)
- Occupational health and safety
- Planning for retirement.

Financial management

- Budgeting and budget management including information on the legal framework for the budget process, budget process, setting institutional priorities, budget consultations and budget monitoring and evaluation
- Resource allocation
- Accountability for resources
- Financial mobilisation (project identification)
- Fundraising and negotiation skills.

IT for managers

- Financial accounting packages
- Management information systems (MIS).

It was also recommended that the following training model be followed as far as the priority of training was concerned:

- Academic managers: This group should be further subdivided into DVCs of academic affairs, academic registrars and deans together, and heads of departments separately.
- Financial and administrative managers: Training should start with DVCs of financial affairs, university secretaries, bursars and accountants.
- Potential managers: Since many of the current managers are over 55, there is an urgent need to train this category.

Follow-up meeting

Because the overall return rate of the questionnaires was very poor, a decision was taken to hold a separate meeting in April 2009 to obtain the endorsement of the university VCs. The majority of those who attended were not VCs however, but their deputies or other members of the senior management teams who were sent to represent them. The Management and Leadership Programme (MLP) team again invited the VCs to a two-day meeting for two main reasons: firstly, to bring them up to date with what training their staff had received during the nine modules; and secondly, to bring the sustainability of the project to their attention. (This meeting was viewed as part of the needs assessment, which is an ongoing process.) This time the attendance was better, with the exception of four universities that sent members of the senior management teams rather than VCs. Also in attendance were members of the governing councils and representatives of universities that the MLP team had worked with during the training.

While the participants appreciated the training their staff had received, they were not forthcoming about the steps to be taken towards sustainability. The MLP team had wanted an unequivocal commitment from them to the continuation of the project activities but this did not happen. The recipients of the training, however, were eager to discuss further training, and they gave a variety of responses, including the suggestion of rolling out the project to others in universities who had not had these opportunities. They felt there was also an urgent need for governing councils and government to officially recognise the training that they had received. Clearly, for the participants, at least, this training had been very useful in resolving leadership and management problems and challenges faced by universities in the country.

In the following sections there is a more systematic discussion of the design and implementation of the training programme.

4.3 Identification and selection of target groups

The initial aim of the training programme was to identify, select, train and mentor a team of leaders of Ugandan universities. The MLP team believed that the envisaged training should be directed at the following university leadership: members of the governing council and the university management (i.e. the VCs and their deputies), the academic registrars, deans of faculties, heads of departments, senior lecturers and the senior administrators, such as the finance directors. Although the original idea was to set up target groups on the basis of their standing in organisations, the MLP team later realised that if the VCs were put together, they might focus only on the concerns of their roles and responsibilities and ignore everything else. Furthermore, they would then not be exposed to the perceptions of their juniors. After considering the prevailing perception of most HE practitioners in African states (where, for example, VCs may not be willing to share a training session with their juniors), the MLP team resolved to have mixed groups so that everyone could benefit from diverse ideas and perspectives. Although this was challenging, it created a more synergistic atmosphere for all participants.

The selection strategy

The first selection strategy did not yield satisfactory results. As the training project had not yet attracted much publicity, the university managers had very little or no knowledge of the MLP and its associated benefits. The 43 participants of the 2010 cohort had the highest number of VCs (Table 4.2).

Table: 4.2 Positions of participants

Category	Cohort 1	Cohort 2	Cohort 3	Total attended
	Oct-10	Aug-11	Dec-11	
VCs/rectors	1	0	0	1
DVCs/rectors	3	1	0	4
Deans/directors	25	17	15	57
Heads of department (HODs)	1	7	15	23
Other top university managers (academic registrar/librarian/bursar/university secretary)	3	4	3	10
Other (officers, administrators, lecturers)	10	9	29	48
Total	43	38	62	143

The initial group of scheduled participants included:

- Members of university councils, boards of governors and policy makers
- Incumbent top management (i.e. VCs and their deputies, university secretaries, academic registrars, chief planners, chief finance officers)
- Heads of departments/units; deans and other specified officers. Most of the trainees from this group were seen as potential managers from which future top administrators would be recruited.

Ironically, Cohort 1 also attracted the highest number of trainees who should not have been in the training programme. In hindsight it is evident that a clear strategy for participants' selection had not been worked out because; the participants' list consisted of the MLP team's acquaintances (individuals who had participated in previous programmes). Moreover, participants were invited over the telephone and the intended trainees did not know what the training was all about. It led to a lot of curiosity and unrealistic expectations, some of which were beyond the scope of the training programme.

ERA was able to capture this anomaly in their assessment of the overall training, which was one of the factors that contributed to Carnegie Corporation of New York putting a hold on the grant.

It should also be pointed out that the MLP team (as it later became known, after the entry of ERA) initially had very poor capacity. The MLP needs assessment had failed to detect a number of crucial things, as outlined below:

- It did not have robust criteria for selecting participants. (These should have been based on the cultural characteristics of the group, ages, educational backgrounds, work experiences, gender, interests and learning styles.)
- There was limited publicity of the project, as discussed in the needs assessment.
- The communication within the programme team and between universities was dismal.

Thereafter, ERA became involved with the MLP, specifically in guiding the team on how to re-strategise the overall training direction. ERA required the MLP to ensure a number of things, as outlined below. First, the programme team had to increase its staff (from four to six people) and then redesign its participants' selection strategy. This entailed showcasing the entire project to potential trainees at all the participating universities. That way questions or issues being raised by the potential trainees could be answered succinctly. During the university outreach the MLP team

used a carefully designed participants' selection form that was aimed at eliciting basic, but crucial information, on potential trainees, such as their role at the institution and how many years they had worked there. This information was useful in determining the suitability of potential trainees. This was followed by a face-to-face interview with each potential trainee in order to assess his or her level of commitment towards the training project. The top university management were also asked to recommend potential trainees. In this way the most motivated trainees were selected. It was confirmed during the training sessions that this strategy had worked, as the trainees selected in this way participated fully and showed interest throughout the entire training process. Moreover, the MLP team decided that any institution that did not allow it to meet the staff and top management beforehand would be eliminated from the project. This decision was based on the premise that a willing commitment from the institution was required at the outset for participants to have any impact on their institution.

Institutions who did not respond to repeated phone calls and emails and who in some cases, even cancelled meetings when the team arrived at their premises were excluded from the programme. Other universities were so motivated and enthusiastic about the whole exercise that they begged for extra spaces on the courses. The final selection provided a well-balanced representation, as shown in Table 4.3.

Table 4.3: Institutional representation

Institution	Cohort 1	Cohort 2	Cohort 3	Total attended
	Oct-10	Aug-11	Dec-11	
Bugema University	5	4	8	17
Busitema University	2	4	5	11
Gulu University	4	3	5	12
IRT – Uganda	1	0	0	1
Islamic University in Uganda	11	1	3	15
Kampala International University	0	5	1	6
Kyambogo University	0	2	2	4
Makerere University	4	0	10	14
Mbarara University of Science and Technology	2	4	6	12
Ministry of Education	1	0	0	1
Ndejje University	3	5	6	14
Nkumba University	3	4	9	16
Uganda Christian University	2	5	3	10
Uganda Management Institute	3	0	0	3
Uganda Martyrs University	2	1	4	7
Total	43	38	62	143

Twelve institutions were represented at the Cohort 3 training, more than at the previous two blocks of training. In particular, Makerere University, the first and the oldest university in the country, was not represented in the first and second cohorts due to the weakness of the first selection round. This is a clear testimony to the strength of the improved participant selection framework.

4.4 Identification of areas for training

The main aim was to target those with 'natural' potential for leadership and to allow them to benefit from those who were already good leaders by working together. The first training session was focused on universities and the second on non-university tertiary institutions.

The topics in the first session included, but were not limited to the following:

- Student and staff information data management
- Decision-making processes in a university context
- Budget planning and implementation
- Financial management
- Corporate and unit strategic planning
- The roles of the various organs of a university – council, senate, top management, faculty boards, department/division boards, staff unions, student unions, etc.
- Strategic planning
- Conflict resolution
- Quality assurance in a macro and institutional setting
- Research policies and management
- Postgraduate training and skills development
- Academic management including syllabus design, implementation, timetabling, examination management, results releases including transcripts
- The identification of HE problems and how to resolve them.

The training themes were partly based on the results from the needs-assessment study, partly on a review of literature and partly on baseline data. However, in retrospect, it was clear that determining the thematic areas could have been improved if there had been wider stakeholder involvement. For example, there was no collaborative initiative to determine the module themes throughout the first three modules, until ERA's intervention. At the time, the MLP team had come to accept that they did not have a clear theoretical base from which to develop a meaningful curriculum. Once this had been recognised, a new approach was implemented and an improved outline of all the pertinent issues for the training modules was established.

The following modules were decided upon:

- *African education in a globalising world.* This module was aimed at introducing participants to the concept of globalisation, and how this was having an impact on the HE landscape.
- *Leadership, institutional innovation and development.* This module was intended to equip the trainees with the crucial leadership skills relevant for managing universities.
- *Corporate governance of universities* was aimed at facilitating a deeper understanding of corporate governance in institutions of higher learning.
- *Financial management* aimed at equipping universities managers with the knowledge of resource acquisition and management.
- *Management of academic processes* looked at the processes of academic provision in universities.
- *Issues of socioeconomic development* and the notion of universities as key actors in reshaping the economic landscape of nations.
- *Human resource management.*
- *Access, equity and social justice in HE.*
- *The future of higher education.*

Selection of the modules writers

Armed with the above-mentioned module themes, the MLP team embarked on identifying module writers for each thematic area. The first three modules (globalisation, leadership, and corporate governance) did not attract many willing authors, but after an extensive search, the MLP team handpicked three respectable scholars: two writers from the staff of the NCHE, and a third who was sourced internationally. However, ERA's findings on the first three modules indicated that although the modules were good, they required an extensive review. Three new academics, who were deeply involved in curriculum development and were all adult educators, were sourced for this assignment. The intention was for the modules to be simple, straightforward reading. The modules were later sent to an external editor for proofreading.

The MLP team had learnt much from the process of developing the first three modules and were motivated to take a more structured and robust approach in developing the next three modules, using ERA's feedback on the previous training courses and themes from the university outreach initiative. The team then advertised widely for expert module writers and eventually six suitable writers were selected.

A module writers' workshop was organised with the six writers to initiate and streamline the module direction. Specifically, the module writers were given the module guidelines that had been designed by the MLP team and approved by ERA.

A series of meetings took place where the MLP team discussed the crucial issues in depth with the writers. These included the type of case studies to be used, their relevance and likely benefits to the trainees. The modules were sent to ERA and later to Carnegie Corporation of New York for their input.

4.5 Uptake and impact

In the period 2010 to 2013, the MLP team rolled out nine modules to over a hundred carefully selected participants of the management and leadership training. This section describes the training uptake by the MLP team and the impact the training had on the participants and their institutions.

Each module of the management training programme was designed to last for three days. The programme material encouraged an adult-learning approach and so the sessions were very interactive. After providing some background, an MLP team member then handed each session over to the selected expert, but remained on hand to give clarity on policy issues if required. Facilitators were asked to present for not more than thirty minutes, whereafter participants could respond to the issues presented. Participants would then work in groups for about an hour. Group presentations would then follow, and the day would end with a talk by an invited guest speaker. The guest speakers were distinguished professionals who had all made significant contributions in their respective fields, and their role was to refocus the attention of the participants on key management lessons.

Impact of the training programme

From its inception the training programme had an impact. Three cohorts of middle and top managers were trained and, in each case, the project organisers witnessed great participant enthusiasm and openness to revising their worldview and to learn new things. A summary of the participants' evaluation forms is shown in Tables 4.4 and 4.5.

Table 4.4: Balance of theoretical and practical elements

Overall assessment of the sessions	Too theoretical				Too practical				Total
	1	2	3	4	5	6	7		
Cohort 2	0	0	0	21	30	43	6	100	
Cohort 3	0	0	8	27	32	25	8	100	

The majority (65%) of participants reported that the training was more practical than theoretical. A fair proportion (27%) thought the theoretical and practical elements were balanced. Eight percent of participants of Cohort 3 reported that the training was more theoretical than practical, however, Cohort 2 tended to lean more towards the “too practical” end of the scale. Furthermore, all aspects of the training were rated highly, with the venue being rated as the highest quality aspect (4.9 out of 5) and training materials receiving the lowest, albeit still high, rating of 4.1 as demonstrated in Table 4.4. The participants’ eagerness to implement reforms in their respective universities promised outstanding future success for the project. Other feedback revealed that participants found it difficult to distinguish the roles and relationships between the various stakeholders in HE, but showed a good degree of analytical assessment and they left determined to chart strategies for the future. There was also a mentorship component at universities (for leaders) where teaching assistants shadowed senior lecturers as well as administrators. There was also evidence of new staff development initiatives at the institutions involving staff and members of the governing councils.

Table 4.5: Quality of the training sessions

Area	Average score out of 5
	(1 = Very poor; 5 = Excellent)
Course content	4.5
Training materials	4.1
Presenters	4.3
Venue	4.9
Accommodation	4.8
Overall organisation	4.4

Sustainability of the training programme

The notion of sustainability in any improvement initiative has always attracted significant amounts of money and raises both theoretical and practical questions. The MLP team was very aware that the financial base of the project had been a once-off donation. As a result, the MLP had to ensure sustainability in its project planning. At an earlier stage, when the project had just been launched, the programme developers had started to identify a potential institution to take over the project once the first phase was completed. Three institutions were invited to discuss this at different times. However, it soon became apparent that the first institution did not have the capacity to handle a project of such magnitude and the second institution seemed disinterested because it was applying for other funding from Carnegie Corporation for a similar project. The third institution initially showed a lot of interest in collaborating, but later on seemed to lose interest. To the surprise of the MLP developers, the institution had simply been gathering all their material in order to start a parallel programme of their own! The collaboration collapsed and a lot of time and effort was wasted. Nonetheless, the developers gained enormous experience, motivation and credibility while carrying out this intervention, which meant that many individuals and organisations now wish to align themselves with the MLP in various ways.

Although the MLP did not achieve its objective of successfully identifying a partner to carry the training programme beyond Carnegie Corporation funding, their quest gave the MLP and the NCHE a measure of respectability. In addition, the institution who wanted to copy the programme will now have to pay an independent provider for a service that the MLP had previously rendered free of charge. Institutions and individuals will also now have to show even more commitment, since they will be investing their own funds in such training. As the NCHE remains a regulator of HE, it can still dictate that all potential managers intending to assume positions of seniority within Ugandan universities must undergo training on management and leadership courses.

4.6 Conclusions

Designing a successful training programme that is capable of reshaping institutional management and leadership structures is complex and requires concerted effort. The MLP training initiative has demonstrated the significance of developing a structured training programme that provides a holistic and measurable impact. A number of lessons have been learnt by the MLP while carrying out the training programme:

- It is imperative for a project of this magnitude to have a broadly based planning team, who hold diverse perspectives. This expands the ownership of the project, and lends it external credibility.
- A conceptual framework should be designed at the project-proposal stage, as this provides the building blocks for the entire project design. This was not done in the MLP training project; many weaknesses subsequently became apparent.
- A needs assessment is a participatory process, and this ought to have been conducted prior to the submission of the project proposal. It is clear that the MLP erred by excluding a large number of stakeholders in its needs-assessment drive. Involving different stakeholders at the initial stages of the project proposal would have eliminated several unforeseen hitches. For example, the team did not consider the challenges involved in meeting the requirements of government policies such as the Public Procurement and Disposable Assets (PPDA), which states that organisations may not source services or products exceeding USD 800 without following the PPDA rules. This meant that no module writer could be sourced directly even if the MLP developers knew of his or her credibility. The Solicitor-General would also have been consulted if a proper stakeholders' consultation had taken place. This was a crucial omission, as the MLP could not use its budget without seeking approval at almost every stage of the operation. However, to compensate for the error of not making proper consultative engagement with the stakeholders, the MLP developers decided to organise a VCs seminar to review the training that had taken place over the three years. This became a wonderful opportunity to market the project further and to regain credibility. Although the MLP exerts no control over what happens to participants in their institutions, they can now be put into contact with various groups in the country.
- The involvement of an external evaluator such as ERA is very beneficial. ERA arrived when the project was already underway, and ironically, this initially engendered uncertainty, as almost everything had to be overhauled. ERA urged a review of the entire MLP framework for delivery after the first workshop. The first training session was critically evaluated in order to make improvements. The MLP team was also required to examine its capacity for implementing the programme, taking possible administrative changes into consideration (e.g. resignations) which could disrupt the team's performance. The quality of training in terms of selection of participants, content, delivery and logistics was a major point of consideration by ERA. It should be pointed out that ERA used mainly qualitative research methods for streamlining these analyses. For example, by distributing a questionnaire to the MLP members and collating the data, ERA was quickly able to draw up an Action Plan.
- The MLP team has realised that conducting a training exercise of such magnitude requires an appropriate training methodology for it to be successful. It therefore follows that those being selected to roll out the modules as training facilitators needed to be skilled in the art of assisting adults to learn through self-discovery. The approach used should be governed by the notion of self-directed learning, which is appropriate for adults. Secondly, facilitators are guides, not lecturers, and are participants in the learning situation 'with' learners. They are responsible for and accountable to the group. The main goal is to equip participants for self-development and to control learning. Thirdly, presenters (guest speakers) are experts with a clear separation from the learner; here learners are passive recipients of knowledge and the goal is to transmit knowledge clearly.

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- A logic model is needed to visualise how a problem is linked to the proposed interventions. A team must be trained in this so that they share a common mental picture of how the project will run once the implementation begins.
- Moreover, in identifying and selecting facilitators, the MLP developers had wanted to first observe the applicants teaching in their own universities. Unfortunately due to too much work and insufficient staff members at the NCHE, this did not happen. The idea was to gauge their teaching styles, depth of knowledge and their interpersonal skills with their students. This would have given a useful sense of the contribution potential facilitators could make.

CHAPTER 5

GHANA

Paul Effah

5.1 Overview of tertiary education system in Ghana

The tertiary education system in Ghana comprises all universities, specialised institutions, polytechnics and colleges that have been established by Acts of Parliament. At the university level, the first to be established was the University of Ghana in 1948, firstly as a college of the University of London and later as a fully fledged university in 1961. This was followed by the establishment of the Kwame Nkrumah University of Science and Technology (KNUST), initially as the Kumasi College of Technology to train technologically skilled persons and to foster relevant research and innovation and later as a full university in 1961. The University of Cape Coast followed as a college of the University of Ghana in 1962, initially to train teachers, deemed a critical factor in the development of the nation, and as a full university in 1971. Table 5.1 shows the public universities and the respective Acts that established them.

