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INSTITUTIONAL ASSESSMENT
OF
THE ASSOCIATION OF AFRICAN UNIVERSITIES
(AAU)

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Final Report

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LIST OF ABBREVIATIONS

AAU	Association of African Universities
AArU	Association of Arab Universities
ACBF	African Capacity Building Foundation
ACE	American Council on Education
ACP	African, Caribbean Pacific
ACU	Association of Commonwealth Universities
ADB	African Development Bank
ADEA	Association for the Development of Education in Africa
AESEDA	Alliance for Earth Science, Engineering and Development
AHEA	African Higher Education Area
AU	African Union
AUCC	Association of Universities and Colleges of Canada
AUF	Agence Universitaire de la Francophonie
AVCC	Australian Vice Chancellors Committee
CAMES	Conseil Africain et Malgache de l'Enseignement Supérieur
CHE	Council on Higher Education
CHEA	Council for Higher Education Accreditation
CODESRIA	Council for the Development of Social Science Research in Africa
COREVIP	Conference of Rectors, Vice-Chancellors and Presidents
CPC	Central Product Classification
CVCP	Committee of Vice-Chancellors and Principals
DAAD	Deutsche Akademische Austauschdienst (German Academic Exchange Service)
DATAD	Database of African Theses and Dissertations
DGIS	Directorate of International Development (The Netherlands)
DOE	Department of Education
ECA	Economic Commission for Africa
ECOWAS	Economic Community of West African States
EU	European Union
EUA	European Universities Union
FES	Friedrich Ebert Stiftung
GATS	General Agreement on Trade in Services
GATT	General Agreement on Tariffs and Trade
GUSS	Ghana University Social Security Scheme
HE	Higher Education
HEAC	Higher Education Accreditation Council
HEI	Higher Education Institutions
HEQC	Higher Education Quality Committee
HETCO	Higher Education Research Training Course
HIV	Human Immuno-deficiency Virus
IAU	International Association of Universities
IDEP	Institute of Development and Economic Planning
IDRC	International Development Research Centre
IFP	International Fellowship Programme
IMF	International Monetary Fund
IUC	Inter-University Council
JAMB	Joint Admissions and Matriculation Board
JCC	Joint Consultative Committees on Education

MAI	Multilateral Agreement on Investments
MFN	Most Favoured Nation
NBEM	National Board of Educational Measurement
NBTE	National Board for Technical Education
NCHE	National Council for Higher Education
NDA	Nigerian Military Academy
NEPAD	New Partnership for Africa's Development
NGOS	Non-Governmental Organisations
NQF	National Qualification Framework
NUC	Nigerian National Universities
NUSIP	Nigerian University System Innovation Project
OAU	Organisation of African Unity
OCAM	Organisation for Economic Cooperation and Development
OECD	Organisation for Economic Cooperation and Development
PSI	Public Services International
QA	Quality Assurance
SADC	Southern African Development Council
SAQA	South African Qualifications Authority
NPM	New Public Management
OAU	Organization of African Unity
PV	Payment Voucher
SADC	Southern African Development Community
Sida	Swedish International Development Cooperation Agency
Sida/SAREC	Sida's Department for Research Cooperation (before 1 August 1995 SAREC was a separate agency – the Swedish Agency for Research Cooperation with Developing Countries)
SUMA	Senior University Management
TRIPS	Trade Related Aspects of Intellectual Property Rights
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNICEF	United Nation's Children's Fund
UNISA	University of South Africa
WGHE	Working Group on Higher Education
WTO	World Trade Organization

1. EXECUTIVE SUMMARY

1.1 Summary

The major factors which necessitated the restructuring of the AAU are the following: Lack of focus and programme coherence; inadequate staffing and staff quality; financial reporting to donors; outmoded corporate governance; apathy on the part of members; contribution to and participation in international activities on Education; over-dependence on external donors. The overall components of AAU institutional and work programme and activities restructuring are as follows: Establish a new management and administrative structure; raise the quality of professional staff; draft a new Constitution and Bye-Laws; develop a plan for medium and long-term development and financial viability; and restore confidence in the AAU, particularly with member institutions, regional and international bodies.

This 15 points summary follows the sequence of the specific elements of the assessment the mission was explicitly required to address. Naturally some of the points mentioned under this heading will appear as conclusions arrived at after having assessed the state of affairs in respect to AAU restructuring results (or outcomes) as referred to in this report. It deals with strategic issues in short paragraphs while a fuller explanation is given in the following section entitled “Conclusions and Recommendations”.

- 1) In response to assessing the extent to which the restructuring of the AAU has addressed shortcomings in financial and programme management identified in the previous audits and evaluations, the assessment team acknowledges AAU’s systematic and deliberate attempt to address these issues.
- 2) The most obvious results of AAU institutional restructuring are: a) the development of three distinctive Departments: Finance and Administration, Research and Programmes and Communication and Services. The day-to-day activities are run by three senior professional highly qualified professionals who are at the cutting-edge of their domain of expertise. The directors of the three departments and the project coordinators enjoy relative autonomy in results of the restructuring and institutional strengthening of AAU in recent years, as well as its current needs - this includes the intended scholarships to the Secretariat.
- 3) In response to question about AAU efforts to increase the membership of the Association and plans for marketing the services provided by AAU to its members the assessment team recognize following two developments: First, the number of AAU member institutions has increased from 179 prior to 2002 to 185 since AAU General Congress of February 2005. Second, the increase of AAU mailing list (postal and electronic) from 200 in early 2004 to over 4500 as of May 2005. The current AAU membership represents about 23 percent of Africa’s 800 higher education institutions. The 185 member institutions in reality represent 60% of the universities and research institutions eligible for AAU membership as set out in its Constitution. However three scenarios are suggested by the assessment team:
 1. Leave it as it is (i.e. \$3,000 for members and \$2,000 for associates), develop a strategy to collect arrears and expel those who fail to meet the deadline.
 2. Create small committee to decide which institutions to be exempted from arrears paying for the reasons given by AAU (i.e. universities in collapsed and failed states, universities in areas suffering from civil strife and universities that remain fully dependent on public finance in countries experiencing severe financial problems);

3. Those universities that do not pay arrears will not be expelled but not allowed to participate in decision making functions or have voting rights in the General Conference.
- 4) The overhead costs of AAU are high. The income is almost the same 2003/2004 and 2002/2003. The total expenditure however decreased with more than 20 % to approximately \$1,600,000. At the same time the administrative costs increased 12 %. The administrative costs 2002/2003 were 25.8 % of the total expenditure. This is explained due to the payment of a total of \$64,413 paid as terminal benefits with the release of the previous Secretary General and the Head of Finance and the recruitment of the Director of Research and programmes estimated at \$33,250. It contributed to the percentage increased to 36.5 % in 2003/2004. The costs for programmes 2003/2004 was only $\frac{3}{4}$ of the costs 2002/2003. The restructuring was supposed to decrease the administrative costs but the reality is the opposite. We have also compared the budget and the actual expenditure for the Study Programme on Higher Education Management in Africa July 2003 – June 2004. The actual cost for coordination is 69 % over budget. The costs for research and network are much lower than budgeted. The cost for coordination amounts to 77 % of the total actual expenditure. The overhead cost remains high in the plans for the forthcoming years. The annual administrative cost is calculated to over \$700,000 in the proposal for institutional support 2005-2007. In addition, the Statutory Meetings 2005 are calculated to \$470,000.
- 5) In assessing capabilities and transparency in the administration of funds (accounting routines and procedures, internal control and reporting system), the assessment team has verified the new role of project and programme coordinators. Both in policy and what is actually practiced since the restructuring, the programme and project coordinators checked to make sure that they operate within their approved budgets; they are directly responsible for filling the Expenditure, Initiation and Authorization Form to be approved by the Director of Programmes and Research. The programme and project coordinators are responsible for monitoring and requesting expenditure states of their respective programmes or projects. On the whole, this process signals a significant improvement from what was practiced during pre-2002 period. It has increased transparency and eliminated the Secretary General's competence to authorize expenditure or withdraw of funds from the programmes and project accounts.
- 6) The assessment team assessed the administrative procedures relating to financial management, materials procurement. It also assessed the effectiveness of the manuals and policy guidelines available for these purposes. It interviewed the financial management staff to attest to whether they have understood these new procedures and manual. The finance and management staff is fully aware and has actually begun to implement the new Accounting Policies and Procedures Manual to a large extent. However, the assessment team observes that this is still a work in progress.

One element of the Terms of Reference is to assess the overall risk level in financial transactions by AAU of projects that form part of specific programmes; and in transactions from ADEA to WGHE/AAU. However, the mission was not able to perform this specific requirement of the TOR because the type of risk assessment required by external evaluators is contingent on AAU conducting as a matter of policy regular risk assessment. Neither AAU nor WGHE has carried out any risk assessment that would have enabled the assessment team to perform this task. None the less, the conclusions, recommendations and indeed the report summary are indicative to various levels of risks and opportunities, which the assessment team has clearly identified.

- 7) In assessing the AAU publications, the assessment team is impressed by the diversity of information outlets in form of both virtual and printed materials. However, the assessment team is hugely disappointed with the lack of scientific publication or materials published in recognized journals, proceedings published by regional or internationally recognized publishers. The bulk of AAU publications falls in the category of in-house “grey literature” ill-suited for citations in social or natural science citation indices. The quantity of publications between 2001 and 2004 is equally meagre.
- 8) AAU has not developed verifiable methods or identified any indicators for the measurement of results. As will be noticed in the recommendations below, the assessment team made it a requirement that AAU should take serious steps towards achieving this goal. Sida/SAREC should also make it a requirement in their AAU future funding that it should develop such indicators for measurement of results.
- 9) The Report’s sub- sections on membership and marketing services address this aspect of the assessment. The assessment team is satisfied with the current level of fees (\$3,000 for full members and \$2,000 for associate members. Therefore the problem is not the level of subscription fees levied by AAU, but rather the member institutions inability or unwillingness to pay accumulated arrears of \$2,304,369 (Two million, Three hundred and Four thousands and Three hundred and Sixty Nine US Dollars). Majority of members (60 percent) were in good standing and by the end of December 2004 about 75% of the arrears were owned by 27% of AAU member institutions. The subscription arrears are equivalent to the last year’s AAU annual budget. The assessment team cannot overstate the importance of subscription fees for AAU financial sustainability, enticing donors to continue their support through cost sharing and other ‘smart’ financial arrangements.
- 10) All obligations of the AAU to Sida/SAREC and DGIS (earlier: NEDA) and to other donors that have possibly contributed funds to the same programmes that were/are funded by Sida and DGIS in the past four years are regulated in contracts. The only programme with unrestricted funding from two donors is the Study programme funded by Sida/SAREC and DGIS.
- 11) The assessment of actual reporting requirements to donors and their fulfilment shows the difficulties for AAU to meet all the individual requirements. The AAU produces financial statements on an annual basis ending 30th June. It would be best for the AAU if the annual audited financial statements could be used to report on all projects while quarterly financial statements can be produced up to end of September, December and March. Separate project accounts can then be produced to the quarter dates. Harmonisation can best be achieved if uniform reporting periods could be agreed for all projects. At the minimum, donors funding the same project should agree to same start and end periods. The reporting date is most convenient if it falls on the quarter dates or the year-end. Harmonisation is best achieved if a financial statement common to all donors could be prepared.
- 12) The translation from strategic plan(s) into more operational plans and programmes has taken place albeit within the parameters of the already existing programmes and projects. There are several possible relationships as various parts of the Report alluded to. However, there is no systematic and deliberate synergetic and coordination of efforts to integrate or rather develop a matrix to explore whether overlaps of “programmes scientific objectives” indeed exist. As we report on the section on monitoring and evaluation, the intellectual exchange between the programmes and projects is absent, a condition which is not amenable to exploring possible

relationship and overlaps. However, the assessment team has not found any overlaps between various (core and specific) programmes (including proposals presented to donors) although some programmes are funded from different sources (for example, IDRAC and DAAD support of Staff Exchange).

- 13) At present, the AAU provides a single audited financial statement, but different reporting requirements, formats and times, which sometimes results in duplication/difficulties. The AAU would have preferred a consolidated, multi-donor report at uniform intervals. AAU is responsive to the idea to present to its donors multi-donor consolidated chartered accounts yearly.
- 14) Some improvement has occurred could be attributed to the restructuring coupled with the new management structure and the recruitment of highly qualified professionals as directors (research and programmes, finance and management and communication and services) rather than an emergent new leadership style. However, there is an evolving organizational culture as described in the section on organizational culture.
- 15) Due to the external environment in which AAU operates (both in responding to expanded stakeholder demands and donor initiatives), it confronts increasing difficulties in coping with pressures exerted by a highly demanding – and rightly so- external context. Expanded stakeholder demands often amplify the pressures by offering broad please-all programmes and projects lacking in focus and depth. In such situations, AAU is forced to spread its meagre human and financial resources so thinly that it neither maintains itself as an organization (overworked staff, insufficient resources) or to offer quality services. Such constrains produce malaise and develop an organizational culture incommensurate with its mandated objectives.
- 16) One element of the Terms of Reference is to assess AAU's possibility to present to its donors multi-donor consolidated chartered accounts yearly. At present, the AAU provides a single audited financial statement. It involves different reporting requirements, formats and sometimes results in duplication/difficulties. The AAU would have preferred a consolidated, multi-donor report at uniform intervals. In the proposal for Institutional support (2005-2007) AAU has presented a Global Budget including a summary of grants by donors (2004-2005).

1.2 Conclusions and recommendations

This sub-section summarizes the bulk of the Report which provides much-detailed conclusions followed by the recommendations. Because the issues each section or sub-section articulates respond to more than one element of the Terms of Reference, it is sought to offer a synoptic characterization of the issue which gave rise to the recommendations therein.

1.2.1 Elements of AAU restructuring

i. Institutional Restructuring

Conclusions

During 2002, AAU principal organs were aware of an ensuing crisis, which necessitated the need for undertaking series of administrative changes in order to articulate an improved management. Therefore the restructuring was a response to internal considerations as well as donor driven, considering AAU dependence on external resources to finance its programmes and projects. Whether the response of AAU principal organs is adequate or not, will be dealt with in the next

section of this Report which deals with the extent to which institutional restructuring has thus far produced substantive changes in the Secretariat's organizational culture and management style.

AAU administrative restructuring has produced a new organizational structure that responds to its three main activities: i) Research and programmes management, ii) communication and services and iii) finance and administration. It created a structure with four vertical hierarchical levels reducing instead of seven Administrative layers. Unlike the pre-restructuring horizontal structure, vertical structure has clear lines of "command", responsibility, duties and obligations contributed to more effectiveness in the AAU operations at the programme level. However, introducing such a structure without proper training or appropriate level qualifications and experiences, would prolong the "experimentation" period and may not deliver the quick results AAU Secretariat aspire to attain in order to convince donors of its worthiness of their support.

Some of the staff emphasised that the restructuring of the Secretariat is not sustainable. The number of staff is on a minimal level that makes AAU extremely sensible to drop outs of key persons. The Secretary General's ability to enthusiasm and maintain staff is put in question by some staff members. If not handled promptly and adequately, the restructuring of AAU administrative and financial management structures may generate quick tangible changes than expected in the short-term, but their long term sustainability remain contingent of AAU senior management vigilance and prudent monitoring and evaluation in the medium-term. The fact that almost all the senior staff is relatively new which nullifies the question: Who in the strategic leadership drives change and who has foreseen the incentives of the new system and therefore champions a performance driven institutional restructuring. A leadership change at the Secretariat level at this stage is neither desirable nor practicable and would feed into the recent dented institutional memory of financial mismanagement. Given the benefit of the doubt and with due consideration to the restructuring process underway, it is advisable to consolidate the current gains, strengthen donor monitoring instruments and request timely financial reporting.

The appointment of highly qualified professionals in the functions of directors of a) Research and Programmes, b) Communication and Services and c) Finance and Administration has been completed. The restructuring stipulates that middle-range support staff is on probationary contracts for two years after which their performance will be evaluated to decide their future within the AAU. On the one hand this will fall into the pattern of high staff turnover; on the other hand, it creates a performance oriented organization that gets better deal from its employees.

The AAU is aware of the implications of the call for decentralizing the implementation of some AAU programmes and projects to the sub-regional level: high administrative and overall cost, fear of replicating some AAU past "unpleasant" experiences and institutional proliferation at best and institutional fracture at worst. AAU alternative is to delegate the implementation of some of its projects to specialized national, sub-regional or regional higher research and training education institutions. However, the assessment team is doubtful whether AAU staff, both senior and professional, could spare any more time to coordinate sub-regional activities while the current number of unfocused programmes and projects inherited by the current Director of research and programmes maintained the same level of activities.

The costs for Statutory meetings are very high and there are no proof of "value for money" having both a General Conference and the Conference of Rectors, Vice Chancellors and Presidents of African Universities (COREVIP). The assessment team was not satisfied with the explanations justifying why the AAU organs still retain the out-dated COREVIP should meet biennially. The biennial conference is costly and unnecessary and could be reduced to a pre-General Conference meeting held every four years, and a second meeting to held in-between

back-to-back with a flagship conference. This suggestion will be carried forward as recommendation.

Although the restructuring measures undertaken will certainly lead to restoring confidence in the AAU, the assessment team was not in a position, given the limitations in the ToR to canvas a wider spectrum of views. However, the mission did involve visits to and interviews with a small sample of member institutions to gauge their views. From these limited exchanges we can testify that there was a grain of optimism as to the current development in AAU.

AAU Strategic Plan (2003-2010) is developed and approved by the Executive Board 60th meeting in Senegal in June 2004 (Annex 5). The objectives of the Strategic Plan which also tally with the overall objectives of AAU are as follows:

- i Promote and facilitate networking, collaboration and experience-sharing in teaching, learning and research;
- ii Improve leadership, institutional management, and the policy environment of African higher education;
- iii Empower AAU to address developmental challenges, and become an effective voice in national, continental and global bodies;
- iv Facilitate mutually beneficial interaction between member institutions and the external academic and other communities;
- v Provide effective representation of African HE community in regional and international affairs;
- vi Improve governance and organizational framework of the Association;
- vii Raise the efficiency and effectiveness of the Secretariat; and
- viii Provide the Secretariat with a secure and adequate resource base for the pursuit of the Association's goal.

The use of the Logical Framework Analysis and the detailed plans for drafting Transitional Arrangements, in our view is a direct response to some of the substantive requirements demanded by the Sida/SAREC Action Plan (2002).

Because the 2005 Constitution is still relatively new, dating to February 2005, the drafting of the AAU byelaws is yet to be commenced. The Secretary General alluded to June 2006 as the target date for putting in place byelaws that would in effect provide the legal framework to support the policy frameworks enshrine in the Constitution (2005) and operationalized by the Strategic Plan (2003).

AAU has spent a lot of money on gender programmes. However, there is no woman in the senior management team (out of four) and no woman in the Executive Board (out of 14). AAU doesn't have any gender strategy to increase the organisation's gender sensitivity.

AAU has not presented any risk management assessment. Risk management assessment involves identification of major risks across a wide range of categories including governance, strategic (long-term), operational (day to day), financial, compliance (with constitution, legislation, regulations etc). Risk assessment has to be carried out by the organization itself. It should for every defined risk include an assessment of impact and likelihood, process in place, action plan and responsibility for action.

Recommendations

1. With the various elements of administrative restructuring and the proclamation of the policy frameworks, AAU restructuring should in the long-term ameliorate performance, increase efficiency and effectiveness, improve vertical and horizontal communication and coordination of efforts and eliminate undesirable practices. However, the structure is still relatively new and should be internally monitored, evaluated and systematically adjusted to new circumstances as they arose in order to redress weakness and improve on strength.
2. AAU should devise a system to ensure compliance with the provisions of the Constitution, the new management structure and the subsidiarity principles conferred on the heads of departments, to take responsibility of day-to-day activities, planning and implementation design, financial management and budget control of their respective domains of operation.
3. AAU Secretariat should pay serious attention to the completion of the byelaws which will provide the legal framework which confers legitimacy on the newly established policies and functions of the Secretariat.
4. The 2005 Constitution does not provide a clear definition of decentralization (Article III.3). In the assessment team's discussion with the Secretary General and the Vice Chancellor of the University of Ghana, it became apparent that decentralization here refers to devolution or rather delegation of some AAU activities to sub-regional higher education institutions (e.g. the AAU Memorandum of Understanding with Cape Town University to execute part of the Gender Programme).
5. Both in principle and practice, the new structure is devoid of any policy aims towards ameliorating the coordination of efforts, communication and synergy between the newly established departments and their core programmes and projects require serious consideration by AAU secretariat. It is recommended that AAU should develop a policy in order to ensure the communication, synergy and coordination of efforts amongst its department, programmes, projects and activities.
6. As a mean of changing focus from implementation to coordination AAU should establish a structure of Centres of Excellence by strengthening Local Implementation Partners.
7. The governance structure should be reviewed as well as the cost-effectiveness of the statutory meetings. Especially important is to review the role of COREVIP and Executive Board and frequency of meetings.
8. AAU should as a part of its Gender programme include a component addressing the organization's own gender strategy.
9. AAU should carry out a risk management assessment.

ii. Responding to Sida/SAREC Action Plan

Conclusions

Section 1 of the Action Plan consists of urgent issues that should be resolved before Sida disburses any further funds to the AAU. AAU has, by and large, implemented the nine

requirements set forth in this section. The only remaining issue is related to requirement five which stipulates that; *“The AAU was requested to issue ToR for external auditors and submit such ToR together with supporting documents. The AAU was requested to submit ToR to Sida before July 31st. It is stipulated in the Action Plan that AAU should agree to this action before further disbursement of funds can be released”*. The external auditor has not been a subject for a tendering process for many years, if any. This continuity of this state of affair is explained in p.57.

AAU high level of compliance with Sida/SAREC Plan of Action has also resulted in an attempt to incorporate these elements in the new accounting policies. In the following section we elaborate on AAU financial restructuring. Also benefiting from the Strategic Plan (2002) we explore how certain elements of the Action Plan have been institutionalised and became part of the AAU accounting policies and procedures.

Recommendation

1. Improve channels of communication between AAU, Sida/SAREC and DGIS

iii. Financial Restructuring

Conclusions

AAU has taken the implications of not fulfilling the requirements put forth by Sida/SAREC Action Plan, including the possible withholding of funds, seriously which explains why it embarked on implementing it by responding to most of its recommendations.

In an attempt to distance itself from AAU pre-2002 tarnished image, the new recruited expatriate professional staff and the Secretary General to open a new chapter in AAU work practices and ethics as well as relations with donors. In particular the new recruited expatriate professional staff has brought to AAU diverse experiences, skills and competences which managed to turn the AAU around in a relatively short span of time.

Sida/SAREC Action Plan was an efficient instrument for measuring practical steps taken by AAU in order to respond to the sloppy manner in which it managed its pre-2002 finances, also leading to concrete restructuring processes and actions.

It has also provided a learning/educational instrument for improving AAU financial systems management resulting in an improved accounting policies and procedures (published in October 2004).

If the actions taken by the AAU as a result of Sida/SAREC Action Plan are ameliorated and sustained, it would have an extremely positive effect in instilling desirable work ethics routines, regular reporting and a sense of predictability. It is, in a sense, dependent on AAU ability to stay the course, retain the current senior professional staff and avoid high senior staff turnover that characterized its pre-2002 mode of operation.

The financial restructuring resulted in a decrease in expenditure from \$2,587,076 in 2001/2002 to \$1,573,419 in 2003/2004. The administration costs have increased 12 % between 2003/2004 compared to 2002/2003. At the same time the total expenditure has decreased.

Recommendations

1. The assessment team recommends AAU to follow-up on outstanding issues to ensure continued compliance with account policies and procedure manuals.
2. AAU should embark on exploring ways and means to reduce the current high administrative costs, including focusing the programmes and procuring more funding to expand the participation of the member institutions.
3. The AAU is advised against complacency and the possible return to pre-2002 mode of operation. It has to review its internal structures systematically and regularly so that it could sustain the improvements it made thus far.

1.2.2 Restructuring outcomes

In the following section, the assessment team will proceed to further elaborate, examine and offer more structured accounts of the AAU restructuring process and its outcomes.

i. Financial management competences

Conclusions

The recruitment of the current Head of Finance and Administration signals a positive step in AAU attempt to improve its image and operate as a professional organization that meets the required financial management standards. A few words about the new Head of Finance and Administration: A University of London graduate in Financial Economics, Fellow, Association of Chartered Certified Accountants in the UK since 1997, Controller and Accountant General Department as an accounting consultant (2003-2003), and Registrar/Chief Executive Institute of Chartered Accountants (Ghana) 1996-2002, and Audit Manager in firms of Chartered Accountants in the United Kingdom, the new Finance and Administration Director, is a very qualified person, who put his imprint in the reorganization and applied AAU account policies and management procedures. By admission of the program and project coordinators, the Department of Finance is in a better shape and more transparent than pre-2004 period

The Senior Principal Accounting Officers and the Assistant Principle Account have long history with AAU dating back to 1993 and 2000 respectively. Both of them are competent and at the cutting-edge of handling the responsibilities under their purview and in fulfilling the requirements their jobs and portfolio demand.

The present cash based accounting system makes it very difficult to increase the transparency in reporting. In the opinion of the assessment team it should be replaced by a FM-system based on accrual accounting. This has been discussed within the Secretariat but not with the Executive Board. The implementation of a new financial management and accounting system required by Sida/SAREC will put a heavy work pressure of the financial department of three persons, particularly considering that AAU currently runs more than 21 programmes, projects, daily financial routines and payroll activities. All programmes and projects require either biannual or quarterly expenditure and financial status reports as well as annual financial reports.

The financial department attributed past financial mistakes, among other things such as the previous Secretary General control over finance, to constantly making frequent short notices to pay expenses, travel allowances, financial reporting, in addition to monthly payroll functions and lack of prompting by programme coordinators. They also stated that a few days of absence by the

Senior Principle Accounting Officer or the Assistant Accountant, contribute to large backlog of work, including late financial reporting despite the good intentions of the financial department and the project coordinators.

The assessment team urges the AAU to move quickly towards making the introduction of the long awaited accounting software a reality. The assessment team also cautions AAU that the introduction of the new software is not a panacea that would overnight produce financial efficiency. First, changing the accounting and audit routines, with the introduction of the new software, would initially exert extra pressure, particularly before comprehending the routines it involves. Second, the accounting outcomes of the installing the new software are as good as the data the accountants feed into it, hence the need for proper training for the Finance Department as well as the senior management and project coordinators who should also be able to generate the data they required efficiently instead of turning the Finance Department into an overburdened “help desk”.

Recommendations

1. It is the view of the assessment team that the Senior Principal Accounting Officer and the Assistant Principal Accountant will not be able to cope with the current level of financial management and accounting demands. The assessment team urges Sida/SARECT and DGIS to include in Phase III budget an Assistant Principal Accountant to be wholly devoted to the Study Programme. It is the best interest of donors and AAU and could also increase the frequency of financial reporting to quarterly reports in lieu with other donors’ requirements.
2. Implement the long-awaited software to improve and where relevant consolidate recent gains in accounting policies and procedure manuals.
3. The cash based accounting system should be replaced by a FM-system based on accrual accounting.

ii. Internal financial controls, accounts and audit verification

Conclusions

The new (Oct 2004) Accounting Policies and Procedures Manual is comprehensive. It is to a large degree implemented in the organization. However there are some outstanding gaps. Fixed Assets Register should be maintained according to the manual. There is no process for selling assets defined.

The accounting procedures are documented in the Accounting Procedures Manual. The work is carried out as stipulated in the manual. The procedures are functional. There is an internal control system that is practiced.

One of the requirements for the new financial management (FM) system is that it should be able to manage all sources of funds, and should have a chart of accounts covering specific needs of different funds. The system shall work in an accrual basis, and not under the current cash basis. It is intended that a new FM-system will be compatible with all donor classifications, so that their reports can be generated easily. It should also meet international standards.

There is no system in place for management response to audits and evaluations. However, the Department of Finance and Administration follows up on all audit reports and ensures that queries are answered and criticisms addressed.

Harmonisation is best achieved if a financial statement common to all donors could be prepared. A consolidated, multi-donor report at uniform intervals would decrease the administrative costs for reporting significantly.

Recommendations

1. The new Financial Management system working on accrual basis should be compatible with all donor classifications.
2. AAU should produce a management response on all audits and evaluations.
3. Sida and DGIS should be provided with the management response when Sida- and DGIS-funded projects are involved.
4. AAU should include costs of an annual tendered audit in its general budget.
5. Fixed Assets Register should be maintained.
6. Selling process for outdated assets should be defined.

iii. The planning process

Conclusions

The assessment team has not found any overlaps between various (core and specific) programmes (including proposals presented to donors).

Not a few of the professional staff members have difficulties in planning their day to day work. The reason is a high frequency of ad hoc demands from the leadership instead of clear commitments on agreed work plans.

Recommendation

1. Detailed annual work plans should be in place for each team (department) and each individual staff member.

iv. Reporting

Conclusions

The Executive Board is supposed to approve the audited financial statement for 2003/2004 at the meeting in June 2005, almost one year after the end of the financial year ended. This is not acceptable. The audited financial statement for 2003/2004 should have been approved by the Board not later than in October 2004. The Board has to approve the budget before the commencement of the new financial year. Thus the Board has to meet at least twice a year. However, the meetings of the Executive Board are extremely expensive (approximately \$60,000 each). AAU should consider having a Board with fewer members meeting at least twice a year and also having telephone meetings when needed.

Harmonisation is best achieved if a financial statement common to all donors could be prepared. A consolidated, multi-donor report at uniform intervals would decrease the administrative costs for reporting significantly.

Recommendations

1. AAU should propose to its donors that they are willing to accept consolidated, multi-donor reports at uniform intervals should be implemented.
2. The audited financial statement should be approved by the Executive Board not later than in October.
3. AAU should consider having an Executive Board with fewer members meeting at least twice a year and also having telephone meetings when needed.
4. The Executive Board has to approve the budget before the commencement of the new financial year.

v. Monitoring and Evaluation

Conclusions

AAU Annual Monitoring and Evaluation activity is programme/project-based and does not involve any peer review or even attract an informal external critical voice such as the Scientific Committee. The M&E process is not based on examining verifiable results and tends to privilege positive narration of events and activities. There is also insufficient comparative material from previous years to attest to whether any integrated or comparative performance evaluations and approaches have been adhered to.

As stated earlier when commenting on the new administrative structure, the communication, synergy and coordination of efforts among AAU programmes and projects are inadequate. The *Study Programme on Higher Education Management in Africa* is not an exception and therefore proper linkages between it and other programmes and projects is yet to be streamlined and built into a policy capable of enhancing the intellectual debate, increasing financial and other resource allocations and management effectiveness.

Recommendations

1. AAU Annual Monitoring and Evaluation of programmes and projects is routinely carried out. However, M&E has to shift from programme/project-based activity to an integrated and better coordinated AAU-wide exercise that enhances interactions and linkages between the programmes, improve communication and explores their respective contribution to the achievement of AAU mission and vision.
2. A critically constructive voice has to be injected into the Annual Monitoring and Evaluation activity so that it develops from a mere reporting instrument to an effective evaluation tool that can assist the AAU management to re-direct programmes, take timely corrective actions and explore potential synergies, including cost-sharing possibilities.
3. AAU should develop indicators for result measurement, applying logical framework analysis to ensure that the programmes' objectives are realistic and achievable.

vi. Gender and Higher Education

Conclusion

Gender and higher education represents a new phase in AAU project management where implementation is delegated in the principle of local implementation partners is applied. However this experience is too new and therefore has to be monitored closely in order to ensure proper implementation and efficiency.

Recommendation

1. AAU should put in place monitoring and evaluation procedures for joint implementation with local implementation partners in terms of clear implementation timeframe, coordination and networking.

vii. Organizational culture and management style

Conclusions

The assessment team is only able to offer some scanty observations worthy of noting in the bid to improve AAU organizational culture and management style since the onset of the restructuring process in 2002. However, the assessment team observed that some of the negative aspects of AAU organizational culture were inherited from how it has been operating for good part of its existence since 1967. It is somehow surprising that the donors and AAU's governing body were either unaware of the situation or kept silent until the onset of Sida/SAREC Action Plan of 2002.

From organizational culture viewpoint, AAU senior management style is ad hoc and as such hinders the flow of information about the decision-making process and the strategic decisions made at that level. In some circumstances it has restricted the flow of information either only to those at the senior management level thus leaving the other organs of the institution unaware of the new policy directions. Or information is circulated to a few staff members within the senior management leaving some being left out. At worse, this management style is not transparent and absolves the Senior Management from the burden of horizontal accountability and transparent decision-making process.

Over dependence on informal e-mail and Internet communication portals cannot be a substitute to the establishment of formal information flow mechanisms, nor can this compensate for regular and periodic meetings that involve various levels and thematic probing of issues fundamental to the AAU mission both intellectual and administrative in nature. Unless fundamentally transformed over time, the current organizational culture does not lend itself to ensure the flow of information of the decision-making process, transparency, trust and loyalty to the institutions' objectives, vision and mission.

Currently AAU has no personnel and/or human resources management portfolio. In the circumstances employment issues are left either to the Secretary General or to the Director of Finance and Administration. At the absence of a "trade union" or AAU employees association to safeguard their interests, the Secretary General and the Director of Finance and Administration become judge and jury. The absence of such "separation of powers" and responsibilities feeds into a culture of fear amongst the employees and may breed unwanted hierarchical leverage that favours management vis-à-vis employees at the lower ranks. It is necessary to create a team spirit and to form an institutional culture where the staff can be proud of the result of AAU's work.

