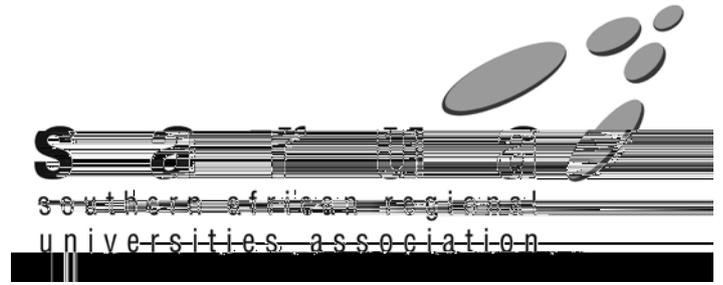




Study Series 2008

Mainstreaming Higher Education in National and Regional Development in Southern Africa

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Mainstreaming Higher Education in National and Regional Development in Southern Africa

A Regional Profile

Study Team

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The Study Team is responsible for the choice and presentation of the data and facts contained in this document and for the opinions expressed therein, these are not necessarily those of SARUA nor the AAU and do not make any commitment for either association.

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FOREWORD

The challenge before Africa is to meet the needs of the continent. The continent of the 21st century is a continent of the future, a continent of the future.

Higher education in the 14 Southern African Development Community (SADC) countries represents a huge field in which no single agency has ever attempted to gather comprehensive data in the way that the Southern African Regional Universities Association (SARUA) has in its various 2008 studies. Nevertheless, selected data has frequently been collected by a number of different agencies for their own specific use. Some of this information has been used in the SARUA studies. It should be noted, however, that anomalies sometimes occur when such data is set against basic SARUA statistics. Even where this has occurred, SARUA researchers have presented exactly what they have found at the different sources.

As part of its commitment to the revitalisation of higher education throughout the continent, in 1998 the Association of African Universities (AAU) awarded a grant to SARUA in response to its proposal to commission a study into the role and place of higher education (HE) within official government development planning across the countries of the SADC region. The goal was to assess the extent of national resourcing for HE, and to outline possible approaches for its members to engage with their national governments in order to advocate for an increased share of resources. The report was especially conscious of the region's high dependence on international assistance, particularly direct budget support from overseas governments and provides a section reviewing the role of donors and their aid modalities.

Higher education on the continent is weak and struggling, and it will require a tremendous amount of intellectual and financial resources, political will

and commitment in order for the majority of African higher education institutions to achieve competitive world standards. SARUA recognised early on that the levels of funding and resources required for the mammoth task of HE revitalisation within the region would have to be at the levels only governments (or government-to-government donors) could provide.

A large amount of the study was based on individual country and regional comparative analysis. This generated a huge amount of data too great to include in this report, but nevertheless very interesting and useful. We have chosen to include individual country data profiles on separate sections on both the AAU and SARUA websites under our publication sections where electronic copies of this report can also be downloaded.

The report provides a useful source of data, but also highlights the gaps in data across the region and the need for improvement not only in national data collection and accuracy, but also cross-departmental and sectoral sharing.

Although there are signs that renewed recognition of the importance of higher education by governments and the international community may lead to greater resource allocations, the study shows that these have not yet translated into significant budget increases at national levels across SADC.

Within the African higher education community, and increasingly with leading development planners and decision-makers internationally, there now appear to be four main areas of consensus concerning the need for tertiary education: i) higher education institutions can play a key role in economic development and growth, ii) higher education produces much needed skilled professionals, iii) higher education plays a critical role in building the knowledge society and technological economy, and iv) higher education underpins the creation of more open, pluralistic, peaceful and democratic societies.

The study team makes a number of recommendations. Most importantly among these, that there is a fundamental need to create a national inclusive vision for higher education in each country. It is important that HE receives increased importance in government budget planning, and it is therefore critical that HE stakeholders understand the complex set of budgetary processes, both at a formal and informal level, so that they can design an effective engagement strategy with government ministries of finance in order to get HE into the mainstream of national planning.

Piyushi Kotecha
Chief Executive Officer
SARUA

If HE is to flourish in Africa and provide contributions to national and regional development, in terms of research and innovation, the Millennium Development Goals (MDGS) and African Union/ New Partnership for Africa's Development (AU/NEPAD) goals, as well as the production of a much needed skilled citizenry, then we have a lot of work ahead. We would welcome your comments and suggestions as a result of reading this report.

Goolam T G Mohamedbhai
Secretary-General
AAU

EXECUTIVE SUMMARY

The focus of the study has been to establish a situational analysis of higher education, national governments, and international aid agencies, in relation to the socio-economic development so sorely needed in the SADC region. If higher education and development efforts are now seen as inextricably interdependent, what is happening to effect the necessary linkages on the ground?

Five fundamental questions have informed the structure of the study.

- Do the 14 SADC countries have national development plans?
- To what extent does higher education feature in these plans?
- How is higher education financed or otherwise supported – by governments, international aid agencies, and other sources?
- What formal and informal linkages exist between state and higher education?
- What role is played by international aid agencies in funding higher education and in linking higher education with development?

The way in which these questions were answered (see *Section One*) was by compiling profiles of the 14 SADC countries. This was done via desktop research, questionnaires, and some country visits. The profiles deal with each country in terms of basic demographic indicators and a brief historical narrative. They then examine the national development initiatives and the state of higher education, both in terms of outputs and financial arrangements.

Data analysed in *Section Three* deals with 11 data sets to emerge by combining the 14 country profiles to achieve a comprehensive regional snapshot. These data sets provide profiles of higher education in the SADC region, SADC higher education in relation to development planning, and SADC higher education financing and donor support. This information is analysed and commented upon in the same section, and is given an important historical perspective.

Section Two, meanwhile, has provided an important historical context for the study as a whole. Here the real story of the deterioration of African higher education is told.

After independence during the early 1960s, most newly established African states saw higher education as a priority element, not least to improve the capabilities of the civil service. Money was therefore spent to broaden the scope of African universities. But this 'golden era' lasted only until the global economic downturn in the late 1970s. From that date, the financial viability and output of the nascent African universities declined. The general deterioration was exacerbated by aid agencies that believed higher education was a low priority in the face of a whole array of dire socio-economic problems afflicting Africa during the 1980s and into the 1990s. By the start of the 21st century, however, a new realisation had taken hold among development experts: effective higher education was now considered to be a powerful developmental tool. But in the SADC region these new perceptions were met by higher education systems suffering from considerable neglect.

In the ongoing debate on African higher education there is at least one universal point of agreement: higher education on the continent is very weak; and it will require a tremendous amount of intellectual and financial resources, political will and commitment in order for the majority of African higher education institutions to achieve competitive world standards. In southern Africa, this objective cannot be met at the current level of resource allocation. Most governments barely cover salaries and student living expenses. Except in isolated instances, there is little or no money for infrastructure development,

equipment, the hiring of internationally recognised staff, and for conducting research of international quality. However, this situation is changing as both international donors (see Section Three) and national governments are increasingly beginning to acknowledge the vital contribution of higher education to national development.

The report emphasises the need for higher education stakeholders to learn another language – the language of national financing and planning. There often appears to be a ‘glass wall’ between the higher education sector and the ministries responsible for national finance and planning. The report indicates a range of actions that could be taken by higher education (and national ministries) in order constructively to position higher education as a critical national (and regional) resource that not only provides a long-term boost to national development, but also encourages and supports the revitalisation of higher education itself (see Section Four and Appendix One in particular).

The range of actions mentioned above is expressed in Section Five: Conclusions and Perspectives, which presents a list of essential needs that must be met if a more organic relationship between higher education and national development is to be achieved.