Table 5.1: Public universities and their respective Acts

Name of institution	Act establishing the institution
Kwame Nkrumah University of Science and Technology, Kumasi	Kwame Nkrumah University of Science and Technology Act, 1961 (Act 80)
University of Ghana, Legon	University of Ghana Act, 1961 (Act 79)
University of Cape Coast	University of Cape Coast Law, 1992 (PNDC 278)
University for Development Studies, Tamale	University for Development Studies Law, 1992 (PNDC 279)
University of Mines and Technology, Tarkwa	University of Mines and Technology, Tarkwa Act, 2004 (Act 677)
University of Education, Winneba	University of Education, Winneba Act, 2004 (Act 672)
University of Health and Allied Sciences, Ho	University of Health and Allied Sciences Act, 2011 (Act 828)
University of Energy and Natural resources, Sunyani	University of Energy and Natural Resources Act, 2011 (Act 830)
University of Professional Studies, Legon	University of Professional Studies Act, 2012 (Act 850)
Ghana Institute of Management and Public Administration, Greenhill, Achimota	Ghana Institute of Management and Public Administration Act, 2004 (Act 676)

Until the 1980s HE in Ghana relied on these three universities to provide the needed human capital, generalists as well as scientists, technologists, professionals and teachers to facilitate the struggle in achieving nationhood and to sustain political and economic independence, growth and development.

The establishment of subsequent tertiary education institutions followed one of the major education reforms in the country in the late 1980s. These reforms emerged as the result of the setting up of the University Rationalisation Committee (URC) in 1987 and the submission of its report in 1988. The Committee, chaired by Prof. Esi Sutherland Addy, then Deputy Secretary of Education in charge of HE, made a number of radical and far-reaching recommendations which led to major changes in the HE landscape. Many of the recommendations of the Committee were accepted in a government White Paper on the Committee's report in 1991. The University of Education, Winneba, was born out of the URC Report as an amalgamation of seven specialised diploma-awarding colleges, first as a college of the University of Cape Coast and later fully as a university in 2004. The University for Development Studies was established as a fully fledged university in 1992, modelled on the land-grant colleges of the United States as a developmental university to address the specific

developmental problems of Northern Ghana and rural areas throughout the country. The University of Mines and Technology (UMAT), which grew out of the Tarkwa School of Mines, was upgraded first as a faculty of KNUST before attaining full university status in 2004. Two new universities, the University of Health and Allied Sciences (UHAS) and the University of Energy and Natural Resources (UENR) have since 2011 been established at Ho in the Volta Region and Sunyani in the Brong Ahafo Region, respectively.

The university status of the Institute of Professional Studies has been confirmed with its new name of the University of Professional Studies, Accra (UPSA). The Ghana Institute of Management and Public Administration (GIMPA) received full university status in 2004. Other specialised tertiary institutions include the Ghana Institute of Journalism (GIJ), the National Film and Television Institute (NAFTI), the Regional Maritime Academy and the Ghana Technology University College.

The demand for the establishment of more universities has not abated. Government is to establish another public university in the Eastern Region of Ghana. A 12-member task force is putting together a plan for making the university focus on environmental science.

Private participation in tertiary education

Private participation in HE has become an established reality in Ghana since the first private tertiary education institution – the Valley View University – was established in 1979. Many more have followed. There are currently 44 that have received accreditation by the National Accreditation Board, with a total enrolment of about 56,000. Among the benefits of private HE are:

- The expansion of educational opportunities
- More public resources can be directed at the disadvantaged
- They have demonstrable capacity to innovate and share good practices in education delivery
- Increasing employment opportunities.¹

These notwithstanding, private participation in tertiary education continued to experience a number of challenges, among which are the following:

- Long processes towards accreditation
- The requirement of affiliation and its high cost
- Mentoring and its associated challenges for both the mentor and the mentee institutions.

Polytechnics

Polytechnics, originally established as technical institutes in the 1960s were upgraded to tertiary institution status following the URC Report in 1988 and the government White Paper of 1991. The current Polytechnics Act, Act 745 of 2007, establishes polytechnics in Ghana as public tertiary institutions with the following objectives:

- To provide tertiary education in the fields of manufacturing, commerce, science, technology, applied social science, applied arts and any other fields approved by the minister of education
- To provide opportunities for skills development, applied research and publication of research findings.

1 Effah P. 2006. Cited in Varghese (ed.) *Growth and expansion of private higher education in Africa*. Paris: UNESCO.

A list of polytechnics showing where they are located is shown in Table 5.2.

Table 5.2: List of polytechnics showing where they are located

Name of polytechnic	Location
Accra Polytechnic	Accra, Greater Accra Region
Sunyani Polytechnic	Sunyani, Brong Ahafo Region
Kumasi Polytechnic	Kumasi, Ashanti Region
Ho Polytechnic	Ho, Volta Region
Wa Polytechnic	Wa, Upper West Region
Tamale Polytechnic	Tamale, Northern Region
Koforidua Polytechnic	Koforidua, Eastern Region
Cape Coast Polytechnic	Cape Coast, Central Region
Takoradi Polytechnic	Takoradi, Western Region
Bolgatanga Polytechnic	Bolgatanga, Upper East Region

Owing to a combination of several factors, there is now a trend (described as ‘mission creep’) where polytechnics are moving away from their core mandate – from the applied sciences, vocational, technological and practical-oriented programmes – to the training of accountancy, marketing and management personnel. Some of the factors that have led to this include underfunding, a lack of experienced staff, and insufficient exposure to practical hands-on training and opportunities for attachment and apprenticeship. The government hopes to reverse this trend through interventions such as the establishment of the Council for Technical, Vocational Educational Training (COTVET) by an Act of Parliament, Act 718 of 2006, and the introduction of interventions such as the Skills Development Fund (SDF) to promote TVET and skills training.

Teacher education

As part of the government effort to improve teacher preparation and education, teacher training colleges were upgraded to tertiary status and renamed colleges of education under the umbrella of the Institute of Education of the University of Cape Coast. The 38 colleges of education are still in a period of transition. Some of the challenges here include the upgrading of staff to meet the requirements of tertiary status, a review of the curriculum and the effective management of the tension and the complex relationships in having to operate between the NCTE and the Ghana Education Service Council, which is in charge of pre-tertiary education. Table 5.3 shows the public colleges of education in Ghana and where they are located.

Table 5.3: Public colleges of education in Ghana and their location

College	City/Town	Region
Mt. Mary College of Education	Somanya	Eastern
Abetifi Presbyterian College of Education	Kwahu – Abetifi	Eastern
Presbyterian College of Education	Akropong – Akuapem	Eastern
Kibi Presbyterian College of Education	Kibi	Eastern
Seventh Day Adventist College of Education	Asokore – Koforidua	Eastern
Presbyterian Women’s College of Education	Aburi	Eastern
Wesley College of Education	Kumasi	Ashanti
Akrokerri College of Education	Akrokerri	Ashanti
Mampong Technical College of Education	Mampong – Ashanti	Ashanti
St. Louis College of Education	Kumasi	Ashanti
Offinso College of Education	Offinso – Ashanti	Ashanti
St. Monica’s College of Education	Mampong – Ashanti	Ashanti
Agogo Presbyterian College of Education	Agogo	Ashanti

Table 5.3 continues »

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College	City/Town	Region
Berekum College of Education	Berekum	Brong – Ahafo
Atebubu College of Education	Atebubu	Brong – Ahafo
St. Josephs College of Education	Bechem	Brong – Ahafo
Bagabaga College of Education	Tamale	Northern
Tamale College of Education	Tamale	Northern
Evangelical Presbyterian College of Education	Bimbilla	Northern
Foso College of Education	Assin Foso	Central
Komenda College of Education	Komenda	Central
Our Ladies of Apostles College of Education	Cape Coast	Central
Wiawso College of Education	Sefwi-Wiawso	Western
Enchi College of Education	Enchi	Western
Holy Child College of Education	Takoradi	Western
Evangelical Presbyterian College of Education	Amedzofe	Volta
Jasikan College of Education	Jasikan	Volta
Peki College of Education	Peki	Volta
Dambai College of Education	Dambai	Volta
St. Teresa’s College of Education	Hohoe	Volta
St. Francis College of Education	Hohoe	Volta
Akatsi College of Education	Akatsi	Volta
St. John Bosco’s College of Education	Navrongo	Upper East
Gbewaa College of Education	Pusiga	Upper East
Ada College of Education	Ada Foah	Greater Accra
Accra College of Education	Accra	Greater Accra
Tumu College of Education	Tumu	Upper West
Nusrat Jahan Ahmadiyya College of Education	Wa	Upper West

These were established by the Colleges of Education Act, 2012 (Act 847).

Regulation and control of tertiary education in Ghana

In terms of regulation and control, the tertiary sector has four regulatory agencies. These are the:

- National Council for Tertiary Education (NCTE)
- National Accreditation Board (NAB)
- National Board for Professional and Technician Examinations (NABPTEX)
- Council for Technical and Vocational Education and Training (COTVET).

The NCTE, established by Act 454 of 1993, is the highest regulatory body and advises on all policy issues (particularly on finance and budgetary requirements) and norms and standards for tertiary education. The NAB was established in 1993 by legislation (PNDC Law 317 of 1993 and NAB Act 744 of 2007) and receives funding through the NCTE for the accreditation of both public and private institutions in the country. The NABPTEX is responsible for the formulation and administration of schemes of examinations, evaluation, assessment, certification and standards for skills development and syllabi for non-university tertiary institutions, leaving the accreditation of university diploma and degrees in the hands of the NAB. The COTVET is responsible for all TVET institutions. The overlap of functions of TVET among COTVET, the NCTE, NAB and NABPTEX has posed some challenges, particularly for the polytechnics that have to work with all the regulatory agencies, and a number of steps have been suggested, including the review of some of the Acts establishing the supervisory agencies.

Ghana Education Trust Fund (GET Fund)

A discussion of the tertiary education sector would be incomplete without a brief statement on the Ghana Education Trust Fund (GET Fund), established by parliament, Act 581 of 2000. The Fund's core mandate is to provide funding to supplement government efforts in the provision of educational infrastructure and facilities within the public sector, from the pre-tertiary to the tertiary level. In addition to infrastructural development, the GET Fund also provides funding to support the procurement of educational equipment, and the promotion of staff development and research, especially at the tertiary level. Some funding is also provided to support aspects of the work of agencies and institutions for which the Ministry of Education (MoE) has oversight. The Fund is specifically enjoined to provide (through the NCTE) grants to tertiary institutions to train exceptional students as members of faculties and to undertake research and other academic programmes of relevance to national development.

5.2 Needs assessment for HELM training

African universities have in the past paid almost no attention to training their leaders and managers. In order to address the skills gaps in leadership and management performance and to improve efficiency and effectiveness within universities, the NCTE of Ghana, submitted a proposal to Carnegie Corporation of New York in 2010 for a grant to train senior academic leaders of universities. As part of the requirements for funding, the commissions and councils of higher and tertiary education in Uganda, Tanzania and Ghana had to undertake a training needs assessment (TNA).

Initial scepticism about the TNA

There are many in Ghana who thought that undertaking a TNA was not necessary. Indeed, during the exercise some academic staff questioned the need for it as (to them) the need for training was clear simply from the shortcomings of university managers, whose performance in some cases was less than desirable, in their view.

The fiercest critics were those who thought that the biggest problem facing universities was the lack of resources, particularly financial, which had manifested itself in all aspects of the university's operations. Laboratories are nearly empty, libraries are crying out for more material and up-to-date titles, the physical and academic infrastructure are inadequate having been outstripped by the growth of student enrolment, with the result that the quality of education is compromised. In the light of the above critical challenges, some felt that these were the urgent matters that had to be fixed first, before spending time and financial resources on management and leadership training.

This view is linked to the traditional notion that business principles do not really apply to universities, due to their complex nature and the traditions on which they were founded, which is why leadership and management training is often ignored in academia. Academic managers, such as HODs and deans, usually depend more on their academic experiences and insight in their incremental involvement with administration.

Survey respondents by position, age and gender

A survey to assess the training needs in the field of university leadership and management in Ghana was conducted between March and June 2011. Questionnaires were sent to 250 individuals, with 183 responses received from four universities: the University of Ghana, Legon (55 or 30.1%); Kwame Nkrumah University of Science and Technology (KNUST) (29 or 25.8%); the University of Cape Coast (UCC) (81 or 44.3%); and one private university, the Catholic University (18 or 9.8%).

About one-quarter of respondents occupied senior management positions (VCs, deans and directors), a further 34.4% were HODs, and the remaining respondents were lecturers (Table 5.4).

Table 5.4: Position of respondents at university

	Position	Number	Percent	Valid percent
Valid	Management	47	25.97	26.0
	Lecturing staff	71	39.23	39.2
	HOD	63	34.81	34.8
	Total	181	100.01	100.0
Total		183	100.0	

The age distribution of the respondents reveals a fairly even spread across age categories. However, cross-tabulating age of respondent with *current position* shows that there are significant differences in the age distributions of the subgroups. The lecturing staff are much younger than senior management and the HOD group. As one would expect the majority of respondents in the management and HOD groups (which are quite similar) are 46 years and older. The lecturers are mostly below 46 years of age. These differences need to be kept in mind when interpreting their responses to the substantive questions of the survey.

It is not surprising that the majority of respondents (85.2%) were men. Cross-tabulating gender by university position did not reveal statistically significant differences, although female respondents were best represented within the HOD grouping.

In summary, the profile of respondents had the following characteristics:

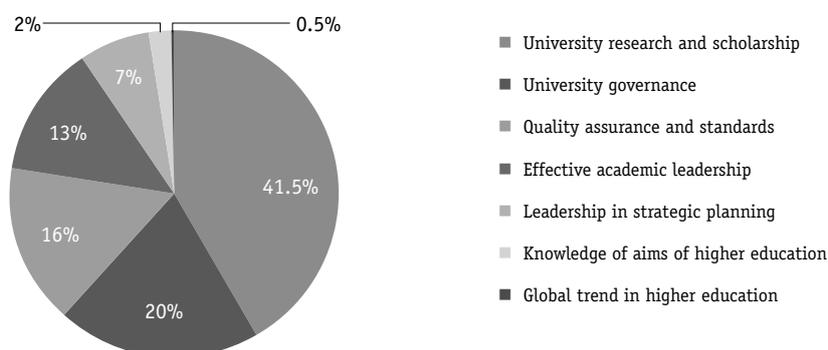
- There were basically three groupings of respondents (senior management, HODs and academic lecturing staff). On the basis of this categorisation one would expect that the responses of the three groups – and especially those of senior management – would be significantly different from the HOD grouping (which is essentially made up of senior academics) and the lecturing staff.
- The age distribution of the respondents as a whole was fairly well spread but there were interesting differences when comparing the age profiles of the three groupings (with the lecturing staff presenting the youngest profile).
- For gender distribution, given the historical realities at most African universities, it was as expected – the overwhelming majority of respondents were men.

Key issues in HE

The first set of substantive questions was aimed at gauging respondents' attitudes and opinions on the importance of key issues in HE. In each case, the respondents had to indicate how important they rated each of these issues. The summary of responses is shown in Figure 5.1. The results show that matters related to *research and scholarship*, *university governance* and *quality assurance* were identified as the three most important issues. However, as one would expect, these ratings changed fundamentally when we analysed the responses by position subgrouping (Figure 5.2). This figure shows that *research and scholarship* was rated by 56% of the lecturing staff group and 40% of the HOD group as the most important issue. These two groups are essentially made up of academic staff, so these results were not surprising.

The next three key issues – *university governance*, *quality assurance* and *effective academic leadership* evoked similar responses from these two academic groupings. As far as the *management* grouping is concerned, three issues – *university governance*, *research and scholarship* and *quality assurance* – were considered of equal importance. Perhaps a surprising result was that *effective academic leadership* was only rated as the fourth most important issue in HE by the management grouping.

Figure 5.1: Ranking of key issues in higher education

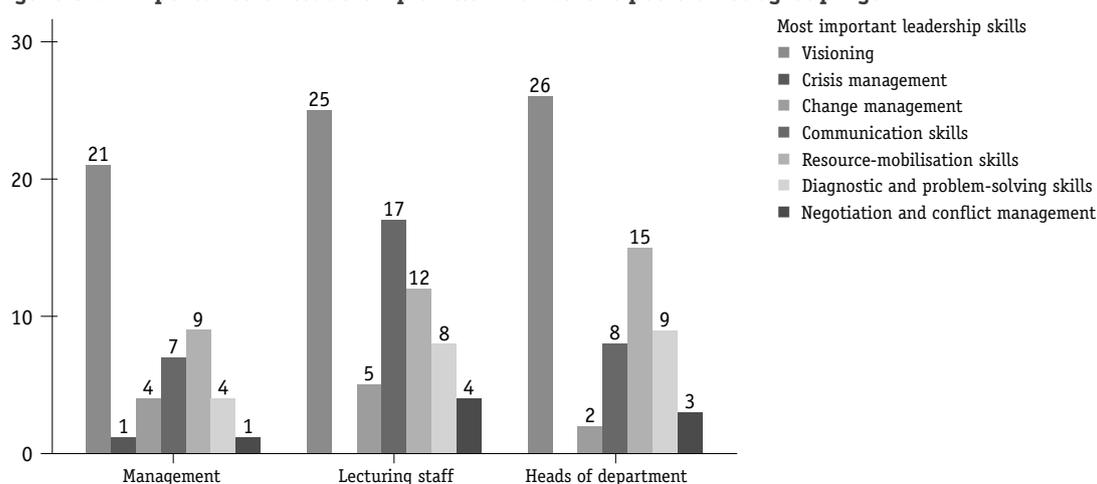


Leadership skills

The second main section of the questionnaire focused on the respondents' views on leadership skills. Four leadership skills were rated as being very important: *visioning* (40%), *resource mobilisation skills* (19.7%), *communication skills* (17.5%) and *diagnostic and problem-solving skills* (11.5%), but skills related to crisis management, change management and negotiation and conflict management were not rated as being very important. One possible explanation for this result could be that most respondents may view these as skills specifically associated with human resource managers (and consultants) and therefore not their primary responsibility.

The importance afforded to *visioning* as a core element of leadership is self-explanatory. The fact that *resource mobilisation skills* was rated as the second most important issue is most likely an indication of the financial crises in most public universities in Ghana, and consequently the importance given to fundraising and advancement skills at many African universities in recent years. Cross-tabulating by position subgrouping resulted in slightly different rating profiles (Figure 5.2). *Visioning* was identified by all three subgroups as the most important leadership skill. For lecturers, the second most important leadership skill identified was *communication skills*. Interestingly *resource mobilisation skills* were identified by all three subgroupings as being either the second or third most important.