Recommendations

1. AAU senior management team at the Secretariat should, as a matter of urgency, institute an organizational culture of formal regular and periodic meetings, with agenda, decision points and follow-up procedures to replace the current ad hoc verbal consultations. Transparency and holding the senior management accountable require that the list of decisions taken (except for sensitive discussions about individuals' performance and evaluation) in official senior management meetings should be published e-mailed and posted in the AAU Information Board. The Senior Management Board should avail itself to written communiqué to answer queries and questions on the content of the minutes, without intimidation or reprimand.
2. By necessity establishing personnel and human resources development department should seek to improve the skills and quality of its employees, improve their research, training and managerial so that they could improve their performances.
3. AAU should develop an evaluation and performance review system conducted under the preview of the personnel/human resources management portfolio to replace the current system of ad hoc reprimand which could also lead to grievances and create acrimonious and unhealthy work atmosphere.
4. AAU senior management should take steps to develop a collective AAU identity through team building, mutual respect in order to instil a new and positive organizational culture. One-day team-building workshops and retreats are known methodologies the AAU could experiment with.

viii. Membership fees and levels of cost-sharing

Conclusions

According to AAU records and a recent survey conducted on membership subscription arrears, 60% of the member institutions pay their subscription fees.

It is decided at the 56th Meeting of the Executive Board in Nairobi, Kenya, on February 1 and 2, 2001, that "members in arrears of 5 years or more will have a grace period up-to-the COREVIP (2003) to *pay up or be suspended* from the Association". However, no non-paying member institution has been suspended. A report on subscription payments presented at the 61st (Special) Meeting of the Executive Board (Cape Town, February 17 - 18, 2005) reveals that in December 2004, unidentified subscription payments stood at \$92,844.16, a figure that has remained constant for about a year.

When calculated against an actual figure of 179 member institutions: 174 full members (at \$3,000 annual subscription fees per annum) and five associate members (at \$2,000 subscription fees per annum) AAU annual income from subscription fee alone should stand at \$532,000 annually. The cost for the administration 2002/2003 was \$526,623. This demonstrates clearly that membership subscription fees could become the main sources for AAU finances if timely payments by all member institutions is complied with.

The unpaid membership subscription arrears are an equivalent to at least the budget for administrative costs of four financial years.

Recommendations

1. For AAU's own financial sustainability and continuity as an independent institution, it should set up a "Goodwill Committee" from prominent African and international educators to support its efforts to collect the subscription arrears.
2. A system should be devised where donor financial support to AAU is made contingent on cost-sharing. It is only then that member institutions that have stake in AAU objectives, vision and mission will become active stakeholders.
3. The assessment team judged the current subscription charges of \$3,000 for full membership and \$2,000 adequate and could go long way to contribute to AAU's financial sustainability. However, subscription arrears' payment is contingent on the success of the administrative and financial restructuring process currently underway. However three scenarios are suggested by the assessment team:
 - 1) Leave it as it is (i.e. \$3,000 for members and \$2,000 for associates), develop strategy to collect arrears and expel those who fail to meet the deadline.
 - 2) Create small committee to decide which institutions to be exempted for the reasons given by AAU (i.e. universities in collapsed and failed states, universities in areas suffering from civil strife and universities that remain fully dependent on public finance in countries experiencing severe financial problems);
 - 3) Those universities that do not pay arrears will not be expelled but not allowed to participate in decision making functions or have voting rights in the General Conference.

ix. Publication Types and Quality

Conclusions

On the whole, most AAU publications are in-house printed and therefore fall within the "grey literature" category and will certainly not find their way to international social science and the humanities or natural science Citation Index. The assessment team checked the Social Science Citation Index and none of the AAU publications were mentioned. Even libraries of global reach retain both heavily refereed and quality reference grey material such as the Library of Congress and the British Library Catalogue do not include any of the AAU publications. The only exception to this is AAU published *Guide to Higher Education Institutions in Africa* (Palgrave/Macmillan), which is promotional/informative and not a scientific book.

Therefore, the greater proportion of AAU publications can be classified as "grey material", with highly informative value and meagre contribution to the "science" of higher education policy, management, curricular development, quality-education, innovation in research and teaching material development. AAU publications neither represent a serious effort to create a distinctive African higher education area.

The revitalization of the Scientific Committee in order to support AAU new policy orientation is a welcome development.

The assessment team failed to trace the documentation pertaining to administrative or byelaw ushering in the Scientific Committee's establishment, objectives, organizational structure, rights and obligations of its members (if any) and their relationship with AAU

Recommendations

1. Financial effectiveness and efficient use of relatively small number of employees in the Communication and Services Department also responsible for publication, requires that AAU must reduce its current large number of information and promotional materials to a manageable proportion (see list of types of publications in this section).
2. E-publishing has gained respectability world-wide. AAU should make use of e-publishing, as an alternative to prints and not both, particularly in relation to promotional and general information, newsletter etc.
3. For AAU to fulfil the objective of providing intellectual leadership, the quality of its publications must improve significantly. Before ensuring the quality of research in higher education institutions across Africa, AAU itself must move away from in-house publishing and develop mechanisms for proper peer reviewing, publish with regionally and internationally recognized publishing house.
4. AAU single country studies (for example, several country studies on HIV/AIDS) defy AAU's objective as an inter-university association responsible for "*collecting, classifying and disseminating information on higher education and research particularly in Africa*". While single country studies are important and could be commissioned by using university resources, AAU must engage in multiple country studies that encourage cooperation and regional exchange of best practices in higher education, research, curriculum development, policy and management.
5. The current role of the Scientific Committee has to be institutionalised and covered in an AAU-wide policy directive that expands its quality assurance role beyond the *Study Programme on Higher Education Management in Africa* and include peer reviewing all AAU manuscripts before their publication.
6. AAU must include in its research and programme activities at least one annual flagship conference that deals with issues at the core of its mandated objectives and mission. Contributions to such a conference should be vetted with the manuscripts for the proceedings peer reviewed before publication with an independent regionally or nationally recognized publisher.

x. Benchmarking

Conclusions

AAU should study carefully the modes of operations of other university associations in order to learn about best practices in at least three areas: 1) management, 2) networking and coordination and 3) decentralization of activities and implementation by local partners;

ACU offers a relatively better institutional framework for diversity income generation sources and as a charity voluntary organization, cost-effective service provider it can assert its independence while experiencing less financial risks. ACU ensures quality results by delegating programmes to specialized regional institutions for implementation. This also means that ACU can exercise scrutiny and accountability because it does not implement projects.

Another best practice associated with AArU is that its executive body has a short life span, operated by enthusiasts who return to their university base in one year. One drawback of short tenure is that it does not sustain continuity or nurture an effective institutional culture.

Both ACU and AArU have developed very interesting and innovative strategies for inter – university cooperation by creating a platform for Commonwealth-wide or Arab World-Wide higher education policies, management and human resourced development. Unfortunately, AAU has much to be desired in this respect.

Recommendations

1. AAU should study carefully the experiences of other university associations; this could include a full-fledged benchmarking exercise to attest to the desirability of one scenario over the other.
2. AAU should take decentralization of activities very seriously. AArU model seems practicable in a sense that its science (social and natural) is much wider. Working through independent local partners means that the scientific orientation of AAU should not be that of its leadership (currently lawyers and social scientists) and be able to commission work to specialized institutions while makes demands for interdisciplinary work
3. AArU research prize and AArU and ACU flagship conferences provide Best Practices that AAU could ameliorate.

1.2.3 Miscellaneous

There are two outstanding elements of the Terms of Reference that is not addressed in the thematic sections. These are: a) Services Marketing and b) DATAD.

i. Services Marketing

Apart from the use of publications such as the Newsletter, the annual report, the AAU e-Courier, and the Calendar as marketing tools, the Department also used the following approaches for services marketing:

- Advertisement on the AAU Website
- Flyer Dissemination
- Charges for displaying publications
- Sale of AAU Publications
- Organisation of Parallel Events
- Tendering for consultancy services
- External Evaluation Services

While AAU and the Department of Communication and Services should be applauded for having taken commendable steps towards marketing AAU and the market-based services it could deliver, the departure of the Department's dynamic director is regrettable.

Recommendations

1. AAU should take stock of the departure of the Director of the Department of Communication and Service and examine whether they are a result of the current organizational culture and leadership style or any other factors that should be addressed so that AAU is able to retain it highly qualified and professional staff.
2. The appointment of a new Director of the Department of Communication and Services should be mindful of the achievements of her/his predecessor and to be capable of sustaining and consolidating the current level of achievement.

ii. DATAD

Despite its relevance and significance to AAU objectives, mission and vision and considerable achievements in a relatively short span of time, DATAD operates under many difficulties, major among them:

- Ambiguous status i.e. neither a project with secure funding considering its importance or a programme with long-term secured core support;
- Despite the fact that DATAD has developed an ambitious action plan and the modalities for implementing it, it seems from the discussions that the assessment team has with the coordinator that Phase II funding is still not forthcoming.

Recommendation

1. The ambiguity surrounding DATAD position within AAU should be resolved either by alleviating it to a long-term core programme or financing it to operate within specific time frame and focus on a set of specific objectives and activities. However, databases are not short-term investments and as such the termination of DATAD will be a great loss of a successful investment.

2 BACKGROUND

2.1 Introduction

The Association of African Universities (AAU) was created in 1967 and is mandated with the task of promoting cooperation and exchange of ideas on higher education issues through research training, curriculum development, and dissemination of information. Furthermore, AAU is to make known the educational and related needs of African university institutions and as far as practicable, to co-ordinate the means whereby those needs may be met. The Association is also expected to encourage the development as well as wider use of African languages, and to encourage increased contacts between its members and the international academic world.

The Association's principal organs are the General Conference (meets once every four years), and the Conference of Rectors, Vice Chancellors and Presidents of African Universities (COREVIP) (meets every two years). The Executive Board is elected by, and answerable to the General Conference, supervises the activities of the Secretariat. The Secretary General is the head of Secretariat and is responsible for executing AAU objectives according to policies developed and decided upon by the General Conference.

AAU commenced its activities with 34 member institutions; the Association has grown in number to 185 higher education institutions in April 2005, drawn from 43 African countries.

The following short summary and succinct description of AAU Programmes and Projects as provided by the Head of Research and Programmes, with modifications intended to ameliorate the tenets of this assessment and provide basic information.

2.2 AAU Major Programmes and Projects Per May 2005

a) Study Programme on Higher Education Management in Africa

The objectives of the *Study Programme on Higher Education Management in Africa* include improving leadership, institutional management and the higher education policy environment. With the aim of generating knowledge; promoting research capability; facilitating policy dialogue between researchers, universities and higher education policy making institutions.

The main mechanisms for achieving the programme objectives consist of providing research grants to research teams or institutional partners; peer review and research methodology seminars; link between senior and young researchers (Higher Education Research Training Course- HERTCO previously HERTI); dissemination seminars; policy dialogue through seminars, policy briefs, publications in scientific journals, books and websites. Within this perspective, AAU has identified potential partners for institutional capacity building: AGI at UCT, CODESRIA, EPU at University of Western Cape, ISSER at Legon, SARIPS in Botswana and IDEP. IDEP and AGI have submitted proposals for funding. The third mechanism for achieving programme objectives comprises the formation of research teams (66 teams of 118 researchers); interdisciplinary research; multidisciplinary teams; multi-level research – global regional macro, *measo* and micro levels; research reports (54); policy dialogue seminars; essays (48); journal articles (14); monographs (4); Institution building starts with IDEP and AGI projects and HERTCO begins in May 2005.

As explained to the assessment team, AAU quest for decentralization is now empowered by the Strategic Plan (2003-2010) which conceives it as an opportunity to enhanced partnerships

through cooperation in specific activities through national, regional and sub-regional higher education and research institutions and centres of excellence. For example a recent Memorandum of Understanding with Cape Town University stipulates that its Africa Gender Institute is made responsible for implementing part of AAU Gender activities. Notably, this will be a general AAU future policy orientation as a coordinating and networking institution rather than an implementation agency.

b) Senior University Management (SUMA) Workshops Programme

The Senior University Management Workshops Programme's objective is to facilitate the exchange of ideas on best practices in managing universities. Its main target group is senior university executives and their immediate auxiliaries. Between 1993 and 2003, the programme held nine workshop; offered regional exchange of experiences and opportunities for addressing new issues such as HIV and the leadership role of universities and the search of solutions to such challenges; international networking e.g. with CHERD-Canada; sub-regional outreach- almost all sub-regions have had a chance to host SUMA. It also created collaborative networks with other regional bodies- recent attempts to rope in other bodies-CHET, IUC etc.; Move from SUMA to Leadership Development and Management Training in collaboration with other regional bodies. Currently, SUMA is put on hold till the new initiative is finalized. At the same time it is not clear whether the leadership development and management training continues where SUMA stopped or replaces it.

c) Regional Cooperation in Graduate Training and Research (Networks Programme)

The programme aims at improving the quality of training; facilitating collaborative teaching and research networks; resources leveraging; regional cooperation and capacity enhancement in new areas of teaching and research. *It facilitates* academic mobility for students, staff and HE administrators; regional experience sharing by staff and students; sharing research results by students. Five universities were involved in this effort: USHEPIA at the University of Cape Town (Cross-disciplinary -humanities and engineering); Ibadan Network –LLM on humanitarian and refugees studies; CERAS in Senegal –agriculture in arid areas; University of Pretoria – LLM in human rights law; University of Ougadougou – research in microbiology.

Although AAU has supported academic staff mobility students and High Education administrators have not benefited from the program. This is an area where AAU has not been able to give any substantive explanation as to why this is the case.

d) Developing Quality Assurance Systems

The main purpose of the programme is to review of practices in quality assurance; facilitating self –evaluation; establishing databases for quality assurance systems. Although it was mentioned that quality assessment was undertaken; inventory of practices in selected universities; self-assessment facilitated; small grants given; site visits made and orientation workshops held, there is no concrete measurable outcome of the programme. The poor performance of the programme is explained against the backdrop of inadequate resource base and the existence of diverse quality assessment systems at the sub-regional levels. A more worrying observation is that universities did not take the development of quality assurance as an instrument for competitiveness seriously.

The AAU informed the assessment team that it has completed a draft on Quality Assurance which will be discussed with a consultative body including the stakeholders in or around October 2005. However, AAU has not shared this document with the assessment team because it is in a draft form and has not as yet been shared or approved by the Executive Board.

e) Ford Foundation International Fellowship Programme (West Africa)

The programme is designed to reach out to disadvantaged groups and communities; creating a base for stronger community leadership; strengthening capacity for community service; preparing fellows for learning in different cultural settings; encouraging trainees to return to their countries. It has so far supported 180 postgraduate students at the MA and PhD. The fellows are selected from disadvantaged communities in Ghana, Nigeria and Senegal and almost all have been placed; first batch of trainees graduated and an IFP Alumni Association for West Africa launched. The demand for the fellowships is much greater than the number of fellowships granted.

f) Database of African Theses and Dissertations (DATAD)

Improving management and access to scholarly works by Africans on Africa is the core objective of DATAD. Commenced in 2000, DATAD has been able to attract the following partners: World Bank and McArthur. DATAD has not received core-funding and it is therefore dependent short-term grants creating insecurity for the project coordinator and also questions the long-term sustainability of the programme. It established an online database and produced an interactive CD ROM and held workshops on intellectual property and database management.

g) Study on the Use and Application of ICTs in Higher Education Institutions in Africa

This study aims to prepare a project document on the use and application of ICTs in higher education institutions in Africa. Phase 1 of this project ended 2002. No new funding yet. Search for support to be continued. Consider strategic problem contributing to AAU subsequent selection as an institution eligible for ACBF funding as part of its possible future intervention areas. AAU is in the process of engaging a consultant to identify University needs and the state of the art in the use of ICTs in teaching and research.

h) Gender and African Higher Education

The purpose of this programme is to strengthen gender focus and equity in university management, research and training; establishing data bases on gender characteristics of African higher education; awareness creation about gender issues. The proposed Activities for this programme include advocacy; partnerships with FAWE, ADEA and Carnegie Foundation on gender issues.

i) ADEA/ Working Group on Higher Education (WGHE) programme and African Universities Against HIV/AIDS

ADEA/ Working Group on Higher Education (WGHE) programme coordinator also coordinate the programme on African Universities Against HIV/AIDS. ADEA/WGHE main objective is to raise awareness on changes and challenges in higher education; facilitate dialogue and generate consensus on priorities in HE; promote innovative collaborative programmes and regional networking on higher education. However, it currently coordinates the support for training networks; HIV surveys in 12 countries; policy development activities in two Francophone countries; organized a policy forum on private provision of higher education in Africa (Nov. 2004); support for higher education studies; popularization of ADEA/WGHE activities. It also produced ADEA/WGHE Higher Education Journal; manuals by two universities on management guidelines; four institutional policies drafted on HIV; two ICTS strategic plans by two institutions; higher education innovation surveys; support for the regional research and training programmes (Ougadougou and Ibadan); survey of differentiating factors between tertiary and higher education institutions. A major part of the programme activities was spend in conducting case studies on HIV; twelve country surveys; seminars; support for SUMA on HIV/AIDS; toolkit on African Universities Responding to HIV/AIDS.

However, despite these successes, WGHE reported that its work has been hampered by AAU which has not been providing the Coordinator with accurate and timely financial reports, thus causing delays. Hence AAU is not meeting its obligations to WGHE and donors in this respect.

j) University Staff Exchange Programme

University Staff Exchange Programme seeks to promote inter-university cooperation through the promotion of academic mobility in the form of exchange of staff for teaching assignments; to act as external examiners; to participate in seminars, workshops and conferences; to promote research cooperation; and generally, to enhance the quality of teaching and research in African universities. *The duration of staff exchange differs according to task, university exchange regulations and the concerned staff's availability in respect to teaching and other responsibilities in his or her university. The staff exchange fellows stay for a maximum of three months. Most of the visits are shorter - one to two months. The minimum is one week when they go as external examiners*

The Programme was supported by the Deutscher Akademischer Austauschdienst (DAAD) (German Academic Exchange Service); the International Development Research Centre (IDRC); and AAU own internally generated resources.

2.3 Donor support

2.3.1 Support from Sida/SAREC

Sida/SAREC as a major sponsor of the AAU, has supported activities of the Association since 1993. Funding has mainly been towards the implementation of the Study Programme on Higher Education Management in Africa and Institutional Activities like statutory meeting. Between 1999 and 2004 Sida/SAREC support to AAU was as follows:

Table 2.1: Support from Sida/SAREC

Purpose	Amount
Phase 2 of Study Programme (1999 = SEK 1 500 000, 2001 = SEK 4 500 000, 2002 = SEK 1 500 000, 2004 = SEK 1 500 000)	SEK 9,000,000
2001 General Conference	SEK 200,000
Select Study Programme & SUMA Activities: <i>Study Programme:</i> <ul style="list-style-type: none"> • Core Research Projects • Grants • Advisory Panel • Workshops/Meetings • Travel • Training Workshops and Attachments • Conference Participation <i>SUMA:</i> <ul style="list-style-type: none"> • SUMA Course Preparation • Support Services • Monitoring & Evaluation 	US\$ 199,438.09

2.3.2 Support from DGIS

Table 2.2: Amounts received from DGIS towards AAU activities 1999 to-date

Activity	Date	Amount (\$)
Study Programme	13/08/1999	119,250
Study Programme	30/05/2000	135,150
Study Programme	12/12/2000	200,803
Study Programme	07/12/2001	119,320
Study Programme	27/07/2002	45,695
Study Programme	18/12/2002	148,821
General Conference 2005	March, 2004	12,000
Study Programme (Fast Track)	Jan. 2005	30,000
COREVIP, 2003		14,564
		825,603

Source AAU (23 May 2005): Finance and Administration Department

Notes:

Core Support = 7.5% of amount disbursed.

M & E = 1.0% of amount disbursed.

2.4 Terms of Reference

The Terms of Reference (Annex 1) articulate the background, purpose and scope of the assessment. The assessment team (AT) elaborated the background and provided a comprehensive summary of the AAU programmes and activities to inform the assessment methods and indicators to measure the restructuring outcomes under for sub-headings. In particular the AT fully utilized Sida/SAREC in-depth institutional assessment of AAU centred on AAU's financial management and ability to govern and control operations and whether funds are utilized for intended purposes. The assessment team assessed what the Terms of Reference referred to as "*numerous shortfalls in the administration and financial management of the Association*" identified by the auditors in the Sida/SAREC assessment.

In particular assessment team gave special attention to the organizational culture and management style of the new Secretary General, appointed by the Executive Board in 2003 as well as the new members of the Secretariat management (Finance and Administration, Research and Programmes and Communication and Services). The new Secretary General was assigned the task of restructuring and revitalising the Secretariat in order to facilitate the attainment the Strategic Plan (2003 – 2010) objectives.

The purpose of the current institutional assessment is to take stock of the restructuring of the organization and see the extent to which it has handled shortcomings identified in the past in relation to financial administration and programme management, provide support to the Secretary General in his effort to reform and restructure the organization, provide a profound basis for AAU's professional handling of relationships with donor agencies. Finally, Sida/SAREC intention was made clear as it purports to use the findings and recommendations of this assessment to bring together all donors to coordinate their efforts in supporting the organization.

In lieu of the scope of the Mission, the assessment team was specifically instructed to assess the following elements of AAU management and the verifiable outcomes of the restructuring plan, management structure, finance procedures, membership subscription issues, stakeholders'

demands and influence on AAU operations and its ability to respond to donor requirements and demands. These elements are summarised as follows:

- 1) assess the extent to which the restructuring of the AAU has addressed shortcomings in financial and programme management identified in the previous audits and evaluations;
- 2) assess results of the restructuring and institutional strengthening of AAU in recent years, as well as its current needs - this includes the intended scholarships to the Secretariat;
- 3) assess results of the efforts to increase the membership of the Association and plans for marketing the services provided by AAU to its members;
- 4) assess overhead structure and costs of AAU - this includes among others coordination costs in all (core and special) AAU programmes (the Gender and Higher Education Project could serve as a recent case, DATAD) and overall administration costs (including all personal allowances);
- 5) assess capabilities and transparency in the administration of funds (accounting routines and procedures, internal control and reporting system);
- 6) assess administrative procedures relating to financial management (e.g. for travel and per diem and the allocation of grants for research purposes), materials procurement and stocktaking and assess the effectiveness of the manuals and policy guidelines available for these purposes;
- 7) assess the overall risk level in financial transactions of projects that form part of specific programmes; and from ADEA to WGHE;
- 8) assess outcomes and output (including reporting and number of publications between 2001-2004) in relation to the costs for running the secretariat;
- 9) assess the possible indicators for the measurement of results as identified by AAU;
- 10) assess what levels of membership fees could be collected, under various scenarios (and quality levels) of service delivery by AAU;
- 11) identify all obligations of the AAU to Sida/SAREC and DGIS (earlier: NEDA) and to other donors (such as IDRC) that have possibly contributed funds to the same programmes that were/are funded by Sida and DGIS in the past four years.
- 12) assess actual reporting requirements to donors and their fulfilment, and recommend how progress and financial reporting (to donors) could be harmonized;
- 13) assess translation from strategic plan(s) into more operational plans and programmes; assess possible relationships and overlaps between various (core and specific) programmes (including proposals presented to donors);
- 14) assess the possibility to present to its donors multi-donor consolidated chartered accounts yearly.

2.5 The Assessment Team

Two consultants have been appointed for the assessment, one proposed and funded by Sida/SAREC and the other proposed by the AAU and funded by DGIS. The two have worked as a team, with the consultant proposed by Sida/SAREC as the team leader. The consultants have together carried out the study at the headquarters of the AAU, and submitted a joint report.

The financing of the assignment of Sida/SAREC to perform the institutional assessment was given to Mr Arne Svensson, President, Professional Management AB. The financing of the assignment of AAU is given to Professor Mohamed Salih, Professor at the University of Leiden, and the Institute of Social Studies in the Netherlands. However, the two worked as a team and as such produced a single report.

Arne Svensson has been a senior consultant for more than 600 public and private organizations, including the United Nations, the European Commission, international NGOs and governments around the world. He has 30 years of substantive experience in the administrative reform process of central, regional and local government, including decentralization, democracy and governance, legislative and parliamentary development, citizens' participation, governmental relations, state and local governments, civil society, devolution, organizational development, management and public administration. He has performed more than 100 evaluations, institutional assessments and management reviews. He has published more than 15 books on management issues.

Mohamed Salih has conducted field research and consultancy in Africa, Middle East and English-speaking Caribbean. In addition he has undertaken policy and advisory research and numerous assignments for national governments, NGOs, bilateral, regional and multilateral institutions. These include project preparation, institutional assessment, strategic planning and evaluation of sector programs. His most recent prominent evaluations include the following: Evaluation of Danida support to development research in the social sciences, Norwegian (NORAD) Sudano-Sahel Program and Operation Lifeline Sudan (OLS); Swedish (Sida) programs in the Horn of Africa; and NOVIB-European Union Integrated Food Security Program in Tigray Region, Northern Ethiopia.

The assessment was carried out in the period April – May 2005. The team made one institutional assessment visit to AAU in Accra in May 2005. We have reviewed all relevant written documentation. A bibliography is attached at Appendix IV. A list of persons met and interviewed is attached at Appendix III. We have met with some of these key persons several times.

2.6 Assessment Methodology

Two methodological perspectives inform this assessment: historical institutionalism and sociological/organizational institutionalism. In the first instance, enables the assessment team to develop an awareness of AAU history (hence historical institutionalism) dealing with past institutional arrangements and organizational culture. To what extent has AAU performance been shaped by and are reflections of its past experience. Here we are concerned with the assessment of whether institutional change or restructuring has produced major management change and strategic policy shifts.

Therefore the relevance of “historical institutionalism” to AAU assessment lies in at least four important practical implications, relating to:

1. How did AAU perform before Sida/SAREC assessment;
2. Has AAU performance in major programmes and activities improved relative to pre-Sida/SAREC assessment and subsequent Action Plan?
3. If any improvement has occurred could be attributed to the restructuring or is it a result of an emergent new leadership and management arrangements?
4. What are the main factors, which contributed to AAU strength and failure since the last restructuring? Its history or the restructuring?

The determination of whether AAU history or policy shifts are responsible for its current performance is very important in understanding the organizational culture that needs to be changed in order for the institution to improve or consolidate or its performance.

The second methodological strand i.e. sociological/organizational perspective focuses on institutional environment-oriented issues, explicating whether AAU management and staff are interlocked in long-term institutionalised relations that make any restructuring consistent with the ethos of new public management (NPM) mode difficult if not impossible.

Generally, no organization is free from such pressures or to be allowed to use external pressure as an excuse for not having efficiently and effectively designed an achievable mission with clearly defined objectives. In a sense, this methodological perspective privileges the notion that top-down reforms or reforms that deals only with resource management questions without due considerations to the achievability of policy objectives generate more reforms and less transformation.

Realistically verifiable policy objectives coupled with optimal human and financial resources utilization and an incentives regime that rewards performance in the new administrative structure is part of the process of building a transformative organizational culture. The practical implications of the sociological/organizational methodology pertain to at least three points:

1. Financial efficiency should equally be coupled with the quality of financial management, including adequate financial control measures and timely financial reporting;
2. The need to interrogate the external environment with which AAU operates and whether some organization cultural issues should be raised in terms of changes in management style, behaviour and performance/outcome responses;
3. If AAU performance has not changed (to the better or worse) could this be attributed to the top-down nature of its structure, lack of institutionalisation of management norms and values or any other factors?

By and large, the procedures for verifying institutional assessment results for organizations such as the AAU are rather standard. Assessment results are be obtained through carefully collected data analysed with the four following points in mind:

1. Benchmarking, using best practices to compare performance,
2. Documentation of evidence and reliance on both internal reports, examination of outputs quantity and quality, interviews, seeking approached persons with long term experience with AAU and stakeholders opinions,
3. Criterion measures (deviation from specific, stated goals and objectives), and
4. Longitude comparison of in terms of output outreach activities and, scholarships, publications, curriculum development and other programs and their management quality.

The methodology adopted for results verifying in the three major areas to be assessed (the restructuring process, financial governance and administrative).

Table 2.3: Results verification approaches in response to purpose and scope of the assessment*

Purpose	Sample of <i>major</i> data sources	Results verification
Stocktaking of past performance and factors contributing to the urgency of restructuring.	<ul style="list-style-type: none"> • AAU Constitution (2001) • Restructuring and Revitalization: Special Report of the Secretary General to 59th meeting of AAU Executive Board (Kigali, July 14-16). • Annual reports of various projects and programmes, focusing on Study Programme reports 	<ol style="list-style-type: none"> 1. Conduct interviews with long-serving staff and collect information on the basis of performance and outcomes 2. Exercise a reality check against the AAU response to requirements made by donors.
Financial management, control, accountability, and donor meeting demands for financial efficiency.	<ul style="list-style-type: none"> • Evaluation Report of Systems and Financial Management of AAU (2002) • Sida/SAREC Action Plan (2002) • Accounting Policies and 	<ul style="list-style-type: none"> • Ensured whether project finance expenditures are within budget allocations. • Checked timeliness of financial reporting.

	<p>Procedures Manual (2004).</p> <ul style="list-style-type: none"> • Expenditure and financial statements, annual accounting and audit reports (2002-December 2004) 	<ul style="list-style-type: none"> • Checked the accuracy of Audits and Accounts, financial and expenditure management, with Secretary General and Head of Finance and Administration. • Discussed problematic issues and making statement or comment by way of assessment team conclusions. • Queering dates of financial reporting
Restructuring outcomes	<ul style="list-style-type: none"> • AAU Constitution (2005) • Strategic Plan (2003-2010) • Accounting Policies and Procedures Manual (2004). • Revised Contracts for Employment (2003) • Professional Staff Emoluments (2004). • Support Staff Emoluments (2003). • AAU response (written and practical) to Sida/SAREC Action Plan. 	<ul style="list-style-type: none"> • Examined policy against practice in all restructuring documents. • Adopted before and after scenario, and held interviews to attest to whether the policy proclamations are implemented • Checked whether programmes and projects control their budgets, monitor expenditure and demand timely expenditure reports. • Checked programmes and projects planning, implementation and internal monitoring and evaluation in practice.
Response to donor requirements and demands	<p>Sida/SAREC Action Plan (2002) and ToR of this provided a checklist of donor requirements and demands</p>	<ul style="list-style-type: none"> • Examine practical policy shifts, orientation, activities and actions taken by AAU in response to donor requirements and demands. • In particular checked: <ul style="list-style-type: none"> ○ revision of procedures, ○ adaptation to demands and requirement, ○ reputation, and ○ and sustainability over time

***Notes:**

1. A major source of information is the interviews held with Heads of Department as well as all Professional Staff and Project Coordinators as well as Operation Assistants.
2. AAU has, at the request of the consultants, provided all necessary material to facilitate the work of the consultants. Refer to Annex (4) on Documentation for a fuller account of the documents consulted and used as sources of data and Annexes (2) and (3) for Itinerary and list of persons interviewed.

2.7 Reporting

The consultants have submitted a draft report to Sida/SAREC, DGIS and AAU and, following comments by Sida/SAREC, DGIS and AAU, the final report is presented.

The report includes recommendations regarding AAU’s ability/capacity to manage funds effectively and provide timely and relevant information/reports to the various stakeholders, and recommendations on appropriate strategies for strengthening systems in order to attain the mission of the AAU and of the external donors. It also includes recommendations addressed to Sida and other donors that would support the same objective.

3 ELEMENTS OF AAU INSTITUTIONAL AND FINANCIAL RESTRUCTURING

3.1 AAU Institutional Restructuring

AAU organs and the Secretariat administrative structure are outlined in its up-dated Constitution (February) revoked and subsequently succeeded by 2005 Constitution, as a response to what was termed by donors and within AAU “*multiple crises of leadership, financial management control failure, low morale and apathy amongst member institutions*”. The Sida/SAREC (2002) Report entitled “Systems and Financial Audit of the Association of African Universities” also provided a graphic description of the extent of AAU crisis and made several recommendations for improvement.

This section of the report reflects the elements of restructuring undertaken since 2002 and their implications for AAU ability to redress the multiple cries it suffered. The overall components of AAU institutional and work programme and activities restructuring are as follows:

- i) Establish a new management and administrative structure;
- ii) Raise the quality of professional staff;
- iii) Draft a new Constitution and Bye-Laws;
- iv) Develop a plan for medium and long-term development and financial viability; and
- v) Restore confidence in the AAU, particularly with member institutions, regional and international bodies.

The assessment team notes that the promulgation of the 2005 Constitution was a major instrument that conferred legitimacy and paved the way for the establishment of the new management structure, management team, staff classification, job descriptions and conditions of service.

The 2005 Constitution also defined in clearer terms than the previous Constitution the responsibilities of the General Secretary and the Secretariat. In other words, the new Constitution could also be an important instrument that provides broad institutional restructuring parameters, including the elaboration of the Secretary General’s and the Secretariat duties, rights and obligations.

The administrative structure the 2005 Constitution has proposed for the Secretariat is also markedly different from what was stipulated in the 2001 Constitution. Instead of a horizontal centralized management structure, the structure proposed by the 2004 constitution combines decentralization of AAU activities and functions in three departments each headed by a senior professional director. It is decentralized because the heads of departments are directly responsible for the day-to-day management of their departments as well as financial management (initiation of expenditure, budget monitoring and the assurance that quarterly, biannual and annual reports are produced in time.