These are:

- The need to **create a national vision for higher education.**
- The need to **get higher education into the national planning processes**, thus ensuring that the utility and concerns of higher education are factored into government thinking.
- The need for **higher education to receive appropriate consideration in budget planning.**
- The need to **establish a high-level higher education policy forum** that can advise government on the size, shape and funding of higher education and that can effectively engage in national dialogue and development planning.
- The need to **investigate targeted incentives and schemes**



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SARUA is a not-for-profit leadership association of the heads of the public universities in the 14 countries of the SADC region. Its mission is to promote, strengthen and increase higher education, research and innovation through expanded inter-institutional collaboration and capacity-building initiatives throughout the region. It promotes universities as major contributors towards building knowledge economies, national and regional socio-economic and cultural development, and for the eradication of poverty.

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The authors are responsible for the choice and the presentation of the facts and data contained in this document and for the opinions expressed therein, which are not necessarily those of SARUA and do not make any commitment for the association.

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The study is indebted to the invaluable contributions and participation of numerous government departments and personnel across the Southern African Development Community (SADC) region, the collaboration of SARUA member institutions, a variety of individual researchers, and a range of specialists within the region and further afield internationally. Particular thanks are due to Professor David Bloom for his enthusiasm and support to the team and for the project, and to the members of the Review Group for their excellent guidance and suggestions, and to Caryl Pierre for research assistance.

Collecting primary data for this study has been more difficult than was originally anticipated, and the study team have had to travel to a number of countries in order to obtain data directly. It has been a challenge to ensure the quality of data and the comparability of the data sets across 14 countries. Much work still needs to be done within the region in order to ensure the availability and reliability of data for higher education. This study is one step along this path.

ACRONYMS AND ABBREVIATIONS

AAU	Association of African Universities	NEW	University of the Witwatersrand, University Eduardo Mondlane, Mozambique, and the University of Namibia
ACP	Afro-Caribbean-Pacific (the group of African, Caribbean and Pacific countries who are signatories of the Lomé Convention and Cotonou Agreement)	NIP	National Indicative Plan
ADB	African Development Bank	NORAD	Norwegian Agency for Development Co-operation
AVU	African Virtual University	NUFFIC	Netherlands Organisation for International Co-operation in Higher Education
CFA	The UK's Commission for Africa	OBSA	Outward Bound South Africa
CHET	Council for Higher Education and Training	ODA	Official Development Assistance
COET	College of Engineering and Technology	ECD –DAC	Organisation for Economic Co-operation and Development
DAAD	GTZ/German Academic Exchange Service	PFM	Public Finance Management
DELPHE	Development Partnership in Higher Education	PHEA	The Partnership for Higher Education in Africa
DFID	Department for International Development	PRGF	Poverty Reduction Growth Facility
DBS	Direct budget support	PRSP	Poverty Reduction Strategy Paper
DPLS	Development Policy Lendings	SADC	Southern African Development Community
DRC	Democratic Republic of Congo	SANTED	The South Africa – Norway Tertiary Education Development programme
EC	European Commission	SAREC	Swiss Department for Research Co-operation
EDF	European Development Fund	SARUA	Southern African Regional Universities Association
EFA	Education For All	SASVO	Pretoria University Southern African Student Volunteers Organisation
EMIS	Education Management Information Systems	SDC	Swedish Agency for Development and Co-operation
EU	European Union	SIDA	Swedish International Development Agency
GDP	Gross Domestic Product	SRC	Student Representative Council
GMR	Global Monitoring Report	SWAP	Sector Wide Approach
GER	gross enrolment ratio	TVET	Technical and Vocational Education and Training
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit	UK	United Kingdom
HE	higher education	USAID	United States Agency for International Development
HEIS	higher education institutions	UNDP	United Nations Development Fund
HESA	Higher Education South Africa	UIS	UNESCO's Institute for Statistics
HIPC	Heavily Indebted Poor Countries	UNESCO	United Nations Educational, Scientific and Cultural Organisation
HIV/AIDS	Human Immunodeficiency Virus/Aquired Immunodeficiency Syndrome	UNICEF	United Nations Children's Fund
ICT	Information and Communication Technology	USA	United States of America
IMF	International Monetary Fund	WBI	World Bank Institute
ISI	Institute for Scientific Information (Thomson Scientific)	ZAWECA	University of Zambia and University of Western Cape
MDGS	Millennium Development Goals		
MRCI	Mobilisation of Regional Capacity Initiative		
MTEFS	Medium Term Expenditure Frameworks		
NDP	National Development Plan		
NEPAD	New Partnership for Africa's Development		

MAIN REPORT

1.1 Mobilisation of Regional Capacity Initiative (MRCI):

The Mobilisation of Regional Capacity Initiative (MRCI), headed by the African Union (AAU), a Change Agent for the Region, is a flagship initiative of the AAU to address the needs of African countries, particularly in the field of higher education. The AAU, through the African Higher Education Commission (AHEC), is leading the initiative to strengthen African higher education (HE) institutions to act as catalysts for poverty eradication and sustainable development. It is in this context and spirit that the current study was undertaken for the 14 countries that make up SADC.

In particular, this investigation establishes a regional profile of how HE features in the national planning of SADC countries in so far as these countries have developed National Indicative Plans (NIPs) and Poverty Reduction Strategy Papers (PRSPs). Where no plans exist, reviews were conducted of their Medium Term Expenditure Frameworks (MTEFs).

At the same time, a case is constructed and presented for the value of HE for national and regional development, specifically as to how this relates to the Millennium Development Goals (MDGs) and national, regional and international development targets. This aspect of the study is based on published works and a variety of respected data (e.g. United Nations Development Fund [UNDP], United Nations Educational, Scientific and Cultural Organisation [UNESCO], and World Bank Institute [WBI]).

1.2 Usefulness

This study provides national governments, the higher education community and a range of key stakeholders in the southern Africa region with data and analysis that it is hoped will contribute to the development of policies and practices that facilitate the pivotal role of higher education in national and regional development. International development authorities (UNEP/WHO/UNESCO/World Bank) will also find the study useful.

five specific areas that, taken together, describe the details of the foundations that exist and that need to be strengthened to build stronger interdependency between development in the region and the region's higher education institutions.

The five specific areas examined by this research are described by the following questions:

- Do the 14 SADC countries have national development plans?
- To what extent does higher education feature in these plans?
- How is higher education financed or otherwise supported – by governments, international aid agencies, and other sources?
- What formal and informal linkages exist between state and higher education?
- What role is played by international aid agencies in funding higher education and in linking higher education with development?

To the extent that this has been possible, data has been collected in such formats that have made it possible to make country-to-country comparisons between the 14 SADC countries, as well as to present an overall regional picture.

The research exercise is based on an argument that the revitalisation of higher education in the southern Africa region will require substantial public fiscal support, and that in most cases this will require government funding for higher education institutions to increase significantly.

While higher education institutions are certain of their importance in society, as will be seen throughout the data in this report, national departments of finance and planning, and even education, are far from convinced. To create a convincing argument regarding the interdependent relationship between higher education and development may contribute to a reversal of such perceptions.

The study recognises, however, that increased funding alone is not a solution for the challenges, needs, and responsibilities of the SADC universities in the 21st century. Such issues as quality control, the brain drain, and the alignment of primary and secondary education outputs to tertiary intake demands, need also to be considered. In addition, different understandings in individual countries of the purposes and goals of higher education, and the relationship between development planning and the funding of higher education, need to be addressed. SARUA is engaged in a number of other major studies of its constituency of 66 public universities across SADC. In so doing, the association is in the process of building a comprehensive picture of the status, challenges and opportunities for higher education in the region. This study speaks to national government development objectives, budget planning and expenditures, and the place and importance of higher education in these.