Figure 5.2: Importance of leadership skills in different position subgroupings



Management skills

The third substantive set of issues in the study related to the perceived importance of a number of management (as opposed to leadership) skills. The results for the total sample are presented in Figure 5.6. Three sets of skills stand out: *effective coordination*, *effective supervision* and *interpersonal skills*. Conversely, skills such as *space management*, *financial management* and *preparation for budgeting* were not rated as being particularly important.

The cross-tabulation by position revealed a few differences. Interestingly *effective coordination* was rated as the most important management skill by all the three groupings. Similarly, *effective supervision* was rated as the second most important skill by all the three groups. It is likely that the notion of 'supervision' may be interpreted differently by academics (who have supervision of graduate students) and managers (supervision of junior staff) as core tasks. *ICT skills* were rated as quite important by the lecturing staff (but not by the other groupings) and *student management*, as one would expect was rated highly by the lecturing staff.

Other important management tasks that need to be performed in universities and higher educational institutions in Africa were further probed in a second set of questions related to management. Two sets of skills stand out: the emphasis of *knowledge, skills and attitudes (KSA)* and *quality assurance (QA)*. Related to the area of QA is the third set of skills that received support – *performance standards*. The cross-tabulation by grouping did not reveal huge differences between the three groups and the same sets of skills – *KSA, the management of QA and performance standards* – were rated most important by all three groups.

A summary of rankings accorded to the different skills and competencies was subsequently constructed. The results in Table 5.5 present a first prioritisation of areas to include in a training programme on leadership and management for university staff in Ghana. In summary these were:

- General issues in HE
 - University research and scholarship
 - University governance
 - Quality assurance and standards
 - Effective academic leadership.
- Leadership
 - Visioning
 - Resource mobilisation skills
 - Communication skills.
- Management skills required
 - Effective coordination skills
 - Effective supervision and monitoring
 - Interpersonal skills
 - Presentation skills.
- Management tasks to be performed
 - Knowledge, skills and attitudes (presumably for the job at hand)
 - Quality assurance (repeat of above)
 - Performance standards (repeat of above).

This first list of 12 priority areas applies to the sample as a whole. However, the specific needs to be adapted for each of the groupings (as the subgroup analyses revealed) show some interesting differences in ratings among senior management, HODs and lecturing staff (Table 5.5).

Table 5.5: Summary rankings of skills rated for importance by three groupings

Key issues in higher education	Senior management	Lecturing staff	HODs	Average ranking score
University research and scholarship	1.5	1	1	29
University governance	1.5	2	2	25
Quality assurance and standards	3	3	4	12
Effective academic leadership	5	4	3	12
Aims of HE	0	0	0	0
Global trends in HE	0	0	0	0
Leadership role in strategic planning	4	5	5	8
Importance of leadership skills to the performance to your work				
Visioning	1	1	1	30
Resource mobilisation skills	2	3	2	22
Communication skills	3	2	4	18
Diagnostic and problem-solving skills	4.5	4	3	13
Change management	4.5	5	0	5
Negotiation and conflict-management skills	0	0	5	2
Importance of management skills/role to your work				
Effective coordination	1	1	1	30
Effective supervision	2	2	2	24
Interpersonal skills	3	0	3	12
Presentation skills	4.5	3.5	4	12
ICT skills	4.5	3.5	5	10
Student management	0	5	0	2
Preparation of budget	0	0	0	0
Important management tasks that need to be performed				
Knowledge, skills and attitudes	1	1	1	30
Quality assurance	2	2	2	24
Performance standards	3	3	3	18
Job inventory	4	4	4	12
Job analysis	0	0	5	2

Assessment of own awareness, knowledge and competencies

In the final section of the survey, respondents were first asked to do a self-assessment of their own awareness, knowledge and competencies and then to subsequently identify their most important training needs. The results for the total sample on the first question are presented in Figures 5.3 to 5.6. This is followed by four bar graphs that present the breakdown of responses by position of the respondent.

Figure 5.3: Level of awareness of higher education issues

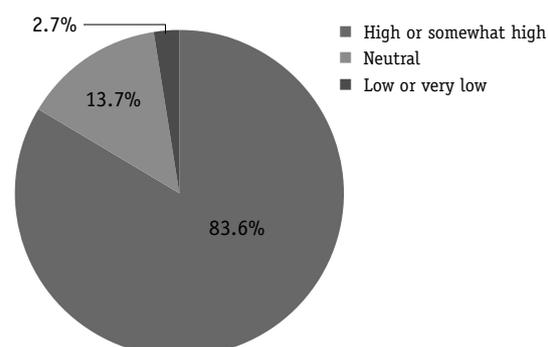


Figure 5.4: Level of competence in dealing with crises in higher education

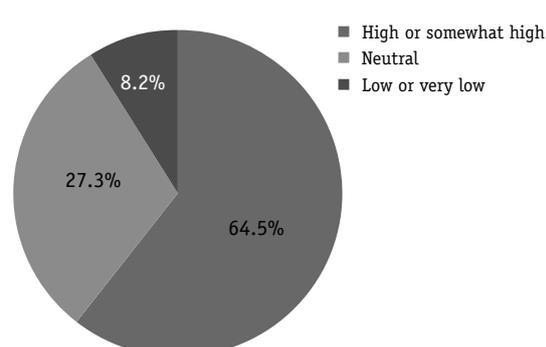


Figure 5.5: Level of ICT competence

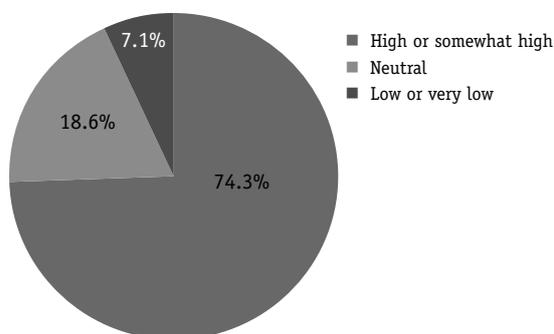
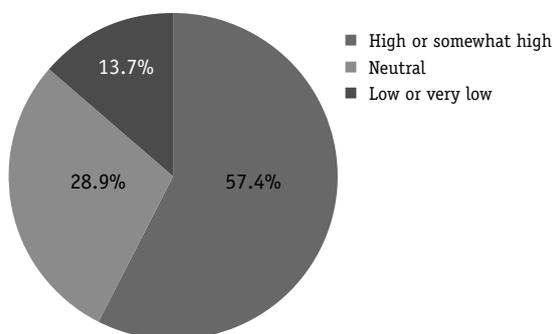


Figure 5.6: Level of competence in financial management



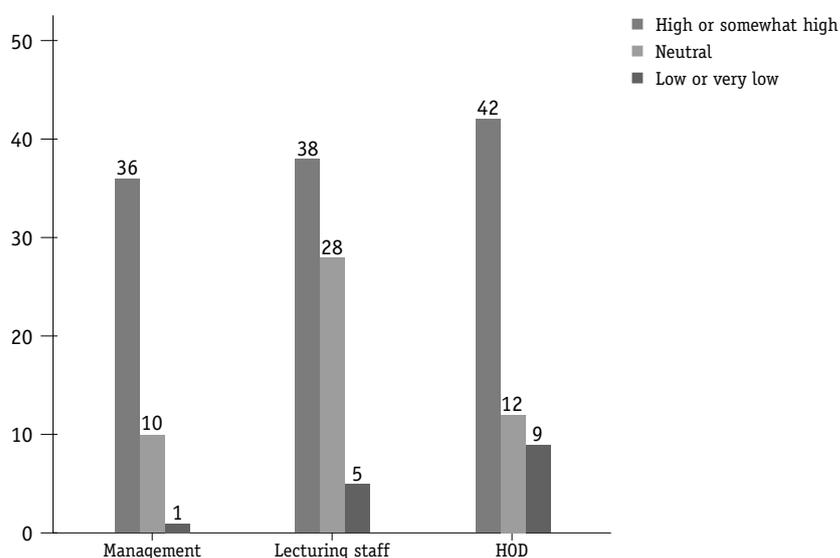
The first figure shows that the majority of the respondents indicated that they have a high or somewhat high awareness of HE issues (Figure 5.3). Similar responses were evoked when respondents were asked to assess their competence in three areas:

- Level of competence in dealing with crises – Figure 5.4 (65% of all respondents recording a positive response)
- Level of competence – Figure 5.5 (nearly three-quarters indicating that they were highly competent or somewhat highly competent)
- Level of competence in financial management – Figure 5.6 (57% recording a positive response).

We subsequently cross-tabulated the responses to these four questions with the position of the respondent. Again we found very little differences among the three groupings in terms of their recorded levels of awareness of HE issues, which attests to the fact that these are widely held opinions.

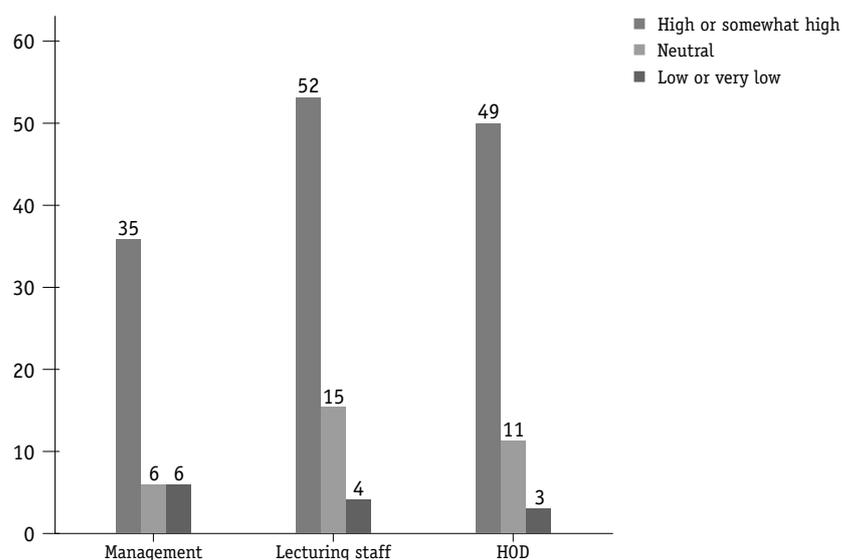
Some more interesting differences were apparent on the issue of the level of competence in dealing with crises in HE (Figure 5.7). Senior management felt most confident in their ability to deal with crises (36 or 77% indicated that they had the required competencies), followed by the HOD grouping (42 or 67% felt that they were sufficiently competent in this area) and then the lecturing staff (38 or 54% who responded positively).

Figure 5.7: Level of competence in dealing with crises in HE, cross-tabulated with respondents' positions



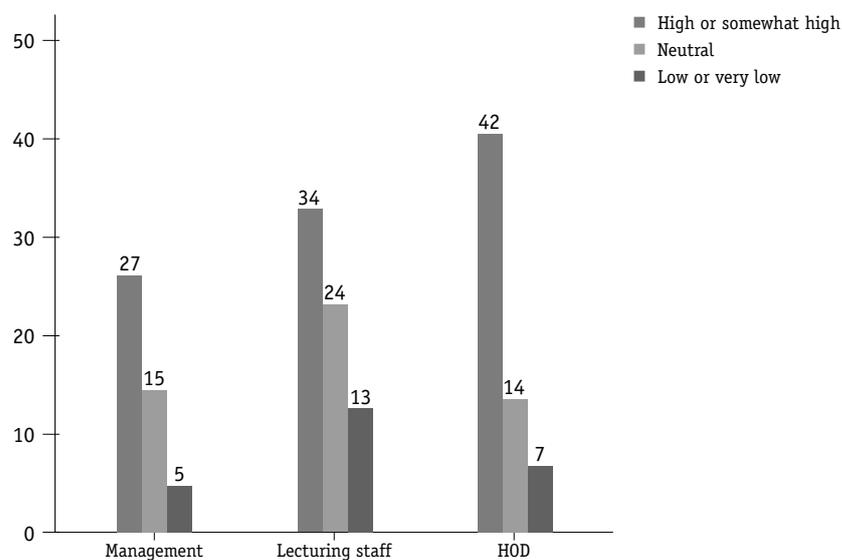
The responses to the third question (level of ICT competence) were very similar across the three groupings (Figure 5.8). What is perhaps somewhat disturbing is the relatively high proportions of lecturing staff (27%) and HODs (22%) who indicated that they assessed their ICT competency as “neutral” or “low”.

Figure 5.8: Level of ICT competence, cross-tabulated with respondents’ positions



The biggest between-grouping differences were recorded on the issue of competence in financial management (Figure 5.9). This is also the one issue where significant proportions of the respondents indicated that they regarded their own competence in this domain as “neutral” (average?) or low. These percentages are respectively: the senior management group (43%), the lecturing staff group (52%) and the HOD group (33%). These are substantive percentages of responses and clearly indicate an area that requires further attention.

Figure 5.9: Level of competence in financial management, cross-tabulated with the respondents’ positions



Identification of training needs

The final section of the survey required respondents to rate the importance of a number of identified training needs. Table 5.6 summarises the results for the total sample, which are presented in descending order from *somewhat important* to the highest proportion of responses for *most important*.

Table 5.6: Ratings of training needs

Receiving training on		Count	Column N %
Strategic goal setting and planning	Somewhat important to Important	28	15.3%
	Very important	43	23.5%
	Most important	112	61.2%
Initiating and implementing change	Somewhat important to Important	33	18.0%
	Very important	64	35.0%
	Most important	86	47.0%
Dealing with difficult people	Somewhat important to Important	75	41.0%
	Very important	49	26.8%
	Most important	59	32.2%
Making and communicating difficult decisions	Somewhat important to Important	58	31.7%
	Very important	75	41.0%
	Most important	50	27.3%
Managing crises	Somewhat important to Important	68	37.2%
	Very important	73	39.9%
	Most important	42	23.0%

The sample as a whole clearly identified training in the area of *strategic goal setting and planning* as the most important training need. The second area considered the most important (receiving 47% positive responses) was *initiating and implementing change*. In line with previous responses, training in fields such as *communicating difficult decisions* and especially *managing crises* were rated less important.

Finally, the responses to this set of questions show an overwhelming importance accorded to the need for training in *strategic goal setting and planning* by each of the groupings, and especially the HOD group where 78% indicated that it was the most important training need.

As far as training in *change management* was concerned, large proportions in both of the management categories identified it as being most important. The lecturing staff, however, viewed it as being slightly less important.

The last two areas of training needs (*decision making* and *crisis management*) were not rated as most important by any sub-grouping. All three groupings, however, rated the need for training in *decision making* as being very important. It is plausible to assume that more information on the content of decision making is needed as the types of decisions that are made by these three groupings would not necessarily be identical.

Concluding comments

Listing the training needs in descending order of importance shows the following rank-ordering strategic goal setting and planning

- Initiating and implementing change
- Dealing with difficult people
- Decision making
- Crisis management.

This result would suggest that the training programme should focus on the first three identified training needs and reserve the other areas perhaps for a dedicated training programme in human resource management. The needs-assessment survey identified a number of priority areas for the new training programme in leadership and management for HEIs in Ghana. The responses are sufficient to design and develop a fine-grained programme that not only covers the most important identified training needs for the total sector, but also enables one to differentiate between the needs of management and academic staff.

5.3 Designing the Senior Academic Leadership Training (SALT) programme

The design of the SALT programme was influenced by the previous governance and leadership training programmes initiated by NCTE. Two training programmes, one for council members of tertiary education institutions and the other for the leadership of tertiary education institutions, had been initiated in 2001 and 2003, respectively. The leadership training programmes had all adopted a vertical or hierarchical approach where all academic leaders – VCs, pro-VCs, deans/directors, HODs, registrars, finance officers and their deputies – were trained together. The advantage of this approach is that it echoes the practice in the institutions where these leaders work together to address their strategic and operational challenges and thus does not depart from what the participants are used to in their institutions. It therefore builds on the existing traditions and strengths of the various institutions. It is also a means of building trust, confidence, cooperation, vital elements of team-building which is so critical to the development of institutions.

The disadvantage of the vertical approach is the suggestion that in an African traditional setting, ‘when elders are around, the youth do not talk’. In other words, when vice-chancellors and deans are put together, HODs, registrars and finance officers may be reluctant to speak. Some were of the opinion that when juniors are perceived to be critical of their superiors, they may later be victimised. However there was no evidence from the earlier leadership training programmes run by NCTE since 2004 that this had been the case. The conceptualisation and design of SALT, therefore, benefitted from the previous successes of the NCTE training programmes.

Another approach, the horizontal approach, involves training the same category of persons in positions such as VCs or deans or HODs separately from the other groups. This approach capitalises on their shared or similar interests, concerns, backgrounds and a common understanding of issues. They could also benefit from peer consulting. They would be more than willing to speak about issues openly, as they would be talking to colleagues. Unfortunately, institutions are not structured this way; in practice they would necessarily have to work with others in identifying and addressing common problems. Training using the hierarchical approach therefore reflects reality better, and engenders trust and team building.

The second motivating factor for the selection of the vertical approach was the recognition that the leadership training was a means to an end for quality tertiary education. The training was not going to be effective unless it was done in collaboration with all the stakeholders, particularly those working within the same academic environment.

The NCTE approved the establishment of a nine-member steering committee to advise on the course design, selection of institutions and participants for SALT. The steering committee was chaired by the project director while the project assistant served as secretary. In order for institutions to take ownership of SALT, the steering committee decided that the selection of participants should be by the various heads of the institutions. Following further review and discussions with ERA, it was decided to determine some criteria to guide the selection process. It was deemed necessary to have the participation of senior faculty members who would be able to share their experiences, on one hand, and on the other, young faculty with leadership potential.

The issue of gender was to be taken into account. All public universities that had taken part in the TNA as well as selected private, NAB-accredited, tertiary education institutions were considered for participation in SALT. A number of private and public universities in Nigeria were also selected. Collaboration with Nigeria initially posed some difficulties. The designers of the programme had

hoped that the National University Commission of Nigeria (NUC) would select Nigerian universities to participate in the programme. However, this process was beset with communication problems, and eventually it was decided to contact a few Nigerian universities directly. This approach worked and four institutions from Nigeria agreed to participate in the programme.