However, before elucidating the implications of the Constitutional developments for AAU restructuring we commence with reproducing word-for-word some of the new Constitutional provisions that are of direct relevance to this assessment mission:

Article VIII of the 2005 Constitutions stipulates that the principal organs of the Association are:

1. The General Conference;

2. The Conference of Rectors, Vice Chancellors and Presidents of African Universities (COREVIP);
3. The Executive Board; and
4. The Secretariat.

The 2005 Constitution has retained the overall structure of AAU organs, while elaborated the functions of the Secretary General. At this stage, we confine our report to what is expected of the Secretary General and the Secretariat, under the restructuring provisions. Our overall aim is to provide the reader with sufficient background material intended to be able to explain the Constitutional context of AAU administrative restructuring.

Article X (g) stipulates that, the Secretary General shall:

- (i) Uphold and protect the Constitution of the Association;
- (ii) Provide intellectual leadership and direction to the Association;
- (iii) Represent the Association;
- (iv) Make proposals to the Executive Board for the appointment of Senior Staff of the Secretariat and recruit technical and administrative personnel within the limits of established posts;
- (v) Exercise disciplinary powers over the personnel of the Secretariat in accordance with such bye-laws as shall be made by the Executive Board;
- (vi) Develop and implement resource acquisition plans;
- (vii) Present detailed budget proposals each year to the Executive Board and provide certified statement of the accounts of the previous year;
- (viii) Accept subscriptions and donations in the name of the Association with the approval of the Executive Board.

The level of detail provided in respect to the Secretary General's *job description* is by far more refined and superior to 2001 Constitution. This is a welcome development. As a consequence the multi-layered level governance institutions (General Assembly, Conference of Rectors, Vice Chancellors and Presidents of African Universities and the Executive Board) could evaluate the Secretary General's performance. However, according to Article XIII of the 2005 Constitution, "the Secretariat of the Association shall operate under the supervision of the Executive Board and under the Direction of the Secretary General".

By its very nature the Executive Board has executive functions and therefore it is very difficult to see how it can apply the golden rule of holding the Secretary General accountable. It can also not exercise pro-active surveillance role vis-à-vis any Secretary General's excesses of power. Apparently, the "ball play" between an Executive Board and a Secretary General with Executive powers is one reason why the previous Secretary Generals have almost free hand in running the AAU as their personal fiefdom. In the circumstances, the likelihood that conflict may ensue between the Executive Board and the Secretary General's involvement in the day-to-day affairs is minimal. However, conflict in the bid to serve AAU interest better is even desirable if it meant that serious debates lead to disagreements for the sake of the public good. The current governance structure enhances "governability by consent" or "silence" which is not always desirable. The Executive Board will defend the Secretariat to the General Assembly because together they are responsible for the execution or implementation of AAU Strategic Plan.

While the current senior management of the AAU inherited a large number of programmes and projects that exceeds its current financial and human resources capacity, the 2005 Constitution offers a more focused role for the Secretariat. Because of the significance of this paradigm shift, we quote it in details:

Article XIII (2) states that; *“the Secretariat of the Association shall operate under the supervision of the Executive Board and under the Direction of the Secretary General and shall:*

- a) organize a centre for documentary materials on matters of higher education which are of interest to universities in Africa;*
- b) provide appropriate means for the resources of the documentation to be made accessible to member institutions and to other bodies concerned with higher education in Africa;*
- c) establish machinery to facilitate the interchange of students and teachers notably within African universities;*
- d) facilitate co-operation between member institutions of the Association to make full use of their human and material resources;*
- e) subject to prior approval by the Executive Board, render to member institutions such individual services as they may request; and undertake other tasks that are compatible with the object of the Association”.*

Coupled with decentralization as a core value consistent with the quest for subsidiarity and the empowerment of the basic organs of the administrative hierarchy, the 2005 Constitutions (Article III) stipulates that:

“The operations and functions of the Association may be decentralized to regional and sub-regional structures of members for the efficient promotion of the objects of the Association; and the decentralization of the Association shall be provided for by bye-laws made under this Constitution.”

If carried out properly, the decentralization of AAU functions would delegate some responsibilities to the sub-regions and as such eases the mounting pressure on the overloaded and overworked senior staff. The AAU large number and poorly focused programmes and projects militated that the senior staff is either in constantly striving to cope with multiple array of member institutions’ demands or to implement projects that could be implemented by universities or other specialized sub-regional higher education research and training institutions.

Our overall comment is that the 2005 Constitutional development has also contributed to the restructuring of the AAU Secretariat in an attempt to improve performance and create efficient and effective Association. Figure 1 in Annex 7 illustrates the structure of Principal Organs as well as articulates the administrative structure of the Secretariat. For comparative purposes we also provide and comment on AAU pre-restructuring administrative structure (figure 2 in Annex 7) and post-restructuring for illustration.

The results of the restructuring exercise are described in the Secretary-General’s report to the GC11 Executive Board meeting in Cape Town February 2005. In addition AAU is rectifying the following weaknesses identified in the AAU Strategic Plan:

- Absence of coherent strategy: AAU has developed a Strategic Plan 2003-2010 in which all these weaknesses were identified. The objectives of the Strategic Plan (2003) which also tally with the overall objectives of AAU are as follows:
 1. Promote and facilitate networking, collaboration and experience-sharing in teaching, learning and research;
 2. Improve leadership, institutional management, and the policy environment of African higher education;
 3. Empower AAU to address developmental challenges, and become an effective voice in national, continental and global bodies;

4. Facilitate mutually beneficial interaction between member institutions and the external academic and other communities;
 5. Provide effective representation of African HE community in regional and international affairs;
 6. Improve governance and organizational framework of the Association;
 7. Raise the efficiency and effectiveness of the Secretariat; and
 8. Provide the Secretariat with a secure and adequate resource base for the pursuit of the Association's goal.
- Lack of Focus and Programme Coherence: AAU has developed its Core Programme for the period 2005 – 2009. The core programme focuses on selected activities related to higher education in Africa and these are: institutional collaboration in teaching, research, quality assurance and staff exchange; higher education leadership management and development training and research; information and communication support for universities and curriculum development for training in ICT and commissioned research. These are the four major anchor points of the AAU Core Programme.
 - Staffing: The problem of staffing still continues because part of the Core Programme is yet to secure funding. Temporary measures to bridge the existing gaps have been taken. They include use of consultants for selected activities, non-expansion of existing portfolios and soon one programme officer will be recruited for fellowships and networks.
 - Financial Reporting to Donors: All outstanding reports have been submitted. The AAU has also embarked on pro-active reporting by sending donors broader information on the general state of its finances in terms of by source. The last such report was presented to the meeting of Friends of the AAU at the 11th General Conference of the AAU in Pretoria.
 - Outmoded Corporate Governance: The 11th General Conference approved a new constitution in which the structures of governance have been modified to increase corporate flexibility, responsiveness, innovation and accountability.
 - Apathy on the part of Members: This problem was exaggerated by the large list of members in subscription arrears. AAU's latest analysis suggests that a solid majority of members have maintained subscription payments throughout. The revival of the AAU and increased contact with members has led to a new wave of member enthusiasm and show of interest. This is exemplified by the increased number of members visiting AAUs several websites, increased inquiries, a good number of applications for staff exchange support and a very good attendance of the 11th AAU General Conference in February 2005 by over 300 participants most of whom were from member institutions. In addition, AAU has received 9 applications for membership since January 2005.
 - Contribution to and Participation in International Activities on Education: Through the Working Group on Higher Education, an ADEA programme hosted by AAU, a lot of work has been done on higher education in collaboration with many actors on the international scene. The AAU organised two key conferences in 2004, which brought together researchers, academics, policy makers, students and donor representatives from all over the world. One of these was a workshop on GATS and its Implications for Higher Education and the second one was on a forum on Private Provision of Higher Education in Africa. Links have been forged with several organizations such the Association of Commonwealth Universities, the Association of Universities and Colleges in Canada, the EU, the United Nations University and other traditional partners such as UNESCO. There have also been several invitations to AAU to make presentations at several international and continental meetings, conferences, etc, as well as several attendances by AAU staff at meetings of the AU, UNESCO and other international bodies. Some of these records are captured in the Secretary-General's Report to the Board at its 61st meeting.

- Over-dependence on External Donors: To diversify sources of funding, the Secretariat has renewed appeals to members and reminded those in arrears to pay their dues. At the same time the AAU has approached several African governments for support. The Government of South Africa responded promptly to the AAU's renewed appeal at the AAU General Conference in Cape Town in February this year and has disbursed an equivalent of \$39,164 to the Association. In addition regional funding agencies such as the African Capacity Building Foundation (ACBF) and the African Development Bank (ADB) have been approached. The ACBF has provided seed money under its SAFEWIND facility and committed to give support for selected areas of the Core Programme for 2005-2009. The ADB is still looking for ways of cooperation with AAU.

Conclusions

AAU principal organs were aware of an ensuing crisis, which necessitated the need for undertaking series of administrative changes in order to articulate an improved management. Therefore the restructuring was a response to internal considerations as well as donor driven, considering AAU dependence on external resources to finance its programmes and projects. Whether the response of AAU principal organs is adequate or not, will be dealt with in the next section of this Report which deals with the extent to which institutional restructuring has thus far produced substantive changes in the Secretariat's organizational culture and management style.

AAU administrative restructuring has produced a new structure that responds to its three main activities: I) Research and programmes management, ii) communication and services and iii) finance and administration. It created a structure with vertical hierarchical levels reducing instead of seven layers management structure. Unlike the pre-restructuring horizontal structure, vertical structure has clear lines of "command", responsibility, duties and obligations contributed to more effectiveness in the AAU operations at the programme level. However, introducing such a structure without proper training or appropriate level qualifications and experiences, would prolong the 'experimentation' period and may not deliver the quick results AAU Secretariat aspire to attain in order to convince donors of its worthiness of their support.

The Secretary General is aware of the implications of the call for decentralizing the implementation of some AAU programmes and projects to the sub-regional level: high administrative and overall cost, fear of replicating some AAU past "unpleasant" experiences and institutional proliferation at best and institutional fracture at worst. AAU alternative is to delegate the implementation of some of its projects to specialized national, sub-regional or regional higher research and training education institutions. However, the assessment team is doubtful whether AAU staff, both senior and professional, could spare any more time to coordinate sub-regional activities while the current number of unfocused programmes and projects inherited by the current Director of research and programmes maintained the same level of activities.

The assessment team was not satisfied with the explanations given justifying why the AAU organs still retain the out-dated Conference of Rectors, Vice Chancellors and Presidents of African Universities (COREVIP). COREVIP participation in AAU activities is financed by the Universities themselves and not the AAU. Drawing policies in Higher Education is a purview of COREVIP and therefore AAU insists in involving in an earlier stage in the process of developing Africa-wide education policies. However, this has not happened in the past and universities seem to develop their own policies according to national education policies and implement them. The biennial conference is costly and unnecessary and could be reduced to a pre-General Conference meeting held every four years, and a second meeting to held in-between back-to-back with a flagship conference. This suggestion will be carried forward as recommendation.

If not handled promptly and adequately, the restructuring of AAU administrative and financial management structures may in the short-term generate less tangible changes than expected. The fact is that almost all the senior staff is relatively new which nullifies the question who in the strategic leadership drives change, who has foreseen the incentives of the new system and therefore champions a performance driven institutional restructuring. A leadership change at this stage is neither desirable nor practical and would feed into the current institutional memory of financial mismanagement which is not the case of the new management team.

Although the restructuring measures undertaken should lead to restoring confidence in the AAU, the assessment team was not in a position, given the limitations in the ToR to canvas a wider spectrum of views. However, the mission did involve visits to and interviews with a small sample of member institutions, in order to pass a defensible view point lest contriving to make improper judgment on this matter.

Because the 2005 Constitution is still relatively new, dating to February 2005, the drafting of the AAU byelaws is yet to be commenced. The Secretary General alluded to June 2006 as the target date for putting in place byelaws that would in effect provide the legal framework to support the policy frameworks enshrine in the Constitution (2005) and operationalized by the Strategic Plan (2003).

AAU has spent a lot of money on gender programmes. However, there is no woman in the senior management team (out of four) and no woman in the Executive Board (out of 14). AAU doesn't have any gender strategy to increase the organisation's gender sensitivity.

AAU has not presented any risk management assessment. Risk management assessment involves identification of major risks across a wide range of categories including governance, strategic (long-term), operational (day to day), financial, compliance (with constitution, legislation, regulations etc). The assessment has to be carried out by the organization itself. It should for every defined risk include an assessment of impact and likelihood, process in place, action plan and responsibility for action.

Recommendations

1. With the various elements of administrative restructuring and the proclamation of the policy frameworks, AAU restructuring should in the long-term ameliorate performance, increase efficiency and effectiveness, improve vertical and horizontal communication and coordination of efforts and eliminate undesirable practices. However, the structure is still relatively new and should be internally monitored, evaluated and systematically adjusted to new circumstances as they arise in order to redress weakness and improve on strength.
2. AAU should devise a system to ensure compliance with the provisions of the Constitution, the new management structure and the subsidiarity principles conferred on the heads of departments, to take responsibility of day-to-day activities, planning and implementation design, financial management and budget control of their respective domains of operation.
3. AAU Secretariat should pay serious attention to the completion of the byelaws which will provide the legal framework which confers legitimacy on the newly established policies and functions of the Secretariat.

4. The 2005 Constitution does not provide a clear definition of decentralization (Article III.3). In the assessment team's discussion with the Secretary General and the Vice Chancellor of the University of Ghana, it became apparent that decentralization here refers to devolution or rather delegation of some AAU activities to sub-regional higher education institutions (e.g. the AAU Memorandum of Understanding with Cape Town University to execute part of the Gender Programme). The assessment team recommends that the AAU moves towards "local implementation partners" rather than the creation of sub-regional institutions of its own.

5. Both in principle and practice, the new structure is devoid of any policy aims towards ameliorating the coordination of efforts, communication and synergy between the newly established departments and their core programmes and projects require serious consideration by AAU secretariat. It is recommended that AAU should develop a policy in order to ensure the communication, synergy and coordination of efforts amongst its department, programmes, projects and activities.

6. As a mean of changing focus from implementation to coordination AAU should strengthen Local Implementation Partners.

7. The governance structure should be reviewed as well as the cost-effectiveness of the statutory meetings. Especially important is to review the role of COREVIP and Executive Board and frequency of meetings.

8. AAU should as a part of its Gender programme include a component addressing the organization's own gender strategy.

9. AAU should carry out a risk management assessment.

3.2 Responding to Sida/SAREC Action Plan

The rationale behind the restructuring of AAU financial management and control procedures was an outcome of the implementation of the Sida/SAREC Report (2002) entitled "*Systems and Financial Audit of the Association of African Universities*". The Report was damning. It identified the following as the major problems (p. 28):

- The budget and accounting-systems are not arranged in the same manner, there is not any easy accessible system for yearly follow-up of performance and achievements compared to budgeted and actual expenditure;
- New yearly budgets have not been developed by AAU without any formal request to Sida/SAREC for reallocations of original proposal, which is against the agreement in force;
- The internal control is not functioning in an appropriate way;
- Inadequate cash management, AAU has not requested payment of yearly funds in due time. AAU has failed to request a conference grant in due time;
- The funding of DATAD was not clear before they started the project;
- No report from external auditors about observations made during the audit, and no proposals for improvements, if any; and
- Very late reporting to Sida. The audit has been executed very late.

Some of the important proposals of Sida/SAREC Report (2002), which the assessment team verified are the following:

- A new management team has to be developed for follow-up of planned performance and achievements compared to budgeted costs and actual expenditure;
- Review and proposal for a better internal control;
- AAU has to explain the management of support for Core Activities (The Sida funding of the Vision and Strategic Plan is included under this heading);
- Annual review meetings with agreed minutes. Better communication between Sida and AAU. Formal approvals of reallocations from original proposals;
- Cash flow forecast shall be prepared for 6-12 months;
- The project coordinator shall pre-approve all payments on all projects respectively and have access to the accounting system for continuous follow-up and/or supervision;
- “Reclassified items” has to be explained and approved by the Project Coordinator;
- No major project shall be allowed to start before the funding is complete;
- The external auditors shall be supplied with ToR;
- The follow-up shall be made much faster than the present. The AAU advised, for their own sake, to have a quarterly follow-up system;
- Further investigations for all expenditure statements considering support for the Core Activities of AAU. AAU has to submit a detailed list with supporting documents; and
- Recommended that no further transfer of funds from Sida will be done until complete investigations have been done and new internal control procedures and reporting routines have been developed.

In order to see to it that these recommendations are implemented in fact, Sida/SAREC developed a detailed Action Plan (Annex 6), with actions to be undertaken within specific time framework “before it resumes funding AAU activities”. Below (table 3.1) we summarize in general terms, the three sections of Sida’s action plan:

- 4) Urgent issues that should be resolved before Sida disburses further funds to the AAU;
- 5) Actions that should be taken before a new agreement can be signed with the AAU; and
- 6) Recommendations requiring other actions.

Financial governance is much broader than financial management. It includes besides management, financial allocation methods, procedures, accounts and audit reporting. These issues will be examined in the sections devoted to financial restructuring and verification of accounts and audit reports. Its aim is to colour in more reality check details on the actual performance of the finance department vis-à-vis the restructuring stated aims.

Table 3.1: Actions Taken by AAU in response to Sida’s Action Plan

1. Urgent issues that should be resolved before Sida disburses further funds to the AAU

Action requested by Sida	Time frame	Action taken by AAU
1. The AAU was requested to submit a management response to SIDA Action Plan before June 15, 2002.	June 15, 2002	A response was sent 10 February 2003
2. The AAU was requested to give an explanation of late reporting.	May 2002	Explained in the response of 10 February 2003
3. The AAU was asked to submit explanations of the inadequate financial reporting and management of support and core programme and also to make a plan for continuous follow-ups.	May 2002	Explained in the response of 10 February 2003
4. AAU was requested to submit detailed list covering all expenses under Core Activities together with supporting documents	May 2002	Sida/SAREC queued the response. Reported on in this Report
5. The AAU was requested to issue ToR for	May 2002	ToR being prepared during the

Action requested by Sida	Time frame	Action taken by AAU
external auditors and submit such ToR together with supporting documents. The AAU was requested to submit ToR to Sida before July 31 st 2002. The AAU should agree to this action before further disbursement of funds can be released.		Assessment, yet to be fully implemented
6. In the future, external Auditors shall submit detailed management letters, highlighting the strength and weakness of management and management response. The AAU was requested to take this recommendation into account in the new Terms of Reference for the external auditors.	May-July 2002	To be incorporated into the new reporting regime
7. The AAU was requested to submit explanation to the reclassified items on 30 June 2000 and 30 June 2001.	May-July 2002	Explained in the response of 10 February 2003
8. The AAU was requested to submit clarifications as to the \$9,297 lost during the Nairobi conference and give explanations of the approval routines followed in this case.	May-July 2002	Explained in the response of 10 February 2003
9. The AAU was requested to submit proposals for approval formalities (for reclassifications, and transactions), with more involvement of project coordinator.	May-July 2002	Incorporated into new Accounting Policies and Audit Manuals.

2. Actions that should be taken before a new agreement can be signed with the AAU

Action requested by Sida	Time frame	Action taken by AAU
10. The Executive Board meets once a year, so that it can discuss the audit financial report and budget. This recommendation was presented to the AAU for consideration.	June-Oct 2002	Advice accepted. AAU takes the recommendations into consideration.
11. Finalization of the vision strategic.	June-Oct 2002	Completed in 2004
12. Member institutions should pay their subscription dues. This recommendation should be put forward to the AAU and Sida will request a realistic plan for this issue taking account of possible retroactive actions as well.	June-Oct 2002	Action already taken with periodic reminders to members to pay arrears. AAU presented its action plan on membership dues to the Friends of AAU meeting in Cape Town, South Africa in February 2005. Document supplied to the assessment team
13. Sida will ask for an explanation for variance of financial and progress reports as have been revised in Sida/SAREC's work-manual.	June-Oct 2002	Explanation was provided
14. Audit Reporting dates were specified: Sept. 30 and not later than October 31 when elaborating a new agreement. Routines for Sida/SAREC's follow-up of financial and progress report have been revised in Sida/SAREC's work-manual.		Procedures implemented since 2003
15. Agreements with AAU should be more concise. Sida/SAREC to revise the template for Sida agreements. The revised templates will to be used in subsequent agreement.		When preparing new agreement
16. The routines for project management to be improved with quarterly follow-up and more roles for project coordinator when planning for a new agreement.	June-Oct 2002	Has been followed in the release of funds for selected Core Activities, ending March 31, 2005.

17. The financial management routines at AAU have to be improved and Sida may consider supporting these improvement efforts. This should be discussed and agreed upon in connection with the planning of a new agreement.	June-Oct 2002	AAU has earmarked funds for new software that makes it possible for Project Officers to access and monitor their project budgets.
18. Annual review meetings with signed Agreed Minutes will be introduced in a new agreement. The timing of review meetings should be agreed upon with the AAU and with NEDA.		To be included in Phase III agreement
19. Get programme priorities straight, and make sure that all key stakeholders understand them.		When writing a new agreement.
20. Before a new agreement for phase III is signed AAU/Sida/NEDA should identify all required systems, procedures, contractual documents and guidelines and put them in place.		This action will be taken in co-operation with the AAU and NEDA when preparing for a new agreement.
21. Submit result-oriented reports, include annual and cumulative figures for actual progress and expenditure and assess achievements and constraints.		When preparing a new agreement

3. Recommendations resulting in other actions

Action requested by Sida	Time frame	Action taken by AAU
AAU should provide breakdown of \$39,825, with amounts allocated to Sida and NEDA, 50-50 division of the opening balance in separate accounts	May 2002	Implemented
22. Prior to major deviation from original budget AAU has to make requests for such reclassification consistent with Sida/SARECs work manual.		Implemented
23. Sida requested AAU to use a Logical Framework Analysis in the application for continued funding to ensure realistic targets, indicators and budget lines for achievable objectives.	June-Oct 2002 and follow-up when preparing for a new agreement.	Incorporated into Phase 3 proposal
24. Stronger and improved routines and follow-up including Auditor's management letters and Auditors response to the letters.		When preparing new agreement

Conclusions

Section 1 of the Sida/SAREC Action Plan: Urgent issues that should be resolved before Sida disburses any further funds to the AAU.

AAU has, by and large, implemented the nine requirements set forth in this section. The only remaining issue is related to requirement five which stipulates that; "The AAU was requested to issue ToR for external auditors and submit such ToR together with supporting documents. The AAU was requested to submit ToR to Sida before July 31st 2004. It is stipulated that AAU should agree to this action before further disbursement of funds can be released". We were told that AAU was in the process of completing the drafting of the Terms of Reference during the assessment. The external auditor has not been a subject for a tendering process for many years, if any. This is still the case as will be explained in section 4.2.3.

Section 2 of the Sida/SAREC Action Plan: Actions that should be taken before a new agreement can be signed with the AAU.

The documentation made available to us illustrate that AAU has undertaken the following actions thus far in response to Sida Action Plan:

- Action 10: The Executive Board will be presented with the budget and a draft Audit Report for consideration while the final Audit Report is prepared;
- Action 11: A Strategic Plan covering the period has been developed, approved and put to action in 2004;
- Action 12: We will elaborate on this in the following section of this Report;
- Actions 13, 14 and 16 have been implemented;
- Action 16 represents a milestone in AAU budget management by coordinators who now initiate payments, monitor budget and insist that the Financial Department prepare timely reports and expenditures and budget balance, whether biannually or quarterly in accordance with the financial reporting provisions stipulated in the project agreement.
- Actions 15, 17, 18, 19, 20 and 21 are requirements to be implemented when preparing new agreements.

Section 3 of the Sida/SAREC Action Plan: Recommendations requiring other actions.

- Action 22 was implemented and two separate budget lines were developed allocating the \$39,825 into 50 – 50 expressed in different budget lines for Sida and NEDA.
- Action 23 has been implemented, while actions 24 and 25 have been incorporated as part of the new project preparation procedures. The assessment team asked the Secretary General specifically about using the Logical Framework Analysis and to ensure realistic targets, indicators and budget lines for achievable objectives.

AAU good level of compliance with Sida/SAREC Plan of Action has also resulted in an attempt to incorporate these elements in the new accounting policies. In the following section we elaborate on AAU financial restructuring. Also benefiting from the Strategic Plan we explore how certain elements of the Action Plan have been institutionalised and became part of the AAU accounting policies and procedures.

In the development cooperation it is extremely important to work together in order to achieve the goals. There should be channels for AAU to discuss the results with Sida/SAREC and DGIS.

Recommendation

1. Improve channels of communication between AAU, Sida/SAREC and DGIS

3.3 Financial Restructuring

This section reviews and assesses the various phases of financial restructuring, following the breakdown of elements given in the Terms of Reference.

3.3.1 Changes in income and expenditure

Income and expenditure have decreased after 2001/2002. Please note that the figures for 2000/2001, 2001/2002 and 2003/2003 are based on the audited financial statements. The figures

for 2003/2004 and 2004/2005 are estimates of AAU presented at the General Conference in February 2005.

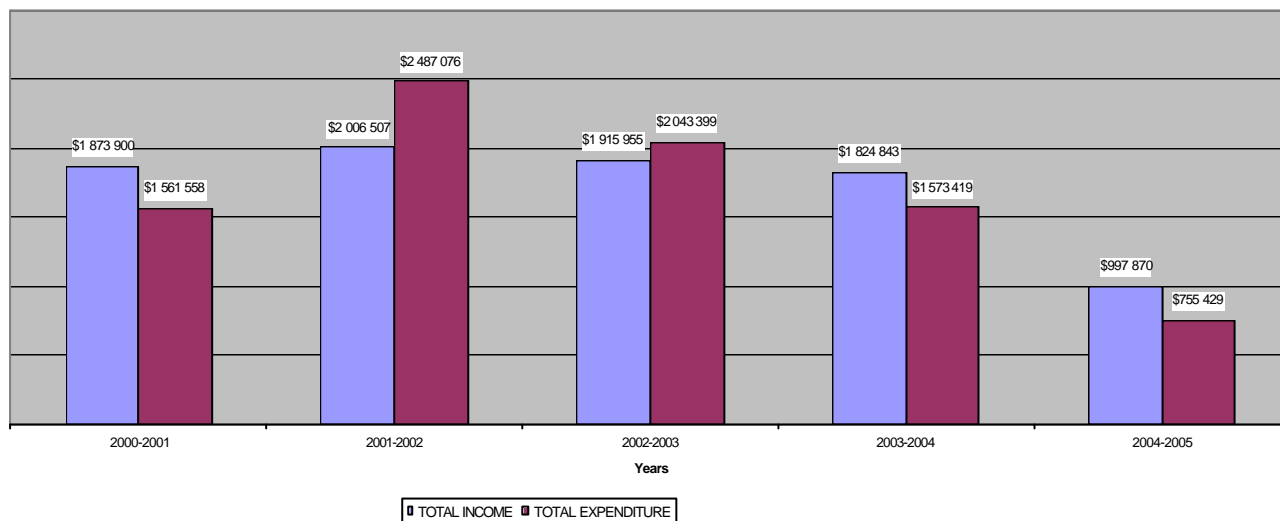


Fig 3.1: Income and Expenditure 2001-2005 (July to June)

The flow of funds has been a problem. There was an *excess of expenditure* over income amounting to - \$480,569 in 2001/02, and - \$127,444 in 2002/03. This has turned into a *surplus of income* over expenditure to the tune of \$251,424 in 2003/04, and \$242,441 for the half-year ended December 2004. Reflecting these movements, the reserves for 2001/02 and 2002/03 show a negative position of - \$149,276 and - \$276,720, respectively. This meant that reserves were being used to finance recurrent expenditure, an indicator of latent problems. Had this been allowed to continue, it would have led to the insolvency of the Association. The situation was reversed in 2003/04, with the surplus of \$251,424 reducing the deficit to - \$25,296. By the end of the six-month period ended 31st December 2004, the balance had become positive, at \$217,145.

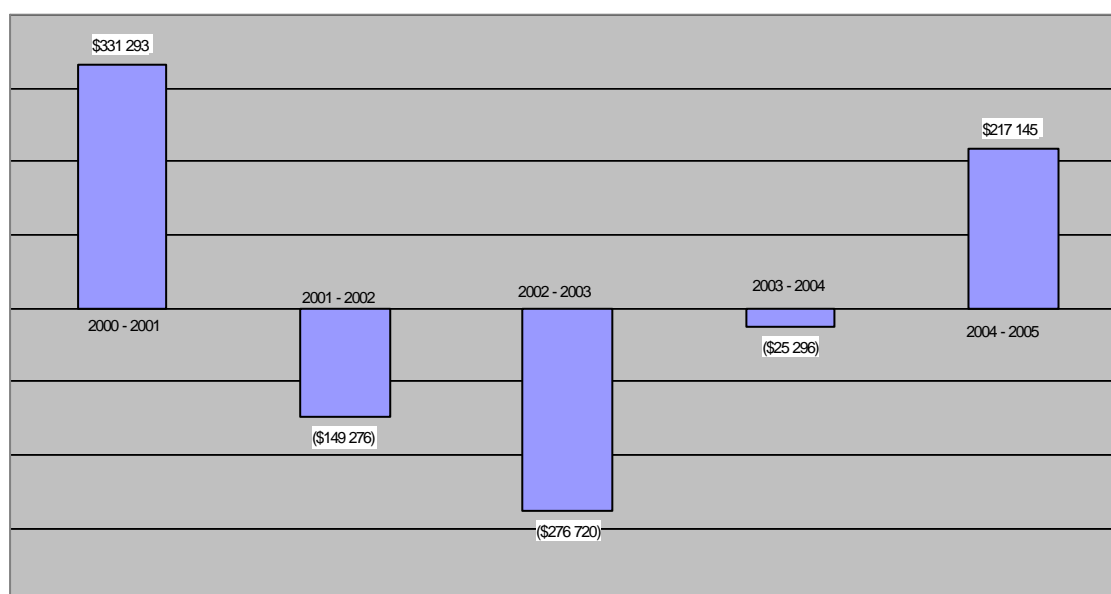


Fig 3.2: Reserves (July to June)

From a peak of \$546,810 in 2000/2001, subscriptions payments dropped in 2001/2002 and 2002/2003, rising slightly in 2003/2004. As 2001 was the year of the General Conference, the

year in which subscription arrears tend to be paid, the peak was predictable. Overall, however, payments for the rest of the period varied around an annual average of \$375,845. Subscriptions during the six-month period ended 31st December 2004 came to \$178,601. Though doubling it would bring it to around the annual average, this is likely to be an underestimate, given the historically low payment rates for the July-December period, as against the January-June period.

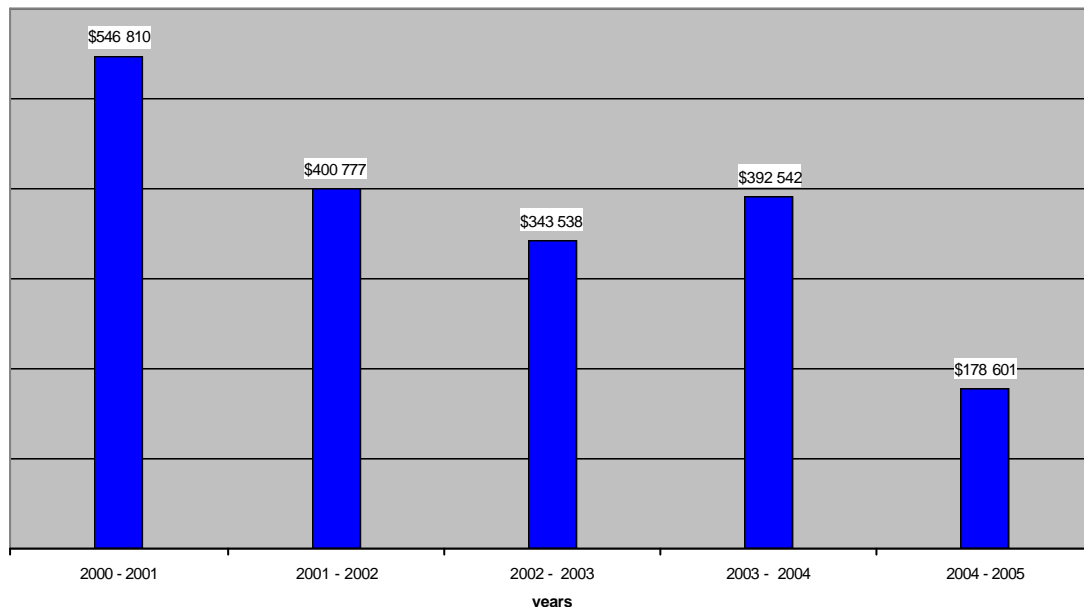


Fig 3.3: AAU Subscriptions Trends 2001-2004 (July to June)

Restricted/earmarked grants are used to finance specific activities, mainly under research and programmes, whilst institutional support grants are used more flexibly under agreements between donors and the Secretariat. Total grants received in 2000/2001 were \$1,089,234, rising to \$1,550,206 in 2001/2002, and then falling to \$968,588 in 2003/2004. During the six months ended 31st December 2004 grants totalled \$755,950. Projecting this for the rest of the year puts expected receipts for the year at \$1,511,900, close to the 2001/2002 peak. It is most probable that this will be exceeded, as grants receivable for the period are currently in excess of \$2,133,168.