1.4 Methodology

1.4.1 Fundamentals

This study is primarily a desk-based review addressing the key questions listed above. The principal techniques used in the review included:

- A review of recent -13(e)-13(w)-13()-13(o)-13(f)-13()-13(r)73.2



A range of strategies was utilised to collect the data. The initial intention of the study was to collect data using a 'desk-top' approach and letters were sent to the major stakeholders requesting primary data. At the same time data was collected from a range of resource organisations through the Internet. When it was realised that this approach would not elicit sufficient original data, a more active approach was embarked on – collecting data from country visits. The focus of the study was on the 2005-2008 period and much of the published data on websites and reports do not include the latest country information. Eight out of fourteen countries were visited, as it was not feasible to visit all countries. These countries were chosen mostly as a convenience sample as reliable contacts had been established with the ministries of finance. Data from these countries was provided directly by government ministry officials and can be regarded as authentic government documentation. The various tables in the report indicate whether the financial data is actual or projected. It should be noted that projected budget figures are not always realised. Although World Bank Country Reports and other international resource organisations provide a rich data source; these reports were regarded as secondary data and only used when original data was not available. But many of these studies only utilised data prior to the study period.

Furthermore, it was decided to construct more comprehensive case studies for countries that provide strong examples falling within the categories of very poor countries; upper middle-income countries; and post-conflict countries. The following countries were chosen:

- **Madagascar** provides an example of a low-income country
- **Angola** represents a post-conflict country, with an emphasis on the post-war recovery plans
- **Mauritius** is an example of a middle-income country

1.4.2 Limitations and Challenges

While the study sought to offer a comprehensive

review of the position of higher education in developmental policy and planning across the 14 SADC countries, it was not always possible to obtain all the necessary documents from all the countries, as can be seen from the country case studies.

In addition, documents relating to higher education financing, budgeting and expenditure were difficult to source. This is a more general problem as, for instance, UNESCO's Institute for Statistics (UIS) has similar problems, and SARUA researchers engaged in other regional studies have also had difficulties obtaining primary data. In particular, it was difficult to obtain a detailed breakdown of the financing of higher education among bilateral agencies. There may be a number of reasons for this, including the frequent inability of ministries to provide a full set of financing data, or a reluctance to place this in the public domain. Moreover, bilateral development agencies do not often provide full and complete financial commitment and disbursements information to the Organisation for Economic Co-operation and Development (OECD – DAC).

In this regard, the data is not evenly spread across all countries with some countries having substantially more data. Specifically, the countries that provided the least amount of data were Botswana, Zimbabwe and the Democratic Republic of Congo (DRC).

The most significant challenge in conducting this study has been maintaining the balance between the breadth and depth of information. The data included in each country's case study only represents possibly 30 percent of the raw data collected for that country. In all sections of this report, the data included is only the data that speaks specifically to policy and financing of higher education. Due to the global reporting mechanisms for EFA, data on general education is easily available, either from UNESCO or country Education Statistic Bulletins.

The researchers chose only general education data where it showed a trend in terms of understanding higher education. One cannot look at higher education enrolment rates without knowing what the picture of general education is. As the enrolment rate in higher education in SADC countries is low at an average of about 10 percent, it is important to understand transition rates from basic education upwards, to understand the leakage of learners in the system and where bottlenecks exist.

1.4.3 Accuracy of Data

All attempts have been made to ensure that the data is the most current available. All attempts were also made to utilise primary data from government sources. Secondary data such as research papers, donor agency reports and World Bank analyses were only used where primary data was not available, or to

assist in strengthening a particular observation. Most financial data is sourced from documents provided by ministries of finance working documents. In some cases it is a formal published budget, in other cases a spreadsheet used by a ministry of finance for making budget allocations. The budget data is a combination of available actual expenditure and budget estimates. It is suggested that a future study by SARUA could track budget versus actual expenditure to show how actual allocations can vary from initial budgeted amounts. Notwithstanding these limitations, the study provides a fairly comprehensive overview of the higher education financing and policy environment in the 14 SADC countries. Key challenges are identified as well as prospects for the revitalisation of the sector.

SECTION TWO

This section examines the context in which much of African higher education has taken place and in which it is currently struggling to survive. It assesses the impact of the 'brain drain', and deals with post-colonial trends and the more recent re-evaluation of the developmental role of universities. Finally the attitudes of international development aid agencies are examined in the light of these developments.

2.1 Historical Perspective

At the outset of independence from colonial rule, most newly established African states included higher education as a priority area in their development strategies. The new political leaders recognised the importance of tertiary education to nation building, and saw higher education institutions as essential for economic development, tackling poverty and closing the 'gap' with the developed world. At the UNESCO conference on the *Development of Higher Education in Africa* held in Madagascar in 1962, setting up good universities was recognised as a priority for emerging independent African states. While the previous colonial universities and colleges focused narrowly on teacher training and agricultural programmes, a major task of the newly constituted institutions was to produce graduates to staff newly formed government administrations.² This initial flurry of commitment and optimism has been called the golden era of African universities.

During this period many African universities were set up as affiliates of European institutions and utilised international faculty, curricula and exams. Resources were available to employ high-level faculty members and teaching staff. For most African countries this golden era extended from the mid-1960s to the early 1970s. In Zimbabwe a similar pattern was followed in the 1980s. In the 1990s South Africa, the last country in the region to gain political independence, inherited a higher education infrastructure in which a few institutions provided good quality education for the white minority and some sections of the urban elite, while most universities attended by the majority

black population were under-resourced and provided a lower quality of education.

The golden era in higher education lasted in most African countries until the world economy took a dramatic downturn in the late 1970s. This had a dire effect on these nascent African higher education systems, as both government and donors began cutting off or re-directing funds to what were perceived as more immediate and pressing social and economic development programmes (and not least due to the aggressive proed aolitces a

spread famine also took their toll. In addition, many countries were subject to poor advice from foreign donors and technical agencies as to how to structure and manage their economies and education systems. The United Kingdom's *Commission for Africa Report* offers a useful situational analysis of Africa's university sector at the turn of the century. The report describes conditions in African higher education as characterised by: a lack of physical infrastructure, especially libraries and laboratories; little or no Internet access; insufficient textbooks⁴; insufficient lecturers and faculty personnel; and insufficient management and administration capacity.

The problems of African higher education have been exacerbated by the high HIV/Aids infection rate across southern Africa, which has contributed directly to the loss of human life and a reduction in productivity among academics, university staff and students. This has also contributed to the need to divert scarce resources away from higher education towards increased spending on health care and death benefits.⁵

2.2 Higher Education Re-evaluated

Throughout the 1970s and 1980s, most African governments and development aid agencies viewed investment in basic education in primary and secondary schools as the key development priority. In this context higher education was seen as a 'luxury'. The World Bank was a major advocate of this argument, basing much of its analysis on the now discredited 'rates of return' analysis, but the 1990s signalled a significant shift in thinking. The value of higher education to national development began to be better recognised.

A major report by the World Bank and the UNESCO task force⁶ found that many national governments and international donors had, in the past, seen higher education as a low priority. This, they state, was based on 'misleading economic analysis' that has 'contributed to the view that public investment in universities and colleges brings meagre returns

compared to investment in primary and secondary schools and in addition higher education magnifies inequality'.⁷ Such a statement in a World Bank report is significant since it was the World Bank itself that publicised the 'misleading economic analysis' which influenced governments and donor agencies to limit their investment in higher education in the 1980s, and entrenched a mind-set among donors and government officials that primary education should be the only educational priority.