5.4 Selection of modules and module writers

Since the leadership and management training programme in Ghana started later than those implemented in Tanzania and Uganda, the NCTE benefitted from Uganda's experience of TNA. With the consent of the National Council for Higher Education (NCHE) in Uganda, ERA shared their instrument and report with Ghana. The TNA exercise in Ghana had brought five key areas in HE requiring attention to the fore, namely, governance, academic leadership, research and scholarship, QA and financial management, and resource mobilisation.

Since NCTE had already developed manuals and books on governance and leadership and was facilitating workshops in these areas, the steering committee suggested that Paul Effah, the then Executive Secretary of NCTE should work on the modules on these two areas. Prof. Ivan Addae-Mensah, a distinguished former VC with extensive experience in research, was invited to work on research with Paul Effah. An expert in QA from the Netherlands, Ton Vroeijsensteyn, who had earlier facilitated a workshop on QA in Ghana, was invited to write that module, while Kingsley Adu, a finance officer of the Kwame Nkrumah University of Science and Technology (KNUST), was selected to write the module on finance on account of his extensive experience. George F. Daniel, a former registrar of the University of Ghana was invited to write a module on governance on account of his experience on Council business, having spent all his working life in the administration of the University. The modules were reviewed locally and thereafter sent to ERA for external review before using them for the workshops.

5.5 Training methodology

Case studies

A key feature of SALT was the use of case studies which situate problems in the university context and require participants to solve the problems. All the cases used for the first session were sent to ERA for review. This approach was adopted because at that level of senior academic leadership (VCs, deans, etc.) it is important to build on the participants conceptual skills through exercises of practical application that prepare them to solve problems. Thus case studies were entrenched as an integral part of SALT's methodology.

Participatory approach

It was deemed necessary for SALT to develop an approach that would involve all the staff of the universities, particularly the faculty. It was further necessary to solicit the support and ownership of the top executives, such as the VCs or pro-VCs and registrars. The active involvement and participation of the top executives would emphasise the importance they placed on the programme to faculty and staff. Because of the exposure and experience of this category of staff, lecturing as teaching method was to be avoided in favour of interactive facilitation which creates opportunities for participants to share their experiences.

SALT, therefore, was structured around interactive presentations, discussions, group work on case studies, practical sessions and role play. For example, one of the case studies allowed participants to debate a motion with a panel of judges adjudicating. The result was both exciting and instructive.

Training workshop undertaken

Although SALT was offered to senior academic leaders of universities in Ghana and Nigeria, all the training workshops were held in Ghana, except for one follow-up workshop which was held at the University of Lagos, Nigeria in July 2014. Altogether, about 400 senior university leaders participated in the SALT workshops. Tables 5.7a and 5.7b give a breakdown of the categories of participants who attended the SALT workshops.

Table 5.7a: Number and category of SALT participants

Office	No. of participants	Women
Vice-Chancellor / Head of Institution	14	1
Deputy Vice-Chancellor / Deputy Head of Institution	22	5
Provost	5	0
Dean / Director	106	16
Vice-dean / Deputy-director	17	0
Assoc. Dean	2	0
Head of Department	51	20
Head of Satellite Campuses	4	0
Registrar	17	2
Deputy Registrar	18	6
Senior Assistant Registrar / Assistant Registrar	25	9
Hall Manager	2	3
Finance Officer	9	1
Deputy Finance Officer	4	2
Senior Accountant / Accountant	7	0
Librarian	3	1
Deputy Librarian	1	0
Internal Auditor	4	1
Professor / Associate Professor (Teaching)	2	1
Senior Lecturer / Lecturer	16	3
Procurement Officer	1	0
Chief ICT Officer	1	0
Founder	1	0
Deputy / Co- founder	0	2
Total	332	73
Grand total	405	

Table 5.7b: Facilitators of SALT

Name of facilitator/presenter	Topic(s) presented
Dr Paul Effah, former Executive Secretary, NCTE and SALT Director	a. University governance (theoretical perspectives) b. Academic leadership
Mr G.F. Daniel, former university registrar	University governance (some talking points)
Mr Ton Vroeijensteijn, QA consultant	Quality assurance
Mr Kingsley Adu, former university finance officer / Mr Fred Essien, finance office	Effective financial management and resource mobilisation
Mrs. Elizabeth Obese, deputy university finance officer	Simulating the budget
Prof. Ivan Addae-Mensah, former VC	Repositioning research in African universities
Prof. J. Anamuah-Mensah, former VC	Funding university research
Prof. K.K. Adarkwah, former VC r	Perspectives on higher education
Prof. Clifford Tagoe, former VC	Perspectives on higher education

Table 5.7b continues »

Name of facilitator/presenter	Topic(s) presented
Prof. A.B.K. Kasozi, former Executive Secretary, NCHE, Uganda	Perspectives on higher education
Prof. Mireku Gyimah, former VC	Perspectives on higher education
Prof. K.S. Nokoe, former VC r	Quality assurance
Mr Kwame Dattey, Executive Secretary, NAB	Quality assurance
Prof. Esi Sutherland Addy, African Studies	Perspectives on higher education
Prof. Johann Mouton, Director, CREST, Stellenbosch University	Management and supervision of graduate studies
Prof. J.S. Djangmah, former Pro-VC	Perspectives on higher education
Prof. Mahama Duwiejua, Executive Secretary, NCTE	Quality assurance

Follow-up training workshops were held for 46 HODs in Ghana. Table 5.8 shows the list of resource persons who facilitated at the workshops.

Table 5.8: Facilitators for the HOD Workshop

Name of facilitator / presenter	Topic(s) presented
Dr Paul Effah, former Executive Secretary, NCTE and SALT Director	a. Roles and responsibilities of HODs b. Determination of job targets of HODs
Prof. Amin Alhassan, Associate Professor of Communication Studies and Dean of Faculty of Agribusiness and Communication Sciences	Strengthening postgraduate studies in Ghana: MPhil / PhD supervision
Prof. Kwadwo Ofori, Dean of Graduate School, UG	Postgraduate studies: The new dimensions at the University of Ghana
Prof. Adjei Mensah, Dean, Faculty of Social Studies	The challenges of HODs

5.6 Uptake and impact

Although a complete study is yet to be undertaken to assess the impact of SALT, evaluation from participants show positive results. One of the key outcomes of SALT shows that there is a wealth of experience within the HE sector, which if properly harnessed could generate new ideas, creativity and building capacities to address local problems. In the discussion on the characteristics of academic institutions, for example, a participant raised the issue of a self-defined schedule for university teachers, which was largely accepted. Another also contributed the Chinese model to stand alongside the British, European and American models which had been discussed in the section on university governance. The modules on governance and academic leadership have since been revised to incorporate these new ideas, which illustrate the capabilities and wealth of experience of the category of leadership on the training programme.

Contrary to the perception that university leadership would not take local leadership training seriously, the evidence is that a properly designed and executed leadership training programme, that involves faculty and senior management in its design and execution, will be supported and yield the desired results.

What also emerged from the engagement with academic leaders through SALT is that senior university managers have a low opinion of research/scholarship, in spite of its vital importance to universities. This emerged from the SALT TNA in Ghana. Many senior university managers also do not have an in-depth knowledge or understanding of the academic environment within which they operate. It is said that the past informs the present, while the past and the present determine the future. Through SALT, senior university managers were given a better appreciation of the origins of HE, as well as its unique characteristics, knowledge of which is often assumed.

The longer-term impact of SALT is difficult to measure. But it is important to emphasise that what starts at the micro (individual or institutional) level spreads. SALT provided training to over 250 public and private university leaders from Ghana and Nigeria including:

- 9 VCs/heads of institutions
- 23 DVCs and provosts
- 99 deans, directors and vice deans
- 48 HODs.

All of them may have acquired knowledge and skills which should impact on their work. In terms of accomplishments, SALT has identified skills gaps, key issues and major challenges in HE through the TNA. It has further helped to fill these knowledge and skills gaps and sensitised participants to critical issues in HE. It has created a forum for mutual support and shared experience, and a platform for future networking.

Even more reassuring is what may be considered unintended outcomes of SALT. Three prominent issues come to mind: the definition of a university principal officer; the accepted need for a governance structure for private tertiary institutions; and a better understanding of university budgets.

In terms of the principal officer, there is now a generally accepted understanding of who a principal officer is, putting to rest the former lack of clarity, ambiguities and tensions arising out of this. This has also influenced parliament's recent legislation for new universities. Discussions of the structure of governance for private universities have led to the development of a proposed structure which the National Accreditation Board has recommended for adoption as the basis for all private institutions in Ghana.

A session on budget simulation was also particularly instructive. Apart from generating interest and demystifying figures, it has led to an appreciation of what stands out as a good university budget.

In terms of performance, one can proudly say that the overall assessment of SALT has been positive. This was confirmed both by ERA's evaluation and that of the participants. The rating of participants captured by ERA in its July 2012 report on the quality of sessions on a scale of poor (1) to excellent (5) for all facilitators/presenters showed average scores of between 4.3 and 4.9, translating to very good to excellent. A number of issues that required improvement included time management, responses to questions, over-detailed slides and the management of moderators.

Excerpts from the concluding observations of ERA's July 2012 Report are particularly instructive. "Our overall assessment is that the NCTE team is doing well and is making a difference with these training modules." While commending the Project Director of SALT, ERA drew attention to the need to rejuvenate this team. The NCTE team has taken the suggestion seriously and invited a deputy-director of finance from the University of Cape Coast and a dean from the University of Ghana between the ages of 45 and 50 to join the team. The observations and evaluations from Carnegie and participants have been positive. A sample is provided below:

NCTE SALT has achieved the objectives of the grant in the following ways: The SALT training has trained 400 participants; it has embodied and disseminated a set of principles on higher education reform including good governance, approaches to leadership, academic freedom, knowledge generation and research, and quality and excellence; it has incorporated and disseminated research on higher education in Africa e.g. from HERANA and other sources; it has used the training to disseminate and communicate policy issues that are being addressed in the Ghanaian higher education sector.²

The NCTE should be commended for its organisational ability... The workshops were very well attended by fairly senior higher education institution managers and leaders... The presenters were all very experienced senior academic leaders. Respondents rated all the presenters and the presentations highly.³

Our overall assessment is that the NCTE team is doing well and is making a difference in the sector with these training modules.⁴

2 Carnegie Corporation of New York.

3 Evaluation Research Agency. 2012. March Report.

4 Evaluation Research Agency. 2012. July Report.

5.7 Conclusions

Quality and relevance must be the overarching objectives for any intervention in HE in Africa, but the success of implementing any intervention largely depends on the quality of leadership and the governance system. Deepening the knowledge base and sharpening the leadership skills of university senior managers should therefore become the primary concern of all government ministries, national councils and institutions themselves. Given their structure, it is obvious that coordination of leadership training can best be performed by the national councils. This is not to suggest that the councils must necessarily undertake the leadership training themselves, but rather that owing to its importance and due to the central position they occupy, the national councils have a responsibility to ensure that some training is provided for the leadership of all institutions that they coordinate, both private and public. This does not stop individual institutions from organising their own leadership and management training programmes, to complement the training offered at the system level. Councils are well placed to invite the heads of institutions and to monitor global and international trends which could be shared with the various institutions.

PART THREE

MONITORING AND EVALUATION



CHAPTER 6

AN EVALUATION FRAMEWORK

Lauren Wildschut

6.1 Introduction

This chapter aims to describe and to reflect on some of the lessons learnt from the evaluation process of the three councils of higher education in Uganda (NCHE), Tanzania (TCU) and Ghana (NCTE). The description of the evaluation process is illustrated where possible with actual documentation. The intention is that this articulation of and reflection on the evaluation process will assist stakeholders in future implementation and evaluations of leadership and management training, particularly in developing countries.

6.2 Evaluation focus

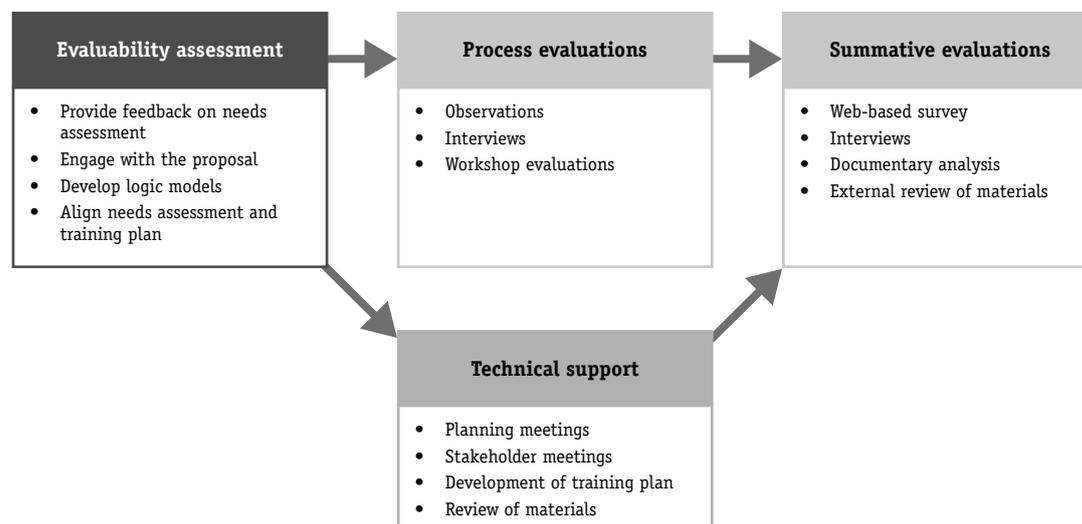
In 2008, Carnegie Corporation of New York asked ERA to review project proposals for higher education and leadership programmes. The evaluators were not the only reviewers and at this point there were only two proposals under consideration. Feedback was provided on the proposals and the evaluation of these programmes began in August 2009. By this time the TCU had already begun training, but the NCHE and NCTE had not yet begun their programmes. This staggered implementation of the three training programmes was beneficial to the NCHE and NCTE as these two councils were able to learn from the earlier implementation by the TCU, but this made the evaluation more complex. ERA had not been involved at the start of the TCU programme, and when ERA did become involved, the programme already had a life of its own – with the intervention and monitoring systems firmly entrenched. This also meant that not all three councils would receive the same sort of evaluation input during the project cycle.

The initial aims of the evaluation were fairly comprehensive and consisted of five key components:

1. To conduct an **evaluability assessment** of each of the training programmes in order to establish conceptual clarity, internal consistency and empirical feasibility of the associated interventions.
2. To develop and assist in the **implementation of an internal monitoring framework** and plan for programme implementation.
3. To build an advanced and sustainable **monitoring and evaluation research capacity** within each of the training teams.
4. To undertake **annual formative reviews and high-level dialogues of programme performance** in order to advise on possible revision and improvement.
5. To conduct a **summative evaluation study** of each of the training programmes at the end of the respective grant cycles.

These aims were later reduced and the evaluation focused primarily on the evaluability assessment, process evaluation (with a high level of technical support) and the summative evaluation. This modified process is depicted in Figure 6.1.

Figure 6.1: Modified evaluation process¹



It is evident from the amount of activities indicated in the technical support component of Figure 6.1 that this became a core component of the evaluation process. The figure also indicates the prime importance of the evaluability assessment² as the driver of the evaluation.

6.3 Evaluability assessment

An evaluability assessment is an assessment prior to an evaluation to establish whether a programme can be evaluated, and to identify whether there will be any barriers to the utilisation of the evaluation. It requires a review of the coherence and logic of a programme, clarification of the availability of data, and an assessment of the extent to which managers or stakeholders are likely to use the evaluation findings. The process of undertaking an assessment early on in the life-cycle of the programme can help clarify its logic and lead to fine-tuning or improvement before the programme has progressed too far. Evaluability assessments primarily assist programme managers to improve the coherence of the programme in general, and the intervention logic in particular, insofar as this is possible. Its first value, therefore, is to the programme team. However, the assessment also aims to ask hard questions about the feasibility of implementation, such as, “Are the required resources in places?”; “Have the required infrastructure and support been put in place?”; and “What are the most obvious threats to proper implementation, and have the required contingency plans been put in place?”. A properly conducted evaluability assessment is therefore also of significant value to the funder, as it is another element in the process of assessing and mitigating the risk of programmes.

The following discussion of the evaluability assessment component will use the engagement with the NCHE as an example, as ERA’s engagement with this council for this component of the evaluation was the most comprehensive.

¹ As mentioned earlier, not every council received every component of the evaluation process, but the model presents a comprehensive view of the evaluation process.

² The term ‘evaluability assessment’ is attributed to Joseph Wholey (1990), an eminent programme evaluator in the USA. The term refers to the initial process in programme design and implementation where evaluators would typically assess whether a programme is ready to be evaluated. This implies that the programme has clearly formulated goals and expected outcomes and that appropriate resources have been allocated for the successful implementation of the programme.

The evaluability assessment process with the NCHE consisted of four key steps:

- Step 1: Engaging with the original project proposal
- Step 2: Providing feedback on the needs-assessment instrument
- Step 3: Developing logic models
- Step 4: Checking the alignment between the needs assessment and the training planned by the NCHE.

It must be noted that these steps did not occur in a linear manner but were iterative in nature.

Step 1: Engaging with the original project proposal

During early engagements with project teams it became evident that in some instances proposals were either unrealistic (the NCHE originally targeted 500 participants) or that proposals needed clarification. The evaluators did a critical reading of the NCHE proposal and then met with the project team to clarify key issues in the proposal. An excerpt from the discussion document is provided below.

Figure 6.2: Excerpt from discussion document from ERA-NCHE meeting

1. Who is/are the target group/s?

Leadership and managerial skills will be delivered through targeted training of trainable current and potential managers of higher education institutions including **vice chancellors, deputy vice chancellors, academic registrars, university secretaries, deans, directors of research and administrative units, heads of academic and administrative units and other potential leaders** agreed upon by the NCHE and the institutions.

The project will also target a limited number of **university policy makers including some university council members and a few officials from government departments** responsible for higher education policy formation and implementation (NCHE Proposal).

Questions to consider:

- *Can various needs of target groups be addressed in a generic training programme?*
- *How will the spread of 11 groups be addressed in the invitation to universities?*
- *What is the number of participants per training session?*
- *Will the materials supporting the training be generic or differentiated?*

This excerpt shows how elements of the proposal were highlighted (sections in **bold**) and then questions were posed by the evaluators (in *italics*) in order for the NCHE team to reflect on and firm up some of the elements of the proposal. This process led to a modification of the original proposal to include more realistic and achievable goals and objectives. This process also led to a review of training content. This clarificatory process is common in evaluations, as proposals are often completed in a short period of time and under pressure. The evaluability assessment (which is part of the clarificatory evaluation) provides project managers and staff with an opportunity to reflect on their proposal, and to refine and modify it into a realistic and achievable project.