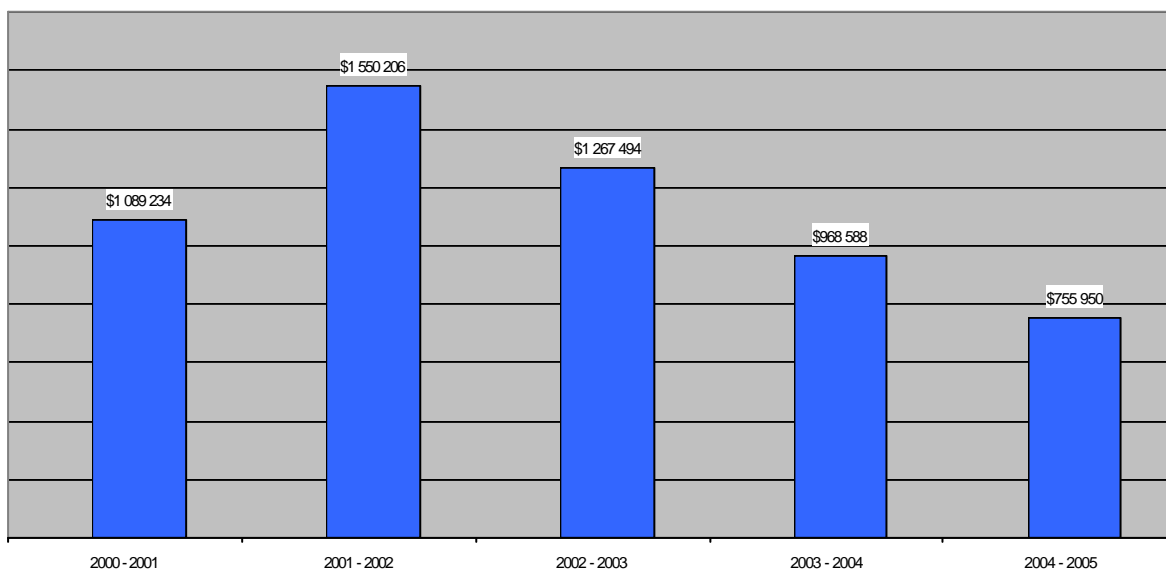


Fig 3.4: Total Grants Received 2001-2004 (July to June)

“Other income” is made up of publication sales, sundry income, conference and workshop services, consultancies, and interest on savings and investments. In 2000/2001 “Other Income” amounted to \$237,856, rising to a peak of \$463,713 in 2003/2004. During the six-month period to 31st December 2004, “other income” amounted to \$63,319. With the General Conference and other events scheduled for the first half of 2005, the annual total maybe expected to be above average.

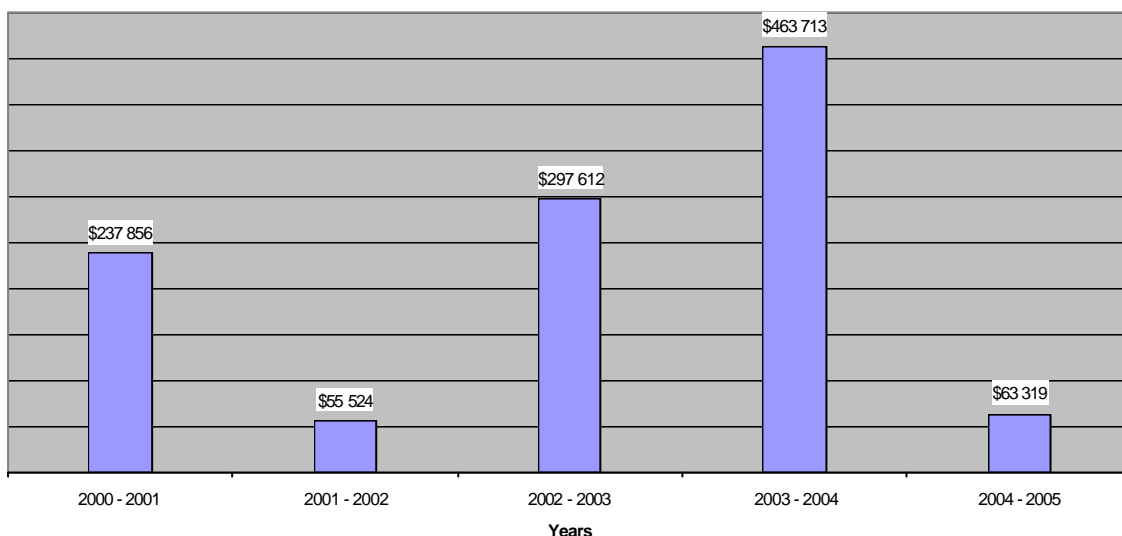


Fig 3.5: Other Income (July to June)

Funds received have, in general, been sufficient to finance recurrent expenditure of the Association over the period 2001-2004. Total expenditure was \$1,561,558 in 2000/2001, rising to \$2,487,076 and \$2,043,399 in 2001/2002 and 2002/2003, respectively. Total expenditure amounted to \$1,573,419 in 2004, and for the six months to 31st December 2004, to \$755,429, representing just under half of the total for the preceding full year. This shows that total expenditure has been decreasing over the period 2001/2002 to 2003/2004. The total for 2004/2005 is likely to exceed that of the preceding year as elements of the new Core Programme start operations.

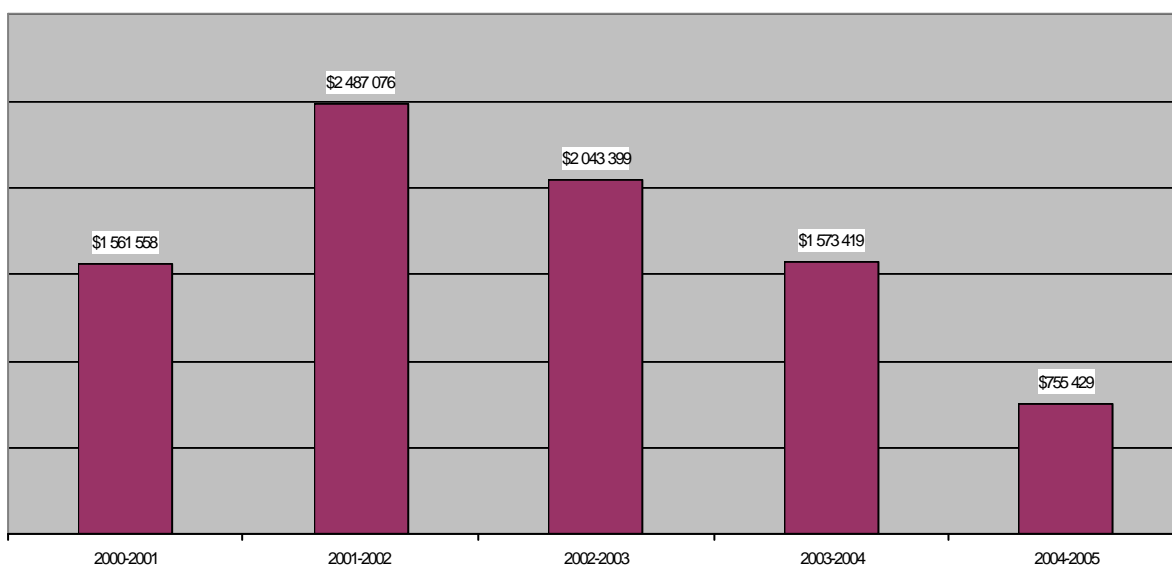


Fig 3.6: Expenditure (July to June)

Income generated from subscriptions, publication sales, sundry income and interest on savings and investments is generally applied to the expenses of administration, communication and services. Programmes are financed from grant allocations according to the prescribed budgets.

3.3.2 Administration costs

One element of the Terms of Reference is to study the administrative costs. Thus the assessment team has studied the changes of the administration costs in comparison with the total expenditure (Table 3.2).

Table 3.2: Income and expenditure 2003/2004 compared with 2002/2003

	July 3003- June 2004 (Draft Financial statement)	July 2002-June 2003 (Accounted Financial Statement)	Relation 2004 /2003
Income	1,889,192	1,915,955	99 %
Total Expenditure	1,614,796	2,043,399	79 %
Administration	588,866	526,623	112 %
Programmes	906,329	1,203,745	75 %
Info & Communication	113,116	134,988	84 %
Others	6,485	178,043	4 %

Both income and expenditure are a little higher in the last draft Financial Statement of May 2005 that is used in Table 5 compared to the figures presented at the Global conference in February 2005.

The income is almost the same 2003/2004 and 2002/2003. The total expenditure however decreased with more than 20 %. At the same time the administrative costs increased 12 %. The administrative costs 2002/2003 were 25.8 % of the total expenditure. The percentage increased to 36.5 % in 2003/2004. The costs for programmes 2003/2004 was only ¾ of the costs 2002/2003. The restructuring was supposed to decrease the administrative costs but the reality is the opposite. The administrative cost element in 2003/04 was inflated by one-off payments under the restructuring exercise. These costs were expressly provided for in the special bridging grant secured to cover specific expenditures under the restructuring exercise.

- a) As part of the restructuring process the Secretary-General, and the Heads of Administration and Finance and of Communications were released from the service of the AAU. Later, the Head of Finance was also released. Their terminal benefits and other expenses (travel, shipping, etc.), amounting to a total of \$64,413, were a one-off item of the “administrative” costs for the period.
- b) Recruitment costs of the new Director of Research and Programmes and Head of Communication and Services, amounting to \$33,250, were a similar element in the “administrative” costs.

The professional staff emoluments the year ended 30 June 2004 are \$559,471, out of which 277,880 is basic salary. Thus, the benefit package is \$281,591, more than 100 % of the basic salary. The support staff emoluments the year ended 30 June 2004 are \$97,967, out of which \$25,569 is basic salary. Thus the benefit package is \$72,398. The total cost for staff the year

ended 30 June 2004 was \$657,438 out of a total expenditure of \$1,614,796. The cost for staff was thus over 40 % of the total expenditure.

Table 3.3 shows the budget and the actual expenditure for the Study Programme on Higher Education Management in Africa July 2003 – June 2004. It shows that the actual cost for coordination is 69 % over budget.

Table 3.3: Study Programme on Higher Education Management in Africa July 03 – June 04

Expenses	Budget (\$)	Actual Expenditure (\$)	Actual Expenditure in per cent of budget
Research grants	53,000	20,050	38 %
Research & Training Attachments	20,000	4,560	23 %
Networking	35,000	3,893	11 %
Research and dissemination	118,900	11,317	7 %
Coordination	138,200	233,347	169 %
Preparation for Phase 3 (papers, workshops)	27,600	-	-
Total expenses	426,080	303,606	71 %

The costs for research and network are much lower than budgeted. The table shows that the cost for coordination amounts to 77 % of the total actual expenditure. The high percentage of coordination costs in the Study Programme is the result mainly of the fact that, for most of the period, while activity under the Programme was on hold pending the approval of funding for Phase 3, staff had to be kept on. After a period of settling in, the new Director of Research and Programmes has resumed active programme work.

Conclusions

AAU has taken the implications of not fulfilling the requirements put forth by Sida/SAREC Action Plan, including the possible withholding of funds, seriously which explains why it embarked on implementing it by responding to most of its recommendations.

In an attempt to distance itself from AAU pre-2002 tarnished image, the new recruited expatriate professional staff and the assertiveness of the Secretary General to open a chapter in AAU work practices and ethics as well as relations with donors. In particular the new recruited expatriate professional staff has brought to AAU diverse experiences, skills and competences which managed to turn the AAU around in a relatively short span of time.

Sida/SAREC Action Plan was an efficient instrument for measuring practical steps taken by AAU in order to respond to the sloppy manner in which it managed its pre-2002 finances, also leading to concrete restructuring processes and actions.

It has also provided a learning/educational instrument for improving AAU financial systems management resulting in an improved accounting policies and procedures (published in October 2004).

If the actions taken by the AAU as a result of Sida/SAREC Action Plan are ameliorated and sustained, it would have an extremely positive effect in instilling desirable work ethics routines, regular reporting and a sense of predictability. It is, in a sense, dependent on AAU ability to stay the course, retain the current senior professional staff and avoid high senior staff turnover that characterized its pre-2002 mode of operation.

Recommendations

1. The assessment team recommends AAU to follow-up on outstanding issues to ensure continued compliance with account policies and procedure manuals.
2. AAU should embark on exploring ways and means to reduce the current high administrative costs, including focusing the programmes and procuring more funding to expand the participation of the member institutions.
3. The AAU is advised against complacency and the possible return to pre-2002 mode of operation. It has to review its internal structures systematically and regularly so that it could sustain the improvements it made thus far.

4 RESTRUCTURING OUTCOMES

4.1 Financial management competences

The assessment team examined the qualifications, job descriptions and held interviews with the three member employees of the Department of Finance and Administration. The background to this is a response to Terms of Reference elements:

1) Assess the extent to which the restructuring of the AAU has addressed shortcomings in financial and programme management identified in the previous audits and evaluations; 7) assess the overall risk level in financial transactions of projects that form part of specific programmes; and from ADEA to WGHE; and 12) assess actual reporting requirements to donors and their fulfilment, and recommend how progress and financial reporting (to donors) could be harmonized.

a) Head of Finance and Administration

The position of Head of Finance and Administration involves two distinctive functions: As Head of Finance fulfilling certain responsibilities related to this functions and second as also Head of Administration with responsibilities peculiar to this position. We take these in turn:

First, the objective of the position of Head of Finance and Administration is to ensure effective and efficient functioning of the Finance Unit and general administration within the Secretariat, making available on timely basis required financial information to facilitate management decision-making.

The specific responsibilities of the Head of Finance and Administration are as follows:

1. Overall monitoring and supervision of staff in the Finance Unit, and general oversight of administration within the Secretariat;
2. Provide required financial statements/reports to funding organizations;
3. Prepare comprehensive financial statements/reports on the entire institution;
4. Prepare annual budgets;
5. Institute proper revenue and expenditure control mechanisms;
6. Make presentations to Board Meetings as and when required;
7. Monitor contract agreements and cost centres.

To be spelt out in more details, the position of Head of Finance stipulates the following activities:

1. Provide on a monthly basis up-to-date financial information on:
 - i. Budget estimates, actual and variances
 - ii. Weekly analysis of cash inflows and commitments
 - iii. Cash balances
2. Provide monthly expenditure analysis on:
 - i. Communications (fax, postage, telephones, e-mail, etc.)
 - ii. Utilities (water and electricity)
 - iii. Maintenance and repairs (vehicles, photocopies, computers, other equipment)
 - iv. Other cost areas
3. Review bank reconciliation statements.
4. Ensure justifiable allocation of expenditure to projects
5. Review postings in the General Ledger for proper coding, accuracy and completeness of transactions.

6. Ensure that accounting and financial information are properly organized and filed to facilitate easy retrieval.
7. Conduct spot cash counts for safe and petty cash.
8. Provide relevant information for the audit of AAU's accounts.
9. Safeguard and maintain records of assets of the Association (these include liquid assets - cash and negotiable instruments - and physical assets).
10. Periodically review the accounting system to ensure that it responds to current needs of the Association.
11. Perform other related tasks as may be assigned by the Secretary-General.

Second, as Head of Administration the responsibilities under this position are as follows:

1. Attend to staff-related issues such as appointments, staff development/training, annual leave and general staff welfare;
2. Handle correspondence on AAU membership;
3. Handle general secretariat matters such as procurements;
4. Monitor AAU projects through correspondence with Project Heads; and
5. Produce monthly progress reports on general performance at the Secretariat.

b) Senior Principal Accounting Officer

The Senior Principal Accounting Officer reports to Head of Finance, with the overall responsibility for making available on a timely basis required financial information to facilitate management decision-making. Specifically, the Senior Principal Accounting Officer specific responsibilities are:

1. Assist in the preparation of financial statements/reports to funding organizations;
2. Assist in the preparation of annual budgets;
3. Update records on subscription payments and generate debit notes to members periodically; and
4. Assist in the preparation of salaries and the payment of obligations (income tax, gratuities, etc) on timely basis

The Senior Principal Accounting Officer should also attend to the following ancillary responsibilities:

1. The Senior Principal Accounting Officer (SPA) is to assist the Head of Finance to:
2. Institute proper revenue and expenditure control mechanisms;
3. Monitor contract agreements and cost centres;
4. Provide on monthly basis up-to-date financial information on:
5. Budget estimates, actual and variances
6. Weekly analysis of cash inflows and commitments
7. Cash balances
8. Provide monthly expenditure analysis on:
 - i. Communications (fax, postage, telephones, e-mail, etc.)
 - ii. Utilities (water and electricity)
 - iii. Maintenance and repairs (vehicles, photocopies, computers, other equipment)
 - iv. Other cost areas
 - v. Prepare bank reconciliation statements; and
 - vi. Ensure proper coding, accuracy and completeness of transactions on the vouchers.

c) Principal Accounting Assistant

The Principal Accounting Assistant reports to the Senior Principal Accounting Officer and his specific responsibility are as follows:

1. Preparation of payments to vendors (bills, salaries, and other payments);
2. Ensuring statutory payments on timely basis (income tax, IRS, SSNIT contributions, etc);
3. Preparation of bank reconciliation statements;
4. Updating of records on subscription payments and generate debit notes to members periodically;
5. Assisting in the preparation of financial statements/reports to funding organizations; and
6. Assisting in the preparation of annual budgets.

Ancillary Responsibilities of the Principal Accounting Assistant are as follows:

1. Assist in the monitoring of contract agreements and cost centres;
2. Assist in the provision on monthly basis up-to-date financial information on:
 - i. Budget estimates, actual and variances
 - ii. Weekly analysis of cash inflows and commitments
 - iii. Cash balances
3. Assist in the provision of monthly expenditure analysis on:
 - i. Communications (fax, postage, telephones, e-mail, etc.)
 - ii. Utilities (water and electricity)
 - iii. Maintenance and repairs (vehicles, photocopies, computers, other equipment)
 - iv. Other cost areas
4. Ensure proper coding, accuracy and completeness of transactions on the vouchers.

Conclusions

The recruitment of the current Head of Finance and Administration signals a positive step in AAU attempt to improve its image and operate as a professional organization that meets the required financial management standards. The Senior Principal Accounting Officers and the Assistant Principle Account have long history with AAU dating back to 1993 and 2000 respectively. Both of them are competent and at the cutting -edge of handling the responsibilities under their purview and in fulfilling the requirements their jobs and portfolio demand.

The present cash based accounting system makes it very difficult to increase the transparency in reporting. In the opinion of the assessment team it should be replaced by a FM-system based on accrual accounting. This has been discussed within the Secretariat but not with the Executive Board. The implementation of a new financial management and accounting system required by Sida/SAREC will put a heavy work pressure of the financial department of three persons, particularly considering that AAU currently runs more than 21 programmes, projects, daily financial routines and payroll activities. All programmes and projects require either biannual or quarterly expenditure and financial status reports as well as annual financial reports. In situations where the financial routine is followed thoroughly or with constant very short notices, accounting errors most likely to occur. A few days absence by the Senior Principle Accounting Officer or the Assistant Accountant, contribute to large backlog of work, including late financial reporting despite the good intentions of the financial department and the project coordinators.

The assessment team urges the AAU to move quickly towards making the introduction of the long awaited accounting software a reality. The assessment team also cautions AAU that the introduction of the new software is not a panacea that would overnight produce financial efficiency results. First, changing the accounting and audit routines, with the introduction of the new software, would initially exert extra pressure, particularly before comprehending the routines it involves. Second, the accounting outcomes of the installing the new software are as good as the data the accountants feed into it, hence the need for proper training for the Finance Department as well as the senior management and project coordinators who should also be able

to generate the data they required efficiently instead of turning the Finance Department into a “help desk”.

Recommendations

1. It is the view of the assessment team that the Senior Principal Accounting Officer and the Assistant Principal Accountant will not be able to cope with the current level of financial management and accounting demands. The assessment team urges Sida/SAREC and DGIS to include in Phase III budget an Assistant Principal Accountant to be wholly devoted to the Study Programme. It is the best interest of donors and AAU and could also increase the frequency of financial reporting to quarterly reports in lieu with other donor’s requirements.
2. Implement the long-awaited software to improve and where relevant consolidate recent gains in accounting policies and procedure manuals
3. The cash based accounting system should be replaced by a FM-system based on accrual accounting

4.2 Internal financial controls, accounts and audit verification

This section reviews and assesses the various phases of financial management, following the breakdown of elements given in the Terms of Reference.

4.2.1 AAU Accounting Policies and Procedures Manual

As stated in explaining the rationale behind Sida/SAREC Action Plan and the requirements placed on AAU in order to comply with recommendations on “Systems and Financial Audit” of 2002. Although several elements of AAU restructuring have emerged in Sida/SAREC Action Plan, AAU has undertaken more wide-ranging financial accounting policies and procedures to improve its audit and accounting systems.

AAU Accounting Policies and Procedures Manual were published in 2004 and subsequently used a set of policies and procedures as instruments for ensuring financial accountability. According to AAU, the overall objective of the accounting policies and procedures manual is to *“ensure that the AAU records, classifies, summarizes and reports financial data completely, accurately, timely and consistently in a manner that is acceptable to donors and other parties. It is further anticipated that the AAU and donors can rely on the reports to make meaningful financial management decisions”*.

Such objectives are clearly a direct response to internal (AAU community and stakeholders) as well as external (international donors and partners). For the benefit of the reader, we summarize this important financial restructuring document below.

The manual is divided into four main sections. Section I provides a brief description of the AAU, the purpose and objective of the manual. Section II discusses the relevant internal financial controls, in terms of policies and procedure required for processing and summarizing transactions, and safeguarding assets of the AAU. In Section III other specific accounting issues that relate to the maintenance of the accounting system are discussed. These include Chart of Accounts, Reports Overview and Project Accounts. Section IV presents the reporting requirements and types of reports to be produced at the end of each accounting period.

Specimen of accounting records to be maintained forms introduced and financial reports to be produced are included as appendix to the manual. The purpose and use of these records, forms and reports have been presented in detail in the appropriate sub-sections.

The internal controls relate to the following areas of activities:

- Receipts;
- Procurement and unpaid obligations;
- Disbursements;
- Stores;
- Payroll;
- Fixed assets

Each of these activities is covered with set or rules stipulated and policy guidelines we identified. In particular we present these policies below because of their direct relevance to several requirements placed on AAU by the Sida/SAREC Action Plan. These are as follows:

- Separate bank accounts should be maintained for foreign and local currency transactions;
- Separate bank accounts should be maintained to conform with donor's requirements to avoid commingling of funds;
- Pre-numbered official receipts should be issues to cover receipts of funds from all sources.
- All Receipts should reflect the following details:
 - Date Cash/cheque was received or date transfer was made into the bank account;
 - Name of payer into the bank account
 - Name of payer/donor
 - Brief description of receipt transaction
 - Amount received in words and figures
 - Cheque number, if cheque is received
 - Signature of the official receiving the cash/cheque
- Funds should be received by authorized staff only;
- Receipts should be deposited intact into bank accounts daily;
- Cash intended for deposit into bank accounts should not be used to pay supplies for goods/services or used to cash personal cheques.

Another significant requirement placed by Sida/SAREC Action Plan is related to Project Accounts with the Project coordinators designated as the initiators and directly responsible of monitoring project accounts on biannual or quarterly bases – as stipulated in project agreement. The Accounting Policies for Project Accounts (Article 3.3) reads as follows: *‘The Secretary General has responsibility to ensure that project proposals submitted to donors for funding are properly prepared and fall within the purview of the AAU’s objectives. The SG may delegate this assignment to a select committee or the Head of Finance and Administration. However, the ultimate responsibility remains with the SG’*.

The policies and procedures that deem necessary to ensure adequate oversight and accountability for donor funds, in respect to *accounting for projects* are stipulated as follows:

- The Senior Project Accounting Officer (SPA0) should obtain copies of donor funded project documents particularly the budget analysis in respect of project expenditure.
- Prior to disbursing funds for project expenditures, the accountant should ensure that only line items specified in the budget are covered by funds to be disbursed. Under no

circumstances should funds be disbursed to cover unapproved expenditures without proper authority from the donor agencies.

- Proper authority in this context implies reference to the context documents for provision for new expenditure items other than the prior approved budget lines.
- The specified line items in the budget should indicate the balance available.”

More importantly, the role of Project Coordinators in initiating approval of expenditures and project budget monitoring has been affirmed and made part of AAU accounting policies and procedure. It stipulates (Article 3.3.5, p. 30) that,

“The Project Coordinators are to ensure that they operate within their approval budgets with donors.

The Expenditure Initiation and Authorization Form must be filled in by the project coordinator; Approval by the Director of Programmes and Research; and

A copy of the Expenditure, Initiation & Authorization Form must be filed by the Project Coordinator”.

Conclusions

The new (Oct 2004) Accounting Policies and Procedures Manual is comprehensive. The narrative examined and the interviews held with staff (See Annex 2: Itinerary) assisted the assessment team to verify the extent to which the policy narrative has been acted upon. Evidently, AAU revised Accounting Policies and Procedures Manual is effectively used as a new financial management instrument reflected in the emergence of a pro-active Project Coordinators role in restraining non-authorized initiation of expenditures or payments – as we were made to believe that was the case in the past. Applying the subsidiarity principle in Project Accounting also contributed to more demands on the Financial Department to provide relatively more timely financial reports than in the past. This has in effect strengthened the Project Coordinators position in monitoring project budgets and exert some degree of vigilance in avoiding over expending or drawing on over spend budget lines.

Recommendations

1. Consolidated, multi-donor reports at uniform intervals should be implemented.
2. The audited financial statement should be approved by the Executive Board not later than in October.
3. AAU should consider having a Board with fewer members meeting at least twice a year and also having telephone meetings when needed.
4. The new Financial Management system working on accrual basis should be compatible with all donor classifications.
5. AAU should produce a management response on all audits and evaluations.
6. Sida and DGIS should be provided with the management response when Sida- and DGIS-funded projects are involved.
7. Fixed Assets Register should be maintained.
8. Selling process for outdated assets should be defined.

9. Consolidated, multi-donor reports at uniform intervals should be implemented.

4.2.2 Accounting procedures and internal control

In the following section, the assessment team will proceed to further elaborate, examine and offer more structured accounts of the AAU restructuring process and its outcomes.

All accounting routines are documented in the Accounting Procedures Manual.

The system of internal control is contained in the Accounting Procedures Manual. The internal control system is embedded in the accounting routines that are observed on a daily basis. Thus, there is no annual plan. The external audit checks on an annual basis whether the system of internal controls is being adhered to. The external audit attestation gives an opinion on the state of the internal controls.

One element of the Terms of Reference is to assess the overall risk level in financial transactions by AAU of projects that form part of specific programmes; and in transactions from ADEA to WGHE/AAU. The relationship between the AAU and the ADEA/WGHE is contained in a memorandum of understanding (MOU) between the two bodies. However, the mission was not able to perform this specific requirement of the TOR because the type of risk assessment required by external evaluators is contingent on AAU conducting as a matter of policy regular risk assessment. Neither AAU nor WGHE has carried out any risk assessment that would have enabled the assessment team to perform this task. None the less, the conclusions, recommendations and indeed the report summary are indicative to various levels of risks and opportunities which the assessment team has clearly identified.

In section 3.1 the assessment team has recommended AAU to carry out a risk management assessment. Risk management assessment involves identification of major risks across a wide range of categories including governance, strategic (long-term), operational (day to day), financial, compliance (with constitution, legislation, regulations etc). The assessment has to be carried out by the organization itself. It should for every defined risk include an assessment of impact and likelihood, process in place, action plan and responsibility for action. If AAU had presented a risk management assessment we could have assessed the overall risk level in financial transactions.

The Terms of Reference mentions some elements of administrative costs to be assessed. The assessment team has made the following observations:

- End of service benefits for all professional staff shall be calculated and factored into the annual budget and paid into the investment account on a monthly basis. According to the audited financial statements of the year ended 30 June 2003 the End of service benefits for 2003 was \$123, 265 (for 2002 the sum was \$12,700), which is made-up of 43,925 for End of Service Benefits for July 2002- June 2003 and \$79,340 for arrears not paid in pervious years, because AAU had institutionalized ESB during that time
- AAU has provided the team with schedules of the professional staff emoluments July 2002- June 2003 and July 2003 – June 2004 respectively. The schedules consists a breakdown of actual payments for basic salaries, Family Dependants Allowance, Housing Allowance, Post adjustment Allowance, Personal Allowances, Domestic Security, Domestic Allowances, Employers GUSS and End of service benefits for each professional staff member of the Secretariat.

- The team was also provided with schedules of support staff emoluments July 2002- June 2003 and July 2003- June 2004 respectively. The schedule contains a breakdown of actual payments for annual basic salary, car Maintenance Allowance, Overtime Allowance, Transport Allowance, Inducement allowance, Duty allowance, Language Allowance, Responsibility Allowance, SSF and Pension.
- The team has also been submitted a breakdown of actual payments for expenditures in relation to travelling abroad for each member of the Secretariat in 2003 and 2004.
- Copies of contracts of all expatriates were available in hard copy.
- The present contract of the Secretary-General is for a period of two years, effective from April 14, 2003. Thus the contract period terminated April 2005. A new contract is not signed yet. The team has been told that the new contract will be signed at the next meeting with the Executive Board in June 2005.
- Among written questions sent to AAU in advance was the following: *“Has at any time AAU paid costs for relatives travelling with members of the Secretariat (tickets, hotel accommodation, daily allowances, per diem)? If yes, please specify in detail.”* The written answer from AAU was as follows: *“No, but expatriate contracts provide for leave travel with family.”* According to the contract the Secretary-General he is entitled to free business class passage Accra – London – Accra , by air or sea (or equivalent) for himself and his wife once during the term of his contract. Thus, this right has not been used.
- Among written questions sent to AAU in advance was the following: *“Has at any time AAU paid personal costs for members of the Secretariat (e g housing, home maid, driver)? If yes, please specify in detail”*. The written answer from AAU was as follows: *“The allowances enjoyed by staff are spelt out in their contracts. The Secretary-General is entitled by contract to domestic allowance and a driver.”* The contract of the Secretary-General was submitted to the team on request during our visit. The benefits include salary, Post adjustment Allowance, Family Dependants Allowance, Education Allowance, maintaining of the pension rights, leave, a monthly allowance in lieu of rent-free fully furnished accommodation, maintenance of his house, electricity, water and telephone, a chauffeur-driven car for official and personal use, allowance to engage domestic staff for his residence, free medical and dental attention for him and his family, travel in business class, per diem allowance normally enjoyed by members of the Executive Board, and a personal entertainment and hospitality allowance.

Conclusions

The accounting procedures are documented in the Accounting Procedures Manual. The work is carried out as stipulated in the manual. The procedures are functional. There is an internal control system that is practiced.

One of the requirements for the new financial management (FM) system is that it should be able to manage all sources of funds, and should have a chart of accounts covering specific needs of different funds. The system shall work in an accrual basis, and not under the current cash basis. It is intended that a new FM-system will be compatible with all donor classifications, so that their reports can be generated easily. It should also meet international standards.

Recommendation

1. The new Financial Management system working on accrual basis, which is preferable to other systems, should be compatible with all donor classifications.

4.2.3 External audit

As external auditor AAU is using the chartered accountants PKF (Pannell, Kerr, Forster). But the external auditor is not selected on an annual basis. There has been no tendering process.

The assessment team was informed that there was no Head of Finance for a long time and the current Director of Finance and Administration is only recently appointed. The recruitment of the New Director of Finance and Administration is intended to clear the backlog of financial reporting, stream-lined financial management and make the transition to adequate tendering possible. AAU informed the assessment team that it is anxious to know who will fund a costly international audit.

There is no system in place for management response to audits and evaluations. However, the Department of Finance and Administration follows up on all audit reports and ensures that queries are answered and criticisms addressed.

The team was provided with hard copies of the audited financial statements of the year ended 30 June 2001, 2002 and 2003 respectively.

AAU was still drafting the financial statement of the year ended 30 June 2004. The team was provided with a draft during our visit to AAU. However, this draft was still a part of a work in progress and thus not audited.

Recommendations

1. AAU should produce a management response on all audits and evaluations.
2. AAU should provide Sida and DGIS with the management response when funded projects are involved.
3. AAU should include costs of an annual tendered audit in its general budget.

4.2.4 Fixed assets

The accounting procedures manual states the procurement procedure and inventory.

According to the Accounting Policies and Procedures (p 2.6.3 Records for Fixed Asset) Manual Fixed Assets Register should be maintained on all categories of assets. Fixed Assets Register should be maintained on all categories of assets. The Registers should provide detail information to include the following:

- Date assets was acquired
- Supplier/donor's particulars
- Brief description of the asset
- AAU's identification number
- Manufacture's identification number
- Monetary value
- The location of the asset

We have been provided with lists of equipment bought the fiscal years 2002-2003 and 2003-2004 respectively. For each item it contained date of purchase, number of Payment voucher (PV), a brief description of the asset and the cost.