The *Commission for Africa Report*⁸ advocates a balanced approach to investing in all education sectors. It recommends that to achieve 'strong and sustained human development' free basic education should be provided for all, and that secondary and higher education, vocational training, adult learning and teacher training should receive 'appropriate emphasis'. The report recommends that education initiatives be integrated and sequenced because education for all at a primary level leads to increased demand at secondary level, which in turn leads to an increase in demand at tertiary level. The report states that higher education is the 'breeding ground for the skilled individuals the continent needs', as well as a mechanism for improving 'the accountability of government and the building of citizenship'.

2.3 The Four Contentions

Today, thanks to the shifts in thinking described above, it is more widely acknowledged that an investment in higher education is also an investment in national development. From this acknowledgement four main contentions emerge regarding the contribution of higher education to development.

- **The first contention is that higher education institutions play a key role in economic development and growth.**

In a study conducted by Higher Education South Africa (HESA 2007) on 23 South African universities, and using data spanning 1964-2007, it was shown

⁴ *AECD Task Force Report on Higher Education in Africa*, 2003, p. 160.

⁵ *World Bank*, 2003, p. 1.

⁶ *Higher Education Development in Africa: Policy and Practice*, World Bank, 2000.

⁷ *Ibid*.

⁸ *UK Government. 2005. Commission for Africa*, p. 160.

that higher education leads to higher productivity which in turn results in improved economic output.⁹ Higher education also results in individual enrichment and increased lifetime earnings, which raise the level of household consumption and has a direct impact on increasing national Gross Domestic Product (GDP). Higher education also provides the skills that an economy needs to minimise the net economic loss of either importing skilled labour or delaying social and infrastructural development.

A World Bank study in Latin America found that workers with six years of schooling earned 50 percent more than those with no schooling; and that workers with 12 years of schooling earned an additional 12 percent; and workers with 17 years of schooling earned 200 percent more¹⁰. Other examples of similar research such as data from a Taiwanese study¹¹ show that a 1 percent rise in higher education levels led to a 0,35 percent rise in industrial output, and that a 1 percent increase in engineering and natural sciences levels led to 0,15 percent increase in agricultural output. Data from a study on the USA¹² shows that workers in states where the proportion of college graduates is high earn more than workers in states where the proportion is low.

Higher education also plays an important role in stimulating local economic development. Whether universities are located in urban centres or rural environments, they create local academic and non-academic employment opportunities, contribute to the local economy through the purchase of goods and services, and contribute to local governance by paying local rates and taxes. A HESA study of South Africa suggests that for every 100 jobs created within higher education institutions, a further 89 jobs are created in the local economy. An example is the Western Cape region where in 2005 its four universities collectively contributed R4.4-billion (approximately US\$550-million) to the local economy. This represented approximately 25 percent of the total budget of the government of the Western Cape in 2004. In addition, the four universities collectively

employed 14 000 staff members; 85 000 students required transport and accommodation; and approximately 20 000 postgraduate students contributed to the economy through their research and projects.¹³

- **The second contention is that higher education underpins the creation of more open, pluralistic and democratic societies.**

Traditionally, the higher education campus has provided a venue for debate around systems of government and a platform for challenging weaknesses in the existing political system, although the latter is not always accepted by governments of the day and sometimes leads to actions such as the extended closure of state-run universities.

Higher education institutions can play an important role in developing governance and leadership capacity through short courses, certificate programmes, seminars and workshops. They can also make a valuable contribution to national development through designing and offering short courses targeted at particular management, leadership and governance needs in the public and private sector. In addition, university-based research institutes can offer crucial data and analysis to support the public policy-making process. For example, in some Nordic countries each parliamentary committee has an institutional relationship with a university-based institution that provides it with research, data and analysis to enhance eteddeersitdsti

skills¹⁴ to absorb new knowledge, to participate effectively in democratic processes, and to seriously engage with the most intractable problems of society.

- **The third contention is that higher education plays a key role in producing appropriately skilled professionals.**

This contention pays attention to, for example, the provision of well-trained teachers and health professionals required for the national education and health systems. In the case of teachers, higher education takes a leading role in directing and supporting the education system by developing human resource capacity to teach and administer the primary, secondary and tertiary levels of the system. Without well-trained and administered teachers, primary education for all will not be achieved.

A similar situation exists for the training of health care professionals, particularly those who provide primary care in rural areas where currently many southern African countries depend on foreign non-governmental organisations (NGOs) to supply doctors and other medical personnel.

- **The fourth contention is that higher education plays a key role in building the knowledge society and technological economy.**

It is increasingly appreciated that higher education plays a vital role in enabling societies to catch up and keep in touch with technological advancement. Those countries that can secure ready access to new knowledge will have a competitive advantage over those countries that cannot. It has been suggested that 'knowledge capacities of higher education institutions, supported by an enabling policy environment and constructive inter-sectoral partnerships can enable countries in southern Africa to stay on, or to reach, the competitive side of the digital divide'.¹⁵ According to Bloom, sub-Saharan

Africa's current general production level is about 23 percent below its production possibility, and he argues that an increase in the stock of tertiary education by one year could maximise the rate of technological catch-up. This is demonstrated by India's leap onto the world economic stage after decades of successful efforts to provide high quality, technically orientated tertiary education to a significant number of citizens (Bloom 2005).

A report by the South African Council for Higher Education (2004) notes that 'a large proportion of knowledge production, dissemination and application is based in higher education and can be leveraged to address local societal and economic development needs, directly and in partnership with government, industry and communities'. Moreover, changes in the form of economic activity, including the move towards a more service-based economy and innovation-led growth, rests on higher education institutions generating the necessary stock of human capital capable of creating new knowledge (Romer, 1990; Lucas, 1997). As a country's knowledge capital grows, its economy can shift to processing its own raw materials, and creating and providing its own services.

Research plays an important role in knowledge creation, and universities are a logical home for local research institutes. By housing research institutes at universities, both the university and the institute benefit.

The university benefits in several ways: through attracting skilled staff and research grants, and by ensuring that both undergraduate and postgraduate programmes are aligned to innovation and new ideas. In addition, research grants can subsidise faculty costs and allow for the purchase of necessary equipment, while research that benefits the private sector can stimulate private investment in the institute. The publication of quality research in accredited

¹⁴CHE, 2004, . 14

¹⁵C f H g h e E d c a (CHE) S t h A f c a, 2004



journals also enhances the local and international reputation of a university.

For the research institute, a university can provide a sustainable base to house its research, and it can offer administrative support as well as provide a pool of postgraduate researchers.

2.4 The Brain Drain

A seriously negative aspect of the earlier attitudes concerning higher education in Africa was the issue of the so-called 'brain drain'. The problem of African academics and professionals leaving the continent in search of greener pastures elsewhere continues into the present. It is estimated that since 1990, for example, Africa has lost approximately 20 000 professionals annually and that today over 300 000 African professionals currently reside outside the continent.¹⁶

One researcher points out that as Africa loses its professionals it is forced to procure technical assistance from abroad at a huge cost: 'In light of a dwindling professional sector, African institutions are increasingly dependent on foreign expertise. To fill the human resource gap created by brain drain, Africa employs up to 150 000 expatriate professionals at a cost of US\$4-billion a year.'¹⁷

The UK's Commission for Africa (CFA) highlights the need to revitalise African higher education institutions in order to stall the migration of Africa's professionals: 'Africa needs higher education and

research institutes that attract students, researchers and teachers to study and work in Africa – at present there are more African scientists and engineers working in the United States of America (USA) than in Africa. A long-term programme of investment is needed, both to revitalise African universities and to support the development of centres of excellence in science, engineering and technology.'¹⁸

It is suggested that the main factors influencing the brain drain are 'pull' factors such as better salaries and working conditions and the opportunity to work at pre-eminent institutions.¹⁹ Altbach argues that, in order to counter this, Africa needs to create a situation similar to Taiwan and South Korea where migrants were enticed back with the building of technology parks and centres of excellence.²⁰ While Altbach proposes the renewal of links between academics who migrate and those at home, he recognises that developing countries remain at a disadvantage in the global academic labour market.²¹

The continuing brain drain must be of primary concern to SADC higher education institutions and governments alike. As attitudes to higher education have changed, and particularly as the linkages between higher education and socio-economic development have been recognised, so the brain drain has continued apace. Only considerable investments into the higher education sector, to improve amenities and research resources, will help to stem what has become a flood.