Step 2: Providing feedback on the needs-assessment instrument

The councils all carried out a needs assessment as part of the training programme preparation to ensure that the programmes they developed were in line with the actual needs of the targeted university leaders of their respective countries. The TCU had carried out its needs assessment prior to the evaluation commencing but the evaluators provided feedback on the instrument to be used by the NCHE team. This instrument was also later utilised by the NCTE team in Ghana.

Step 3: Developing logic models

Initially, ERA thought that logic models would be a critical part of the evaluation process and during the first engagement with councils, logic models were developed for the TCU and NCHE. However, it became apparent that this process was not sufficiently detailed and the models were less useful than expected. An excerpt from the NCHE logic model is shown below.

Table 6.1: Excerpt from the NCHE logic model

Activities	Outputs	Outcomes	Indicators	Source of evidence/instruments
1.1 Conduct needs assessment	1.1 Survey report	1.1 Critical leadership and management skills gaps in existing university leadership identified	1.1 Results of validation of survey findings	1.1 Feedback reports on survey
1.2 Write training materials	1.2 9 modules	1.2 Training materials meet the needs of trainees	1.2 Peer review report	1.2 Peer review
1.3 Run training workshops	1.3 A certain number of workshops; 500 current and potential university leaders trained	1.3 Participants demonstrate an improved ability to lead and manage better	1.3 Results of assessment exercise at beginning and end of training	1.3 Trainers' reports

In retrospect, it would have perhaps been more valuable to develop theories of change to capture the variations in causal mechanisms in three different contexts.

Step 4: Checking the alignment between the needs assessment carried out and the training plans

Once the needs assessment had been completed and the report on the process had been submitted, the evaluators then checked the alignment between the findings and recommendations of the Needs Assessment Report and the NCHE training plans to ensure there was alignment between these two key processes. Excerpts from the alignment process are provided below in Tables 6.2 to 6.4 which show the various components of the process.

Table 6.2³ shows how the report was analysed in order to ascertain which target group (shown in columns) had identified a particular need (shown in rows).

Table 6.2: Needs identified per target group and alignment with training plans

Need	Academic managers	Financial and administrative managers	Deans of students	Senior academic staff	Included in training programme
LEADERSHIP NEEDS					
Providing leadership in the university administration					Yes
Providing leadership in teaching, research and community outreach					Yes
Providing leadership in fundraising strategies for the university/faculty	X	X		X	Yes
Providing leadership in budgeting for the university/faculty	X		X	X	Yes

Table 6.3⁴ shows whether the needs identified in the Needs Assessment Report would be addressed by the NCHE training plan.

³ Table 6.2 is an extract from a larger document.

⁴ Table 6.3 is an extract from a larger document.

Table 6.3: Alignment between needs identified and the NCHE training plans

Skills needed (as recommended by the needs assessment)	Included in training proposal?
Formulating strategic mission and vision statements	Yes
Formulating strategic policy	Yes
Formulating university/faculty bylaws and ensuring their implementation	No
Representing the university/faculty to government line ministries	Yes

It would have been impossible for the NCHE to cover all the needs identified in three training sessions, so a prioritisation of needs was critical, just as it was to focus on the needs of the target group rather than on the delivery of pre-fabricated intervention by the NCHE.

This detailed alignment process was an attempt to ensure that actual needs of participants were being addressed in HELM. Once the NCHE had received feedback on their draft training plans they could begin a process of ‘fleshing’ out the learning outcomes. Table 6.4 is an extract from a document from the NCHE in which an attempt was made to provide more detail on the content of training sessions.

Table 6.4: Detail of training content

Content (as specified by the needs assessment)	Included in training proposal?
Strategic management: this should include, why strategic management, strategy formulation and implementation, developing strategic vision, mission	Yes
Leadership and change management	Yes
Quality improvement	Unclear

The evaluability-assessment process in retrospect was a critical process. It allowed project managers and staff a period of reflection that resulted in the modification of the project proposals. This reflection and refinement of projects is only possible if organisations are able to critically reflect on their proposals and are able to forgo some aspects they felt were important at the time of writing the proposal. Also, it is only when funders are flexible enough to appreciate the importance of operationalising the (often abstract) components of original proposals and allow for some changes that greater focus can be achieved and the realisation of the outcomes becomes possible. Although the amount of modification permitted by funders differs, it is clear that the adjustments made by councils at this early stage of the process were critical, and that this ensured better implementation of the programme. The move from the conceptual to the concrete when changing proposals into plans is a critical one, and the role of evaluators in this process is essential. The evaluation team acts as an outsider and can promote reflection and force programme staff to justify their decisions in the programme design. It is therefore critical that evaluators are brought into the process as soon as possible, that funders are open to minor modifications to proposals, and that organisations are open to change.

6.4 Process evaluation

The process evaluation of HELM involved an ever-increasing component of technical support. This technical support occurred prior, during and post training.

Pre-training support

Training is not generally a core function of HE councils. The evaluation team found itself playing much more of a supportive role than anticipated. Research was carried out in order to provide the councils with sample training frameworks, checklists for frameworks and quality-assurance checklists for module materials. These were developed by the evaluation team and shared with the council project teams. Table 6.5 shows some of the support documents developed for the project teams.

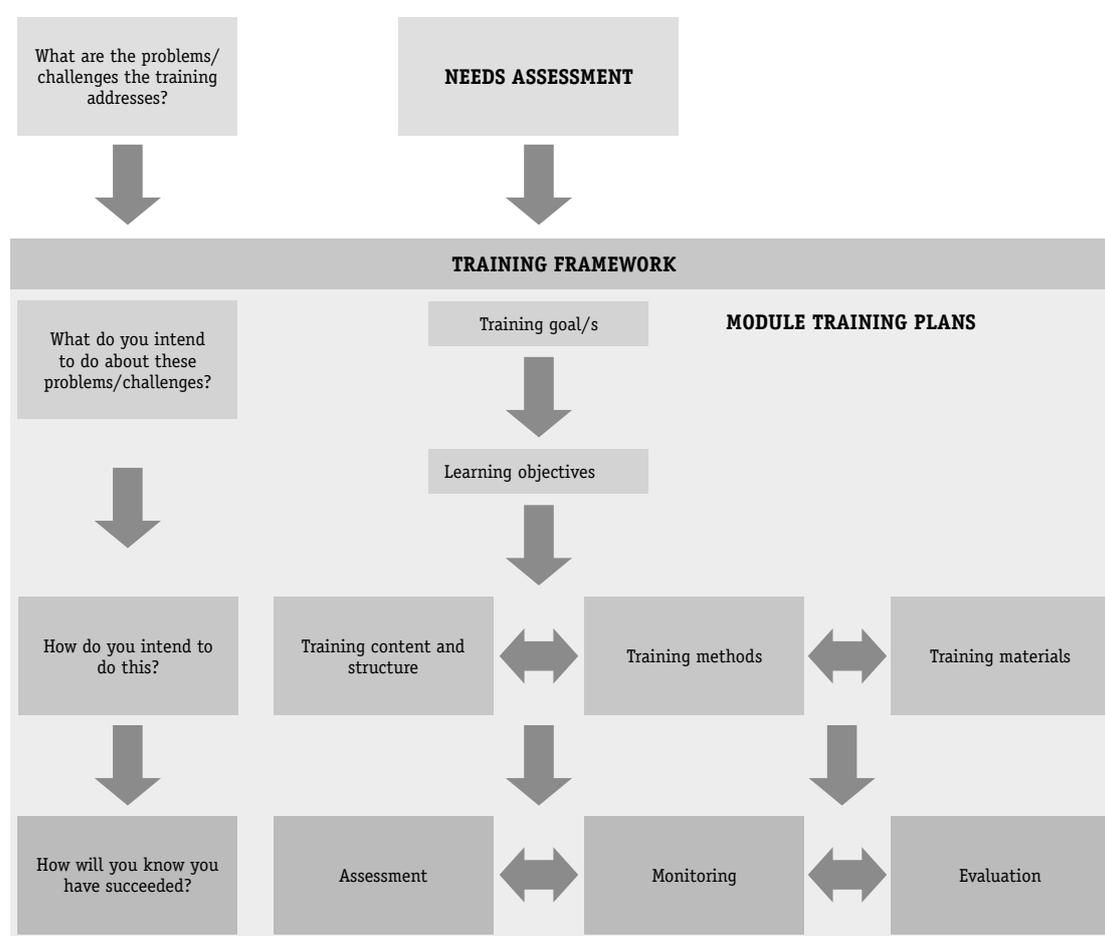
Table 6.5: Documents to support project implementation

Document	Purpose	Full document provided
Sample training framework	To ensure that all assumptions behind the training programme are foregrounded, e.g. purpose, methodology selected, learning objectives and that these are all clearly linked to the needs assessment carried out	See Figure 6.3 below and questions for accompanying narrative in Appendix C
Checklist for a cohesive training programme	A set of questions to ensure alignment between training goals, plans and assessment. Questions also focus on effective and efficient implementation and quality assurance processes	Appendix D
Sample checklist for reviewing materials	This checklist highlighted the need for standardisation of module materials and allowed for detailed feedback to module developers to ensure improvement of materials	Appendix E

Extracts from the documents provided to programme teams are provided here and the full versions are provided in the Appendices.

Teams were provided with the sample training framework in order to highlight the overall alignment of key processes involved in developing a training programme. This document formed the basis for operationalising the ideas contained in the council proposals regarding the training of university leaders and managers.

Figure 6.3: Sample training framework overview



In addition, a detailed checklist (Appendix D) was developed not only for HELM but for future training interventions by the councils. The checklist covered the following eight areas:

- Needs assessment
- Training framework
- Training plans
- Training structure and content
- Training methods
- Training materials
- Training assessment
- Monitoring of training programmes.

The framework and checklist are both useful tools for programme design but they were not taken up in a substantial way by project teams. They were used more for monitoring and evaluation than for the actual design of programmes.

The NCHE with the assistance of ERA developed a broad plan for implementation. An excerpt is shown in Table 6.6. This provided loosely proposed dates for the training sessions but a more detailed training programme was required.

Table 6.6: Initial training plan

Modules	Sessions	Presenter	Training dates: Cohort 1	Training dates: Cohort 2	Training dates: Cohort 3
National and global forces impacting on HE	i) Welcome and orientation to Training Programme for Senior Managers ii) Local (political) forces impacting on institutions of higher learning iii) Role of the NCHE iv) Global forces impacting on HE		13–15 September 2010	5–7 September 2011	6–8 September 2012

All the councils used presenters who had to be contracted and supervised. The NCHE had a training workshop for both presenters and facilitators. A sample checklist was also supplied to project teams for assuring the quality of materials written by outside contractors (Appendix E). An excerpt from this checklist is shown below.

Table 6.7: Extract from checklist to review materials

Structure of training materials				
1. Does the training material contain the following key components:	Yes	No	N/A	Suggestion for improvement/Comment
• Title page?				
• Copyright page?				
• Table of contents?				
• List of illustrations?				
• List of tables?				
• List of acronyms or abbreviations?				
• Sections?				
• Bibliography?				
• Suggested readings?				
• Glossary?				

Table 6.7 continues

Structure of training materials				
2. Does each section of the training material contain the following key components:				
• Section title?				
• Introduction?				
• Learning objectives?				
• Explanations of key concepts?				
• Tasks?				
• Section summary?				
• Assessment tasks?				
• List of additional readings?				

This tool was utilised more by the project teams than the training framework documents.

During training

ERA developed an Excel database for all the councils to capture and store their attendance data from workshops, which replaced the MS Word document formats they were using. This allowed for the analysis and sharing of the attendance data between programme staff and the evaluation team. While the development of standardised templates may sound like a simplistic exercise, it proved invaluable when comparing attendance across countries.

Figure 6.4: Screen shot of attendance database (some columns hidden)

	A	B	C	D	E	F	G	H	J
1	PARTICIPAN	BLOCK 1	DATE	BLOCK2	DATE2	BLOCK3	DATE3	TOTAL	Gender
2	Participant 1	1	Dec-11	1	Aug-12	1	Apr-13	3	M
3	Participant 2	1	Aug-11	1	Aug-12	1	Apr-13	3	M
4	Participant 3	1	Dec-11	1	Aug-12	1	Apr-13	3	M
5	Participant 4	1	Oct-10	1	Aug-12	1	Apr-13	3	M
6	Participant 5	1	Aug-11	0		1	Apr-13	2	F
7	Participant 6	1	Aug-11	1	Aug-12	1	Apr-13	3	M
8	Participant 7	1	Oct-10	1	Aug-12	1	Apr-13	3	M
9	Participant 8	1	Dec-11	1	Aug-12	1	Apr-13	3	M
10	Participant 9	1	Dec-11	1	Aug-12	1	Apr-13	3	F
11	Participant 10	1	Oct-10	0		0		1	M
12	Participant 11	1	Dec-11	1	Aug-12	1	Apr-13	3	F
13	Participant 12	0		1	Aug-12	1	Apr-13	2	F
14	Participant 13	1	Dec-11	0		0		1	M
15	Participant 14	1	Aug-11	1	Aug-12	1	Apr-13	3	F
16	Participant 15	1	Dec-11	1	Aug-12	1	Apr-13	3	F
17	Participant 16	0		1	Aug-12	1	Apr-13	2	M
18	Participant 17	1	Dec-11	1	Aug-12	1	Apr-13	3	M
19	Participant 18	1	Dec-11	1	Aug-12	1	Apr-13	3	M
20	Participant 19	1	Dec-11	0		1	Apr-13	2	M

The development of these standardised templates resulted in the council staff examining trends in attendance which they hadn't done before.

6.5 Summative evaluation

The summative evaluations of the HELM training programmes involved interviews with programme staff and beneficiaries, and an online evaluation form. The development of the TCU survey is provided as an example of the development process carried out with all councils.

Developing the online training evaluation form

Due to the large number of delegates who attended the TCU training programmes, it was decided that an online evaluation form would be developed to get feedback from delegates on the programme they had attended.

The first step was to develop a questionnaire for the online survey. ERA developed a questionnaire (See Appendix B) and created a draft online survey using Checkbox Survey Software (<http://www.checkbox.com/>). Before delegates were invited to take part in the survey, Carnegie Corporation was given an opportunity to review the questionnaire and make recommendations.

Survey administration

TCU delegates were invited via email to complete the questionnaire. While it is possible to invite respondents to complete the questionnaire via the Checkbox website, this was not feasible for our purposes as a letter from the TCU needed to be attached to the invitation and this was not possible via the Checkbox website. Three emails were sent to the 358 delegates who attended training and 122 completed responses were received. The response rate was therefore 34%. Once ERA received sufficient responses, the data was downloaded into Excel and analysed accordingly.

Reflections on the online survey process

Utilising an online survey for the purpose of collecting evaluation questionnaires was beneficial for the following reasons:

- Training delegates were located at multiple sites. Administering a paper-based survey would therefore have been logistically difficult.
- Data does not need to be electronically captured from online forms, thus the cost and capturing time is reduced.

A few challenges were encountered while administering the survey. As surveys were anonymous, ERA did not know who had completed the questionnaire. Reminders to complete the survey therefore had to be sent to all the delegates, regardless of whether they had completed the questionnaire or not. This could have been avoided if it were feasible to use the Checkbox website for sending invitations, as the software only sends reminders to those who have not completed the questionnaire already.

6.6. Conclusions and lessons learnt

After the initial engagement with councils it became clear that some of the usual evaluation practices and processes would not work as anticipated in HELM. This meant that the evaluation team had to provide technical support in this regard, and ordinary evaluation processes were constrained to allow the evaluators to play a greater supportive role. Key findings and recommendations for future implementation and evaluations are presented below.

1. A short while into the evaluation, it became clear that the councils did not do training as a typical core activity and as a result did not have sufficient project management experience and would require more technical support than initially anticipated. The evaluation activities were heavily weighted towards technical support at the beginning of the projects but this decreased over time and the council project teams were able to plan, monitor and implement as expected.

Recommendation: The lead-time for the implementation and evaluation of training programmes seated in councils of higher education needs to take a period of technical support into account.

2. The evaluability assessment carried out at the start of the project proved invaluable. This evaluation process uncovered key risks to the implementation of the training programme and these could be addressed timeously.

Recommendation: Evaluability assessments should be included at the outset of every evaluation and donors involved in the funding of leadership and management training programmes should ensure that both implementation and evaluation plans and budgets include this key process.

3. The evaluators believe that a needs assessment is a critical part of the implementation of a training programme and that it must become the basis for programme planning.

Recommendation: Programme staff should always include a needs assessment as part of the project plan when developing a training programme (of any type).

4. Logic models are often cited⁵ as key components of evaluability assessments and clarificatory processes. In this particular evaluation, the development of models was not particularly useful and this process should have included the development of theories of change so that key elements of the varying theories of changes could be tested.

Recommendation: In training programmes, particularly where they are various models of training being implemented, theory of change processes should be included in the evaluation – preferably at the point of design of the training programmes.

5. The cohesion of a training programme is critical. Training must meet actual, prioritised needs and the overall framework of the training requires a large amount of careful consideration. Materials developed to support the training must have a clear purpose, be of a high quality and again meet the needs of participants. As mentioned earlier, the councils needed support in the design of programmes, planning and the quality assurance of materials. While these are not standard evaluation inputs, the technical support provided to councils should ensure that they are well-prepared for future interventions.

Recommendation: Lessons learnt, materials developed and supporting documents developed should be shared among councils of HE and used in the development of future training interventions.

⁵ Funnell, S.C. & Rogers, P.J. (2011). *Purposeful Program Theory*. San Francisco Jossey-Bass; Wholey, J.S., Hatry, H.P. & Newcomer, K.E. 1994. *Handbook of Practical Program Evaluation*. San Francisco: Jossey-Bass.

CHAPTER 7

KNOWLEDGE EXCHANGE

Johann Mouton, Robin Pocock and Lauren Wildschut

7.1 Introduction

The ultimate goal of the three HELM programmes was to effect positive change in the leadership and management practices at HEIs in the respective countries. The aim was to raise awareness of current issues and challenges in HE leadership and management (HELM) and to thereby encourage various layers of leadership and management in the universities to change and improve their practices in diverse fields, such as academic leadership, university governance, student governance, research and scholarship management, human resources management, financial management, quality assurance and others. In order to affect the desired changes, the HE councils in Tanzania, Uganda and Ghana developed new course materials and delivered a wide range of courses, utilising a wide array of delivery modes, to a large number of university staff. In essence this was an exercise in knowledge transfer or knowledge exchange.