In addition we received a list of AAU computers and laptops. It contains id-number, department, username, type and year of purchase. We made a small sample of laptops purchased 2003 -2004. According to the latest list dated 1st of November 2004 none of the computers or laptops had 2003 as the year of purchase. However two laptops were bought 2/28/03 and 3/3/03 respectively. One of these was traced to WGHE but the username was wrong and the year of purchase was missing in the list. The other was traced to Communication and Services. One of the other laptops was missing. The explanation given by AAU was that it disappeared during the 11th AAU General Conference in February 2005.

Conclusions

AAU has no Fixed Assets Register in place providing the detailed information requested in the Accounting Policies and procedures Manual.

In the Accounting Policies and Procedures Manual there is a procedure for disposal of Fixed Assets. When an asset is disposed of the RV should be processed into the Peachtree accounting system. However, the selling process for sales of surplus or unwanted inventory is not defined.

Recommendations

1. Fixed Assets Register should be maintained.
2. Selling processes should be defined.

4.3 The planning process

One element of the Terms of Reference is to assess translation from strategic plan(s) into more operational plans and programmes; assess possible relationships and overlaps between various (core and specific) programmes (including proposals presented to donors).

i.) Programme Planning

The planning process begins at departmental level. Where there are new ideas and proposals, the department develops them and after finalizing them sends them to the management team comprised of the Secretary General, the Director of Research and Programmes and the Head of the Communication and Services Department and Head of Finance and Administration for further deliberation on the proposal's viability.

ii.) Institutional /Organizational Plans

The Head of Departments have to integrate new ideas in the suggested work plan from the Department. Organizational planning starts with these proposals from the management, which are tabled at a meeting of professional staff and discussed. After the discussion the management drafts the agreed documents and circulates them for further and final comments.

On matters of a general nature, meetings of all staff are held and consultations made. Such issues include mainly planning of major events such as workshops and conferences and organising committees (LOCs) are set up to plan/handle their organisation.

From discussions with the new Head of Research and Programmes, also responsible for the *Study Programme on Higher Education Management in Africa*, it became evident that the Department as a whole has improved its planning and implementation methods significantly. It kept abreast with the spirit and practice of the restructuring process.

Conclusions

The assessment team has not found any overlaps between various (core and specific) programmes (including proposals presented to donors).

Not a few of the professional staff members have difficulties in planning their day to day work. The reason is a high frequency of ad hoc demands from the leadership instead of clear commitments on agreed work plans.

Recommendation

1. Detailed annual work plans should be in place for each team (department) and each individual staff member.

4.4 Reporting

One element of the Terms of Reference is to assess actual reporting requirements to donors and their fulfilment, and recommend how progress and financial reporting (to donors) could be harmonized.

Transparency is the condition that any stakeholder can see what any officer of AAU is doing and has access to the files and records at any time, except for certain recognised exceptions. Major improvements are required in creating a system of AAU-wide release of information, financial and statistical. The most important statements in the discharge of financial accountability, i.e. audited financial statements are very late. At the time of the team visit to AAU in the middle of May 2005 work was still in progress on the draft financial statement for 1 July 2003 to 30 June 2004. Thus the last audited financial statement that was available was for the period ending almost two years ago.

The AAU produces financial statements on an annual basis ending 30th June. It would be best for the AAU if the annual audited financial statements could be used to report on all projects while quarterly financial statements can be produced up to end of September, December and March. Separate project accounts can then be produced to the quarter dates. This will be most convenient. Currently donors reporting requirements do not take into consideration the annual reporting dates of the AAU. In multi-donor support for a particular programme each donor will have its own reporting date, which produces a myriad of reporting dates making reporting extremely difficult.

Harmonisation can best be achieved if uniform reporting periods could be agreed for all projects. At the minimum, donors funding the same project should agree to same start and end periods.

The reporting date is most convenient if it falls on the quarter dates or the year-end.

At present, the AAU provides a single audited financial statement, but different reporting requirements, formats and times, which sometimes results in duplication/difficulties.

One element of the Terms of Reference is to assess AAUs possibility to present to its donors multi-donor consolidated chartered accounts yearly. At present, the AAU provides a single audited financial statement. Different reporting requirements, formats and times sometimes results in duplication/difficulties. The AAU would have preferred a consolidated, multi-donor report at uniform intervals. In the proposal for Institutional support (2005-2007) AAU has presented a Global Budget including a summary of grants by donors (2004-2005).

Conclusions

The Executive Board is supposed to approve the audited financial statement for 2003/2004 at the meeting in June 2005, almost one year after the end of the financial year ended. This is not acceptable. The audited financial statement for 2003/2004 should have been approved by the Board not later than in October 2004. The Board has to approve the budget before the commencement of the new financial year. Thus the Board has to meet at least twice a year. However, the meetings of the Executive Board are extremely expensive (approximately \$60,000 each). AAU should consider having an Executive Board with fewer members meeting at least twice a year and also having telephone meetings when needed.

Harmonisation is best achieved if a financial statement common to all donors could be prepared. A consolidated, multi-donor report at uniform intervals would decrease the administrative costs for reporting significantly.

Recommendations

1. AAU should propose to its donors that they are willing to accept consolidated, multi-donor reports at uniform intervals should be implemented.
2. The audited financial statement should be approved by the Executive Board not later than in October.
3. AAU should consider having a Board with fewer members meeting at least twice a year and also having telephone meetings when needed.
4. The Executive Board has to approve the budget before the commencement of the new financial year.

4.5 Monitoring and Evaluation

AAU has developed an annual Monitoring and Evaluation (M&E) process whereby each programme monitors its activities, identifies problems and devises a work-plan for the coming year. Because of its direct relevance to this report, the assessment team uses the M&E of the *Study Programme on Higher Education Management in Africa*, covering the period from May 2004 to April 2005 for illustration.

The Study Programme on Higher Education Management in Africa is the AAU's response to the need for systematic indigenous research to enhance the understanding of issues in higher education management in Africa, and to build capacity for undertaking research on those issues. Launched in March 1993, the *Programme* runs a *Research Grants Scheme*, which supports the study of topics grouped around themes, through country case studies; surveys and analyses; "best practice" studies; and theory papers. Additionally, to promote research and improve policymaking, the *Programme* commissions special studies and supports relevant innovative work. Two successful phases have been completed since inception of the *Programme*, and

elements of a third phase have been initiated.

Phase 1 emphasised the identification and training of higher education oriented researchers, while Phase 2 sought to consolidate the gains of the first phase, and to emphasise the generation and dissemination of research results. It emphasized basing proposals on actual rather than perceived needs; strengthened peer review mechanisms; and ensured greater involvement of policy analysts and experienced researchers in the scrutiny of proposals and research reports.

A proposal for a Phase 3 was developed, and highlighted the following: (a) the central role of major research projects and the team approach as vehicles for production of original research, policy development, further capacity building and professionalization of researchers; (b) the introduction of a *Higher Education Research Training Institute* (HERTI, now HERTCO) as a means of expanding the pool of potential African higher education researchers; and (c) a more natural involvement of existing research institutions and centres, and similar structures in the work of the Study Programme. Additionally, Phase 3 was to promote building institutional capacities in higher education research by supporting selected institutions to host, manage and be responsible for research projects and research methodology training activities.

Following on from the close of Phase 2 however, the Programme suffered a number of setbacks, which resulted in a loss of momentum. These included the suspension of donor funding pending reforms in financial and administrative management of the AAU, and interruptions in the management of the Study Programme in particular. These were critical, having coincided with preparations for the new Phase 3, which was to consolidate the gains of the earlier phases and introduce new directions and emphases. The start of Phase 3 was consequently delayed, and thereon has experienced slow trickle of funds.

Ultimately, the management problems were resolved, and disbursement of funds for Phase 2 resumed. A substantive Director of Research and Programmes with responsibility for all programmes including the Study Programme was also recruited, and the Programme was realigned to conform to the broad outlines of the Strategic Plan. However, the Programme has been relatively slow in picking up momentum because funding for Phase 3 has only been partial; the Proposal is yet to be considered by donors. Additionally, the fact that the Coordinator has responsibility for all other AAU programmes impacts negatively on the pace of Study Programme activities.

Presently, as a stopgap measure, selected activities under Phase 3 have been initiated, while fundraising for the remaining activities is pursued. Activities over the period under review included: a Scientific Committee meeting; research grants to two institutions; and preparations for the launch of the HERTI (now HERTCO).

Indicators for the measurement of results as identified by AAU are embedded in the Monitoring and Evaluation reports. AAU uses the indicators of the work plan for each programme/project to measure the achievements and identify the constraints. AAU is currently finalising the 2004/5 Monitoring and Evaluation reports for the next Executive Board meeting in June this year.

AAU has not developed verifiable methods or identified any indicators for the measurement of results. The assessment team was anxious to learn from the Secretary General, the Directors of Departments and the Programme Coordinators whether they have instituted such a methodology. As will be noticed in the recommendations below, the assessment team made it a requirement that AAU should take serious steps towards achieving this goal. Sida/SAREC should also make it a requirement in their AAU future funding that it should develop such indicators for

measurement of results.

Conclusions

AAU Annual Monitoring and Evaluation activity is programme/project-based and does not involve any peer review or even attract an informal external critical voice such as the Scientific Committee. The M&E process is not based on examining verifiable results and tends to privilege positive narration of events and activities. There is also insufficient comparative material from previous years to attest to whether any integrated or comparative performance evaluations and approaches have been adhered to.

As stated earlier when commenting on the new administrative structure, the communication, synergy and coordination of efforts among AAU programmes and projects are inadequate. The *Study Programme on Higher Education Management in Africa* is not an exception and therefore proper linkages between it and other programmes and projects is yet to be streamlined and built into a policy capable of enhancing the intellectual debate, increasing financial and other resource allocations and management effectiveness.

AAU annual Monitoring and Evaluation exercise is routinely done with meagre impact on measuring performance or correcting programmes and project directions at an earlier stage. It does not include indicators for results assessment or the critical use of the logical framework assessment to attest to direct and indirect project outcomes vis-à-vis the stated objectives.

Recommendations

1. AAU Annual Monitoring and Evaluation of programmes and projects is commendable. However, M&E has to shift from programme/project-based activity to an integrated and better coordinated AAU-wide exercise that enhances interactions and linkages between the programmes, improve communication and explores their respective contribution to the achievement of AAU mission and vision.
2. A critically constructive voice has to be injected into the Annual Monitoring and Evaluation activity so that it develops from a mere reporting instrument to an effective evaluation tool that can assist the AAU management to re-direct programmes, take timely corrective actions and explore potential synergies, including cost-sharing possibilities.
- 3 AAU should develop indicators for result measurement, applying logical framework analysis to ensure that the programmes' objectives are realistic and achievable.

4.6 Gender and Higher Education

The Gender and Higher Education Project could according to the Terms of Reference serve as a recent case. Gender issues in higher education have featured in AAU activities from two angles. First, in the Study Programme, which has funded a number of individual projects on gender issues in African universities. Five studies have so far been carried out. One on women in senior academic positions in Nigeria, two on gender attitudes and the culture of masculinity in academic planning and curricula in African universities, one on education and gender roles in an Islamic country, and one on gender aspects of communication culture in Nigeria universities. Although the contribution was significant, the number of projects on gender as a proportion of the total number of projects carried out under the Study Programme was quite small.

The second programme that has contributed substantially to activities on gender issues is the HIV and Gender Programme. Because current statistics and experiences show that the impact of HIV/AIDS on women is higher and more disempowering than on men, the link between HIV and Gender has been unavoidable. Under this programme, the AAU as the coordinator of the Association for the Development of Education on Africa (ADEA) and the Working Group on Higher Education (WGHE) has developed a toolkit for training senior management staff in African universities on how to manage care, welfare and stigma among HIV/AIDS victims. It has also organized discussion panels on HIV/AIDS during AAU Conferences of Rectors, Vice Chancellors and Presidents of African Universities (COREVIP) and the last two editions, 8th and 9th, of the Senior University Management Workshops (SUMA).

In the proposal for Institutional Support 2005-2007 it is proposed that Gender should be supported to stand alone as a programme. More qualitative and quantitative research and analysis is necessary in order to develop a clear conceptual framework of gender relations in the planning, administration and delivery of higher education in Africa. In spite of the fact that there are no explicit policies supporting the marginalization of women in higher education, systematic, cultural and administrative practices have continued to perpetuate this marginalization. The new programme will support research into factors that shape and those that can reverse the gender structures and relations in African higher education systems and institutions.

A Memorandum of Understanding has been signed between AAU and the African Gender Institute (AGI) on the 28th of February of 2005 and 18th of February of 2005 respectively. The project “will be carried out within 18 months beginning with receipt of funds before end Dec 2004”. The first grant of \$140 000 (70% of the total cost for the project) was transferred in March 2005. The remainder will be submitted upon delivery of a Draft Final Narrative Report and country case studies.

Conclusions

Gender and higher education represents a new phase in AAU project management where implementation is delegated in the principle of local implementation partners is applied. However this experience is too new and therefore has to be monitored closely in order to ensure proper implementation.

Recommendation

1. AAU should put in place monitoring and evaluation procedures for joint implementation with local implementation partners in terms of clear implementation timeframe, coordination and networking.

4.7 Organizational culture and management style

Understanding the organizational culture of any institution requires the analysis of the way administrative routines are discharged and member institutions’ compliance with rules and regulations governing the execution of tasks the institution is mandated are accomplished. Furthermore, organizational culture is about ensuring predictability of decision-making outcomes, instituting internal performance reviews and evaluations, and developing incentives regimes with rewards and in some circumstances reprimand or “demotion”.

Positive institutional culture maintains institutional viability, produce quality performance, ensure transparency, trust and loyalty to the institutions’ vision and mission. Institutions with such organizational culture are projected to the external environment as an institution deserving

of their trust and reliable “to do business with”. It ensures that external “investments”, whether these investments funds or grants are in the social, economic, education, research sectors or any other activity.

Although AAU is relatively old and supposedly well-established institution, high staff turnover particularly senior staff turnover militated against the building up of rapport and creation of cohort to sustain some critical elements of robust organizational culture. Unfortunately, the AAU still suffers from this syndrome. The departure of a senior management staff (Director of Communication and Services) has deprived AAU from the resources of a respected, highly professional and qualified staff member. This point is, unfortunately, an excellent illustration of the high AAU high staff turnover, also meaning that the type of organizational culture such a senior staff began to entice his department to become a norm are lost with his departure. It will also be a new beginning for a new director of communication and services.

Nonetheless, the assessment team is of the view that, AAU restructuring has laid the foundations for the emergence of a new organizational culture different from pre-2002 period as reported in Ernest and Young’s report on Systems and Financial Management of the Association of African Universities (2002).

However Constitutions, byelaws, policies and Strategic Plans are not guarantors of the emergence of an instant positive organizational culture, indicating that practice rather than principle should be employed to judge whether AAU future development would qualify it for the status of an institution with an embedded positive organizational culture.

AAU has not as yet established any semblance of a staff performance review or evaluation system, which made the assessment team wonders about the bases on which staff is laid off, service benefits, salaries, promotions, demotions or reprimand are exercised. The absence of such administrative criterion confers unrestricted powers on the hands of the Secretary General and the senior management, which if not properly and wisely used may result in arbitrary and ad hoc personnel decisions. There is a cry for setting values and standards that everyone should be measured against.

On the positive side, AAU has maintained a management tradition pertaining to monitoring and evaluation. It is seen by the assessment team as not more than an informative annual reporting exercise, routinely carried out in order to present AAU achievement.

AAU new administrative structure with a four-person committee (Secretary General, Research and Programmes, Communication and Services and Finance and Administration) has not yet internalised institutional norms with formal, regular or periodic meetings, agenda setting policies or a regular system for communicating decisions to the rest of AAU the minutes of the meeting or the list of decisions taken.

The assessment team was made aware that Secretary General confers, in an ad hoc manner, with the other three heads of departments, over major decisions. There is, however, a general feeling that the Secretary General tends to monopolize the decision making process and gives little to no space for differing view points to be reflected in the final decisions taken. Leadership is said to be more personalized than institutionalized.

The level of AAU staff awareness of the restructuring process, policies and procedures and byelaws i.e. rules and regulations governing the behaviour of management and employees require more scrutiny and diligence. Most importantly, the Directors and project coordinators have not

been proactively engaging the whole organization in a “soul searching” exercise as to its mission and vision following the February 2005, General Conference. Most of the staff is aware of the need for skills development in the respective areas of their responsibilities. If properly informed, it will save AAU senior management a great deal of time and effort. It will also reduce the current rampant instances of ‘micro-management’.

Conclusions

The assessment team is only able to offer some scanty observations worthy of noting in the bid to improve AAU organizational culture and management style since the onset of the restructuring process in 2002. However, the assessment team is content that some of the negative aspects of AAU organizational culture were inherited from how it has been operating for good part of its existence since 1967. It is somehow surprising that the donors were either unaware of the situation or kept silent until the onset of Sida/SAREC Action Plan of 2002.

From organizational culture viewpoint, AAU senior management style is ad hoc and as such hinders the flow of information about the decision-making process and the strategic decisions made at that level. In some circumstances it has restricted the flow of information either only to those at the senior management level thus leaving the other organs of the institution unaware of the new policy directions. Or information is circulated to a few staff members within the senior management leaving some being left out. At worse, this management style is not transparent and absolves the Senior Management from the burden of horizontal accountability and transparent decision-making process.

Over dependence on informal e-mail and Internet communication portals cannot be a substitute to the establishment of formal information flow mechanisms, nor can this compensate for regular and periodic meetings that involve various levels and thematic probing of issues fundamental to the AAU mission both intellectual and administrative in nature. Unless fundamentally transformed over time, the current organizational culture does not lend itself to ensure the flow of information of the decision-making process, transparency, trust and loyalty to the institutions’ objectives, vision and mission.

Currently AAU has no personnel and/or human resources management portfolio. In the circumstances employment issues are left either to the Secretary General or to the Director of Finance and administration. At the absence of a “trade union” or AAU employees association to safeguard their interests, the Secretary General and the Director of Finance and Administration become judge and jury. The absence of such “separation of powers” and responsibilities feeds into a culture of fear amongst the employees and may breed unwanted hierarchical leverage that favours management vis-à-vis employees at the lower ranks.

AAU does not have a performance review system in place. This put the staff at a disadvantageous position vis-à-vis management. The lack of performance review system is an indicative of the absence of a criterion to assess how much they contribute to AAU activities, how do they fare vis-à-vis other employers in similar positions, how they are promoted or demoted, their contracts should be renewed or revoked.

The lack of performance review also vest the Secretary General with immense powers vis-à-vis AAU employs and almost give him/her free hand to hire or make expenditures with nominal consultations. The assessment team considers the lack of performance review system as a major shortcoming and an indicative of an organizational culture that has to change.

Recommendations

1. AAU senior management team at the Secretariat should, as a matter of urgency, institute an organizational culture of formal regular and periodic meetings, with agenda, decision points and follow-up procedures to replace the current ad hoc verbal consultations. Transparency and holding the senior management accountable require that the list of decisions taken (except for sensitive discussions about individuals' performance and evaluation) in official senior management meetings should be published in print, e-mailed and posted in the AAU Information Board. The Senior Management Board should avail itself to written communiqué to answer queries and questions on the content of the minutes, without intimidation or reprimand.
2. By necessity personnel and human resources development department should seek to improve the skills and quality of its employees, improve their research, training and managerial so that they could improve their performances.
3. AAU should develop an evaluation and performance review system conducted under the purview of the personnel/human resources management portfolio to replace the current system of ad hoc reprimand which could also lead to grievances and create acrimonious and unhealthy work atmosphere. While the Secretary General should conduct the performance reviews for Heads of the Departments, the Heads of Department to the rest of the staff, the Secretary General's performance review could be conducted by the President and Vice President.
4. AAU senior management should take steps to develop a collective AAU identity through team building, mutual respect in order to instil a new and positive organizational culture. One-day team-building workshops and retreats are known methodologies the AAU could experiment with.
5. The appointment of highly qualified and professional staff in the functions of heads of a) Research and Programmes, b) Communication and Services and c) Finance and Administration has been completed. The qualifications and work experiences of some of the middle-range staff leaves much to be desired. Staff at that level should be on probationary contracts for two years after which their performance will be evaluated to decide their future within the AAU.

4.8 Membership fees and levels of cost-sharing

Following the decision taken at the 56th Meeting of the Executive Board in Nairobi, Kenya, on February 1 and 2, 2001, that "members in arrears of 5 years or more be given up to the next COREVIP (2003) to pay up or be suspended from the Association", the Board proposed at the 60th Meeting in Saint Louis, Senegal, the following further steps for improving upon subscription payments:

1. To improve the tracking of subscription payments, members who make payments through the banks should immediately advise the Secretariat, and ask their banks to confirm transfers, with a copy to the Secretariat. The Secretariat should, in turn, inform members when notice of transfers was received from the banks.
2. Beyond this, the Secretariat should explore more professional ways of handling subscriptions so as to facilitate their tracking through the financial systems.
3. Members should be grouped by reference to their standing in relation to subscription payments.
4. Those who are regular in their subscription payments should be given recognition by being listed as *in good standing* on the AAU Website. (It was suggested that the length of arrears

should not exceed *three years* for a member to qualify for listing on the web as a member “In Good Standing”).

5. Current rules about withholding of services for those with arrears of over three years should be maintained. At the same time, the Secretariat should study the reasons for such default, as well as the possible impact of the current sanctions, and make proposals for policy changes to address such questions as whether the current sanctions needed to be strengthened, introduction of powers to cancel membership for extended default, etc.
6. Special measures must be proposed for accommodating members in countries in political crises.

Where sanctions were imposed on a defaulting member, that need not exclude its faculty from benefiting from AAU services such as access to information, invitation to AAU events, etc., *provided such faculty covered the cost of their participation.*

The current membership of the Association stands at 179 higher education institutions, drawn from 44 African countries and all sub-regions of the continent. As per May 2005, when the assessment was conducted, the number increased to 185. Through the efforts of its Secretariat and Executive Board members, the AAU has endeavoured to halt the ever-increasing subscription arrears by member institutions. Measures adopted since the 60th Board meeting to curtail subscription arrears include the issuance of regular reminders to members to pay off their arrears or risk suspension from the Association, and the attachment of AAU’s bank details to each debit note for subscriptions to be paid into. The latter approach has reduced unknown subscription payments considerably. In December 2004, unidentified payments stood at \$92,844.16, a figure that has remained constant for about a year now.

The state of arrears as of December 2004 is presented in Table 4.1 below. The table shows that about 60% of members are “in good standing” as defined by the Board, i.e., in subscription arrears of 3 years or less, while 37% have fully paid up their subscriptions.

Table 4.1: Membership subscription arrears as at December, 2004

Number of years in arrears	Number of institutions	Percentage (out of total members)	Percentage (out of total arrears)	Total Arrears (in \$)
0	66	36.8%	36.8	0
1	19	10.6%	47.4	57,000
2	17	9.5%	56.9	100,000
3	6	3.4%	60.3	54,000
4	17	9.5%	69.8	203,033
5	6	3.4%	73.2	90,000
6-10	21	11.7%	84.9	479,500
11-20	25	14.0%	98.9	1,173,836
21 +	2	1.1%	100.0	147,000
	179	100.0%		2,304,369

Source: Association of African Universities, April 2005.

Amongst the non-paying universities are those institutions in countries which experienced state collapse (Somalia, Liberia, Sierra Leone etc.). Exceptionally such countries should be allowed to benefit from the programmes. Balancing the equity principle with benefit-to-the payee principle should apply when universities are too starved of public funds to be able to pay subscription fees.

AAU Department of Communication and Services has contributed two noteworthy services to member institutions and higher education partners and stakeholders. These are:

Expansion of Mailing List: In February 2004, the AAU mailing list in the Department did not have more than 200 addresses, mostly of member institutions and partners. The AAU's link with members of the HE community, particularly faculty, was very limited. This was a serious constraint for AAU's marketing efforts. With systematic and persistent efforts, the mailing has now been expanded to over 4500 addresses. Most of these are faculty in various member institutions. This list has now proved a useful asset as those contacted so far have expressed an interest in receiving AAU information products and even positively responded to the call for sending their CVs for inclusion in the ROAP database. The compilation of names and addresses, including those of research and other institutions involved in African HE both within and outside Africa, to build the database of contacts is an ongoing process and will continue with greater vigour since such a list will prove critical in a marketing campaign.

Promoting African University Day: African University Day 2004 was celebrated under the theme "*Cross-border Provision of Higher Education in Africa: Opportunities and Challenges*". A Press Release announcing the event was widely circulated among members and to the public through the media. In Ghana, the University of Cape Coast hosted the 5th joint celebration which was attended by the academic staff of six of the AAU member institutions. The AAU selected the theme and identified a resource person to make a presentation on the theme, which served to generate a discussion among the participants.

Conclusions

The expansion of AAU membership tallies well with Sida/SAREC Action Plan (2002), although not sufficient. This very modest increase in member institutions has also been accompanied with a remarkable increase of the mailing list (postal and electronic) that receives AAU various forms of information, newsletter, e-courier etc.

According to AAU records and a recent survey conducted in 2004 on membership subscription arrears, 60% of the member institutions pay subscription.

It is decided in at the 56th Meeting of the Executive Board in Nairobi, Kenya, on February 1 and 2, 2001, that, "members in arrears of 5 years or more will have a grace period up to the COREVIP (2003) to *pay up or be suspended* from the Association". However, no non-paying member institution has been suspended. A report on subscription payments presented at the 61st (Special) Meeting of the Executive Board (Cape Town, February 17 - 18, 2005) reveals that in December 2004, unidentified subscription payments stood at \$92,844.16, a figure that has remained constant for about a year.

When calculated against an actual figure of 179 member institutions: 174 full members (at \$3,000 annual subscription fees per annum) and five associate members (at \$2,000 subscription fees per annum) AAU annual income from subscription fee alone should stand at \$532,000 annually. The cost for the administration 2002/2003 was \$526,623. This demonstrates clearly that membership subscription fees could become the main sources for AAU finances if timely payments by all member institutions is complied with.

The unpaid membership subscription arrears are an equivalent to at least the budgets for administrative costs of four financial years.

Recommendations

1. For AAU's own financial sustainability and continuity as an independent institution, it should set up a "Goodwill Committee" from prominent African and international educators to support its efforts to collect the subscription arrears.
2. A system should be devised where donor financial support to AAU is made contingent on cost-sharing. It is only then that member institutions that have stake in AAU objectives, vision and mission will become active stakeholders.
3. The assessment team judged the current subscription charges of \$3,000 for full membership and \$2,000 adequate and could go long way to contribute to AAU's financial sustainability. However, subscription arrears' payment is contingent on the success of the administrative and financial restructuring process currently underway. However three scenarios are suggested by the assessment team:
 1. Leave it as it is (i.e. \$3,000 for members and \$2,000 for associates), develop strategy to collect arrears and expel those who fail to meet the deadline.
 2. Create small committee to decide which institutions to be exempted for the reasons given by AAU (i.e. universities in collapsed and failed states, universities in areas suffering from civil strife and universities that remain fully dependent on public finance in countries experiencing severe financial problems);
 3. Those universities that do not pay arrears will not be expelled but not allowed to participate in decision making functions or have voting rights in the General Conference.

4.9 Publication Types and Quality

In this section the assessment team will attempt to achieve three objectives simultaneously: First, provide a classification of AAU publications by type; second, report on AAU publication and dissemination record for the year ending 21 December 2004, 2); third, comment on the quality and scientific contribution of AAU publications to the "social" both social and natural as well as the humanities in the field of higher education research

The following is first: Classification refers to both type and second the quantity of publications produced by the AAU (ref. Annex 8) during the year ending 31 December 2004:

1. *AAU Newsletter*: Two issues of the Newsletter, namely, Vol. 10, no. 2 (May-Aug 2004) and Vol. 10, no. 3 (Sept-Dec 2004) have been published. The English version of Vol. 11, no.1 (Jan-April 2005), which is a special issue on the 11th General Conference, is in press and while the camera-ready copy of the French version is being prepared for printing. The electronic copy of the English version is available on the website.
2. *E-Courier*: The maiden issue of the AAU e-Courier was launched on 24th September 2004. Among others, the publication announces job vacancies, conferences and research fellowships within and outside the AAU, and also gives publicity to other AAU events and programme outputs. This is the fastest, most cost-effective and widely accessible communication and marketing tool devised by the AAU so far. To date, 18 issues of the AAU e-Courier have been published and disseminated via e-mail to a readership of over 5,300. The service is free for now.
3. *Annual Report*: Two backlog reports (2001-02 and 2002-03) have been published in both French and English and distributed both electronically and in print. Inputs for the 2003-04 report (except the Financial Report) have been compiled and laid out for press. As soon as

- the Board approves the audited account, it will be incorporated and the Annual Report sent to press.
4. *Guide to Higher Education Institutions in Africa*: The third edition of the Guide has been received from Palgrave and copies already distributed to members in good standing as well as the Executive Board members. The Department has contacted the IAU, the co-publisher of the Guide, to have the forms for collection of data for the next edition to be sent out to the various higher education institutions.
 5. *AAU Strategic Plan 2003-2020*: The Strategic Plan 2003-2010 has been published and distributed to member institutions, development partners and participants at the 11th General Conference. The document is also available on the AAU website.
 6. *Proceedings of the Accra Workshop on WTO/GATS and Higher Education*: The proceedings have been published both in English and French and distributed to workshop participants, AAU member institutions, Board members and partners. The electronic versions have been posted on the website for universal access.
 7. *Workshop and Conference Literature*: During the same period, the Department was responsible for liaison with paper presenters and resource persons participating at the WTO/GATS workshop as well the 11th AAU General Conference, and for collection, translation, compilation, packaging and dissemination of the workshop and conference literatures, for example, the 11th General Conference papers or in electronic formats for dissemination on the website. In addition, the dissemination of the Accra Declaration on GATS through electronic format, through e-mails and using both AAU and partners' websites, and presentation at the 9th UNESCO/NGO Collective Consultation on Higher Education to give international visibility to AAU's programme activities, especially its 10-year partnership programme for revitalisation of African Universities.
 8. *Promotional Literature*: Promotional literature produced during the period include posters for African University Day, ROAP, 11th General Conference and DATAD; a publications catalogue; and the AAU calendar, which served to give international publicity to AAU programmes and services.
 9. *AAU Constitution*: The AAU Constitution, which was amended and adopted by the 11th General Conference in February 2005 has been sent to press for printing.
 10. *HE Policy Briefs*: The plan to produce policy briefs based on the outcome of the WTO/GATS workshop was shelved because it was felt that it would prejudice discussions at the 11th AAU General Conference, which also dealt with GATS and cross-border provision of higher education. The briefs will be produced once the results of the planned research on cross-border provision are documented.

Third, comments on the quality of AAU publications: The bulk of AAU publications is informative or publicity material very useful for reporting on AAU programmes and projects, provide information on the broader scene of higher education information, policies, initiatives and networks. Another type of publications consists of AAU annual reports, policies such as the new Accounting Policies and Procedures Manual, Constitution and Strategic Plan.

Higher Education Policy Briefs, Research Reports and Conference proceedings constitute AAU's major contribution to scientific research on higher education. While conference proceedings and policy briefs are often continent-wide in nature, containing materials from various African higher education institutions, the Research Papers are on the majority single country reports with meagre inter and even intra-university materials and hardly apply well-thought through comparative methodologies to explicate differences and similarities in African higher education institutions.

The role of the Scientific Committee is an important quality assurance body consists of established higher educational and social science researchers from Africa and internationally, provides oversight and ensures the scientific quality of the operations of the *Study Programme*. The committee meets annually, with the meetings normally coincide with workshops.

The Scientific Committee commented on the performance of two previous phases of the Study Programme outlined their achievements and weaknesses. The achievements are reported in the Study Programme's Annual Monitoring and Evaluation Report.

Three glaring weaknesses of the earlier phases were reported:

- (a) The inability to create sustainable research networks;
- (b) Inadequate female participation, and therefore a gender imbalance; and
- (c) Research findings had little impact on policy in researchers' institutions.

To avoid these weaknesses and in lieu of the 2003 policies aimed to strengthen internal capacity to ensure effective development and execution of planned activities, the Study Programme was relocated within the main outlines of the AAU Strategic Plan (2003 – 2010). This involved strengthening the demand-orientation of the programme, and using it as a vehicle to promote multi-disciplinary, cross regional, multi-lingual research networks reflecting the continental mandate of the AAU. This has also coincided with the planned commencement of Phase III of the Study Programme, emphasising building the research capacity of higher education institutions.

A meeting to review the implication of demand driven orientation of the Programme, a meeting was held in Ghana (December, 2004) to select research themes for collaborative projects, as well as to deliberate on a proposed *Higher Education Research Training Institute* planned to be held every other year under the *Study Programme*.

Phase III of the *Study Programme* retained the tracer studies as an innovation aiming at to exploring the linkage between education and industry. However, there were no tracer studies being conducted thus far. Small number of individuals who contributed to the Study Program on Higher on Higher Education in Phase I were retained under Phase II as *advanced researchers*. The new emphasis on *Tracer Studies* is the employment of common methodology and questionnaire customised for individual projects. Another condition laid down is that proposals were accepted from and endorsed by universities, to ensure that the research output is integrated into the university activities and policies.

On the themes chosen for research under the two earlier phases, it was realised that universities' support to Secondary education and high school education, had been ignored. It was subsequently recommended that access and transition studies should be carried out under Phase II.