¹⁶Itete, a Oga, a f l g a

¹⁷Tebe e, 2005

¹⁸CFA, 2005, . 34

¹⁹At bach, 2004, .14

²⁰At bach, 2004, .14

²¹Ib d, .15

SECTION THREE

The Role of International Donors

Before more closely examining the relationship between country-specific higher education in the SADC region and the state of each country's development plans, it is necessary to pay some attention to the third key player in the struggle for development: the international donor agencies.

The attitudes of these agencies have generally changed with the times; and, as the data collected for this overview will show, funding is now being made available for African higher education. The reasons given for this change of heart accord closely with the four main contentions made regarding the potential contribution of higher education to development. Although these have been dealt with in some detail in *Set T*, it is worth summarising the main rationales currently informing the funding activities of international donors.

3.1 Donor Agency Funding Rationales

One of the principal justifications made for investing in higher education is that it is a significant contributor to economic growth. Many development agencies specifically include higher education as part of their plans to promote economic growth in sub-Saharan Africa because they believe that 'knowledge accumulation and application have become major factors in economic development and are increasingly at the core of a country's competitive advantage in the global economy.'²² Between 1990-2007, the World Bank lent over US\$6.93-billion for 314 education projects with tertiary education components in 104 countries. In the ten years from 1996-2007, World Bank lending for tertiary education averaged US\$323-million per year.²³ From 1996-2007, 13 percent of World Bank lending to tertiary education was to Africa.

The majority of bilateral agencies explicitly link support for higher education to poverty reduction. Many agencies support the idea that higher education builds human capacity so that developing country populations can take advantage of employment and technological opportunities. The link between poverty and education has been clearly

established: education is essential to break the cycle of poverty that passes down through the generations. It reduces the vulnerability of people, fosters their participation in decision-making and contributes to the dissemination of innovative behaviour.

Some development agencies regard support for higher education as essential to fostering good governance and democratic citizenship. UNESCO's mission statement asserts that it promotes higher education 'as a key factor for cultural, economic and political development, as an endogenous capacity-builder, as a promoter of human rights, sustainable development, democracy, peace and justice'.²⁴ Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) argues that 'higher education will become the "basic education" of a globalised world. It will lay the foundation for the democratisation and social progress of society'. The World Bank asserts that 'tertiary education facilitates nation building by promoting greater social cohesion, trust in social institutions, democratic participation and open debate, and appreciation of diversity in gender, ethnicity, religion, and social class'.²⁵

Many development agencies note that achieving Education For All (EFA) and Millennium Development Goals (MDGs) would require investment in tertiary education. United Nations Children's Fund (UNICEF) focuses on the need to support students' rights beyond basic education, highlighting the need for further schooling as part of EFA. Therefore, (UNICEF) supports higher education initiatives implemented by UNESCO. UNESCO states that 'underlying all actions is the growing recognition of the role played by effective higher education systems in supporting progress towards EFA goals'.²⁶ Main features of this argument include the need for trained educational and health professionals. DFID states that 'meeting the MDGs requires many more teachers to be trained. Without good post-primary education, and subsequent teacher training, the quality of teachers in primary

²²World Bank, 2002

²³Ibid

²⁴ g

²⁵World Bank, 2002, g

²⁶ g



education falls.²⁷ DFID adds that 'without sufficient trained personnel, governments are unable to deliver on development goals'.²⁸

There is a widespread realisation among development agencies that healthy universities will be essential to the promotion of science and technology. The Paris Declaration for Aid Effectiveness called for an agreement by the international community to assist the developing world in revitalising its science and technology in order to facilitate technological catch-up. The UK's Commission For Africa (CFA) seconded this call by stating that investment in science skills was essential to addressing Africa's development problems.²⁹ The CFA has also advocated long-term support to Africa's science, engineering and technology capability.³⁰ Most development agencies heeded these calls and have included statements on science and technology in their individual education policies.

The need for information and communication technology (ICT) in SADC universities is another area in direct need of support. A World Bank study has confirmed that developing country higher education institutions are grossly under-resourced in information technology.³¹ In response, and as part of their focus on science and technology, development agencies have also committed to improvements in ICT in Africa. The general consensus is that not only are developing countries suffering a widening knowledge gap with the North, but also the lack of sufficient ICT capacity further hinders their attempts to bridge the 'digital divide'. New Partnership for Africa's Development (NEPAD) states that 'in order to access information in the knowledge society, be globally competitive and efficiently manage universities, it is imperative that adequate information technology systems be in place'.³²

3.2 Aid Modalities

Much criticism has been levelled at development

agencies for providing largely unco-ordinated aid to higher education.³³ The Dakar Forum, the G8 Africa Action Plan (2002) and the CFA have stressed the importance of sector-wide approaches in donor support to education. However, the Global Monitoring Report (GMR) notes that donor behaviour has not changed sufficiently and that most donors continue to implement individual policies.³⁴

Direct budget support (DBS) is considered the most efficient method of providing aid to education. The CFA asserts that 'DBS supports directly the government's development priorities, and keeps transaction costs at a minimum'.³⁵ However, it adds that DBS 'only works where the budget system is open and transparent'.³⁶ In the absence of conditions conducive to DBS, the CFA suggests that 'programme support (i.e. giving financial and technical support to a particular sector) may be a more appropriate option. Where the overall environment is less conducive to either of these forms of assistance, support for specific projects may be more appropriate'.³⁷

Most bilateral donors such as Sweden, the Netherlands and the United Kingdom (UK) are increasingly providing support to sector-wide plans. The UK, for example, has pledged £8.4-billion in support to education over the next ten years, and has announced intentions to work with the international community and partner governments to implement a whole-sector approach which would include secondary, tertiary and vocational education and skills.³⁸

The following figure shows the amount of Netherlands aid to education from 2004 to 2006, broken down by aid modality.³⁹ The figures give an indication of a general trend among international donors.

²⁷DFID, 2005, .3

²⁸Ib d, .7

²⁹CFA 34

³⁰Ib d

³¹Ib d

³²NEPAD, 2001, .9

³³CFA, 2005; GMR; R bet , 2005

³⁴GMR .141

³⁵CFA, 2005 .312

³⁶CFA Ib d

³⁷CFA, 2005, .312-313

³⁸DFID, 2006, .4

³⁹M t f F e g Affa ft he Næ he a d 2007b .20

FIGURE ONE: The Netherlands Aid to Education by Modality (EUR million)

Education	2004	2005	2006
Project financing	57.6	57.6	86.1
Sectoral financing	57.2	77.0	97.5
General budget support and debt relief	13.2	33.8	27.5
Total	128.0	168.4	211.1

Traditionally, aid has been channelled through projects. In the case of Germany, Japan and the

4.1 Introduction

A reminder is necessary. The purpose of this study is to provide an overview of state and donor funding to SADC higher education and the relationship of this funding to development. In order to achieve this overview, data has been drawn from five specific areas that are best defined by the following questions:

- Do the 14 SADC countries have national development plans?
- To what extent does higher education feature in these plans?
- How is higher education financed or otherwise supported?
- What linkages exist between state and higher education in terms of higher education funding and co-operation in the developmental sphere?
- What role is played by international donor agencies?