The term 'knowledge transfer' traditionally referred to a rather linear process whereby experts (scientists/academics) would transfer (using various modes of communication) knowledge to lay or non-expert audiences. But various criticisms have been raised against this assumption of linearity and uni-directionality. The so-called 'transfer' of knowledge is rarely a one-directional process, and more often than not involves various exchanges, feedback loops and iterations. It is, therefore, not surprising that the term 'knowledge exchange' has become more generally accepted to describe this process. Knowledge exchange is defined as collaborative problem solving between researchers and decision makers that happens through linkage and exchange. Effective knowledge exchange involves interaction between decision makers and researchers, and results in mutual learning through the process of planning, producing, disseminating and applying existing or new research in decision making.

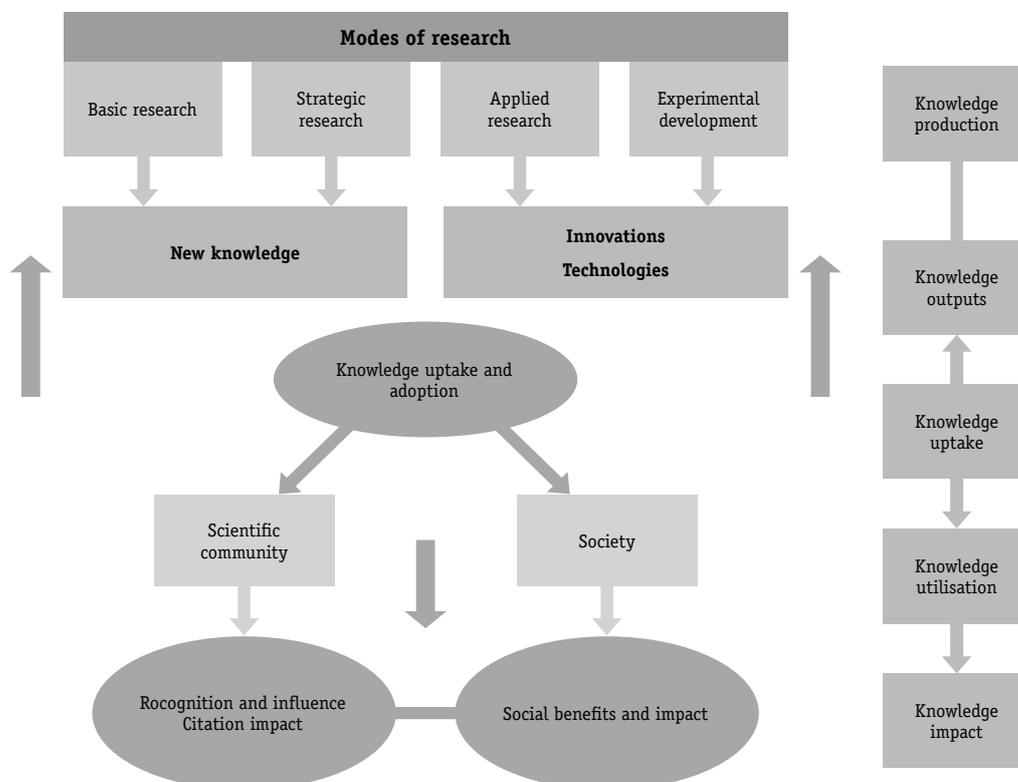
A review of the way in which the different HELM courses were designed and implemented shows that a more interactive and collaborative knowledge-exchange process occurred. All three councils utilised a variety of mechanisms (needs assessments, internal peer review of course materials, internal monitoring of course modules, external mid-term evaluations, interactive feedback sessions during training sessions, and a final round of summative evaluations) to inform the process of knowledge exchange.

In Part Two we discussed in some detail how the programmes in each country were developed, how these were delivered (utilising different implementation models) as well as how ERA conducted external monitoring and evaluation studies of the outcomes. In the final analysis, the question that needs to be addressed is how the knowledge exchanged in these programmes were taken up (adopted) and used, and what impact these programmes have made.

In the knowledge-exchange literature clear distinctions are made between knowledge uptake (which requires a deliberate, intentional decision or action on the part of the intended beneficiary/recipient to adopt the knowledge or skills that are being transferred); knowledge use (the different uses that knowledge are put to) and knowledge impact (the changes in behaviours and practices by individual and organisations that result from using the knowledge gained during this process).

The relationship between uptake, use and impact is illustrated in Figure 7.1.

Figure 7.1: A framework for knowledge uptake and impact



Source: J. Mouton

In the case of the HELM programmes, the respective councils produced new knowledge and synthesised existing knowledge around HE leadership and management. This was packaged in different programme modules and courses and delivered to the target audiences. The knowledge 'outputs' in this instance refer to the course materials, case studies, presentations and other supporting materials that were distributed at the different training sessions.

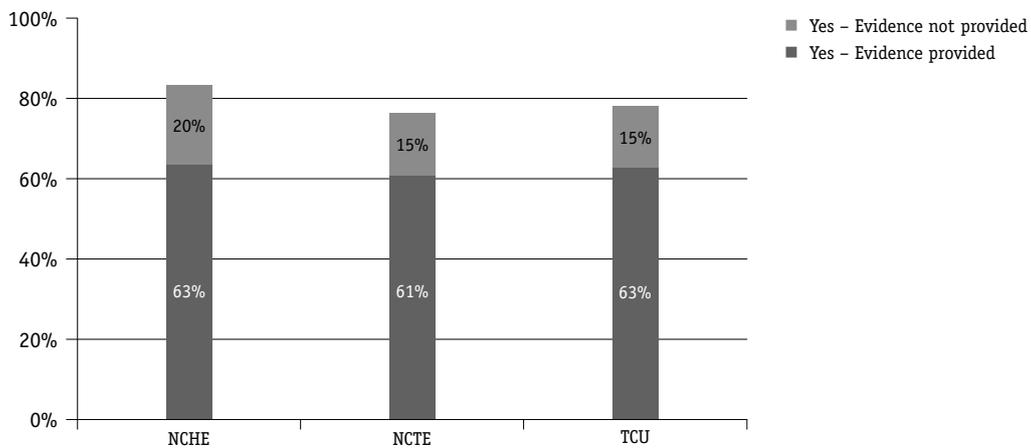
In the remainder of the chapter we discuss how the knowledge thus produced and delivered was taken up (adopted) and used, and what its impact has been in the respective countries.

7.2 Training uptake and use of knowledge

Delegates from the three programmes were invited via email to participate in an online survey to evaluate the impact of the respective programme. Thereafter, a sample of programme stakeholders was purposefully selected to obtain more detailed insights into the results of the surveys. Fifty-one percent of NCHE delegates, 46% of NCTE delegates, and 51% of TCU delegates participated in the online survey. Survey participants were asked if they had been able to make any changes to their leadership and management practices as a result of the training programme. The proportions of respondents answering "Yes" are presented in the chart below. The chart also shows which of these respondents provided examples of ways in which their practice had been changed.¹

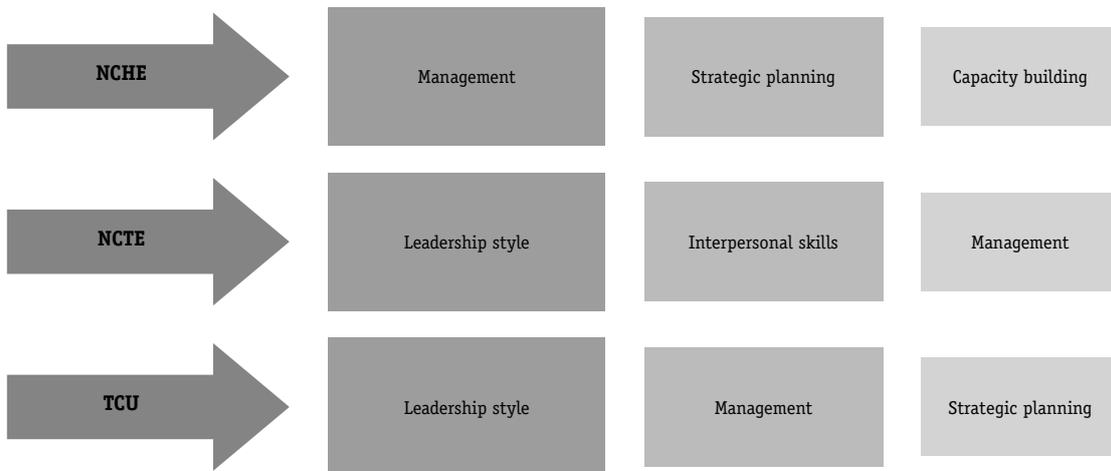
¹ Some respondents did not provide examples of how their practice had changed, either by not answering the question or by just stating that the training had changed their knowledge, skills or attitudes (KSAs). The latter was not considered as a change in practice, as changes in KSAs do not necessarily equate to changed behaviour.

Figure 7.2: Examples of changes in participants’ practice



The chart above shows that the large majority of respondents from all councils felt that the training had had an impact on their job practice. However, a substantial portion of the respondents did not provide suitable examples. The chart below presents the three most common areas of impact as reported by respondents.

Figure 7.3: Top three areas of impact per council



In the following subsections these areas are discussed in more detail, with reference to the survey and interview results.

Impact on leadership

Delegates from the NCTE and TCU training commonly mentioned changes in their leadership practice. Non-specific changes in leadership were fairly common in the respondents’ comments, for example:

NCHE: Changes in [my] leadership ...

TCU: I became aware of effective leadership and therefore followed those principles and changed small things ...

NCTE: [My] leadership style ... improved.

The most frequently identified change in leadership across the three councils was the adoption of **participatory or democratic styles of leadership**. Some respondents simply stated that they had adopted these principles but did not explain how they had done this:

TCU: [I] have experimented [with] democratic and decentralised approaches to management at faculty level.

[I] improve[d] in the participatory kind of leadership.

In terms of leadership, I have been able to practice [a] participative leadership style in my department.

NCTE: [I have] adopted democratic leadership as a personal leadership style.

My leadership style is now more open and participatory.

Other respondents gave examples of how they had adopted participatory leadership skills, especially in terms of involving staff and sometimes students in their decision making:

NCHE: [I adopted] a mix of qualities for leadership and management, especially in terms of ... involving colleagues in decision making

[I began] involving all in the work to enhance ... ownership and belonging to decision making.

Designing of academic programmes is now more inclusive ... top management more consultative.

NCTE: Improved all inclusive decision making. [I] organised [a] retreat to brainstorm on matters concerning my school and the outcome was fantastic.

Involving subordinates in decision making: consensus building with superiors and others in management.

Increased involvement of staff and lecturers in decision making through monthly meetings and annual workshops to review previous and prepare new strategic plans.

TCU: [I now] involve students in decision making in the dept.

More involvement of staff and students in decision-making process in [the] running of my university.

A change in a style of leadership and the way people can be[come] involved in decision making has [made it] more participatory ...

Impact on management

The most commonly reported changes in management were of a general nature, for example:

NCHE: Good management practices have been recommended and implemented.

Improved on the management of university processes.

Demonstration of role of new management strategy in higher education.

NCTE: Enhancing my ... management practices.

After the programme I made serious contributions to management decisions.

Managing people.

TCU: I am applying management principle[s] in day-to-day activities.

I can see changes in ... [my] approach to various managerial duties.

Many of the comments referred to more specific examples of management practices that have changed, such as delegation, team work, staff meetings and time management. The following quotations are examples of these more specific changes.

Delegation

- NCHE: [I am] more efficient in apportioning tasks to colleagues.
 I have learnt how to delegate some of my activities.
 Initially I used to concentrate most [of] the work onto myself; currently I do a lot more delegation where necessary.
- NCTE: [My] responsibilities are shared.
 I am able to act in firm ways and delegate some aspect of my functions.
- TCU: I delegate more.

Time management

- NCHE: Change in time management and in beating deadlines.
 Time organisation.
 Working on deadlines.
- NCTE: I can now prepare my monthly job schedules [for] NCTE ... More time conscious.
 [I] instituted and enforced punctuality and time management at work.
- TCU: Time management.

Team work

- NCHE: Yes, especially ensuring teamwork ...
 Working together.
 We have been able to work as a team.
- NCTE: Working with team spirit and understanding.
- TCU: I am ensuring ... [the] development of team work.

Staff meetings

- NCHE: [I] organised regular meetings for our department.
 Holding of regular meetings
 Hold regular meetings with subordinate staff.
- NCTE: Structured and more timely/regular engagement of all levels of employees has been introduced.
 Regular meetings with faculty to know challenges and how to overcome them.
- TCU: I changed my management style by introducing weekly meetings for all academic and operational HODs to find out what went wrong or where do we need to strengthen our attention and find way[s] forward for the next week.
 More meetings, sharing ideas.

Impact on interpersonal skills

Respondents – particularly those from the NCTE SALT programme – reported improved interpersonal skills in the areas of communication and working relations with colleagues. The following quotations are examples of these reported changes.

Working relations

NCHE: Respecting each other.

I can now ... adopt a fair and firmer attitude to staff working under me.

I [learnt] that other people are as important as I am.

NCTE: How to relate [to] fellow academics and support staff in the university to get the optimum productivity and cooperation from them.

I have been able to accommodate more divergent views and reaction[s] from my peers and subordinates.

Used the knowledge to improve my relationship with those staff members I am leading in the university as Head of Department/Vice-Dean of my Faculty.

As a head of department, I learnt to be more firm without worrying much about pleasing all my subordinates, because I learnt that as a head or supervisor you will not be able to please everyone.

TCU: Cultivate trust and credibility.

I could make some changes in the workplace by the gained confidence, for example dealing with some difficult people diplomatically ...

I have allowed staff to [express] more criticism of me and the management.

Communication

NCHE: Adapt a mix of qualities for leadership and management especially in terms of communication ...

Listening to all members ...

[D]ialogue with colleagues and subordinates.

NCTE: I have now made communication and information very important among subordinates, peers and colleagues.

I improved my communication style.

Communicating more effectively.

TCU: Ensuring communications flow.

Develop[ed the] art of listening. Persuading others.

Different means of communication (email, mobiles, hardcopy papers were used to communicate with my members of staff instead of using only a hard copy paper).

Impact on strategic planning

Delegates from all councils reported changes in their strategic planning as a result of the training, but those from the NCHE and TCU programmes were the most likely to report changes in this area. Such changes included developing strategic plans for the first time, reviewing current plans, or being more strategic in planning in general. The following quotations are examples of these:

General planning

- NCHE: I certainly plan better and with a more holistic view of how the different pieces tie in together in terms of high-quality service delivery in higher education. It is easy to get bogged down by the daily grind of administration at a faculty. This training helps you keep the bigger picture in mind as one plans; having a strategic vision, etc.
- NCTE: Planning ... became more effective.
- TCU: Improved setting of goals and visions, better strategic planning.

Creating new strategic plans

- NCHE: Making strategic plans for my department to guide me in the management of the department.
- NCTE: We have a departmental development strategy in place ...
- TCU: Involvement of staff, including junior academic members of staff in conceiving plans and developing the implementation process.

Reviewing current plans

- NCHE: Initiated [a] review of the University's strategic plan.
- NCTE: Increased involvement of staff and lecturers in decision making through monthly meetings and annual workshops to review previous and prepare new strategic plans.
- TCU: [R]edesigning the institutional strategic plan.

Impact on capacity building

Delegates from all councils reported that capacity building was receiving attention at their home institutions as a result of training. Some of the capacity building was clearly linked to sharing knowledge from the workshops; however in some other comments the content or purpose of the capacity building was not specific, for example:

- NCHE: [I] facilitated capacity building programmes for District Planning Units and many others.
- NCTE: Have workshops for HODs.
- TCU: To provide my staff with frequent trainings to improve their performance.
Effort[s] to initiate a training programme that will be housed in my department.

The following section goes into more detail of how knowledge from the workshop has reportedly been shared by delegates.

Sharing knowledge from workshop

The following quotations from the survey show how some delegates have shared knowledge and skills from the workshop with their colleagues.

- NCHE: I have trained fellow staff in educational leadership skills. They [gave a] very good evaluation from my training. This means I can enable others with my knowledge. At [my] work place I have 52 staff members and 3,000 students in my department – leadership skills [are] important to administer all this.

Reports of workshops were always prepared and submitted to top managers and these were subsequently adopted at management level and sent out to respective line managers for implementation.

We rolled out the skills to other university departments and faculties.

NCTE: In relation to the topic of academic leadership, I decided to serve as a 'training coordinator' to my younger colleagues. I circulated higher education articles for their reading and review. I also gave them a written assignment with some guidelines to be submitted for discussion on a given date.

Been able to organise presentations on leadership and research methods for a faculty of 80.

TCU: I will keep on sharing the lessons from the workshop with my colleagues.

It must be noted that the NCHE was the only council that assisted some of their institutions to hold dissemination training meetings. NCHE respondents to the survey described how the NCHE had helped them with this. Their responses show how the NCHE encouraged and reminded them to hold dissemination workshops, provided funding, attended the workshops and, in some cases, assisted with facilitation: Specifically, the NCHE provided financial support (USD 320 per institution) for participants to run their own training. On this small budget seven out of 14 universities cascaded elements of the training to at least 481 university employees. They used staff who had attended the MLP as presenters, or paid for some of the original MLP presenters to facilitate, and used the training materials from the original workshops. Some developed their own presentations based on the hard copies of PowerPoints provided to them. These dissemination workshops are an impressive sign of training uptake by NCHE delegates. The dissemination workshops have ensured a far greater programme reach; while the NCHE originally trained 150 delegates, the dissemination workshops have ensured that at least another 481 university employees have been reached.

The NCHE urged participating universities to organise similar workshops within their universities.

I facilitated an in-house training to the staff of Islam University in Uganda (IUIU) that was partly funded by the NCHE.

[The NCHE] gave some fund[s] to the tune of USD 350 dollars to supplement the preparations ... of our dissemination workshops to our staff ...

It was very useful because the NCHE also came over as observer and intervened wherever possible.

One or two officials from the NCHE were present for the seminars and they address[ed] us at the end ...

[O]rganised management and leadership workshop for staff who did not participate in the NCHE training.

[T]hey also facilitated one of our follow-up workshops at the university, with other administrators who [did not] attend the NCHE workshop.