Conclusions

On the whole, most AAU publications are in-house printed and therefore fall within the "grey literature" category and will certainly not find their way to international social science and the humanities or natural science Citation Index. The assessment team checked the Social Science Citation Index and none of the AAU publications were mentioned. The only exception to this is AAU published *Guide to Higher Education Institutions in Africa* (Palgrave/Macmillan), which is promotional/informative and not a scientific book.

Therefore, the greater proportion of AAU publications can be classified as “grey material”, with highly informative value and meagre contribution to the “science” of higher education policy, management, curricular development, and quality-education, innovation in teaching and teaching material development. AAU publications neither represent a serious effort to create a distinctive African higher education area.

The revitalization of the Scientific Committee in order to support AAU new policy orientation is a welcome development.

The assessment team failed to trace the documentation pertaining to administrative or byelaw ushering in the Scientific Committee’s establishment, objectives, organizational structure, rights and obligations of its members (if any) and their relationship with AAU

Recommendations

1. Financial effectiveness and the efficient use of relatively small number of employees in the Communication and Services Department also responsible for publication, requires that AAU must reduce its current large number of information and promotional materials to a manageable proportion (see list of types of publications in this section).
2. E-publishing has gained respectability world-wide. AAU should make use of e-publishing, as an alternative to prints and not both, particularly in relation to promotional and general information, newsletter etc.
3. For AAU to fulfil the objective of providing intellectual leadership, the quality of its publications must improve significantly. Before ensuring the quality of research in higher education institutions across Africa, AAU must move away from in-house publishing and develop mechanisms for proper peer reviewing, publish with regionally and internationally recognized publishing house.
4. AAU single country studies (for example, several country studies on HIV/AIDS) defy AAU’s objective as an inter-university association responsible for “*collecting, classifying and disseminating information on higher education and research particularly in Africa*”. While single country studies are important and could be commissioned by using university resources, AAU must engage in multiple country studies that encourage cooperation and regional exchange of best practices in higher education, research, curriculum development, policy and management.
5. The current role of the Scientific Committee has to be institutionalised and covered in an AAU-wide policy directive that expands its quality assurance role beyond the *Study Programme on Higher Education Management in Africa* and include peer reviewing all AAU manuscripts before their publication.
6. AAU must include in its research and programme activities at least one annual flagship conference that deals with issues at the core of its mandated objectives and mission. Contributions to such a conference should be vetted with the manuscripts for the proceedings peer reviewed before publication with an independent regionally or nationally recognized publisher.

4.10 Benchmarking

The ambition of carrying out a thorough benchmarking is hampered by the limited time given to the assessment team to carry out this complex institutional assessment. However the assessment team sees it fit to identify the following parameters: governance structure, special features, membership and sources of income. We selected the Association of Commonwealth Universities (ACU) and the Association of Arab Universities (AArU) for this purpose.

However this exercise is not about comparing and contrasting data-based scores and conventional performance indicators of best practice, which for time constraints the assessment team could not do. Rather it is about what ideas and best practices AAU could contemplate to adopt (or reject) in its bid to reinvent itself as an efficient and effective associations. First we briefly introduce the ACU and AArU.

Association of Commonwealth Universities (ACU) was established in 1913 and is considered one of the oldest university associations. Its membership is diverse and range from G7 members such as the UK and OECD countries such as Canada and Australia and Least developed countries such as Bangladesh and Uganda. Her Majesty the Queen, Head of the Commonwealth, is the Patron of the ACU.

ACU is a charity governed by its member institutions through an elected council. Its objective is to advance international co-operation and understanding in higher education, and provide a broad range of services and facilities. It has 480 member universities, the majority of whom in good standing with payment of subscription fees.

The Association of Arab universities (AArU) was established during the 1980s is an inter-state organization under the patronage of the member states and its meetings often include the Heads of the Arab States and the Ministers of Education. Heavily funded by the oil-rich Arab countries, AArU has significant financial constraints relative to the AAU. AArU Council is the highest authority. It is composed of representatives of member universities. Its president/director or member of the university council or responsible body represents each university. Each university has one vote.

Unlike AAU and ACU, AArU is coordination and networking organ whose programmes are implemented by six accredited regional institutions specialised in specific subjects that are of fundamental importance to the Arab World. The Executive Councils is responsible of monitoring its activities and as such has no implementation powers.

The Council holds a flagship scientific conference every three years in order to study and discuss a fundamental issue related to higher education and scientific research in an Arab World-wide issue or policy matter. The council forms the Executive Committee, during its annual session for a period of two years. The committee discusses and takes decisions on urgent issues during the time between the Council's annual sessions.

Apparently, because of the high interaction between African Commonwealth and African non-Commonwealth Universities, the AAU structures and implementation powers have so much in common with ACU as a surrogate organization. However, while ACU is endowed with better resources and management capacities, AAU is poor in both respects which make its objectives and activities ill-suited to its financial, human resource capabilities and infrastructure.

Table (4.2) provides a matrix of activities that we consider instructive in expressing certain differences and similarities between these three organizations and their potential impact on their performances:

Table 4.2: Governance Structure, special features, sources of income and membership of AAU, AArU and ACU

Parameter	Association of African Universities	Association of Commonwealth Universities	Association of Arab Universities
Governance structure	<ol style="list-style-type: none"> 1. Non-state actor, General conference often involves Head of State and Minister of Education of the host country 2. General Conference, COREVIP, Executive Board and Secretariat 3. COREVIP, Executive Board is elected for four years. 	<ol style="list-style-type: none"> 1. Registered as a Charity and governed by its member institutions, by an elected council, holds annual conference and Queen is its Patron. 2. General Conference and an Elected Council also forms the Secretariat 3. No separate COREVIP equivalent, COREVIP integrated into General Conference for one year. 	<ol style="list-style-type: none"> 1. More of an inter-state driven association, General Conference attended by heads of states and Ministers of education. Arab-League affiliate. 2. General Conference and Executive Board also form the Secretariat. 3. No separate COREVIP equivalent. COREVIP integrated into General Conference. Executive Board is elected for one year.
Special features	<ol style="list-style-type: none"> 1. Implementing agency, with several centrally coordinated projects and programmes; 2. No structured flagship conferences; 3. Mainly single university studies and very meagre Africa-wide publications. Few Africa-wide training and fellowships. 4. Research grants for individual researchers but no competitive edge or prizes given out to stimulate best performers 	<ol style="list-style-type: none"> 1. Implementing agency, with several centrally coordinated programmes; 2. Two flagship conference every five years, all conference are for Commonwealth-wide 3. Commonwealth wide research and training activities and Commonwealth fellowship and study abroad programmes 4. Competitive research grants in fundamental issues for university development, including management and governance training programmes and fellowships 	<ol style="list-style-type: none"> 1. Coordinating and not implementing agency, disperses funds to six thematic implementing Arab-wide partner institutions; 2. Holds flagship conferences in every three years, with publishable Arab World-wide contributions; 3. Arab-Worldwide competitive research through regional research and training institutions. 4. Annual prizes for three best research publications to solve problems in

			fundamental problems confronting the university.
Membership	Higher education institutions, including institutes, colleges and polytechnics	Only Commonwealth universities.	Private and public universities, including, observers from regional and international organizations.
Income	Subscriptions from members, grants from donors and meagre income from sale of books in the form of CDs and hardcopies and advertising services.	Subscriptions of members, payable at a rate related to each university's own recurrent income, sale of ACU publications, from fees received under contract with government and inter-governmental bodies for services provided, and from grants from national and international foundations and agencies to support particular programmes.	AARU inter-Arab research and training institutions are supported by Arab League. Negligible subscriptions of member institutions in kind – officers in each university through fixed university budgetary support from the Ministries of Higher education. Annual conference is largely supported by host state, Minimal support from Arab UNESCO and sale of publications.

Conclusions

AAU should study carefully the governance structures and modes of operations of other university associations in order to learn about best practices in at least four areas: 1) management, 2) networking and coordination; 3) decentralization of activities and implementation by local partners; and 4) income generation.

ACU offers a relatively better institutional framework for diversifying sources of income. It operates as a Charity voluntary organization, cost-effective service provider it can assert its independence while experiencing less financial risks. ACU ensures quality results by delegating programmes are delegated to specialized regional institutions for implementation. This also means that ACU can exercise scrutiny and accountability because it does not implement projects.

An interesting governance system associated with AARU is that its executive body has a short life span of one year, operated by enthusiasts who return to their university after they have completed their term. One drawback of short tenure is that it does not sustain continuity or nurture an effective organizational culture. On the other hand, it prevents the entrenchment of “bad governance” and alerts the system in a short time to mismanagement or undue use of authority.

Both ACU and AARU have developed very interesting and innovative strategies for inter – university cooperation by creating a platform for Commonwealth-wide or Arab World-Wide higher education policies, management and human resourced development, best higher education research prizes . Unfortunately, AAU has much to be desired in this respect.

Recommendations

1. AAU should study carefully the experiences of other university associations; including a full-fledged benchmarking exercise to attest to the desirability of one governance, income generation and implementation scenario over the other.

2. AAU should take decentralization of activities very seriously. AArU model seems practicable in a sense that its science (social and natural) programmes have much wider relevance, related to societal processes and change. Working through independent local or regional partners means that the scientific orientation of AAU should not be that of its leadership (currently lawyers and social scientists) by commissioning work to specialized institutions both in the social and natural sciences, while making demands on universities to adhere to interdisciplinary research.

3. AArU research prize and AArU and ACU flagship conferences provide Best Practices that AAU could ameliorate.

5 MISCELLANEOUS

In this section we deal with two outstanding elements of Terms of Reference that the assessment team has not addressed in the thematic sections of the Report. These are: a) Services Marketing and b) DATAD. These are as follows:

5.1 Services Marketing

Apart from the use of publications such as the Newsletter, the annual report, the AAU publishes e-Courier, and the Calendar as marketing tools. Since 2004, the AAU was able to evolve into the area of offering relatively small but important the market-based services and revenue generating activities reported below:

Advertisement on the AAU Website: In October and November 2004, two advertisements were placed on the AAU Website for the AKU-ISMC Conference on Higher Education in Developing Countries. AKU-ISMC has agreed to pay a service charge of \$434 for the advertisement.

Flyer Dissemination: At the request of Taylor and Francis Publications Ltd, journal flyers were inserted in the AAU Newsletter and mailed to members, as well as in delegates' packs at the 11th General Conference. The company has already paid \$550 for this service; a balance of \$120 is yet to be paid.

IT Consortium, an ICT company based in Ghana, also used the flyer dissemination service during the 11th General Conference. The company has paid \$395 for this service.

Charges for displaying publications: Two companies, Tabeisa, and UNITECH, paid a total of R20,000 (equivalent to: \$3539.82 at the exchange rate of \$1=R5.65) to display their publications at the 11th General Conference.

Sale of AAU Publications: During the period under report, a total of \$326 dollars was received from sale of AAU publications. The AAU also expects to receive its share of net proceeds from the sale of publications in 2004 through its international distributor, the African Books Collective.

Organisation of Parallel Events: Through its own initiative as well as in collaboration with other AAU Units such as the WGHE, the Department of Communication and Services facilitated the organisation of parallel events at the 11th General Conference. A total of \$47,000 was pledged from sponsorship fees to be paid by AAI, COL, DATAD, IDRC, INASP, Sida, UNESCO (2), and WGHE (2). Some of these sponsors (AAI, COL, DATAD, IDRC, WHGE) have already effected payment.

Tendering for consultancy services: The Association of Universities and Colleges of Canada (AUCC) and AAU submitted joint bidding for a tender (in January 2004), to executive the Ethiopian Government funded project on *Establishing Higher Education Programs in Urban Development and Management was a first attempt towards service marketing*. The AUCC has decided to pull out of the bidding process upon learning that one of the bidders is already involved in a project with the Ethiopian Government. Subsequently AAU has also pulled out since they submitted a joint tender, with the AUCC as the principal consultant. The assessment team was informed by the departed Director of Communications and Services that, although the tender did not materialize, it was an indicative that, if highly qualified professional staff is

recruited, AAU would become a leading higher education service provider and therefore contribute to its self-financing.

External Evaluation Service: Consistent with the Strategic Plan objective to establish a secure financial base, the Department has started developing a proposal for an external evaluation programme which will operate on a combination of entrepreneurial and partnership principles. The programme will focus on providing institutional and programme evaluation services to African universities within the context of quality assurance, using peer review panels.

Conclusions

While AAU and the Department of Communication and Services should be applauded for having taken commendable steps towards marketing AAU on the market-based services it could deliver, the departure of the Department's dynamic director is regrettable.

Recommendations

1. AAU should take stock of the departure of the Director of the Department of Communication and Service and examine whether they are a result of the current organizational culture and leadership style or any other factors that should be addressed so that AAU is able to retain its highly qualified and professional staff.
2. The appointment of a new Director of the Department of Communication and Services should be mindful of the achievements of her/his predecessor. The appointee should be capable of sustaining and consolidating the current level of achievement.

5.2 Database of African Theses and Dissertations (DATAD)

The objectives of DATAD project lie well within the major strategic objectives of AAU. It is therefore implemented under the sub-theme *Improving management and access to African Scholarly work*, and seeks to accomplish the AAU strategic objective to collect, classify and disseminate information on higher education and research, particularly in Africa.

In a nutshell, the project main objectives are as follows:

- creating capacity in African universities for the collection, management and dissemination of theses and dissertations electronically.
- providing visibility and improved access to the work of African scholars, both within and outside of the continent.
- facilitating the development of copyright procedures and regulations for the protection of the intellectual property rights of African universities graduates and researchers; and providing support for other AAU programs.
- contribution to the creation of an environment conducive to research and publication of scholarly work in Africa.

A three-year pilot phase was implemented between February 2000 and August 2003. The main achievement of this phase is capacity development for 11 institutions that contributed about 14,000 records to the DATAD online database, which was launched in April 2003. This database adds to the AAU membership services as it is offered to them at a highly subsidized rate. The database is also available on subscription (<http://www.aau.org/datad/database>) through the Internet.

The project has developed 18-month transitional phase followed from September 2003 to February 2005. The focus of this phase was to develop a business plan that will provide a roadmap for a longer-term expansion and financial sustainability strategy for DATAD.

The transitional phase was planned to conclude in February 2005. However, some activities, particularly those involving consultants took longer than anticipated. The Coordinator has asked for three months no-cost extension to the donors. The activities to be completed between March and May 2005 for funds committed are:

- Consultant review of the Copyright Guide, translation, printing and dissemination;
- Duplication and distribution of the DATAD CD-ROM to AAU member institutions;
- Follow up on data entry by Obafemi Awolowo and University of Jos;
- Finalisation of the DATAD Proposal for Phase Two;
- Final report to donors.

For more information on DATAD, AAU website (<http://www.aau.org/datat/>) provides extensive coverage of activities, materials and documents on the project.

DATAD current state of play: Despite its relevance and significance to AAU objectives, mission and vision and considerable achievements in a relatively short span of time, DATAD operates under many difficulties, major among them:

- Ambiguous status i.e. neither a project with secure funding or a programme with long-term secured core support;
- Despite the fact that DATAD has developed an ambitious action plan and the modalities for implementing it, it seems from the discussions that the assessment team has with the coordinator that Phase II funding is still not forthcoming.

The assessment team is aware of Sida/SAREC earlier resolution that projects without funding should be terminated, a resolution, which AAU Secretariat took to the letter.

Conclusions

It would look odd if one of AAU most accomplished project as stated by four Vice Chancellors would be terminated. Much valuable investment will be lost in an activity that should be implemented sooner rather than later. Furthermore, the project has mustered discernable synergy with other projects either as receiver of services (from Communication and Services Department to develop IT material) or processing of content material provided by other programmes and projects such Study Programme. If creating e-database and academic material sharing, capacity in African universities for the collection, management and dissemination of theses and dissertations electronically is to flatter, many of the other ideas that AAU cherish may flatter too.

Recommendation

1. The ambiguity surrounding DATAD position within AAU should be resolved either by alleviating it to a long-term core programme or financing it to operate within specific time frame and focus on a set of specific objectives and activities. However, databases are not short-term investments and as such the termination of DATAD will be a great loss of a successful investment.

ANNEX 1
TERMS OF REFERENCE FOR AN INSTITUTIONAL ASSESSMENT MISSION TO
THE ASSOCIATION OF AFRICAN UNIVERSITIES (AAU)

1. BACKGROUND

The Association of African Universities (AAU) was created in 1967 and is mandated to promote cooperation and exchange of ideas on higher education issues through research training, curriculum development, and dissemination of information. Furthermore, AAU is to make known the educational and related needs of African university institutions and as far as practicable, to co-ordinate the means whereby those needs may be met. The Association is also expected to encourage the development and wider use of African languages, and to encourage increased contacts between its members and the international academic world.

The Association's principal organs are the General Conference that meets once every four years, and the Conference of Rectors, Vice Chancellors and Presidents of African Universities (COREVIP) that meets every two years. The Executive Board, elected by, and answerable to the General Conference, supervises the activities of the Secretariat, which is headed by the Secretary General. Beginning with 34 member institutions, the Association has grown in number to more than 194 higher education institutions, drawn from 43 African countries.

AAU runs a set of activities and programmes including the following: Study Programme on Higher Education Research Management, which includes the Higher Education Research Training Institute (HERTI, now HERTCO), research methodology workshops and higher education related institutional activities; Leadership Development and Management Training; ICT related projects; a staff exchange programme; training and research networks; and a Ford Foundation supported fellowships programme. In addition, it hosts and manages the ADEA Working Group on Higher Education.

Figures provided by AAU to the Department for Research Cooperation of the Swedish International Development Cooperation Agency Sida/SAREC showed that for the period 1999-2004, AAU received USD\$ 7,096,499 (seven million, ninety-six thousand, four hundred and ninety-nine dollars) from various donors. The figure represents a total for all programmes financed by donors.

2. PURPOSE AND SCOPE OF ASSESSMENT

In January 2001, Sida/SAREC carried out an in-depth institutional assessment of AAU, which centered on AAU's financial management and ability to govern and control operations so that funds are utilized for intended purposes. Numerous shortfalls in the administration and financial management of the Association were identified by the auditors in that assessment. At a meeting of the Executive Board in 2003 a new Secretary General was appointed and assigned the task of restructuring and revitalising the Secretariat in order to facilitate the attainment of the objectives of the Strategic Plan for the next 10 years.

The purpose of the current institutional assessment is to take stock of the restructuring of the organization and see the extent to which it has handled shortcomings identified in the past in relation to financial administration and programme management, provide support to the Secretary General in his effort to reform and restructure the organization, provide a profound basis for AAU's professional handling of relationships with donor agencies. Finally, Sida/SAREC hopes - through this assessment - to bring together all donors to coordinate our efforts in supporting the organization.

The mission will involve the following elements:

- 1) assess the extent to which the restructuring of the AAU has addressed shortcomings in financial and programme management identified in the previous audits and evaluations;
- 2) assess results of the restructuring and institutional strengthening of AAU in recent years, as well as its current needs - this includes the intended scholarships to the Secretariat;
- 3) assess results of the efforts to increase the membership of the Association and plans for marketing the services provided by AAU to its members;
- 4) assess overhead structure and costs of AAU - this includes among others coordination costs in all (core and special) AAU programmes (the Gender and Higher Education Project could serve as a recent case, DATAD) and overall administration costs (including all personal allowances).

- 5) assess capabilities and transparency in the administration of funds (accounting routines and procedures, internal control and reporting system);
- 6) assess administrative procedures relating to financial management (e.g. for travel and per diem and the allocation of grants for research purposes), materials procurement and stocktaking and assess the effectiveness of the manuals and policy guidelines available for these purposes;
- 7) assess the overall risk level in financial transactions of projects that form part of specific programmes; and from ADEA to WGHE;
- 8) assess outcomes and output (including reporting and number of publications between 2001-2004) in relation to the costs for running the secretariat;
- 9) Assess the possible indicators for the measurement of results as identified by AAU.
- 10) assess what levels of membership fees could be collected, under various scenarios (and quality levels) of service delivery by AAU.
- 11) identify all obligations of the AAU to Sida/SAREC and DGIS (earlier: NEDA) and to other donors (such as IDRC) that have possibly contributed funds to the same programmes that were/are funded by Sida and DGIS in the past four years.
- 12) assess actual reporting requirements to donors and their fulfilment, and recommend how progress and financial reporting (to donors) could be harmonized.
- 13) assess translation from strategic plan(s) into more operational plans and programmes; assess possible relationships and overlaps between various (core and specific) programmes (including proposals presented to donors).
- 14) Assess the possibility to present to its donors multi-donor consolidated chartered accounts yearly.

3. STUDY TEAM, TIMING DURATION AND REPORTING

Two consultants will be appointed for the assessment, one proposed and funded by Sida/SAREC and the other proposed by the AAU and funded by DGIS. The two will work as a team, with the consultant proposed by SIDA/SAREC as the team leader. The consultants will together carry out the study at the headquarters of the AAU in two weeks, and submit a joint report.

AAU shall, at the request of the consultants, provide all necessary material (reports, contracts, invoices, etc) to facilitate the work of the consultants.

Before leaving Accra, an oral report shall be given to AAU. The consultants shall submit a draft report to Sida/SAREC within two weeks and, following comments by Sida/SAREC, DGIS and AAU, the consultants shall present a final report not later than 3rd June 2005.

**ANNEX 2
ITINERARY (AT AAU)**

Thursday, MAY 5, 2005

- 9:00 AM Pick-up from Hotel
- 9.15 – 9:30 Welcome by Secretary General
(Professor Akilagpa Sawyer)
- 9:30 – 10:00 Introduction of the Management Team
Professor Akilagpa Sawyer, Secretary General
Dr Paschal Mihyo, Research and Programmes
Mr. Raymond Brown, Finance and Administration
Dr. Taye Assefa, Communication and Services
- 10:00 – 11:00 Interview with Professor Akilagpa Sawyer, Secretary General
- 11:00 – 12:00 Interview with Mr. Raymond Brown, Head of Finance and Administration
- 12:00 – 14:00 Lunch Break
- 14:00- 16:30 Interview with Paschal Mihyo, Head of Research and Programmes

FRIDAY, MAY 6, 2005

- 8:30 AM Pick-up from Hotel
- 9.00 – 10:30 Interview with Ms Alice Lamptey, Coordinator, Working Group on Higher Education (WGHE)
- 10:30 – 11:30 Interview with Ms Mary Materu-Behitsa, Coordinator, Database of African Theses and
Dissertations (DATAD)
- 11:30 – 12:45 Interview with Dr. Taye Assefa, Communication and Services
- 12:45 – 14:30 Lunch Break
- 14:30 – 15:30 Interview with Ms. Araba Botchway, Project officer, International Fellowship Programme
(West Africa).
- 15:30 – 17:00 Second interview with Professor Akilagpa Sawyer, Secretary General

SATURDAY, MAY 7, 2005 AND SUNDAY, MAY 8, 2005-05-21

Review of documentation
Team meetings

MONDAY, MAY 9, 2005

- 9:00 AM Pick-up from Hotel
- 10.00 – 11:00 Interview with Mr. Raymond Brown, Head of Finance and Administration
- 11:00 – 11:30 Interview with Mr. Terry David Amuzu, Assistant Programme Officer, Working Group on
Higher Education.
- 12:00-14:00 Lunch Break
- 14:00 – 14:30 Interview with Ms. Victoria Duah, Publications Assistant, Communication and Services
- 14: 30 – 15:00 Preparing for meeting with Secretary General
- 15:00 – 16:00 Interview with Professor Akilagpa Sawyer, Secretary General.

TUESDAY, MAY 10, 2005

- 9:00 AM Pick-up from Hotel
- 9:30 – 10:30 Interview with Mr. Cozy Clottey, Finance, Finance and Administration.
- 10:30 – 11:00 Interview with Mr. Benjamin Assia, ICT Specialist, Communication and Services.
- 11: 30 – 12:00 Interview with Mr. Aziale K. Virtus, IT Technical Assistant, Communication and Services.
- 12:00-14:00 Lunch Break
- 14.00-17.00 Review of documentation

WEDNESDAY, MAY 11, 2005

9:00 AM Pick-up from Hotel
 9:30 – 10:30 Interview with Mr. Paul Soedzade, Senior Principal, Finance and Administration.
 11:00 – 12:00 Second interview with Mary Materu-Behitsa, Coordinator, Database of African Theses and Dissertations (DATAD)

 12:00-14:00 Lunch Break

 14.00-17.00 Review of documentation

THURSDAY, MAY 12, 2005

9:00 AM Pick-up from the Hotel
 10:00 – 12:00 Writing up notes

 12:00 – 14:00 Lunch Break
 14:00 – 18:00 Writing up notes

FRIDAY, MAY 13, 2005

9:00 Pick-up from the Hotel
 9:00 – 9:30 Interview with Ransford Okwabi Bekoe, Operations Assistant, Office of the Secretary General.

 10:00 – 10:30 Interview with Ms. Alida Baeta, Executive Assistant
 10:00- 12:00 Writing-up notes
 12:00 – 14:00 Lunch Break

 14:00 – 16:00 Interview with Professor Kwame Boafo-Arthur, University of Ghana
 16:00 – 18:00 Writing-up notes

SATURADY 14 & SUNDAY 15, 2005

9:00 – 16:30 Document reading and report writing.

MONDAY, MAY 16 2005

9:00 Pick-up from the Hotel
 9:30-10:00 Interview with Mr. Raymond Brown, Head of Finance and Administration
 10:00 – 12:00 Writing up

 12:00-14:00 Lunch Break

 15:00 – 15:30 Interview with Professor Kwadow Assenso-Okyere, Vice Chancellor, University of Ghana
 15:40 – 16:30 Interview with Professor Akilagpa Sawyer, Secretary General.

TUESDAY MAY 17, 2005

9:00 Pick-up from the Hotel
 9:00 – 9:30 Interview with Ransford Okwabi Bekoe, Operations Assistant, Office of the Secretary General.

 10:00 – 10:30 Interview with Ms. Alida Baeta, Executive Assistant
 10:00- 12:00 Writing-up notes

 12:00 – 14:00 Lunch Break

 14:00 – 16:00 Interview with Professor Stephen Edie, Rector, Ghana Institute of Management and Public Administration
 17:50 – 18:00 Final interview with Professor Akilagpa Sawyer, Secretary General.

WEDNESDAY MAY 18, 2005

9:00 Pick-up from the Hotel
 9:30 – 12:40 Plugging in grey areas and missing information
 12:40 – 14: 40 Lunch Break
 14:40 - Plugging in grey areas and missing information

**ANNEX 3
PERSONS INTERVIEWED OR CONTACTED**

1. Interviewees, AAU

1. Professor Akilagpa Sawyer, Secretary General, AAU
2. Dr. Paschal Mihyo, Director of Research and Programmes
3. Dr. Taye Assefa, Director of Communication and Services
4. Mr. Raymond Brown, Director of Finance and Administration
5. Ms. Alice Lamptey, Coordinator, Working Group on Higher Education (WGHE)
6. Ms. Mary Materu-Behitsa, Coordinator, Database of African Theses and Dissertations (DATAD)
7. Ms. Araba Botchway, Project Officer, International Fellowship Programme (West Africa).
8. Mr. Terry David Amuzu, Assistant Programme Officer, Working Group on Higher Education.
9. Ms. Victoria Duah, Publications Assistant, Communication and Services
10. Mr. Cozy Clottey, Finance, Finance and Administration.
11. Mr. Benjamin Assia, ICT Specialist, Communication and Services.
12. Mr. Aziale K. Virtus, IT Technical Assistant, Communication and Services.
13. Mr. Paul Soedzade, Senior Principal Officer, Finance and Administration.
14. Mr. Ransford Okwabi Bekoe, Operations Assistant, Office of the Secretary General.
15. MS. Alida Baeta, Executive Assistant

2. Interviews with Non-AAU

1. Professor Kwadow Assenso-Okyere, Vice Chancellor, University of Ghana
2. Professor Stephen Edie, Rector, Ghana Institute of Management and Public Administration (GIMPA)
3. Professor Kwame Borafo-Arthur, Head, Department of Political Science, University of Ghana

ANNEX 4 DOCUMENTATION

- AAU (2005) Constitution. Accra: Association of African Universities, February 2005, Accra, Ghana.
- AAU (2001) Constitution. Accra: Association of African Universities, February 2001, Accra, Ghana.
- AAU (2004) Accounting Policies and Procedures Manual. Association of African Universities, Accra, Ghana.
- AAU (2001) Study Programme on Higher Education Management in Africa: Expenditure Statement For Six Months Period Ending 1 September 2001.
- AAU (2000) Study Programme on Higher Education Management in Africa: Expenditure Statement For Six Months Period Ending 30 June 2000.
- AAU (2001) Study Programme on Higher Education Management in Africa: Expenditure Statement For Six Months Period Ending 30 April 2001.
- AAU (2002) Study Programme on Higher Education Management in Africa: Expenditure Statement For Six Months Period Ending 28 February 2001.
- AAU (2001) Study Programme on Higher Education Management in Africa: Expenditure Statement. 30 September 2001.
- AAU (2001) Study Programme on Higher Education Management in Africa: Expenditure Statement, 30 June 2001.
- AAU (1999) Study Programme on Higher Education Management in Africa: Expenditure Statement for the Period 1 March 1999 to 30 June 2003.
- AAU (2002) AAU (2001) Study Programme on Higher Education Management in Africa: Request for Payment. 22 November 2002.
- AAU (2003) AAU (2001) Study Programme on Higher Education Management in Africa: Request for Payment. 19 February 2003.
- AAU (2004) Study Programme on Higher Education Management in Africa: Progress Report: July 2003 – June 2004.
- AAU (2001) Financial Statements: Year ending 30 June 2001. Pannell Kerr Foster, Chartered Accountants, Accra, Ghana.
- AAU (2003) Financial Statements: Year Ended 30 June 2003. Pannell Kerr Foster, Chartered Accountants for the Association of African Universities, Accra, Ghana.
- AAU (2004) Accounting Policies and Procedures Manual. Association of African Universities. October 2004, Association of African Universities Accra, Ghana.
- AAU (2003) Sample of Appointment Contracts of Senior Professional Staff. Association of African Universities, 24 November 2003. Accra, Ghana.
- AAU (2003) Travel Abroad (Tickets) for each member of the Secretariat, July 2002 – June 2003. Association of African Universities, Accra, Ghana
- AAU (2003) Travel Abroad (Tickets) for each member of the Secretariat, July 2003 – June 2003. Association of African Universities, Accra, Ghana.
- AAU (2004) Equipments for the Year July 2003- June 2004. Association of African Universities, Accra, Ghana.
- AAU (2003) Revised Contract for Employment of Secretary General, 16 July 2003. Association of African Universities, Accra, Ghana.
- AAU (2004) Professional Staff Emoluments 2 July-June 30 2004. Association of African Universities, Accra, Ghana.
- AAU (2003) Support Staff Emoluments 2 July-June 30 2003. Association of African Universities, Accra, Ghana.
- AAU (2005) AAU Publications Catalogue. Association of African Universities, Accra, Ghana.
- AAU (2005) AAU Information Pamphlet. Association of African Universities, Accra, Ghana.
- AAU (2005) AAU DATAD Information Pamphlet. Association of African Universities, Accra, Ghana.
- AAU (2005) Working Group on Higher Education Information Pamphlet. Association of African Universities, Accra, Ghana.
- AAU (2005) International Fellowship Programme Information Pamphlet. Association of African Universities, Accra, Ghana.
- AAU (2005) Sample of up-to-date AAU Newsletters. Association of African Universities, Accra, Ghana.
- AAU (2001 –2002) Annual Report. Association of African Universities, Accra, Ghana.
- AAU (2002-2003) Annual Report. Association of African Universities, Accra, Ghana.
- AAU (2005) Memorandum of Understanding with University of Cape Town, South Africa on “Gender and Institutional Culture in Selected African Universities”. 18 February 2005. Association of African Universities, Accra, Ghana.
- AAU (2004) Sample of Appointment Contract at the Secretariat of AAU. 5 November 2004. Association of African Universities, Accra, Ghana.
- AAU (Undated) Unified Conditions of Service of the Universities of Ghana as Applicable to the Support Staff of AAU. Association of African Universities, Accra, Ghana.
- Mihyo, Paschal (2005) A Short Summary of AAU Programmes and Projects. Memo. Accra, Ghana.

Sawyer, Akilagpa (2005) Draft Discussion Paper. Memon. Accra, Ghana.
 Thorvaldsson, J. and Ernest and Young (2002) Systems and Financial Management of the Association of African Universities. Final Report. Accra, Ghana.

Documents Provided by AAU:

(Responses to Assessment Team Questionnaire)

Attachment 1: Sida's Action Plan 2002.

Attachment 2: Rectifying weaknesses identified in the AAU Strategic Plan

Attachment 3: Update on the Restructuring of the AAU Secretariat.

Attachment 4: Achievements Under Sida-Funded Projects Study Programme. Achievements From July 2003 To December 2004.

Attachment 5: Communication and Services Department Service Marketing Work Plan And Activities (April 2004-April 2005).

Attachment 6: Association of African Universities Questionnaire on Subscriptions.

Attachment 7: Communication and Services Work Plan (*May 2005 – April 2006*)

Attachment 8: Communication and Services Department Monitoring and Evaluation Report (May 2004 - April 2005)

Attachment 9: Professional Staff Emoluments July 02- June 03

Attachment 10: Schedule of foreign travels, Abroad Travel (Tickets) for Each Member of the Secretariat - July 2002- June 2003

Attachment 11: Equipment for the Year July 2002 - June 2003

Attachment 12: Study Programme on Higher Education Management in Africa Progress Report: (March 2000 - April 2001)

Attachment 13: Study Programme Progress Report, March 2001 - February 2002

Attachment 14: Study Programme, Progress Report, March 2002 – June 2003

Attachment 15: Study Programme on Higher Education Management in Africa , Project No. 2731, Contract: DCO-0013733, July 2003 – JUNE 2004

Attachment 16: 61st (Special) Meeting of the Executive Board, Cape Town, South Africa, February 17 & 18, 2005. Membership Issues.