With the exception of the fifth question that relates to donor agencies, all the data collected is available in the Country Profiles which can be found on the SARUA website. The Country Profiles are uniform in presentation, comprising the following:

- **Country context**, which include basic demographic and development indicators, and a brief historical narrative.
- **Planning context**, which lists development policies like poverty alleviation, reconstruction plans, national development plans, etc.
- **Education context**, which provides details of the education system structure, enrolment figures at the various levels, teacher /learner ratios and contact time, and with a special sub-section on higher education, the number of institutions, disciplines taught, enrolments, governance and research.
- **Financial context**, which deals with institutional budgets, state allocations to education and details of the education sector budget.

So far as has been possible, data was collected in such formats that have made it possible to create country-to-country comparisons between the 14

SADC 7-13(e)-13(t)-13(a)-13(i)-13(l)-13(s)]TJ(7-13(eha)8(v)(een t1)9)-25(y c)6(o213(t)-7(o)-13wl)-13(o)-13(p)-111y co213(t)-7(o)-1

TABLE 1: Profile of higher education in the 14 SADC countries
(Numbers of Institutions and Enrolment)

Country	Number of institutions		Total students enrolled in Tertiary ⁴²		Total students enrolled in Tertiary ⁴²	
	Public	Private	School year ending in		School year ending in	
			1999	2005	1999	2005
Angola	1	4	8 000	13 000 ⁴³	0.6	0.8
Botswana	1 (2nd to open in 2009)	N/A	5 500	11 000	3	5
DRC	3 (plans for 5 by 2015)	N/A	60 000		1	
Lesotho	1	N/A	4 000	8 000	2	3
Madagascar	6	50	31 000	45 000	2	3
Malawi	1	N/A	3 200	5 000 ⁴⁴	0.3	0.4
Mauritius	2	93	7 600	17 000	7	17
Mozambique	2	11	10 000	28 000	0.6	1
Namibia	1	N/A		12 000		6
South Africa	25	80	633 000	735 000	14	15
Swaziland	1	N/A	5 000	6 000	5	4
Tanzania	11	17				
Zambia	3 (3rd opened in 2008)	5	23 000		2	
Zimbabwe	8	N/A	43 000	56 000	3	4

Source: C t d a a d EFA G b a M t g R e t 2008, A e t a b e 9A

⁴²The table of the GMR details the definition of tertiary education used in the TVET and
both the broad and narrow definitions

⁴³Data from the change in enrolment 2003

⁴⁴Data from the change in enrolment 2004



The country case studies indicate a growth in the establishment of private higher education institutions. These can be separated into faith-based institutions, commercial-based institutions and branches of international universities. The table does not have much information on private universities; however, anecdotal information from interviews in the countries and document reviews suggests a large growth in small commercially orientated universities on a fee-for-service basis to supply the demand for commercially viable qualifications. One of the reasons that private universities are burgeoning is that the public sector is unable to cope with the demand. A second reason is that public universities tend to be slow in changing their curricula to meet economic needs. Most countries in the study are adopting legislation and mechanisms to regulate these private institutions. Some countries, e.g. Zambia, are experimenting with public-private institutions. Mlungushi University, for example, is a full fee-paying university established as a joint venture between the Government of Zambia and the largest mining house in the country. Zimbabwe has experienced a growth in the establishment of universities and colleges set up by Malaysian companies.

The total number of students enrolled in tertiary education has increased between 1999 and 2005. It is worth noting that the countries with the highest increase are Mozambique at 180 percent and Mauritius at 124 percent. In both countries there is a clear drive to support accessibility to tertiary education.

Angola, Mozambique and the DRC have among the

lowest GER in tertiary education. In the DRC only 60 000 people of a population of roughly 60 million enrolled at a tertiary institution in 1999. These low enrolment figures for all three countries are a result of protracted civil wars that had a negative effect on the education sector. Indicated in the DRC's Poverty Reduction Strategy Paper (PRSP) 2007 is the construction of five new university campuses by 2015, the rehabilitation of existing universities, the establishment of distance learning and the awarding of scholarships.

The average GER in 2005 for the countries included in this study is five percent with the highest being Mauritius at 17 percent and South Africa at 15 percent, which is equivalent to the 17 percent average of developing countries according to the Global Monitoring Report (GMR). The lowest GER is Malawi at 0.4 percent in 2003. These figures need to be compared with a 66 percent GER for the developed world, a 56 percent GER for countries in transition and an overall world average of 24 percent.

Data Set 2: Enrolment by field. In Table Two, the profile of participation in higher education is extended to include further information on university fields of study. By tracking numbers of students enrolling in particular fields of study it is possible to make observations on the responsiveness of higher education to scarce skills that will help achieve national priorities and can serve the basic needs of society. For comparative purposes data is sourced from the GMR of 2005 and where more detailed information is sourced this is included in each country profile.

TABLE 2: Profile of participation in higher education (numbers of institutions and enrolment)

Country	Percentage Distribution By Field of Study (2005)								
	Educa-tion	Humani-ties and Art	Social Sciences, Business and Law	Science	Engineering, Manufacturing Construction	Agricul-ture	Health and Welfare	Services	Not known or Unspeci-fied
Angola									
Botswana	21	26	25	12	6			0.3	11
DRC									
Madagascar	3	15	51	15	5	3	7	0.3	0.4
Lesotho	32	8	33	23	1	1	1.1		
Malawi									
Mauritius	21	13	30	8	18	2	0.3	1	8.3
Mozambique	8	11	44	14	10	5	5	0.5	3
Namibia ⁴⁵	25	4	41	8	5	3	4	3	8
South Africa	14	5	51	11	9	2	6	1	
Swaziland	24	15	34	5	4	5	12	2	
Tanzania									
Zambia									
Zimbabwe									

Source: EFA Global Monitoring Report 2008, Annex Table 9B

A cursory glance at this table shows that the largest proportions of students are enrolled in Humanities and Arts, Social Sciences, Business and Law. At the same time, all countries have a shortage of key skills required to reach their goals for development and growth. Examples of the shortages include general and specialist medical expertise, engineers, scientists and ICT specialists. The figures in the table show that the shortage of skills in these areas is not being addressed in the region. In the northern areas of Zambia, there is a 50 percent vacancy for health personnel. Governments are able to influence enrolment patterns as they are the primary financiers of higher education through loans, scholarships and bursaries. All countries in this study have a shortage of qualified teachers, especially for maths and science. Countries in the region able to pay higher salaries for teachers

(i.e. South Africa, which is in the process of recruiting 4 000 maths and science teachers from other SADC countries) exacerbate the shortage in poorer countries. Most countries in the region are prioritising teacher training but these figures are not reflected in this study as this is primarily done at teacher training colleges. The high prevalence of HIV/AIDS in the region affects all sectors but has a pronounced effect on the teaching profession due to the sheer number of teachers employed. US\$4-billion is spent every year on recruiting 100 000 expatriate skilled personnel to work in Africa.⁴⁶ With the current focus on infrastructure development in Africa many opportunities exist for the training and retention of civil, construction and electrical engineers.