NCHE interviewees also detailed how their institutions disseminated the training:

Nkumba University has designed it in such a way that they would want to have it as a quarterly event. The entire staff went there for the training [and] it was very interesting ... [There were] about 60 or more [attendees] but the head of the institution, the Council members, all of them were there ... They issued certificates to participants. [MLP staff]

[A]fter the trainings we organised local trainers at the university. It was attended by like 60 staff members, heads of departments, senior lecturers ... [It] was positive, they appreciated their training. Three of us conducted the training ... [T]hey were very happy and they recommended the training to continue. [Kyambogo participant]

[A]fter the entire training we organised a three-day training for all the teaching staff and the administrators and we went through all the modules. [W]e covered all the modules and we invited a representative so each one of us was given a topic ...

or all the three days we had a packed programme but we managed to cover all the questions ... [B]ut we tailor[ed] it to the needs of our institution so that is what we did – but we covered all ... My topic was on Equity and Access Social Justice, that's what I teach. I have a passion for that ... We had also group work – we used almost the same method. After group work we give them some questions or maybe give them a test. [We] focus[ed] on Bugema issues, everything was on our institution. [Bugema participant]

[T]he first cohort came back and disseminated the workshop which included the HODs, members of the university council and top management ... They brought a colleague from Nkumba to present on Globalisation in Higher Education ... After the second and third cohort ([there] were about 12 [of us]...) two people got a topic each ... and put it in the context of Ndeje University. We presented amongst us so as to decide what we should leave out and what we should include before we [gave] it to the general public of the university. [Ndeje participant]

This kind of post-workshop support to the delegates by councils is important as it helps to monitor whether delegates are implementing or sharing the skills and knowledge from the training. Such support is vital for sustaining the impact of the training. Survey respondents were asked to indicate whether they had been contacted by the councils after the workshops for any reason. The chart below shows that the overwhelming majority of NCHE delegates were contacted after the workshop, but this was not the case for the NCTE and TCU delegates.

Respondents who indicated that they had been contacted by the councils post-workshop were asked to specify the nature of this contact. As to be expected from the results already reported, many NCHE delegates said that the council had offered them support in holding dissemination training following the MLP. Other more common types of post-workshop contact reported by all councils included monitoring and evaluation activities, and electronic or physical follow-ups, however the nature of these was not always specified. It should be noted that the monitoring and evaluation activities reported for the NCTE and TCU usually consisted only of the online survey (which the councils reminded them to complete), whereas the monitoring and evaluation reported by NCHE delegates was more likely to consist of monitoring visits or discussions about the impact of the training.

NCHE dissemination workshops

One of the most evident benefits of the NCHE training was the ability of delegates to conduct their own dissemination workshops at their home institutions. During these workshops they shared the knowledge and skills they had acquired during the MLP. According to the report submitted by the NCHE to Carnegie, financial support was provided by the NCHE for participants to run their own training:

Aware of the fact that only a few members of the university management had the opportunity to be trained in the just concluded MLP, it was decided that all participants who had successfully completed the programme be required to return to their respective universities with an agreed reform project that would aid the initiation of what was learnt over the three years (2009–2013) at their institutions. The MLP organised some funds worth eight hundred thousand shillings (UGX) equivalent to three hundred twenty thousand US dollars (\$320) [that] each institution could use for facilitating an expert. The funds were appropriated from the MLP main grant.²

The following sources of data were provided by the NCHE regarding the implementation of dissemination workshops by institutions:

2 National Council for Higher Education Uganda (NCHE). 2009. Report to Carnegie Corporation of New York.

Table 7.1: Sources of data on dissemination workshops

Source	Document name	Description
NCHE	1. Carnegie Management and Leadership of Higher Education workshops held by universities	Document from the NCHE detailing dissemination workshops held by five of the universities
Bugema	2. Action Point Tracking Plan 2011	Modules, aims, objectives, lessons learnt, target areas for improvement from Bugema's dissemination workshops
	3. Bugema workshop leadership training	Attendance register from quality assurance workshop held by Bugema university on 5 September 2013
Islam University in Uganda (IUIU)	4. IUIU leadership workshop	Workshop programme for workshop held by IUIU on 12 to 13 August 2013 Attendance registers Example of certificate provided to participants of IUIU's dissemination workshops
Nkumba	5. Nkumba University workshop participants	Nkumba workshop attendance register, programme for training held from 5 to 7 September 2013
Ndejje	6. Ndejje University workshop attendance list 7. Workshop programme	Ndejje attendance register for workshop held on 16 July 2013 Workshop programme
Uganda Martyrs University (UMU)	8. NCHE-Management and Leadership Training – UMU list of participants 9. Workshop write-ups	Attendance list for dissemination workshops by UMU. Four documents providing details on workshops held by UMU.

Although we collected additional sample data from five universities, seven of the universities (of 14) involved in the MLP ran their own versions of the MLP training programme, generally using staff who attended the MLP or paying for some of the original MLP presenters and training materials that were used at the original workshops. It must be noted that at times, university staff developed their own presentations based on the hard copies of presentations provided to them.

The details provided for the seven institutions' workshops are outlined in the table below.

Table 7.2: Dissemination workshop details

University	N participants	Date	Modules
Bugema University	100	5–6 Sept 2013	African higher education in a globalising world Leadership and management of academic processes Strategy and its roles in enhancing academic excellence
Islamic university in Uganda	63	12–13 Aug 2013	Strategy and its roles in enhancing academic excellence Leadership and management of academic processes The corporate governance of universities Leadership, innovation and development
Kampala International University	Not provided	20 Aug 2013	Globalisation and its challenges in African higher education (presented by Mr Mutegeki Patrick) Envisioning the future of higher education (presented by Kennedy Imbuki) Strategy and its role in enhancing academic excellence (presented by Dr Joseph Bada)
Kyambogo University	50	Not available	Globalisation and its challenges in African higher education Leadership and management of academic processes Strategy and its role in enhancing academic excellence Strategic human-resource management role in institution of higher education
Ndejje University	60	16 July 2013	Strategy and its roles in enhancing academic excellence Financial management and resources mobilisation in universities Access, equity and social justice
Nkumba University	58	4–6 Sept 2013	Globalisation and its challenges in African higher education Leadership and management of academic processes Strategy and its role in enhancing academic excellence Strategic human-resource management role in institutions of higher learning Financial management and resource mobilisation (Note that no modules were covered in Day 1. There was a discussion to propose amendments to the Universities and Other Tertiary Institutions Act of 2001.)
Uganda Martyr's University	150	22–23 April and 4 Dec 2013	Community-based learning Learner-centred teaching and learning Problem-based learning Strategic planning and leadership of higher education

The table above is an impressive statement of MLP training uptake. Originally only 150 participants were trained using Carnegie Corporation funds. On a fairly small budget (USD 320) the seven universities were able to cascade elements of the training to at least a further 481 university employees (based on figures from six universities at the time of writing this report). It is interesting to note that “Leadership of academic processes” is the most frequently cascaded training session and that additional innovations have been brought into the cascading there, for example:

- Leadership, innovation and development (IUIU)
- The corporate governance of universities (IUIU).

7.3 Are the HELM training programmes sustainable?

During the three summative evaluation studies we probed on different future strategies and approaches that could be put in place to ensure, or at least optimise, the sustainability of these training programmes. Several very innovative and useful proposals were recorded:

- Institution-based training
- Certification of training
- Cost sharing
- Broadening the training base by using participants as trainers.

Institution-based training

A first proposal from many respondents was that the training courses be offered under a decentralised model at the delegates’ home institutions. This would have the dual benefit of involving more local participants and cutting the costs of distant travel and accommodation.

[P]eople in a certain area [could] go to [an] institution and run through the programme and get out. [Bec]ause you find the biggest cost you [are] going to have is hotel [accommodation] and because you use the institution the cost would not be as much. The institution will host you and then you only cater for the food and other thing[s], and then you have [an] institution[al] environment. [I]f we picked that one it would be affordable and I think [the] institution where we hosted would benefit and would have reason to account to the rest of the community what these group of people [were] learning. I think ... that is what I would want to change – from the hotel to the institution, so cost-cutting so that the money we use for [an] hotel [could] be used to bring as many participant[s] as possible] and the[n] use to bring in a lot of more. [T]hat is what I would do. [MLP staff]

I think the training is organised ... if we got other people to facilitate outside as well, the training [would] continue. [MPL participant]

One presenter suggested offering some courses and discussions online to make them available to more people at less cost and to ensure the programme’s sustainability.

[There are] other ways to ensure that this approach has sustainability in itself – and one of them is to diversify the ways of provision. If, for instance, you are using workshops, there are some of us that have grown up on distance learning and might enjoy just taking our time. I woke up at 4 this morning and put in some two hours of reading ... [T]here are those that will be able to do that. So if the same materials [were made available] online and ... the facilitators ... who are willing [to] look into what they are doing give them feedback – encourage discussions online and so on and certify at the end. [MLP presenter]

The obvious downside with a decentralised model is that it would not create the opportunity for delegates to meet their counterparts from other institutions and hence lose the value of such additional networking.

[I]t is good to train us [as] institutions – that would reduce the costs but the challenge would be we need to interact with each other ... So again if we bring it to the institution level we are going to miss out. [T]hat networking was good and I really felt that this training brought all of us on board. [W]e now have contacts ... from different places.

[MLP participant]

[T]he question is how are we going to proceed? [W]ill it be an institution organising its own training with the staff who are trained, or [could] it work better if somebody from Bugema maybe goes to Gulu university, and the one from Gulu goes to Musitema, and so on ... [S]o what approach [would] work? ... [P]ersonally I would say those who [have] been trained should be able to move on to other universities ...

[MLP participant]

[I]f you developed a pool [of] regular trainers or training workshops here -follow up and we see how we can rotate them one place to the another – that could be good.

[MPL presenter]

Most interviewees said that they would feel comfortable facilitating this cascade training at their own institutions, but some noted that the NCTE should be the umbrella organisation to oversee the training, or that some of the original presenters should also present. Concerns were raised about the possible lack of quality and standardisation that could result from decentralised training sessions:

Delegate: You could take it from what you have learnt ... My university has a lot of institutions that could also benefit ... The NCTE could be the umbrella ...

Interviewer: Would you personally feel that you are well prepared enough from the training you attended to actually share the information in the form of a workshop?

Delegate: Yes, not in everything, not in finance, but I could share in the one on governance because I have been in committee work, the research aspect, [and] academic leadership.

Delegate: It could be organised by another body but in all the instances ... there should be other ones who are in charge of setting the standards necessary for the institutions in Ghana.

Interviewer: So you wouldn't feel comfortable to run your own training?

Delegate: I feel very comfortable, but it would be too localised. For example, if I run my own training, unless I invite other people, it would be just in relation to what I do in my institution ... [The] NCTE as the umbrella organisation [carries] part of the responsibility [for] all the tertiary institutions.

Delegate: If possible, maybe the universities will be advised by the NCTE to pick specific topics, and we'd use the resource persons at the training from the various institutions. It could also beef up their knowledge and strengthen their presentation skills.

Delegate: Yes, since it would be decentralised then people don't have to travel all around. What I'm thinking is that they can select people from the group of facilitators, and they can select people who have received the training, and they would team up ...

Interviewer: So, would you personally feel able to be one of the presenters? Do you feel that the training prepared you well enough to take that role?

Delegate: Yes, when you [are] going to be a presenter, even as a lecturer, I would still have to prepare. But I should be able to do that.

A Nigerian delegate felt that it was important for the Nigerian National Universities Commission (NUC) to facilitate further workshops in Nigeria, as this Council is better equipped to design training that is relevant to the Nigerian context.

In our country we have the National Universities Commission, in Ghana the NCTE, all African countries have such bodies. So why not use those bodies to run the workshops in their countries? Because each country has its own peculiarities, my experience of those in Nigeria may not be the same as those in Ghana. So they should use those bodies who really know the challenges faced by their national universities, they are in a better position to really address ... Even the examples they giv[e] would be more applicable than from somebody speaking from another place, because they know the challenges facing that particular country ... So if ... possible, Carnegie [should] use resource persons in these countries at that high level of leadership to organise such conferences and workshops.
[Nigerian delegate]

Certification of training

Training programmes such as these may be more attractive to future delegates if they are in some way accredited or certified by the councils. This would in itself encourage more people to attend.

[A]nd if it's an accredited course I [could] see the National Council [getting to] a position where they [could] actually insist that – before people are appointed as managers in this – they should have participated in a similar course to prepare themselves ... [I]t [could] begin gently before it becomes mandatory. It [could] actually be an advantage – [S]ay I underwent the training, so you [could] do a number of these modules and get a National Council certificate for that preparation through workshop[s] but you can also do it online and still obtain your certification and ... utilise that for promotion purposes.
[MLP presenter]

Cost sharing

A few respondents suggested that the universities themselves should share in the costs of future training institutions, as it is unlikely that external funding would be available in the future. Hence it is imperative that the universities, if they value such training, also contribute.

If you cannot afford the high profile hotels ... [you] could do it in another way. [A]nd then another thing – cost sharing. [T]he institutions can decide to pay a little part of it ... The institutions [could] pay for each of the participants ... something small ... [T]hat also bring[s] commitment because sometimes we just invite somebody [for] training and [if] they have not paid anything [they] will just sit there and go. [B]ut if you know the [management will] question them [on] what they have learnt, then definitely they will focus.
[MLP staff]

[I]f we take [it] to hotels and say ... not a very high profile hotel, but institution pays for individuals who [are] coming there, like for instance each participant is paid two hundred thousand to come on the programme and then [the institution] tops up, take[s] them to a hotel. [T]hen it's still affordable. [MLP staff]

... I don't think [my college] would be willing to pay money but [maybe willing to] be involved in cost sharing.
[MPL participant]

I don't think we really have a serious problem because if ... the training ... is very relevant, the university would be very willing to cost share, because there is a need [for] capacity building in the university, especially if they taking on more numbers ... [I]f this cost sharing was bring[ing] in more people ... to get their training, then I think it won't be a problem.
[MPL participant]

Participants as trainers

Given the success of the first round of training and the fact that a number of university delegates have participated in multiple courses, a potential pool for future trainers has been created. These delegates are now well placed to present in any future training courses, particularly on their own campuses.

[T]hese other universities who are actually very good and [have] mastered the modules – we could use them as facilitators. [W]e actually did use some, if you remember?[T]he human resource module [in which] that lady from Ugandan Christian University was a participant and when you picked her ... to help with the modules, she was able to deliver. [S]o we could even use some of the participants who have [been] identified ... to roll out these other institutions.
[MLP staff]

During interviews some delegates spoke about how they thought the programme should be run in the future, should more funding be made available. In particular, they were asked whether the NCTE's strategy should be altered if the programme were to continue. Interviewees felt that it was necessary to have workshops with additional participants from the same institutions and other institutions:

Delegate: If possible, every time new staff is appointed to positions they [should] be taken through the kind of training that we had ... for all the public institutions and, if possible, the private institutions that [are] willing to go through this kind of training. Because you will notice that some take on positions ... and their output – they can't publish ... This kind of training will help them to balance their work together [with] their publications. It shouldn't be once-off, it should be regular, so that if new heads are appointed then the NCTE could organise to bring them together and take them through this kind of training.

Delegate: The programme targeted people at a certain rank, like HODs. A lot of people ... they're not selected for this programme. Meanwhile these are the people you are dealing with [as an HOD]. You can disseminate some information to them, but maybe the programme [could] be extended.

7.4 Conclusion

There is ample evidence that the three HELM programmes in Tanzania, Uganda and Ghana have had substantial and widespread impact on the university sectors in the respective countries. We have shown that there has been general appreciation and uptake of most of the training materials in all three countries. Although the uptake and ultimate impact is varied – as one would expect – there is no question that these training programmes have resulted in widespread benefits and learnings to delegates.

Although Carnegie Corporation's funding of these programmes has come to an end, there are already positive signs that the respective councils (and individual universities) have begun to address the future sustainability of these programmes. Very good proposals to this effect have been made by delegates in all three countries.

It is fair to say that the leadership and management challenges for the top echelons of African universities will only become more pronounced in the future. The continuing internationalisation of higher education, the pervasive imperatives for competitiveness which are fuelled by international rankings and the ever-present resource constraints require creative and bold leadership, and efficient and effective management at all levels of the modern-day university. This study has documented important lessons about training university leaders and managers to address these challenges in a responsible and responsive manner.

APPENDIX A

AAU RESEARCH PAPER SERIES

- Nakabo-Ssewanyana, Sarah, Makerere University, Uganda, "Statistical Data: The Underestimated Tool for Higher Education Management – The Case of Makerere University".
- Mayanja, Muhammad K., Makerere University, Uganda, "The Social Background of Makerere University Students and the Potential for Cost-Sharing".
- Abagi, Jared Okwach, Kenyatta University, Kenya, "Resource Utilisation in Public Schools in Kenya" Publications.
- Liverpool, Lennox, et al., Univ. of Jos, Nigeria, "Modelling for Resource Allocation to Departments and faculties in African Universities".
- Jinadu, M.K., et al., Univ., Nigeria, "An Innovative Approach to Undergraduate Medical education in Nigeria".
- Ruth, D.W.; Merkestein, A. 1998. *The stories we tell and the way we tell them; an investigation into the institutional culture of the University of the North, South Africa*. Volume vii, 184p., Accra.
- Boubekeur Farid, Univ. de Constantine, Algeria, "L'Évaluation de La Formation Universitaire de Point de Vue des Diplômés".
- Samb, Moussa et al., Univ. Cheikh Anta Diop de Dakar, Sénégal, "Publication de L'Étude sur Le Suivi des Diplômés de L'Enseignement Supérieure au Sénégal: Cas de L'Université Cheikh Anta Diop de Dakar".
- Mayanja, Muhammad, Makerere Univ., Uganda, "A Comparative Study of Makerere University Graduates of the Faculties of Commerce and Management Graduates".
- Kaijage, E.S. et al. date. Univ. of Dar es Salaam, Tanzania, "The FCM Graduate: A Tracer Study of the Faculty of Commerce and Management Graduates".
- Ugwuonah, G.E., et al. date. Univ. of Nigeria, Nsukka, Nigeria, "Higher Education and Demands of Manpower Development in the Nigerian Manufacturing Sector: An Empirical Study of Enugu and Anambra States".

APPENDIX B

QUESTIONNAIRE FOR ONLINE SURVEY

Senior Academic Leadership Training (SALT)

INTRODUCTION

We are requesting your assistance to evaluate the SALT programme offered by the NCTE from 2012 to 2014. The NCTE has developed and offered an extensive training programme in management and leadership with support from Carnegie Corporation of New York. As part of the conditions of the grant, a systematic assessment of the programme has to be completed.

The purpose of this assessment is not only to evaluate the implementation and impact of the programme but also to gain knowledge on how the programme can be improved for future implementations.

We wish to assure you of the confidentiality of your responses. The final report on this survey will not contain any references to specific individuals. We therefore would like to invite you to be as open, detailed and frank as possible in your comments on the SALT programme.