Attachment 17: Financial Performance, 2001-2004.

Miscellaneous Publications

AAU (2002) 8th Senior University Management Workshop (SUMA VIII). Course Director's Report (27 October – 4 November, 2001). Association of African Universities. Final Report. Accra, Ghana.

AAU (2004) Guide to Higher Education in Africa. Association of African Universities. Final Report. Accra, Ghana, Basingstoke: Palgrave/Macmillan.

AAU (2004) The Implications of WTO/GATS for Higher Education in Africa. Proceedings of Accra Workshop 2- 29 April 2004. Association of African Universities. Final Report. Accra, Ghana. Also in French.

AAU (2005) Cross-boarder Provision and the Future of Higher Education in Africa. Proceedings of 11th AA General Conference 21-25 February 2005, Cape Town, South Africa. Association of African Universities. Final Report. Accra, Ghana.

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Kaijage, E. S. (2001) Knowledge and Skills of B.Com Graduates, University of Dar Es-Salam. Association of African Universities. Final Report. Accra, Ghana.

Letuka. L. J. (2003) Quality Assurance and Management and Equitable Access Hard Choices in Phases. . Association of African Universities, Accra, Ghana.

Liverpool, L. S. O. et al (1989) Modelling for Resource Allocation to Department and Faculties in African Universities. Association of African Universities. Final Report. Accra, Ghana.

Mayanja, M. K. (1998) The Social Background of Makerere University Students and Potential for Cost Sharing. Association of African Universities. Final Report. Accra, Ghana.

- Mayanja, M. K. et al. (2001) A Comparative Study of Makerere University Graduates of the Faculties of Arts and Sciences. Association of African Universities. Final Report. Accra, Ghana.
- Mazimpka, J. and G. F. Daniel (2000) Post Genocide Restructuring of Higher Education in Rwanda, An Overview. Association of African Universities. Final Report. Accra, Ghana.
- Obondoh, A. (2003) The Politics of Participatory Decision Making in Campus Governance. Association of African Universities. Final Report. Accra, Ghana.

ANNEX 5
Excerpts from AAU Strategic Plan (2003 – 2010)

EXECUTIVE SUMMARY**1. The Association of African Universities**

The Association of African Universities (AAU), founded with an initial membership of 34 public universities on November 12, 1967 in Rabat, Morocco, serves as the apex organization and principal forum for consultation, exchange of information and cooperation among higher education institutions (HEIs) in Africa. The AAU, which has its headquarters in Accra, Ghana, has grown in membership to 177 as of November 2003.

In February 2001, the Association adopted the Declaration on the African University in the Third Millennium at its 10th General Conference in Nairobi, Kenya. Following this and other developments on the continent, especially the establishment of the African Union (AU), and the adoption of the New Partnership for Africa's Development (NEPAD), the AAU aspires to become a "catalyst for analytical thinking" for the continent's development, especially in higher education policy development and research.

2. State of Higher Education in Africa

African higher education has been at a critical juncture since the 1980s as a result of economic austerity and benign neglect in most countries. The inadequacy of funding combined with an enrolment explosion resulted in a reduction in the capacity of most African universities to provide for effective research and learning, and a general drop in the quality of higher education in Africa.

Over the period, global trends as well as political and other challenges at the national and continental levels have heightened the significance of knowledge and knowledge institutions in the stability and development of Africa. Further, the current wave of democratization and continental self-reliance and cooperation have improved the environment for critical enquiry and brought to prominence the need for greater cooperation and self-reliance among African higher education institutions. Finally, African governments have re-focused on higher education, even as external donors 'rediscovered' it, while universities have responded to the challenges by a variety of innovations and strategies.

3. The AAU's Role

Over the years the AAU has gained credibility among its member institutions, African governments, donor partners and the higher education community globally. It enjoys a unique capacity for convening the vast majority of the African higher education community to reflect and consult on key issues affecting education in Africa, and for promoting cooperation and collaboration among its member institutions.

A critical diagnosis of the mandate, functions and performance of the governance and management structures of the Association, undertaken as part of the strategic planning process, has provided an opportunity for members to review the Association's performance, the identification of its strengths, weaknesses, opportunities and threats. Among its strengths are the fact that its membership is diverse and truly continental – drawn from all parts of the continent, and from all the major language and educational traditions. This gives the Association a unique capacity to coordinate activities and network institutions at the continental level, as well as to help fashion a common vision for African higher education. In addition, it has demonstrated the institutional capacity for developing and managing programs and providing services to its members. Major weaknesses include the absence of a coherent strategy and long-term vision, a staff quality deficit, as well as over-dependence on external donors. The opportunities opened for the Association include increasing private sector involvement in higher education, developments in information and communication technologies for improved networking, the increasing recognition of the role of higher education in development, and the renewed drive for stronger regional cooperation. To realize these, the AAU needs to deal with the fact of its reduced international visibility and loss of the confidence of some key stakeholders, as well as high expectations and demands from other stakeholders, not matched by commensurate resource support.

Taking account of all these factors and the established regional and international relationships, this Strategic Plan builds on the AAU's competitive advantage as the only continental body of higher education institutions in Africa to

provide sustainable and effective support to member institutions in their role as knowledge institutions, and to promote collective initiatives and positions on matters of common policy interest.

Against this background, the VISION, MISSION, and GOALS of the Association have been formulated as follows:

4. Mission

The *Mission* of the AAU is to raise the quality of higher education in Africa and strengthen its contribution to African development by fostering collaboration among its member institutions; by providing support to their core functions of teaching, learning, research and community engagement; and by facilitating critical reflection on, and consensus-building around, issues affecting higher education and the development of Africa.

5. Vision

Our *Vision* is to maintain the AAU as the representative voice of the African higher education community both within and outside Africa.

6. Core Values and Principles

We shall uphold the following *Values* and *Principles*, which shall inform all our strategies, programs and activities:

- Academic freedom;
- Respect diversity and the universality of knowledge;
- Accountability;
- Excellence in service and delivery.

7. Goals

The main *Goals* of the AAU are:

- i) Effective support for African higher education institutions in their core functions of teaching, learning, research and service to their communities;
- ii) Enhanced impact of the African higher education community and its institutions on national, regional and global policy dialogue; and
- iii) Efficient management of the AAU, with sound program implementation capacity and a secure resource base.

8. Strategic Objectives

To achieve these goals the AAU has set itself the following *Strategic Objectives (SO)*:

- SO-1: Promote and facilitate networking, collaboration, and experience sharing in teaching, learning and research;
- SO-2: Improve leadership, institutional management and the policy environment of African higher education;
- SO-3: Empower AAU members to address developmental challenges, and become an effective voice in national, continental and global bodies;
- SO-4: Facilitate mutually beneficial interaction between member institutions and the external academic and other communities;
- SO-5: Provide effective representation of the African higher education community in regional and international affairs;
- SO-6: Improve the governance and organizational framework of the Association;
- SO-7: Raise the efficiency and effectiveness of Secretariat;
- SO-8: Provide the Secretariat with a secure and adequate resource base for the pursuit of Association goals.

9. Implementation

Programs and activities under the Strategic Plan will be developed and implemented in a series of Rolling Plans to be monitored by the governing bodies of the Association. Given the relative decline in program development and delivery capacity of the Association in recent years, the immediate priority of the Strategic Plan is the intensification of the on-going process for the strengthening of governance and management, as well as program development and delivery capacity. The Plan is, therefore, to be implemented in two phases. The **first phase** (August 2003 - December 2004) will focus on the restructuring and strengthening of the Secretariat and the rationalization of the governance arrangements. The **second phase** (January 2005 - December 2010) will see the implementation of a full

set of programs and activities developed in accordance with the Strategic Objectives and approved by the General Conference in February 2005.

10. Transitional Measures

During **the first phase**, and as a transitional measure, the under-listed programs and activities will be implemented, with appropriate adjustments, in line with the indicated Objectives of the Plan:

- **Academic Mobility:** To foster inter-university co-operation through exchanges of staff and students;
- **Regional Networks for Training and Research:** To facilitate the establishment of regional networks on selected themes;
- **Establishment, Management and Dissemination of Information Resources on African HE:** to improve electronic access to the work of African graduate scholarship in and outside the continent;
- **ICT Policy Development:** To assist member institutions formulate and implement sound ICT policies;
- **Quality Assurance Initiative:** To help member institutions develop and implement systems of quality assurance;
- **Higher Education Research and Policy Coordination:** To strengthen the capacity of African institutions and individuals in higher education research and training, and to contribute to the improvement of higher education policy;
- **Leadership and Management Training for Senior University Leaders and Managers:** To provide leadership and management skills training for university leaders and managers;
- **Special Issues Workshops/Conferences:** To promote dissemination of research and policy material on higher education issues;
- **HIV/AIDS Awareness and Prevention:** To support member institutions to develop policies for the prevention and management of HIV/AIDS within their institutions, and contribute to social prevention and management;
- **Women in African Tertiary Institutions:** To sensitize and create awareness on gender issues within member institutions;
- **Studies on Special Issues:** To cater for studies of emerging issues, such as the implications of trans-border provision for African Higher Education;
- **Coordination of ADEA/WGHE**
- **Information Exchange** through the AAU Website (www.aau.org), AAU Newsletter and other publications;
- **NEPAD Support Program and WTO/GATS Advocacy Campaign and Conference;**
- **Restructuring and Revitalization of AAU:** To improve governance and enhance staff qualifications and skills at the Secretariat; and
- **Resource Mobilization:** To develop and implement strategy for enhancing and diversifying sources of AAU funding.

I. Background and Planning Process

The Association of African Universities (AAU) is the apex organization and principal forum for consultation, exchange of information and cooperation among higher education institutions in Africa. It is mandated by its Constitution to:

- Promote interchange and co-operation among universities in Africa;
- Collect, classify and disseminate information on higher education and research, particularly in Africa;
- Promote co-operation among universities in curriculum development and in the determination of equivalence of degrees;
- Encourage increased contacts between its members and the international academic world;
- Study and make known the educational and related needs of African universities and, as far as practicable, co-ordinate the means whereby those needs may be met;
- Encourage the development and wider use of African languages; and
- Organize, encourage and support seminars and conferences between African academics, administrators and others dealing with higher education in Africa.

The AAU was founded on November 12, 1967 in Rabat, Morocco, following the recommendations of the conference on "The Future of Higher Education in Africa" (Antananarivo, Madagascar, September 1962), held under the auspices of UNESCO, and the meeting of the heads of higher education institutions in Africa (Khartoum, Sudan, 1963). At the founding conference in Morocco, a constitution was adopted, an executive board elected, and officers

appointed. The Association set up its headquarters in Accra, Ghana, and has since worked in three languages: English, French and Arabic.

Starting with a membership of 34 public universities, the Association has since grown into a body of 177 higher education institutions, public and private, drawn from 44 African countries. It provides a forum for reflection, consultation, networking, cooperation and collaboration on issues and activities of mutual interest. Over the years, this forum has facilitated a constant review of the Association's own performance and that of its member institutions.

Higher education has experienced serious setbacks in virtually all African countries, particularly in the 1980s and early 1990s when most African countries adopted structural adjustment programs that led to a contraction of public expenditure on social services. At the same time, until late in the 1990s, the World Bank and other donor agencies encouraged African governments to focus on basic education in preference to tertiary education and research. The inadequacy of funding had a negative impact on the development of tertiary institutions and research infrastructure, and adversely affected the conditions of service for university staff, contributing to the persistent brain drain.

At its 10th General Conference held in Nairobi in February 2001, the Association adopted the Declaration on the African University in the Third Millennium, revisiting the catalytic role of higher education institutions in the generation, acquisition and application of knowledge and in the training of high-level knowledge workers. Following this, and in conformity with the Dakar "Declaration and Action Plan on Higher Education in Africa" (1998), the "World Declaration on Higher Education for the 21st Century" (1999), the establishment of the African Union (AU), and the adoption of the New Partnership for Africa's Development (NEPAD), the AAU aspires to play the strategic role of a "catalyst for analytical thinking" for the continent's development, especially in higher education policy development and research. In this context, the opportunities and needs of the continent provide the AAU and its member institutions with the impetus to redefine their mission, vision, role and strategies. This Strategic Plan, therefore, lays the basis for the Association to provide sustainable and effective support to member institutions in their role as the knowledge institutions of the continent, and for the elaboration of collective initiatives and positions on matters of common policy interest.

The development of this Strategic Plan began in 1999. After a lull, a Planning Committee was set up by the Executive Board of the Association in 2001 to bring the process to a conclusion. A draft Plan was presented at a special Board meeting convened in Sebha, Libya, in January 2002 with representatives from member institutions and the Secretariat in attendance. The outcome of this meeting formed the basis for a second draft that was presented at a regional workshop held in Tripoli, Libya, in May 2002. This forum involved more representatives of member institutions, and produced yet another draft which was presented at the ordinary session of the Executive Board in Yaoundé, Cameroon, in July 2002. The final draft, after approval by the Board, was subsequently adopted by the Conference of Rectors, Vice Chancellors and Presidents (COREVIP), held in Mauritius in 2003, subject to a few amendments to be effected by the Board.

II. Introduction

1. The State of Higher Education in Africa

African higher education and its institutions are at a crossroads after two decades of economic austerity and benign neglect. Recent attempts at the national and continental levels to re-energize and empower the continent, coinciding with the dawn of a new Millennium, make this an opportune time for reflecting on new directions for policy and practice in African higher education. There are differences of culture and orientation among African higher education institutions according to their location in countries where Arabic, English, French or Portuguese are spoken. In recognition of this diversity the AAU is seeking deeper collaboration with sister organizations such as the Association of Commonwealth Universities (ACU), Agence Universitaire de la Francophonie (AUF), Conseil Africain et Malgache de l'Enseignement Supérieur (CAMES), Association of Arab Universities (AArU), and the International Association of Universities (IAU).

Despite this diversity, and with notable exceptions, higher education in Africa has been characterized by:

- High expectations and demand from key stakeholders, not matched by commensurate resource support;
- A small number of universities per country;
- Low enrolment ratios at all levels, despite an enrolment explosion in the last 20 years that has stretched institutional facilities and capacities to breaking point;

- A small but rapidly increasing number of private universities;
- Low tertiary education expenditure per person, but very high relative to gross national product (GNP) per capita;
- Poor infrastructure, especially in relation to information and communication technologies, and consequent weak links among African HEIs on one hand, and with the global knowledge system, on the other;
- Ageing faculty, lack of incentives to attract younger staff and continued brain drain;
- Weak private sector support and undeveloped culture of private contributions to universities;
- Inadequate financial and logistical support from governments;
- Weak linkage between academia and the social and productive sectors of the economy; and
- Weak linkage with and provision of support to national and continental organizations.

2. Challenges

2.1 Global Trends

Global trends are altering conditions and expectations of higher education systems throughout the world. These trends include the rise of the “knowledge society“, the increase in the volume and pace of cross-border transactions, the explosion of new information and communication technologies, and the rapid growth and mobility of populations, especially skilled human resources. The central role of knowledge as a critical determinant of development and international competitiveness demands that African higher education institutions play an even more direct role in development than before. Partly in consequence, the quality of teaching and research and the effectiveness of their contribution to policy, production, management and social construction, as well as their cost-effectiveness, are matters of increasing public concern. At the same time, there is persistent pressure for higher education institutions to change from the elite systems of earlier times and open up to wider sections of society.

Globalization is increasing the gap between the rich and the poor, between internet-connected and isolated social groups within countries and across continents. Thus, while opening the door to a highly mobile, highly skilled international elite, globalization, at the same time, shuts out the less skilled and educated that remain locked up in poverty. The most visible symbols and facilitators of globalization have been the rapid development of information and communication technologies (ICT) and the creation of planetary networks of knowledge generation and dissemination. Knowledge creation and management have become easier with computers, electronic mail and the Internet. Globalization, thus, presents opportunities as well as threats to Africa as to other regions.

The demand for admission into Africa’s universities far exceeds their capacity to accommodate and provide for effective learning. Invariably, the largest share of financial resources is allocated to staff emoluments, leading to deteriorating infrastructure as a major obstacle to creating an appropriate learning environment. Besides, the gap between Africa and the industrialized countries in relation to R&D activity continues to grow. Disparities are even wider in relation to the transfer of knowledge to industry and society. In consequence, while knowledge-based societies are taking hold in other regions of the world, Africa continues to lag behind.

2.2 Political Challenges

The political climate within which higher education institutions operate in Africa remains a major challenge. Conflicts and wars have bred uncertainty, accelerated the brain drain and disrupted academic work. The continued existence of repressive military and civilian regimes in many countries of Africa, the restriction of freedom of expression, extensive political corruption, personal rule and non-accountability, all combined to constrain the generation, acquisition and application of information and knowledge and set back socio-economic development. This has impacted on African higher education institutions across the continent as sites for free and rigorous pursuit of knowledge and intellectual debate. At the same time the onset of the democratization process in a number of African countries have created a more conducive environment for debate and plurality of ideas and research. For its part, the transformation of the OAU into the African Union (AU) has prompted renewed hope and created a new framework for addressing the challenges facing Africa. Again, the New Partnership for Africa’s Development (NEPAD) with its insistence on self-directed development and peer review holds much promise. All these developments have brought to prominence the need for greater cooperation and self-reliance among African higher education institutions in such areas as training and research, academic and student exchanges and harmonized reforms of curricula. To the extent that higher education can play an effective role within the new AU and NEPAD frameworks, the AAU should act as a catalyst.

2.3 Social and Economic Challenges

Africa’s population is projected to continue growing at just under 3 per cent a year over the first quarter of this century, while for the rest of the world, including some developing countries, growth rates are expected to decline steadily. That means continued expansion in Africa’s youth population and the output of second-cycle institutions. The pressure for access to universities can, therefore, be expected to continue to mount. The situation is complicated

by the coincident collapse of national economies -- especially since the late 1970s and 1980s -- and the fiscal austerity imposed by structural adjustment programs, leading to the deterioration in the material conditions and the morale of Africa's higher education institutions. This came at the time of greatest need, as the knowledge society took root elsewhere. By the mid- to late-1990s, it was clear that Africa's higher education institutions were in desperate need of revitalization and redirection. A flurry of reform measures was introduced, in most cases with loans from and under the policy guidance of the World Bank and the donor community. These reforms were characterized at the system level by a variety of measures and structural changes. The key drivers of the process were increased efficiency in the use of resources and the reduction in the unit cost of operation, diversification of funding sources, particularly through cost-recovery from students and their families, and increasing income-generating activities. Also significant was the greater focus on tailoring programs to labor market demand. In some instances, an increase in access to and diversification of the tertiary system, through encouragement of private and non-university provision, were important elements of the reform package. Parallel to economic liberalization has been the opening up of higher education to non-governmental agencies and the promotion of private higher education within the continent. Thus, private institutions can be expected to increase their share of student intake.

While governments are expected to match their renewed interest in higher education with higher levels of funding, the economic situation in many countries does not provide much hope for the foreseeable future. Innovative means of meeting the financial challenges are required, and some are already in evidence. The AAU could provide leadership through research, information gathering and dissemination among higher education institutions in these new areas, and in training academic leadership to manage change and innovation.

2.4 Technological Challenges

While some higher education institutions, especially in the North and in South Africa, have made progress in adopting ICT to improve learning outcomes, in general, the continent is lagging behind in the global information and technology revolution. Beyond the deficiencies in national ICT provision and policy, higher education institutions that should be at the forefront of Africa's participation in the ICT revolution are, in most instances ill-prepared to play such a leadership role because of the inadequate development of their own information infrastructure. Africa's universities are thus poorly positioned - when compared with their counterparts in Europe, North America and other developing regions, such as East Asia - to take advantage of the global information economy and knowledge systems, and pioneer its expansion in their countries. The development and application of ICT in African higher education institutions therefore becomes crucial and urgent if the continent is to reduce the knowledge, technological, and economic gaps between itself and the rest of the world.

On a positive note, global trends in the application of ICT offer opportunities for transforming the several interconnected functions of universities in Africa. As noted above, higher education institutions in Africa are at different levels of ICT development and require different ICT development strategies. Identifying these different levels and their respective characteristics is a necessary step in establishing appropriate ICT strategies across the continent. For this purpose it is necessary to bring some focus to the critical steps that individual higher education institutions need to take in order to meet the ICT challenge and to harness synergies among themselves. The AAU can play a catalytic role in facilitating the adoption of ICT policies and helping to secure common services and networks among its members, such as greater access to bandwidth.

3. Diversity of Higher Education and AAU Membership

The AAU is currently an association of largely public universities. Many of the increasing number of private universities have joined the Association, or are seeking membership. While the AAU does not have to be a club of all higher education institutions in Africa, or even all the fully fledged universities, the reality is that only 177 out of nearly 800 university and non-university tertiary institutions in Africa are members. Thus, the growing number and diversity of higher education institutions in Africa offer the opportunity for the AAU to expand its membership, set the pace for accountability and quality assurance, and enhanced membership services.

III. The Strategic Plan 2003-2010

1. Introduction

Since its establishment, the Association has steadily built up its reputation among its members, development partners and the higher education community globally. It currently enjoys a unique capacity for convening its members to reflect and consult on key issues affecting education in Africa and for coordinating activities and programs and promoting cooperation and collaboration among member institutions. In preparation for meeting the new challenges posed by global trends and developments in higher education in Africa, a critical diagnosis of the mandate, functions

and performance of the governance and management structures of the Association was undertaken as part of the strategic planning process. The objective of the SWOT analysis was to ensure that the Association remained proactive on the issues affecting higher education in Africa. This process provided an opportunity for members to review the Association's performance, leading to identification of the strengths, weaknesses, opportunities and threats (SWOT) outlined below.

2. SWOT Analysis

2.1 Strengths

The strengths of the Association lie in:

- Thirty-seven years of organizational experience as the only continental body of higher education institutions in Africa;
- A membership of 177 institutions in all parts of Africa, and from all the major language and education traditions, with growing numbers of new public and private tertiary institutions;
- Support from member institutions as reflected in their willingness to organize and host AAU events;
- Credibility with African governments, continental organizations including the AU and NEPAD, as well as local and international partners;
- Institutional capacity for developing and managing programs and providing membership services;
- Institutional networking capacity for gathering and disseminating higher education information across geographic, political, linguistic and cultural borders; and
- The demand for and impact of its programs and activities.

2.2 Weaknesses

Against these strengths, the Association has to meet the following internal challenges:

- To date, the absence of a coherent strategy and long-term vision;
- Lack of focus and coherence in program work;
- Inadequate staff capacity for delivering on the full mandate;
- Indifferent financial management and reporting to stakeholders;
- Outmoded corporate governance arrangements;
- Apathy on the part of some of the Association's members;
- Inadequate engagement with, and contribution to, continental and international efforts to solve critical problems facing education and development on the continent; and
- Over-dependence on external donors.

2.3 Opportunities

Within the plan period, the Association is committed to seizing the following opportunities:

- The immense social demand for higher education in Africa, and increasing private sector involvement, leading to a growing number of institutions eligible for AAU membership;
- Developments in information and communication technology for improved networking and more rapid response to changing circumstances;
- The positive drive by African governments for stronger regional collaboration and renewed recognition of the role of higher education in development;
- Formation of the African Union and the adoption of the New Program for Africa's Development (NEPAD), highlighting the special role of a continental body such as the Association, with members in all African countries, in coordinating analytical and intellectual support for these initiatives; and
- Renewed interest of Africa's development partners for higher education development in Africa.

2.4 Threats

In the context of developments in Africa and the globalized world, the following pose challenges to the Association and its member institutions:

- Reduced international visibility and confidence of several key stakeholders;
- Weak financial commitment of external partners; and
- High expectations and demand from key stakeholders, not matched by commensurate resource support.

3. Mission, Vision, Core Values, and Goals

3.1 Our Mission

The Mission of the AAU is to raise the quality of higher education in Africa and strengthen its contribution to African development by fostering cooperation and collaboration among its member institutions; providing support to their core functions of teaching, learning, research and community engagement; and facilitating critical reflection on, and consensus-building around, issues affecting higher education and the development of Africa.

3.2 *Our Vision*

Our Vision is to maintain the AAU as the representative voice of the African higher education community.

3.3 *Our Core Values and Principles*

We shall uphold the following *Values* and *Principles*, which shall inform all our strategies, programs and activities:

- *Academic freedom;*
- *Respect for diversity and the universality of knowledge;*
- *Accountability;*
- *Excellence in service delivery.*

3.4 *Our Main Goals*

The main *Goals* of the Strategic Plan are:

- i) Support for African higher education institutions in their core functions of teaching, learning, research and service to their communities;
- ii) Enhanced impact of the African higher education community and its institutions on national, regional and global policy dialogue; and
- iii) Efficient management of the AAU, with sound program implementation capacity and a secure resource base.

4. *Strategic Objectives*

Eight *Strategic Objectives* will be advanced during the Plan period. This will be done through the development and implementation of programs and activities in the areas outlined below.

SO-1: *Promote and facilitate networking, collaboration, and experience-sharing in teaching, learning and research*

Program/Activity Areas

- i) Promotion of academic mobility – student and staff fellowships and scholarships;
- ii) Regional/sub-regional networks for research and teaching;
- iii) Establishment, management and dissemination of information resources on HE in Africa;
- iv) Facilitation of access to publications and database;
- v) Promotion of quality through sharing of best practice, in partnership with national, regional and international quality assurance (QA) bodies;
- vi) Creation of networks of African HEIs in the use and application of ICTs, and negotiation for reduced cost electronic and other resources for HEIs in Africa;
- vii) Identification of emerging HE issues (e.g., gender, peace and conflict, HIV/AIDS), and development and implementation of appropriate programs.

SO-2: *Improve leadership, institutional management, and the policy environment of African higher education*

Program/Activity Areas

- i) Coordination of research and dissemination of output on African higher education policy and management;
- ii) Providing training in higher education leadership and management, in partnership with regional and national institutions;
- iii) Providing consultancy services on higher education policy and management, strategic planning, program evaluation, etc.

SO-3: *Empower AAU members to address developmental challenges, and become an effective voice in national, continental and global bodies*

Program/Activity Areas

- i) Convening of standing and ad hoc working parties, technical panels, expert committees, etc., on key issues;
- ii) Organizing sensitization/training seminars, workshops, and consultative meetings on key issues, including policy analysis;
- iii) Development of database on African expertise, and encouragement of technical consortia, etc.;
- iv) Support for linkage with social and productive sectors within country.

SO-4: *Facilitate mutually beneficial interaction between member institutions and the external academic and other communities*

Program/Activity Areas

- i) Promotion of South/South and North/South collaboration and networking;
- ii) Support for active participation by member institutions in international thematic and professional associations;

- iii) Information exchange.

SO-5: Provide effective representation of African HE community in regional and international affairs

Program/Activity Areas

- i) Active cooperation with AU, NEPAD, ECA and sub-regional bodies in policy development;
- ii) Preparation, dissemination and advocacy of policy positions on key HE issues, including funding of higher education, the impact of WTO/GATS on African higher education, etc.;
- iii) Development and implementation of AAU corporate marketing strategy.

SO-6: Improve governance and organizational framework of the Association

Program/Activity Areas

- i) Regular updating of statutory documents and governance processes;
- ii) Capacity-building of governing organs and improvement of contact with members;
- iii) Development and application of indicators for assessing members' needs;
- iv) Development and application of indicators for benchmarking Strategic Plan goal attainment.

SO-7: Raise the efficiency and effectiveness of Secretariat

Program/Activity Areas

- i) Rationalization of establishment, organization and in-service development;
- ii) Upgrading and regular updating of management systems, including financial management and staff skills;
- iii) Enhancement of infrastructure and management information systems, including ICT;
- iv) Reduction of administrative expenditure as a percentage of overall costs.

SO-8: Provide the Secretariat with a secure and adequate resource base for pursuit of Association goals

Program/Activity Areas

- i) Development and implementation of a resource mobilization strategy, including membership subscription drive and recovery of arrears, and solicitation for financial support from African governments and enterprises;
- ii) Establishment of an Endowment Fund.

IV. Implementation Strategy

Programs and activities under the Strategic Plan will be developed and implemented in a series of Rolling Plans. The implementation of each Plan will be monitored annually, and adjusted as necessary by the Executive Board. Every other year the Conference of Rectors, Vice-Chancellors and Presidents (COREVIP) will receive and consider a report on Plan implementation.

VI. Transitional Arrangements

Over the last few years, the Association has experienced a relative loss of momentum in its program work, and a loss of international visibility and the confidence of several key donor partners, resulting in declines in the levels of support for its programs and activities, as already noted. Factors accounting for this include the indifferent quality of the Core Program 2001 - 04 approved at the General Conference in 2001, reduced capacity for project development and promotion, as well as financial management. Weak corporate governance and leadership of the Association compounded the situation.

Against this background of relatively low implementation capacity, the *immediate priority* of the Strategic Plan is the restoration of effective governance and the strengthening of management, program development and delivery capacity. Reflecting this, the Plan will be implemented in two broad phases. The *first phase* (August 2003 - December 2004), marking the transition from the current to the new dispensation, will focus on the restructuring and strengthening of the Secretariat and rationalization of the governance arrangements. During this phase, the Secretariat will be reorganized into operational units and strengthened by the recruitment of a Director of Research and Programs, Head of Communications and Services and Head of Finance, to head the units. Together with the Secretary-General, these senior officers will supervise the development of a full portfolio of programs and activity plans in line with the Strategic Plan objectives for consideration and approval by the General Conference in January 2005. They will also facilitate the transition process from on-going programs and activities to full implementation of the Strategic Plan. The *second phase* (January 2005 - December 2010) will see the implementation of a full set of programs and activities developed in accordance with Plan objectives and to be approved by the General Conference in January 2005.

To that end, as a transitional measure, and to ensure continuity pending the development of new programs, the programs and activities listed below, which are on-going or under development, and which fit within the indicated Objectives, will be implemented with appropriate adjustments.

ANNEX 6
Sida/SAREC ACTION PLAN (2002)

1. Issues that should be resolved before Sida disburses further funds to the AAU.

A letter will be written to the AAU in May, 2002 saying that Sida cannot disburse further funding to the AAU before Sida has received and accepted answers/clarifications on issues listed below.

Recommendation by the Ernst & Young	Sida's Action Plan	Responsible at Sida/SAREC	Period
	The AAU will be requested to submit a management response before June 15, 2002.	Head of Division And SAREC's Controller	June 15, 2002
AAU shall also be requested to give an explanation for the late reporting to Sida.	The AAU will be requested to give this explanation in their management response.	Head of Division	May 2002
Sida is strongly recommended to ask for an explanation for the management of the support for the core activities. The AAU shall be advised to make continuous follow-ups during the year without any delays.	The AAU will be asked to submit explanations and also to make a plan for continuous follow-ups.	Head of Division	May 2002
The AAU has to be asked to submit a detailed list covering all expenses under Core Activities together with supporting documents.	The AAU will be requested to submit such a list together with supporting documents.	Head of Division	May 2002
The AAU shall issue Terms of Reference for the external auditors including follow-up on internal audit, adequate management letters shall be issued every year. The ToR shall be submitted to Sida.	The AAU will be requested to submit ToR to Sida before July 31 st . The AAU should agree to this action before further disbursement of funds can be released.	Head of Division Controller	May- July 2002
In the future the external auditors shall be requested to submit detailed management letters that will highlight the control weaknesses and the appropriate recommendations. Such recommendations should be practical in application. The verbatim comments/responses of management should also be filed accordingly.	The AAU will be requested to take this recommendation into account in the new Terms of Reference for the external auditors.	Head of Division	May- July 2002
The AAU shall be asked to submit a specification of and an explanation to the reclassified items on 30/6 2000 as well as 30/6 2001.	The AAU will be requested to submit these specifications and explanations.	Head of Division	May- July 2002
The AAU must explain the mentioned \$ 9,297 item (money lost during the Nairobi conference) and give reasons for the approval routines followed in that matter, the routines followed in this case are not at all acceptable.	The AAU will be requested to submit such clarifications.	Head of Division	May- July 2002
The AAU has to submit a proposal for changes of approval formalities (approval of reclassifications, approval of transactions) preferable with more involvement of project coordinators.	The AAU will be requested to submit such a proposal.	Head of Division	May- July 2002

2. Actions that should be taken before a new agreement can be signed with the AAU

These recommendations will be presented to the AAU for consideration. In connection with the preparation of a new agreement with the AAU, Sida will discuss these issues with the Secretary-General and also the Director of the *Study Programme* at the AAU.