⁴⁵Data from the ch e a e d g 2003

⁴⁶C f A f ca, 2005

Data Set 3: Research. The data in Table Three is extracted directly from the SARUA Studies Series of Science and Technology in 2007. Where additional data was available, this was included in the country case studies. The Institute for Scientific Information

bibliographic indexing of international scientific studies (ISI) is used as an indication of overall research output for an entire country. In making any comparison, the size of the country needs to be taken into account.

TABLE 3: Major fields of publication per country

Country	No. of ISI papers produced per country	Field of publication
Angola	2001-2007: 90	Medical; biology; earth science; chemistry.
Botswana	1995-2004: 880	The majority of papers were in the field of agriculture, with 95 per cent of all papers produced at the University of Botswana.
DRC	2000-2006: 245 2006: 51	Health; plant sciences; zoology; geosciences.
Lesotho	2001-2007: 75	African affairs and studies; theatre; health; physics and wildlife.
Madagascar	2002: 71	Medical and related; anthropology; biodiversity; ecology; and various agriculture related topics.
Malawi	2007: 130 2002-2007:1040 2007: 184	All were in health, with the exception of 13 in physics and chemistry of the earth and eight in agriculture.
Mauritius	2007: 41	Space science; sugar; diabetes; history; economics; chemistry; conservation and environment; educational technology, analytical chemistry; engineering; molecular studies mathematics.
Mozambique	2007:80	Medical; history; marine biology; chemistry; oceanography; agriculture.
Namibia	2001- 2007: 480	Astronomy and astrophysics, marine sciences, environment, chemistry of the earth, discovery and innovation, agriculture and geology.
South Africa	2001 – 2007: 38,238	Medical science; southern African studies; marine science; veterinarian science; philosophy; wildlife; psychology; astronomy and astrophysics; education.
Swaziland	2001-2007: 102	Medicine; agriculture; economics; science; mathematics ecology; conservation, mechanics and chemistry.
Tanzania	2002: 269 2007: 418	Medical and related; physics, chemistry and earth; ecology; discovery and innovation and veterinary parasitology.
Zambia	2005: 120 2006: 151 2007: 137	Health; veterinary parasitology; agro-forestry; physics and chemistry.
Zimbabwe	2002: 269 2005: 241 2006: 234 2007: 229	Ecology; southern African studies; animal health; agriculture.

Source: SARUA & de Se e (2007) Science and Technology Abstracts of the SADC eg

A key challenge of many countries is to ensure that all the planning documents align with education planning. An example of where a country has managed to achieve alignment between planning documents is Namibia, as illustrated below.

Namibia

Vision 2030: Join the ranks of high-income countries

NDP3:

- Increase the supply of graduates in skill areas in high demand
- Increase supply of middle-high level skilled labour to meet market demand over the next five years
- Strengthen the institutional capacity and quality of tertiary education
- Increase training of both undergraduates and postgraduates abroad in areas not available in Namibia
- Mainstream ICT into the education system

Education and Training Sector Improvement Programme (2006 – 2011)

Focus on strengthening the immediate supply of middle to high-level skilled labour to meet labour market demands and support overall national goals.

Data Set 5: Higher Education and Poverty Reduction Strategies. The information contained in Table five details which countries acknowledge the role of higher education in their PRSP. PRSPs were introduced in 1999 as a pre-requisite for debt relief under the Heavily Indebted Poor Countries (HIPC) Initiative, and are also a requirement for any concessional lending from the International Development Association (IDA) of the World Bank and the Poverty Reduction Growth Facility (PRGF) of the International Monetary Fund (IMF). Multi-national donor organisations will take guidance from the PRSP as to what the funding priorities of a country are. Therefore higher education is unlikely to receive any substantial funding from

donors if it does not feature in the PRSP as an important component for poverty reduction.

One key issue with respect to PRSPs is strategic planning skills capacity at ministry level. Ministries of Finance and Ministries of Planning tend to dominate the planning agenda and if a particular sector or sub-sector does not have skilled planners and negotiators, the sector may not be adequately represented in plans and budgets. In addition, plans are highly political and are susceptible to the whims and fancies of ministers, the policy of the ruling party and the ability of officials to push their own agendas. Furthermore, even if sectors are able to produce good plans these are often not linked to the budget process and therefore do not receive financing, thus remaining merely a wish list. Those countries that are not reliant on donor resources have no obligation to produce PRSPs. This explains why South Africa and Mauritius do not have a PRSP, as captured in the table below.

At this level of planning, tertiary education is most likely to include higher and vocational education. Most PRSPs see technical skills as a mechanism for enhancing economic development. It is evident from Table Five that many countries are prioritising technical and vocational training. This topic is expanded on in Table Six. It would be optimal if higher education received specific mention at a PRSP level as Malawi and Zambia illustrate by setting specific higher education targets in their PRSP. Prior to the 2008 global economic downturn, most countries in this study were achieving an economic growth rate of around six percent. This growth was primarily resource driven, based on oil and other minerals. It would be beneficial for SADC countries to invest in skills development in order to increase downstream production and add value at a local level. As an example, it costs the same to build a road in Europe as it does in Africa, due to the need to import both scarce skills and raw materials. If more skills were locally available this would lead to a reduction in infrastructure costs.

Country	Name	Commentary on Higher Education in PRSP
Angola	NSPR 2003	Education is one of the key elements for human resource development and increasing individual opportunity.
Botswana	PRSP 2007	Does not make specific mention of higher education.
DRC	PRGSP 2006	Objective is to provide quality education to all students of the universities and advanced institutes to promote research and development in order to match scientific and technological training with the socio-economic requirements of society.
Lesotho	PRSP 2007	'PRS has a focus on technical, vocational and tertiary (including higher education) to bring courses in line with manpower needs.'
Madagascar	PRSP 2006	Focus on 'post fundamental education' training of young people with predictable and potential jobs; develop required skills in work and environment; improve quality of tertiary education.
Malawi	Growth & Development Strategy 2006 - 2011	Education is not a top six priority area. PRSP – commits Malawi to MDGs and plans to increase undergraduate enrolment by 40 percent; increase postgraduate enrolment to 10 percent of undergraduate; overall tertiary enrolment of 35 percent by 2010; improve curriculum.
Mauritius	N/A	
Mozambique	PARPA 1&11	Greater access to better education opportunities.
Namibia	PRAP	Actions 5 - 12 (of 63 actions) emphasise vocational education and skills training.
South Africa	N/A	
Swaziland	PRSA 2006	Goal is to ensure the development of skills through vocational education and training and improve opportunities for access to tertiary education.