A. PREPARATION

1. How did you originally become aware of the SALT programme?

Informed by Vice-Chancellor	1
Told by a colleague	2
Informed through communication from NCTE	3
Can't remember	4
Other	5
(Please specify: _____ _____)	

2. How far in advance were you notified of the workshop?

A week or less	1
Two to four weeks	2
More than a month	3
Can't remember	4

3. Did you volunteer to attend or were you recommended by a colleague or superior?

Volunteered	1
Recommended	2

4. Did you receive an outline of the workshop beforehand (i.e. what the training would cover)?

Yes	1
No	2

5. Did you receive any reading materials beforehand?

Yes	1
No	2

6.1. How would you rate NCTE’s overall preparations for the workshop?

Tick only one category

a. Excellent	b. Good	c. Poor	d. Very poor
1	2	3	4

6.2. Give a reason for your rating above

7. What could NCTE do to improve their preparation for the SALT programme?

B. WORKSHOP RATINGS

8. How do you rate the value of the SALT programme to your work?

Of no value at all	1	2	3	4	5	6	7	Of great value

9. Overall, how do you rate the balance of theoretical and practical elements in the SALT programme?

Too theoretical	1	2	3	4	5	6	7	Too practical
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10.1 How do you rate the overall quality of:

	Excellent 1	Good 2	Fair 3	Poor 4	Very poor 5
(a) the course content?					
(b) the training materials?					
(c) the presenters?					
(d) the training venue?					
(e) the accommodation?					
(f) the overall organisation of the course?					

10.2 Where you have answered “poor” or “very poor” please provide some detail

11. Which single aspect of the SALT programme has been most valuable to your job? Please elaborate on your response

12. Which aspect of the SALT programme has been least valuable to your job? Please elaborate on your response

13. Which other topics would you have liked to have more training in?

14. Which topics would you recommend be omitted from future programmes?

15. Which presenter or presentation in the programme did you feel was the most informative?

16. Which presenter or presentation in the programme would you say was the least informative?

17.1 How would you rate SALT programme overall?

Tick only one category

a. Excellent	b. Good	c. Poor	d. Very poor
1	2	3	4

17.2 Give a reason for your rating above

18. What could NCTE do to improve the programme?

C. AFTER THE TRAINING

19.1 Could you make any changes to your leadership and management practices as a result of the training programme?

Yes/No_____

19.2 If yes, describe those changes. If no, explain what barriers there are to you changing your practices

20.1 Has there has been any follow-up contact or activity by NCTE after the workshops? Yes No

20.2 If there was contact, what was the nature of the contact?

21. What are your recommendations for NCTE activity after the workshops to ensure that participants get the most benefit from the workshops?

D. Information

Gender

Age

University

Position at university

Years in this position

THANK YOU FOR YOUR TIME

APPENDIX C

SAMPLE TRAINING FRAMEWORK

Training Framework Elements

1. *Background*

The Training Framework should begin with a Background Section which describes the following:

- Purpose for developing a training programme.
- Who is/are the core target group/s?
- What is the total number of the target group/s?
- Any other pertinent information you feel would be appropriate under the Background Section such as:
 - new organizational-driven requirements (new policies in higher education, political context, changes in higher education)
 - changes in profile of HEI managers
 - decentralization of education process, privatisation, etc.

The background section should be predominantly narrative in structure with perhaps a table or organizational chart to assist you in framing the context of your programme.

2. *Current Status*

The purpose of this section is to describe what sort of training has been completed to date. This section of the framework should be updated each year, and referenced against the previous year for comparative purposes.

- What sort of training has been completed to date? Has the training been Ad Hoc and demand driven or ...
- Has there been a formal training plan? If yes, to what extent has the training plan been completed? Did training include out-of-town travel?
- What are the factors that limit training?
- Has there been a needs assessment to identify what sort of training is needed? Provide key findings of needs assessment carried out.

3. *Mission Statement*

The Mission Statement should address what it is you hope to achieve in a global sense with the training programme. For example, your overall goal may be:

To ensure all management staff learn key skills to enable them to carry out their roles and responsibilities in managing a Higher Education Institution etc.

It may take one or several different types of training and probably a number of sessions to reach this overall goal. The overall goal differs from course goals and objectives because it is much broader and all-encompassing than course goals and objectives which tend to be more specific to the training and more limited in scope. It would be very challenging to reach the above overall goal in one or even 5 years. A number of different types of training would have to be implemented in order to reach the overall goal. Course goals and objectives are also much more measurable than the overall goal because course participants can help you assess whether or not you have met them.

4. **Methodology**

The methodology describes the approaches to training delivery that will be employed. For example, your training framework may cover 2 years, 5 years and even only one course, or perhaps a phased approach would be more appropriate for your ministry. You may begin with general training one year and include more advanced training the following year. You may also want to offer one or two courses a year on specific topics. The options for this portion of the training plan are limitless.

- How will you reach your overall goal?
- What type of training will be offered? General awareness sessions or topic specific training? Will the training be target specific in some cases?
- Will you develop additional resources for the target group in addition to those they receive during the training sessions?
- Who would be expected to participate in which training? Will the training be catered to a specific target group?

Training Methodology should also be updated each year in the framework as delivery methods are evaluated.

5. **Description of Training**

If you are doing more than one type of training, you may repeat this section in order to describe each type of training you will be conducting (this is where your training framework becomes more specific both in terms of deliverable and time frames).

6. **Time Frames**

Approximately when will the training be offered? Will it be offered from January to March every year or just for 2010? Will a session be offered once in September and once in February every year or once a year? Will the training be offered quarterly, yearly, monthly or weekly even? Will you be offering training via video conference? If so, when?

Approximately when do you expect to have brochures or other documentation complete? Will the documentation be updated each year? When do you expect to have your Web Page up and running?

7. **Goals**

What goal(s) do you hope to achieve from the specific training that you plan to offer?

Identify Target Groups: First identify which target group will benefit from the training: Is the goal to ensure all management staff in the universities have the opportunity to participate Council Of Higher Education training or is the goal that all staff must participate in training? Is the goal to train all urban staff first, or all staff throughout the country? Maybe only certain identified staff in an institution will require the training? Decide who the target group for your training will be and then develop one goal to include these people in some sort of training.

Objectives: Once you have identified the target group/s that require/s training, then identify what you hope the participants walk away with: Is the goal to provide a comprehensive base-level of expertise to support the target groups or is the goal to ensure a high level of training for some (but not all) target groups? What needs of the target group can you fulfill?

8. **Learning Objectives**

Learning objectives are specific and measurable. Learning objectives identify specifically what the participants will do/learn/understand/identify/recognize, etc.

Some examples of objectives would include any of the following:

The participant will:

- understand the importance of gender mainstreaming
- recognize HODs responsibilities regarding strategic planning
- identifying priority areas of need within his/her institution, etc.

9. *Organization*

What do you need to accomplish the training objectives?

Coordination of Training Delivery:

- Do you need to identify writers and presenters and coordinate a number of training sessions?
- Do you need to find facilities that will be available on a given date?
- Do you have to solicit participants? If yes, will you send out a general e-mail or contact people by phone or post an advertisement? Will you have registration via the Intranet?
- How will the training be delivered? Will a facilitator actually give the session, will it be given via video-conferencing or will you develop a brochure or package that is self-explanatory? Will you create a video/DVD to send around institutions?
- Monitoring – how will you track the outcomes and identify shortfalls of the training method?

10. *Materials*

Once you have identified how you will deliver the training, what materials do you need to deliver the training:

- Will you use slides, video or satellite TV?
- What sort of hand-outs will you provide participants?
- Will participants be expected to participate in case studies, pre-tests and/or post-tests?
- Will there be a poster you want to use?
- Will you develop a manual to supplement your training?

11. *Training Schedule and Budget*

Finally, the Training Schedule and Budget specifically identifies the date, method, cost and approximate number of participants to be trained.

It would be useful to identify the approximate number of participants to be trained by level (this will make it easier to report back to Carnegie)

12. *Reporting*

Finally, when the annual round of training is complete, you should consider the type of reporting you wish to do. A summary of the above information is a good place to start and you can flesh out this report with the actual cost and number of participants trained. This information will be helpful in forming part of your overall evaluation of the training program.

You may also want to create an Executive Summary to report on the successes to date, the challenges ahead, and the potential impact on staff and budget for the coming fiscal year.

(Modified from Government of British Columbia http://www.lcs.gov.bc.ca/privacyaccess/TT_Manual/Sec3_develop.htm)

APPENDIX D

CHECKLIST FOR A COHESIVE TRAINING PROGRAMME

NEEDS ASSESSMENT

1. Has a rigorous needs assessment been carried out?
2. Did you get a good response rate from your target group/s?
3. Is the gap between “what is” and “what should be” clear?
4. Are the training foci evident?
5. Does the needs assessment ensure that the training will avoid
 - a. Including a topic that is already very well understood/ very familiar to the trainees?
 - b. Including a topic that has little relevance for the trainees?
 - c. Omitting a topic that is important to the trainees?
6. Are the differentiated needs of various target groups clear?
7. Can priorities for training be easily identified?

TRAINING FRAMEWORK

- | | |
|--|---|
| <ol style="list-style-type: none">1. Has an overall training framework been developed?2. What is/are the overall goal/s of the training?3. Does/Do the goal/s align with the priority needs identified?4. Are the underlying principles and the values of the training programme clearly stated?5. How many modules will be needed in the training programme?6. Will the modules be presented at different levels for different target groups?7. What will be the most beneficial weighting of the modules?8. What will be the most beneficial sequencing of the modules?9. What form of follow-up activities will there be after the training programme is complete?10. Does the framework encourage the establishment of site-based or interest-based study groups to serve as ongoing support systems, facilitating the transfer and application of the content of the training programme to their everyday experiences?11. Is there a clear time schedule for the training programme (for at least the first phase)?12. Is the format of the training clearly defined?13. Is a writing template for module authors provided which is in line with the requirements of the framework? | <p style="text-align: center;">Note</p> <p><i>Training goal</i> is the overall result or benefit to participants that you hope to attain by implementing your training framework</p> |
|--|---|

MODULE TRAINING PLANS

1. Has a training plan for each module been developed?

2. Does the training plan

- Define the target audience;
- Define training goals and learning objectives;¹
- Indicate the level of the training (basic, intermediate, advanced)
- Outline training content;
- Indicate key types of instructional activities that will be utilised in the module;
- Include assessment guidelines;
- Include preparatory work/reading and/or assignments to be carried out post training?

3. Are the learning objectives included in the plan

- Relevant to the participant's needs?
- Consistent with the overall training programme goals?
- Stated in behavioural terms?
- Stated in clear language?
- Narrow, specific and measurable?
- Achievable within the time of the training?
- Achievable in terms of the learning resources?

Are the learning objectives written in a consistent format?

Do they

- Begin with a statement of the expected result? e.g. "As a result of this session, the participants will be able to . . .".
- Utilise an appropriate verb? e.g. identify, write, organize, utilize, create, define, apply, analyze, conduct, evaluate, develop.
- Contain a reference to the content of the relevant course segment e.g. "As a result of this session, participants will be able to develop an appropriate policy for gender mainstreaming".

Note

A training plan is useful to

- Guide the trainers in development and delivery of the module
- Organize the flow of information between modules and the Training Framework
- Ensure a balance between theoretical information and practical sessions
- Incorporate varied and interactive training techniques
- Prevent repetition of information between different trainers
- Ensure the ongoing interest and motivation of participants
- Ensure that there is sufficient documentation of the programme for future replication if necessary

¹ Learning objectives are what participants will be able to do as a result of the learning activities in this plan.

TRAINING STRUCTURE AND CONTENT

Structure

1. Does the training material contain the following key components:
 - Title Page?
 - Copyright Page?
 - Table of Contents?
 - List of Illustrations?
 - List of Tables?
 - Sections (as many as needed)?
 - Bibliography?
 - Suggested readings?
 - Glossary?
2. Does each section contain the following major components:
 - Section Title?
 - Introduction?
 - Learning Objectives?
 - Body with appropriate content?
 - Explanations of key concepts, tasks, and reference information?
 - Tasks?
 - Section Summary?
 - Assessment tasks?

Content

1. Is the content in line with the needs of the participants (as shown in the needs assessment)?
2. Does the content address the local social, political, economic, and cultural challenges that participants face?
3. Is the content accurate?
4. Does the material increase participants' knowledge of the topic?
5. Does the material teach participants hands-on skills?
6. Does the material provide examples or case studies where appropriate?
7. Are the examples and case studies relevant to participants?
8. Does the content adequately meet the stated learning objectives?
9. Are topics sufficiently developed?
10. Are topics organized in a logical order?
11. Is the content appropriate for the level of expertise of the intended participants?
12. Is the content that is presented in each section of the material appropriate for the time allotted to each section?
13. Is the content of the material appropriate for the time allotted for the entire training programme?
14. Is the content based on the best knowledge currently available?

15. Is the content clearly presented?
16. Does the author of the material adequately cite the sources of his/her information?
17. Does the material provide references to additional information on the topic?

TRAINING METHODS

1. Are the training and learning methods explicit?
2. Are the training methods appropriate for the content?
3. Are the training methods appropriate for the level of target group?
4. Does the programme use a variety of training methods?
5. What will participants do in order to achieve the learning objectives, e.g. complete a course, develop a portfolio, address a problem at her/his institutions?
6. Is there any preparation required prior to training session e.g. reading of articles, collecting of university documents, etc?
7. What kind of materials will best support the training method chosen?
8. Does the training method encourage active participation?
9. Does the training method give participants the opportunity to share their experiences, opinions and expertise on the topic?
10. Who should present the training? Is this necessarily the same person who wrote the materials?
11. Can some of the learning objectives be achieved through other means besides training?

Note

Key factors to consider when selecting a training method:

- Size of group to be trained
- Experience of the trainer
- Maintaining participants' attention
- Variety of material and method
- Available resources/infrastructure
- Duration of the training module and amount of information to be covered in it
- Training aids required to support each method and the time and resources to prepare and use them

TRAINING MATERIALS

- What is the nature of the training materials?
- Which of the following types of materials would be most appropriate for the topic to be covered?
 - Work books – provides basic information, examples and exercises.
 - Self-paced guides – designed for participants to work through on their own.
 - Reference manuals – for containing detailed information on processes and procedures
 - Handouts – provide general information to support training done during the session.

Note

The following should be taken in consideration when designing the materials:

- Content – topics, tasks, procedures and other information arranged in a logical sequence and broken down into small units
- Participants – their reading skills, previous work experience
- How the material is to be used during the training session and/ or afterwards as a reference in the work place

Well-designed training materials can become a valuable source of information for the participants and their organizations.

- Are the materials easy to read?
- Are the materials consistent in the use of terminology, tone and style of writing?
- Do the materials have a uniform structure e.g. include objectives, use the same font, include bibliographies etc?
- Do the materials include a detailed table of contents?
- Are technical terms explained in simple language?
- Are acronyms and abbreviations explained?
- Are illustrations (graphs, flow charts, tables, pictures, screen displays, examples of finished tasks) used to enhance understanding where appropriate?
- Do the materials have an attractive design?
- Who is a suitable writer of the materials? Is this the same person as the presenter or somebody different?

ASSESSMENT

- How will participants be assessed to see whether they have achieved learning objectives?
- Are assessment activities included in each module?
- Are assessment activities included in the materials?
- What documentation will result as evidence of learning e.g. course completion, modified policies, portfolios of key documents?
- Can you check the results of the training against the training goal or learning objectives?
- Can data on participant performance be collected before, during, and after training?
- Will records be kept on the progress of each participant?
- Will participants be tested on the knowledge and skills acquired?
- Will the presenter rate each participant during and at the end of the module?

MONITORING

- Does the material include a process for participants to evaluate the training?
- Does the monitoring process assess
 - How well the training objectives were met?
 - How well the training met participant needs?
 - How relevant the training is to the work that participants do?
- Is the feedback provided by the monitoring process useful for planning future training?
- Is the feedback provided by the monitoring process used to inform future modules/training?
- Will the training be followed up periodically by a council of higher education official to determine the long-term effects of the training?

APPENDIX E

SAMPLE CHECKLIST FOR REVIEWING TRAINING MATERIALS

Module:
Title of training materials:
Name of reviewer:
Date of review:

Please evaluate the quality of the training materials by responding to the questions below. Tick the appropriate column. Provide a suggestion for improvement where necessary or comment if needed.

STRUCTURE OF TRAINING MATERIALS				
1. Does the training material contain the following key components:	Yes	No	N/A	Suggestion for improvement/ Comment
• Title Page?				
• Copyright Page?				
• Table of Contents?				
• List of Illustrations?				
• List of Tables?				
• List of acronyms or abbreviations				
• Sections?				
• Bibliography?				
• Suggested readings?				
• Glossary?				
2. Does each section of the training material contain the following key components:				
• Section Title?				
• Introduction?				
• Learning Objectives?				
• Explanations of key concepts?				
• Tasks?				
• Section summary?				
• Assessment tasks?				
• List of additional readings?				

Appendix E Sample checklist for reviewing training materials

STYLE OF TRAINING MATERIALS				
1. Are the materials consistent in	Yes, mostly	Partly	No, not at all	Suggestion for improvement/ Comment
• the use of terminology				
• tone				
• style of writing				
• use of font type				
• use of level of headings				
• spacing				
• formatting				
2. Are the materials easy to read?				

****THIS CHECKLIST TO BE COMPLETED PER SECTION OF MATERIAL**

Section:

CONTENT OF TRAINING MATERIALS				
	Yes mostly	Partly	No, not at all	Suggestion for improvement
1. Is the content in line with the needs of the participants (as shown in the needs assessment)?				
2. Does the content adequately meet the stated learning objectives?				
3. Does the content address the local challenges that participants face?				
4. Is the content of the material accurate?				
5. Does the material teach participants hands-on skills?				
6. Does the material increase participants' knowledge of the topic?				
7. Does the material provide examples or case studies where appropriate?				
8. Are the examples and case studies relevant to participants?				
9. Is the content appropriate for the level of expertise of the intended participants?				
10. Are topics organized in a logical order?				
11. Are illustrations (graphs, flow charts, tables, pictures, screen displays, examples of finished tasks) used to enhance understanding?				
12. Is the content based on the best knowledge currently available?				
13. Does the author of the material adequately cite the sources of information?				
14. Does the material provide references to additional information on the topic?				
15. Are session topics sufficiently developed?				
16. Are activities included to summarize and review content to ensure trainees learned what was covered?				
17. Does the material suggest possible follow-up activities with participants?				
18. Does the material suggest next steps for learning and development?				