Recommendations by Ernst & Young	Sida's Action Plan	Responsible at Sida/SAREC	Period
The Executive Board meets once a year. Timing of the board meetings are difficult in order to see to that the Board can discuss both the audited financial	This recommendation will be presented to the AAU for consideration.	Responsible research officer	June- Oct 2002

statements and approve the budget. Under the present circumstances June (current month) or even earlier is the best time for the board meetings.			
The finalisation of the vision and Strategic Plan should be "speeded up"	This recommendation should be emphasized in the discussions with the AAU.	Responsible research officer	June-Oct 2002
The members should be asked to pay their subscriptions soonest.	This recommendation should be put forward to the AAU and Sida will request a realistic plan for this issue with account taken to possible retroactive actions as well.	Responsible research officer	June-Oct 2002
The AAU has been neglectful in observing the rules and regulations of the agreement by not asking for reallocations of the originally proposed budget. Sida shall therefore ask for an explanation for the big variances, which now afterwards have been discovered.	Sida will ask for an explanation for these variances. Routines for Sida/SAREC's follow-up of financial and progress reports have been revised in Sida/SAREC's work-manual.	Responsible research officer	June-Oct 2002
In the new agreement it is important that the time limit for submission of audit reports and financial statements shall be much shorter. The auditor suggests submission on Sept 30 or at least not later than October 31. It is also important that Sida follows up the submission of these documents. The auditor also suggests that the financial reports shall be increased with performance and achievements reports	Reporting dates will be discussed with the AAU when elaborating a new agreement. Routines for Sida/SAREC's follow-up of financial and progress report have been revised in Sida/SAREC's work-manual.	Responsible research officer	
The agreement should be more concise.	SAREC is participating in the revision of the template for Sida agreements. The revised templates will be used.	Responsible research officer and program administrator	
The follow-up of the management of each project has to be improved by quarterly follow-up of budget against actual expenditure and proposed targets against achievements. The proposed performance report has to be further developed and then used for that purpose.	The routines for management of each project should be discussed with AAU when planning for a new agreement.	Responsible research officer	June-Oct 2002

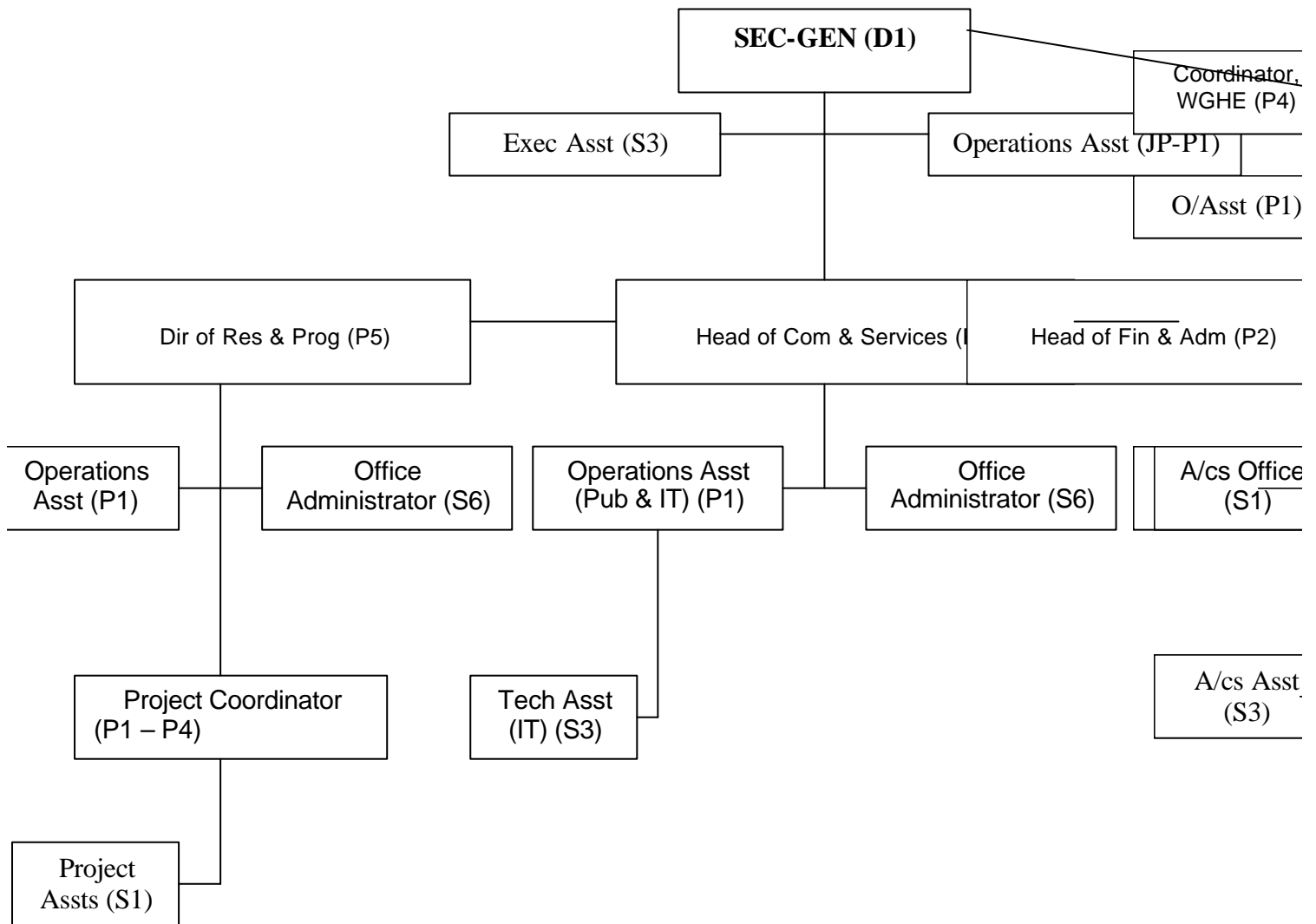
<p>The software must be improved so it can be possible for each program officer to have full access to the accounts for their projects.</p> <p>A management performance system should be developed where the performance of targets in relation to the achievements are measured together with the budgeted and actual expenditures.</p> <p>A performance and achievements report has to be developed to facilitate quarterly follow-up and monitoring of each program.</p> <p>There has to be closer connections between the administration and finance staff and the project coordinators. The project coordinator knows what he/she has planned for and what is supposed to be under each budget-line/expense-line, for proper monitoring and follow-up it is very important that the expense is charged to the expected budget lines.</p> <p>It is also important for AAU to use reports in a results-oriented format for their planning and follow-up of the project. It is essential for AAU to monitor and report (1) progress for results in relation to planned results, and (2) expenditures in relation to budgeted figures.</p> <p>The AAU is recommended to develop an internal control program, so they at least on a yearly or half-yearly basis can carry out follow-ups to ensure themselves that the internal control works according to rules and regulations of AAU. One staff-member shall be appointed for the responsibility, under the Secretary General, for continuous follow-up and reporting obligation to the Secretary General.</p> <p>The internal control is deficient, at present, and therefore needs to be better controlled for example by external auditors. The manual has to be revised. For example reclassifications must be approved by HAF. It is also a must, that a person involved in any transaction, cannot approve the same transactions.</p>	<p>The management routines at AAU have to be improved and Sida can consider supporting these improvement efforts. This should be discussed and agreed upon in connection with the planning of a new agreement.</p>	<p>Responsible research officer</p>	<p>June-Oct 2002</p>
<p>It also has to be considered, if there is a need of communication with Sida in the yearly budget process.</p> <p>It is important that formal Annual consultations are held (1-2 days at the end of each year) to review (1) action points from the previous year's consultation, (2) progress and expenditure for the current year, and (3) proposed AAU-Sida-NEDA plans and budgets for the coming year, concluding such consultations with signed Agreed minutes.</p> <p>It also has to be agreed upon what kind of communications; reports and comments there shall be between AAU and Sida, as AAU claims "Sida never comments on the reports". One way to solve this can be Annual Review meetings with verified minutes.</p>	<p>Annual review meetings with signed Agreed Minutes will be introduced in a new agreement. The timing of review meetings should be agreed upon with the AAU and with NEDA.</p>	<p>Responsible research officer and program administrator</p>	
<p>Get programme priorities straight. Then make sure all key stakeholders understand them.</p>	<p>To be discussed with the AAU.</p>	<p>Responsible research officer.</p>	
<p>Before a new agreement for phase III AAU/Sida/NEDA have to identify all required systems, procedures, contractual documents and guidelines. Then put them in place.</p>	<p>This action will be taken in co-operation with the AAU and NEDA when preparing for a new agreement.</p>	<p>Responsible research officer</p>	
<p>Reports to donors and members:</p>	<p>Reporting routines will be</p>	<p>Responsible</p>	

<p>- shall be submitted in a results oriented format that allows actual progress and expenditures to be compared against planned progress and budgeted expenditure. - include annual and cumulative figures for actual progress and expenditure, and - assessments of achievements and constraints, description of action plans taken/being taken to mitigate constraints.</p>	<p>discussed with the AAU before signing a new agreement.</p>	<p>research officer</p>	
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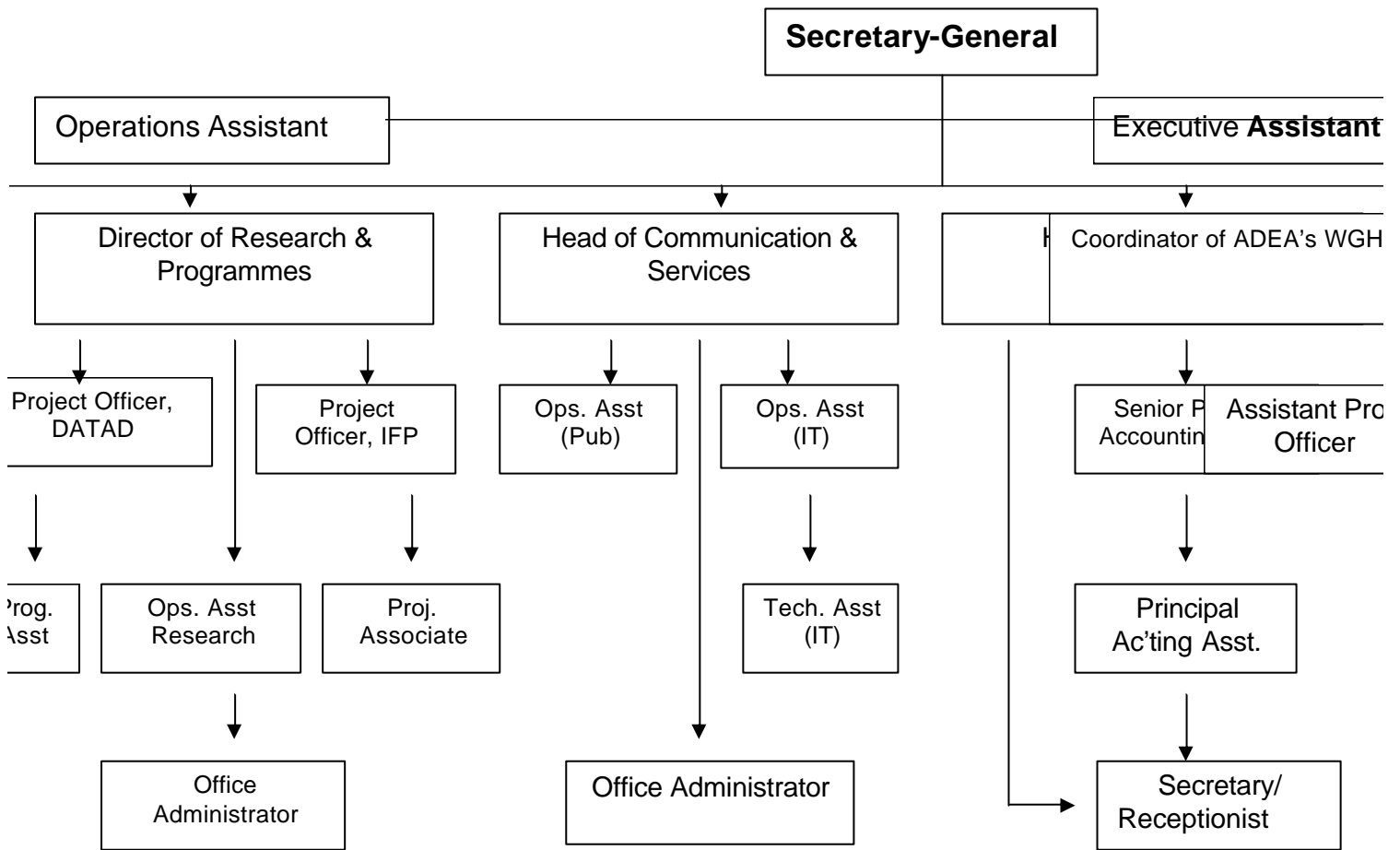
3. Recommendations causing other actions

Recommendations by the auditors	Sida's Action Plan	Responsible	Period
<p>AAU shall soonest present a breakdown of the Opening Balance of \$ 39,825 with amounts allocated to Sida and NEDA respectively</p>	<p>This question will be raised in the discussions with the AAU and NEDA. Sida will suggest a 50-50 division of the opening balance.</p>	<p>Responsible program officer</p>	<p>May 2002</p>
<p>Any major deviations from the original budget shall be agreed upon, in advance, in writing between Sida and AAU as stated in the agreement.</p>	<p>This routine is now emphasized in Sida/SARECs work manual and will be introduced in a new agreement.</p>		<p>Already implemented</p>
<p>Make sure the proposals reflect realistic targets, indicators and budget lines for achievable deliveries of proposed targets, capacity-building and empowerment results that can be measured, and verified as successfully completed. (Note: Once specified, these indicators should not change from year to year, or else there is no consistent basis or post-programme impact evaluation).</p>	<p>Sida recommends the AAU to include a Logical Framework Analysis in the application for continued funding.</p>	<p>Responsible research officer</p>	<p>June-Oct 2002 and follow-up when preparing for a new agreement.</p>
<p>A stronger follow-up from Sida on timely submission of reports including the Auditor's management letters as well as the management's responses and comments.</p>	<p>Improved routines of follow-up of reporting have been introduced in Sida/SAREC's revised work manual.</p>		<p>Already implemented</p>

ANNEX 7
STAFF ESTABLISHMENT
Management & Professional Support
 (Post Restructuring)



ANNEX 7
AAU SECRETARIAT'S ORGANOGRAM
Details of staff positions as a result of Restructuring



ANNEX 8
List of AAU Publications 2001-2004

Year	Books	Research Papers	Occasional Papers	Proceedings/Reports
2001	<ul style="list-style-type: none"> • Towards the Introduction and Application of Information and Communication Technologies in African Universities • Constitution and Bye-Laws (Updated by 10th General Conference) 	<ul style="list-style-type: none"> • Etude sur le suivi des diplomes de l'universite Cheikh Anta Diop de Dakar (UCAD-Senegal) dans le milieu du travail • Knowledge and Skills of B.Com Graduates of the Faculty of Commerce and Management, University of Dar-Es-Salaam in the Job Market • A Comparative Study of Makerere University Graduates of the Faculties of Arts and Sciences • L'Evaluation de la Formation Universitaire: Le point de vue des Diplômés 	<ul style="list-style-type: none"> • Post-Genocide restructuring of Higher Education in Rwanda, an Overview 	<ul style="list-style-type: none"> • Annual Report 1998/99
2002	<ul style="list-style-type: none"> • Guide to Higher Education in Africa (2nd edition) 	<ul style="list-style-type: none"> • Management Styles in Nigerian Universities under Military Rule and the Challenges of Democracy • Perceptions Concerning Academic Workload among South African Academics 		<ul style="list-style-type: none"> • Annual Report 1999/2000 • SUMA VIII Report • 10th General Conference Report • Study Program Policy Consultation Meeting Report
2003		<ul style="list-style-type: none"> • Quality Assurance and Management and Equitable Access: Hard Choices in Phases • The Politics of Participatory Decision Making in Campus Governance 		
2004	<ul style="list-style-type: none"> • Guide to Higher Education in Africa (3rd edition) • HIV/AIDS Toolkit • AAU Strategic Plan 			<ul style="list-style-type: none"> • Annual Report 2000-2002 • Annual Report 2002/03 • WTO/GATS Workshop Proceedings

Source: AAU

ANNEX 9
Staff Exchange Programme for the 2000-2001 Academic Year

NAME OF LECTURER	UNIVERSITY OF ORIGIN	SEX	RECEIVING UNIVERSITY	ACTIVITIES IMPLEMENTED
1. Prof. G. Edward NJOCK	<i>Faculty of Science</i> University of Yaoundé I, Yaoundé, Cameroon	M	Universidade Pedagógica, Maputo, MOZAMBIQUE	Research at Research Centre
2. Dr. Chawanga Joseph COSAM	University of Dar es Salaam, TANZANIA	M	University of Natal, Durban, SOUTH AFRICA	Teaching ORGANIC CHEMISTRY
3. Prof. Dr. Fayza M.A. El ASSAL	Department of Zoology Cairo University, Giza, EGYPT	F	Department of Zoology (Parasitology and Invertebrates) University of Nairobi, Nairobi, KENYA	Teaching ZOOLOGY
4. Prof. Akinyemi ADEKUNLE	University of Botswana Gaborone, BOTSWANA	M	University College of Education Winneba, GHANA	Teaching EDUCATIONAL TECHNOLOGY
5. Prof. S.J. DIMA	<i>University of Namibia</i> Windhoek, NAMIBIA	M	University of Zimbabwe, Harare, ZIMBABWE	External Examiner Department of Agricultural Economics and Extension
6. Ms Lee Anne de la HUNT	University of Cape Town, Rosebank, SOUTH AFRICA	F	University of Dar es Salaam, Dar es Salaam, TANZANIA	Teaching Refugee Law
7. Prof. H. J. ORDENDAAL	<i>Faculty of Medicine</i> University of Stellenbosch SOUTH AFRICA	M	Addis Ababa University Addis Ababa, ETHIOPIA	External Examiner Faculty of Medicine
8. Prof. A.L. TORIOLA	Head, Department of Kinesiology and Physical Education, University of the North, SOUTH AFRICA	M	Bayero University Kano, NIGERIA	Teaching Physical Education
9. Dr. R.N. NDIP	Department of Life Sciences Faculty of Science, University of Buea, BUEA, CAMEROON	M	University of Venda	Teaching Collaborative Research Initiative
10. Madame N'DEYE Fall Anna	Faculté des Lettres et Sciences Humaines, Université Cheikh Anta Diop, Dakar, SENEGAL	F	Géographe Ruraliste Université du Benin Lomé, TOGO	Teaching Poésie et Théâtre
11. Professor Ezra KIRUNDA	Department of Mathematics University of Venda State Northern Province SOUTH AFRICA	M	Nairobi, KENYA	Attend the 2 nd Collaborative Africa- America Graduate Schools Symposium

NAME OF LECTURER	UNIVERSITY OF ORIGIN	SEX	RECEIVING UNIVERSITY	ACTIVITIES IMPLEMENTED
1. Prof. Dr. J. C. PALATA	Université. de Kinshasa	M	University of Pretoria	Research on Reproductive Physiology of the Giant Mole-rat
2. Prof. R.R.T. MAJINDA	University of Botswana, Gaborone, BOTSWANA	M	Jomo Kenyatta University of Agric & Technology, Nairobi, KENYA	Teach 4 th Year Chemistry Class
3. Dr. Ana Olga MMOCUMBI	Universidade Eduardo Mondlane, Maputo, MOZAMBIQUE	F	University of Witswatersrand, SOUTH AFRICA	Teach aspects of her practice in Mozambique
4. Prof. Clifford William ALWOOD	University of Witswatersrand, SOUTH AFRICA	M	University of Malawi, Zomba, MALAWI	Teaching Medicine
5. Dr. Stephen Asante-Poku	University of Ghana, Dental School, Korle-bu, GHANA	M	University of Sierra Leone, Freetown, SIERRA LEONE	Teaching Medicine & Allied Health Sciences
6. Prof. N.N.N. NSOWAH-NUAMAH	University of Ghana, Legon, GHANA	M	University of Addis Ababa, Addis Ababa, ETHIOPIA	Teaching Regression Analysis
1. Prof. Doknan Danjuma Decent SHENI	Faculty of Science, Agric & Health Sciences, University of the North, SOUTH AFRICA	M	Kwame Nkrumah University of Science & Techn, Kumasi, GHANA	External Examiner Bachelor of Optometry
2. Mme Vina Dehoutee BALLGOBIN	Faculty of Social Studies & Humanities University of Mauritius Reduit, MAURITIUS	F	Université d'Antananarivo, MADAGASCAR	Teaching Didactique des Langues
3. Prof. Dr. Mohamed Abd El-fatah Ahmed EL-BARODY	Animal Production Department Faculty of Agriculture Minia University, Minia, EGYPT	M	University of Khartoum, SUDAN	Teach at the Faculty of Sciences
4. Dr. George William Kofi INTSIFUL,	Faculty of Environmental & Development Studies Kwame Nkrumah University of Science & Tech, Kumasi, GHANA	M	National University of Science & Technology ZIMBABWE	Teach at the Fac. of Architecture & Quantity Surveying
5. Dr. Mrs Nomusa DLODO	Applied Sciences/Computer Sciences, National University of Science & Technology ZIMBABWE	F	Kenyatta University, Nairobi, KENYA	Teaching Computer Science
6. Dr. Haruna Mohammed BELLO	Department of Agricultural Economics and Extension, Usmanu Danfodiyo University, NIGERIA	M	National University of Lesotho, LESOTHO	Teaching & Research Agricultural Marketing & Cooperatives and Statistics

NAME OF LECTURER	UNIVERSITY OF ORIGIN	SEX	RECEIVING UNIVERSITY	ACTIVITIES IMPLEMENTED
1. Prof. Ademola ADEGBITE	Obafemi Awolowo University, Ile-Ife, NIGERIA	M	University of the Witwatersrand South Africa	Teaching Research Collaboration
2. Mme GLITHO Isabelle Adolé	Université de Lomé, TOGO	F	Université de Cocody, Abidjan, COTE D'IVOIRE	Graduate Supervision and Teaching
3. Prof. Al. D. MTENJE	University of Malawi, MALAWI	M	University of Cape Town	External Examiner
4. Prof. ODHIAMBO Christopher Joseph	Moi University, KENYA	M	University of Stellenbosch	Teaching & Research Collaboration
5. Ms. Sophia W.F DU PLESSIS	University of Stellenbosch SOUTH AFRICA	F	University of Botswana	Research collaboration
6. Prof. Dr. Nana KIRK	University of the North SOUTH AFRICA	M	Eduardo Mondlane University	Research Collaboration
7. Prof. Dafe OTOBO	University of Lagos Yaba, NIGERIA	M	University of Witwatersrand	Teaching and Research Collaboration
8. Dr Angela AMAYO	University of Nairobi, KENYA	F	University of the Witwatersrand, SOUTH AFRICA	Research Collaboration
9. Mme Ramatou Sidikou Djermakoye SEYNI	Université A.M. Niamey, NIGER	F	Université de Ouagadougou	Teaching
10. Prof. N.R. WOLDEMICHAEL	Addis Ababa Univ., ETHIOPIA	M	University of Dar es Salaam, TANZANIA	External Examiner
11. Prof. J. S. NKOMA	Univ. of Botswana, BOTSWANA	M	University of Dar es Salam, TANZANIA	External Examiner
12. Johan ESTERHUIZEN	Stellenbosch Univ. SOUTH AFRICA	F	Moi University	Teaching
13. Aboluwoye Christopher OLUMUYIWA	Adekunle Ajasin University, NIGERIA	M	University of Cape Coast	Teaching
14. Dr. Sharmila SEETULSINGH-GOORAH	University of Mauritius MAURITIUS	F	University of Cape Town	Research Collaboration
15. Dr. Shadrak MWAKALILA	University of Dar-es- Salaam, TANZANIA	M	Kenyatta University Kenya	Teaching

NAME OF LECTURER	UNIVERSITY OF ORIGIN	SEX	RECEIVING UNIVERSITY	ACTIVITIES IMPLEMENTED
16. Prof. K J B KEREGERO	University of Swaziland, SWAZILAND	M	Univ. of the North, SOUTH AFRICA	Teaching AGRICULTURAL EXT, GENDER & EXT, ADULT EDUC.
17. Prof. Claire PENN	University of Wits SOUTH AFRICA	F	Univ. of Swaziland	Teaching SIGN LANGUAGE & DEAF EDUCATION
18. Dr. (Mrs) Mary Akumah BOTCHEY	University of Cape Coast, GHANA	F	Jomo Kenyatta University	Teaching ENTOMOLOGY, ECOLOGY & BASIC ZOOLOGY
19. Prof. N.N.N. NSOWAH- NUAMAH	University of Ghana, Legon, GHANA	M	Addis Ababa University ETHIOPIA	Teaching MULTIVARIATE METHODS, AND PAPER ADVISING (4 GRADUATE STUDENTS DOING RESEARCH PROJECTS)
20. Ambaliou SANNI	Université Nationale du Bénin	M	Université de Ouagadougou, Ouagadougou, Burkina Faso	Teaching BIOLOGIE MOLÉCULAIRE

STAFF EXCHANGE PROGRAMME
LIST OF SELECTED FELLOWS 2004/2005
DONOR: IDRC

Fellows	Home University	Host University	Activity	Date Of Mission
1. Prof. Washington OLIMAH	Kwame Nkrumah Univ. of Sci. & Tech. Kumasi, GHANA	University of Nairobi KENYA	External Examiner	23-31 May 2005
2. Prof. Lameek MABELYA	University of Dar es Salaam, TANZANIA	Univ. of Ghana Dental School GHANA	External Examiner for Final Year Dental School	
3. Prof. Oluwole Daniel Makinde	University of the North, SOUTH AFRICA	Univ. of Dar es Salaam TANZANIA	Supervision: 4 M.Sc Maths students	B/t January and Jun-05
4. Prof. ADEWALE ROLAND TUNDE SOLARIN	Dept of Mathematical Sciences, Univ of Agric, Abeokuta NIGERIA	University of Dar es Salaam TANZANIA	Supervising 4 M.Sc students at the Department of Mathematics	B/t January and Jun-05
5. Mr. A. Chawanda	Midstate, Univ., ZIMBABWE	Univ. of Pretoria, SOUTH AFRICA	Research: Dept of Physics on <i>Electrical Properties of Semiconductor Materials</i>	4 Feb 4 Mar-05
6. Prof. Ahmed Alhassan	Univ. of Khartoum, SUDAN	October 6 University EGYPT	Visiting Professor	
7. Dr. Benjamin MAPANI	Univ. of Namibia NAMIBIA	Univ. Eduardo Mondlane, MOZAMBIQUE	Teaching Geoinformatics and Geostatistics	2 nd Week Mar-05
8. Dr. F. MAKONI	Univ. of Zimbabwe	Medical Univ. of Southern Africa, SOUTH AFRICA	Visiting Academic Fac. of Dentistry	Feb-05
9. Dr. M. CHASI	National Univ of Lesotho LESOTHO	Univ of Kwazulu-Natal SOUTH AFRICA	Research, School of Maths Sci. Astrophysics & Cosmology Res. Unit	1-31 July

Fellows	Home University	Host University	Activity	Date Of Mission
10. Prof. D.D. KUUPOLE	University of CapeCoast GHANA	Univ. de Ouagadougou BURKINA FASO	Joint Research, Teaching & Theses Supervision	15 Jan - 15 Feb
11. Dr. Philip OWINO	Unit, Kenyatta University Nairobi, KENYA	University of Namibia, NAMIBIA	Teaching & Research on HIV/AIDS	Mid April - 12-May-05
12. Prof. Dominic Adotei EDOH	University of Ghana Legon, GHANA	Ambrose Alli Univ Ekpoma, NIGERIA	External Examiner PhD Thesis	Early Jan-05
13. Monsieur Pierre GUISSOU	Université de Ouagadougou BURKINA FASO	Université de Lomé Lomé, TOGO	Teaching: Pharmacologie Général; Pharmacie Clinique et Pharmacologie Spéciale	14 Feb. - 6-Mar-05
14. Monsieur Abdoullah CISSE	Université Gaston Berger Saint Louis, SENEGAL	Université de Lomé Lomé, TOGO	Teaching Droit des Obligations	Mar-15 Apr 1 05
15. Ms. A. Kharkar	University of Mauritius Reduit, MAURITIUS	University of Swaziland	conduct a workshop on Portfolio Development	17 – 28 June 2005
16. Prof. N. K. NDOSI	Muhimbiri University, Dar es Salaam, TANZANIA	University of Malawi, MALAWI	Teaching Psychiatry	Feb 14 - Mar. 20 2005
17. Prof. Timothy Adebayo BAMIDURO	University of Ibadan Ibadan, NIGERIA	University for Development Studies Tamale, GHANA	Teaching Statistics	
18. Dr. J. MOJEKWU	University of Lagos, Lagos, NIGERIA	University for Development Studies, Tamale, GHANA	Teaching Statistics	
19. Ms Lindah MHLANGA	University Lake Kariba Kariba, Zimbabwe	University of Cape Town SOUTH AFRICA	Research	Mar-05

Fellows	Home University	Host University	Activity	Date Of Mission
20. Prof. Haile-michael ALEMU	National University of Lesotho LESOTHO	Addis Ababa University ETHIOPIA	Teaching and Research	March 1-22, 2005
21. Zaddock EKIMWERE	Makerere University UGANDA	Université Nationale du RWANDA		
22. Paschal Kodjo MAWUGBE	University College of Education Winneba, GHANA	Université de Lomé, Lomé, TOGO	Teaching	
22. Michael Hindzano NGONYO	Jomo Kenyatta Univ Nairobi, KENYA	Université Nationale du RWANDA		
23. Prof. David SIMBI	Univ. of Zimbabwe Harare, ZIMBABWE	University of Cape Town SOUTH AFRICA	Teaching	April/May 2005
24. Mr. Cephas AGBEMENU	Dept of Fine Art Kenyatta University Nairobi, KENYA	Kwame Nkrumah Univ of Sci & Tech, Kumasi, GHANA	External Examiner	Jun-05
25. Dr. J.C. AGUIYI	Univ of Jos Jos, NIGERIA	Kenyatta University Nairobi, KENYA	Research Collaboration	
26. Dr. Aly N. EL-BAHRAWY	Ain Shams University Cairo, EGYPT	Addis Ababa University ETHIOPIA		
27. Dr. Nagla M.A. GASMELSEED	University of Gezira SUDAN	University of Zimbabwe, Harare, ZIMBABWE	Research & Training	1- 15,2005
28. Prof. Michael John RUDOLPH	University of Wits, Johannesburg SOUTH AFRICA	Obafemi Awolowo Univ., Ile-Ife, NIGERIA	Teaching & Research	February/March 2005

Fellows	Home University	Host University	Activity	Date Of Mission
29. Prof. Machia MUNENE	United States Int'l Univ in Africa (USIU-A), Nairobi, KENYA	Obafemi Awolowo Univ., Ile-Ife, NIGERIA	Teaching & Research	March/April 2005
30. Prof. Gert L. STRYDOM	North-West Univ. SOUTH AFRICA	University of Venda for Science & Technology SOUTH AFRICA	Teaching & Supervision of Clinical biokinetic practices	11-29 April, 2005
31. Prof. T.S. GUGUSHE	Medical Univ of Southern Africa, MEDUNSA SOUTH AFRICA	University of Zimbabwe Harare, ZIMBABWE	External Examiner	
32. Dr. Mohammed TALIB	University of Botswana, Gaborone, BOTSWANA	Copperbelt University Kitwe, Zambia	Teaching	

**2004-2005 Academic Year
Funding: DAAD**

Name of Lecturer & University Of Origin	Sex	Receiving University	Arrival Date	Departure	Activities Implemented	Remarks
1. Prof. A. Durojaiye OLOGHOB Faculty of Agric & Forestry, University of Ibadan, NIGERIA	M	Faculty of Science University of Buea, Buea CAMEROON	20 th March	20 th June	Teaching Advances in Animal Biochemistry & Nutrition	DOCUMENTS COMPLETE
2. Prof. Gabriel O. ADEGOKE Faculty of Technology, University of Ibadan, Ibadan, NIGERIA	M	Department of Microbiology, University of Venda, Thohoyandou, SOUTH AFRICA	1 st Feb	31 st March	Teaching Mathematics and Natural Sciences	DOCUMENTS COMPLETE
3. Dr SS du PLESSIS Dept of Medical Physiology, Univ of Stellenbosch, SOUTH AFRICA	F	University of Malawi, College of Medicine Chichiri, Blantyre 3 MALAWI	1 st Feb	23 rd May	Teaching Physiology	DOCUMENTS COMPLETE
4. Prof. Ambaliou SANNI Laboratoire de Biochimie et de Biologie Moléculaire, Faculté des Sciences et Techniques, Université d'Abomey-Calavi, Cotonou, RÉP. DU BÉNIN	M	Réseau Africain de Biotechnologies CRSBAN, Université de Ouagadougou, 03 BP 7131 Ouagadougou, BURKINA FASO	22 janvier	21 février	Teaching Biologie Moléculaire	DOCUMENTS COMPLETE
5. Dr. Mrs Fadekemi O. OGinni Dept of Oral & Maxillo-Facial Surgery, Fac of Dentistry, Col of Health Sci, Obafemi Awolowo Univ. Ile-Ife, NIGERIA	F	Dept of Maxillo-facial & Oral Surgery, University of Pretoria SOUTH AFRICA	27 th May	24 th June	Teaching Oral and Maxillo-Facial Surgery	DOCUMENTS COMPLETE
6. Mr. George W. WILLIAMS Dept of Architecture, Univ of Lagos, Lagos, NIGERIA	M	Fac. of Environmental & Developmental Studies, Kwame Nkrumah Univ. of Science and Tech (KNUST), Kumasi, GHANA	Feb	April	Detailing in Basic Timber Construction, History of Arch, Housing & Urban Renewal	DOCUMENTS COMPLETE