TABLE 6: Higher education in other key national plans

Country	Commentary on HE in NDP	Commentary on HE in National Education Plans
Angola		Restructure National Institute for Research and Development and Higher Education; Rehabilitate infrastructure; capacity building of personnel.
Botswana	Increase tertiary and secondary expenditure by 300 percent. Open Botswana University of Science and Technology.	Achieve enrolment of 15 000 at University of Botswana.
DRC	Data not obtained.	
Lesotho	See PRSP	Increase enrolment by 30 percent by 2009; significantly increase teacher training; expand higher learning.
Madagascar	MAP – priority indicators; double number of students and graduates; double commitment to science and research.	
Malawi		Double enrolment; reduce overhead costs by 35 percent; (US\$165-85); increase and rationalise staff levels with appropriate qualification from 20 - 75 percent.
Mauritius	'Increase access to tertiary education' (2005 Government Reform Programme).	Make Mauritius the knowledge hub to serve the region. 10-point plan including targets linked to a knowledge-based economy.
Mozambique	Expand access; improve quality; create financial and institutional sustainability.	Scientists with a high degree of skill; technological and cultural scientific research, business support; scientific heritage of humanity; connection to work in all sectors; dissemination and exchange of technical and scientific knowledge; update the professional graduates by higher education; postgraduate effort towards scientific and technical upgrading of teachers and top-level professionals; training for teachers and scientists needed for the education and research.
Namibia	Increase supply of graduates in high-demand skill areas, middle-to-high-level labour and ICT. Can include sponsorship of studying abroad.	Strengthen supply of middle to high-level skilled labour to meet labour market demands.
South Africa	Grow economy and create jobs. Provide funding for study in key priority skill areas.	Increase participation in higher education from 15 – 20 percent. Shift enrolment patterns from 49:26:25 to 40:30:30 for Humanities: Business and Commerce: Science, Engineering and Technical.
Swaziland	'Re-orientation away from present academic orientation to technical and vocational.'	Provide trained people; cost sharing for higher education; curriculum based on world of work/self-employment; duration of programmes based on cost implications; instil culture of research.
Tanzania	Increase growth; increase tertiary enrolment; increase student loan provision.	
Zambia	No direct commentary in NDPS	Improve external and internal efficiency; reduce unit costs; increase graduate employment.
Zimbabwe	Data not obtained	

Source: C t P f e



It is clear from this table that there is a similarity between countries' NDPs and PRSPs. Most NDP-type documents focus on skills development. The Swaziland National Development Plan (NDP) states that Swaziland should move away from an 'academic orientation' to technical and vocational training. This is possibly understandable if it implies support for a move away from the high enrolment in arts and humanities to an increased enrolment in engineering and sciences, but concerning if it implies a move away from general academic education to vocational training. Table Seven illustrates that the largest proportion of students are enrolled in humanities and social science and the smallest proportion in crucial skills such as engineering and medical. The allocation of resources to university education or Technical and Vocational Education and Training (TVET) should be based on a medium-term view of the countries' development needs. The current shortage of artisans and qualified engineers in the region needs to be addressed by a rational outcomes based plan, aimed at filling both gaps and not at financing one at the cost of the other.

The example below shows the extent to which arguments such as reducing unit costs and creating a 'knowledge economy' are central to many plans.

The idea of a 'knowledge economy' is included in many of the countries' planning documents. A knowledge economy is based on creating an environment for research, innovation and entrepreneurship. Table Three in this section shows that the research output for the SADC is low, with the exception of South African output. In addition, the country case studies indicate that governments are not investing in the infrastructure and equipment at universities to stimulate research. Universities are not the only component of a knowledge economy, but they are central. Universities support a knowledge economy not only through research, but also through training scientists, managers, engineers, IT specialists and communication specialists. In addition good universi-

ties can create stimulating environments, stimulate lateral thinkers and inventors, who are also key to a knowledge economy.

An example of a SADC country that is specifically aiming to build a knowledge economy through its plans for education is Mauritius. Massive private sector funding is being invested in IT development in Mauritius. Table Eleven shows a high level of donor support to universities in Mauritius, much of which is going into upgrading infrastructure and equipment. Thus at an input level, the government of Mauritius is facilitating the building of a knowledge economy. However, Table Three shows that their research output is low, suggesting that even though they may have detailed plans and finances, these are not ways matched by outputs. The Mauritius example illustrates that building a knowledge economy requires not only commitment in planning documents and the financing to support this, but also a concerted effort to support and encourage research, entrepreneurship and innovation.

Data Set 7: Planning & Legislation for Education Sub-sectors. The information in Table Seven focuses on the planning and legislation that is specific to education. It demonstrates how many of the 14 SADC countries have articulated their short, medium and long-term objectives for education, and within this context provides some indication of which countries have specifically defined the current state and future intentions for higher education. It can be argued that those countries with educational plans and legislation, which address the role of higher education, understand the benefits of this sub-sector to growth and development and are intent on harnessing this value for future generations. The opposite is suggested of those countries without plans and legislation that feature higher education. These countries either believe basic education is the number one priority or regard other sectors as more important for development and growth.

TABLE 7: Planning and legislation for education sub-sectors

Country	Broad Education Plans	Plan for Basic Education	Plan for Secondary Education	Plan for TVET	Plan for Higher Education	Legislation Specific for Higher Education (HE)
Angola	Integrated Strategic Plan for Education System					Law 70 (2007)
Botswana					Tertiary Education white paper 2008	Tertiary Education Act 1999; University of Botswana Act 1982
DRC						HE & University Ordinance 1981
Lesotho	Educational Sector Strategic Plan 2005 – 2015					HE Act 2004
Madagascar						Directive for Foundation of University 195
Malawi	National Education Policy 1999 – with sector plan in development					To be developed
Mauritius						Tertiary Education Act 1988
Mozambique						1993 HE Law
Namibia	Education and Training Sector Improvement Programme (ETSIP) 2006-2011					HE Act 2003
South Africa					National Plan for HE	HE Act 1997
Swaziland	Strategic Plan for Education and Culture (2007 – 2011)					HE Bill: in development
Tanzania	ESDP 2001 – 2007 (to be revised: in process of drafting ESDP 2008 – 2017)	PEDP (Primary education development programme)	SEDP– secondary Education development programme	National Education and Training Policy	Tertiary and higher education development plan 2007	Tanzania University Act 2005
Zambia	Education Sector National Implementation Framework (ESNIF) 2008				ESNIF 2008 – higher education sub-sector	University Act 1999
Zimbabwe	Data not obtained					

Source: C i t P f e

It is encouraging that almost all countries have a Higher Education Act. The country profiles illustrate that a good proportion of countries in the region have amended their Higher Education Act, or passed a new Act, so as to regulate the emerging private market in higher education. Two examples are:

- The 1990 Decree No. 11/90 of Mozambique that authorises private education (free or fee-paying) in all types of schools and at all educational levels.

- The Zambia University Act No. 11/99 which incorporates provisions for registering private universities. In addition, it gives the Minister of Education the right to appoint the University Council and to set the maximum student tuition fees.

It is important to acknowledge that higher education may also be incorporated within the general education plans, for example in Namibia, Malawi and Lesotho. But the existence of plans for higher education does not necessarily imply that they are implemented.

This may be due to a lack of resources, both human and financial. Furthermore it is important to distinguish between the existence of a plan, its quality and successful implementation. Plans which include achievable and measurable objectives within budget constraints; realistic time frames which take into account available human resources; and that are

linked directly to the budget are more likely to be successfully implemented.

Data Set 8: Higher Education Policy and Regulatory Environment. Table Eight addresses the higher education policy and regulatory environment, map-

Separate Higher Education Ministry
 Separate Higher Education Advisory Council
 13(e)-13(e)-13(s)-13(d)-13(e)

TABLE 8: Higher education policy and regulatory environment

Angola provides an example of structures being established to carry out its policies on post-war reconstruction of higher education. Angola's Law N° 7/03 de 17 de Junho, 2003, Diário da República, I Série n°4717.06.2003 establishes the:

- Council for Higher Education which is mandated to:
 - formulate proposals for improvement of higher education
 - make proposals to improve the mechanisms for monitoring the activity of institutions of higher education
 - issue binding opinion on opening and closing of institutions of higher education
- National Directorate for Higher Education which is mandated to:
 - ensure the quality and efficiency of the system
 - undertake studies on the extension of higher education

- propose the opening and closing of schools and universities
- enforce minimum standards for teachers working in the sector and assist teachers to achieve that level

4.4 Higher Education Financing

(Data sets 9 – 10)

Data Set 9: Financing Higher Education: Table Nine supports an analysis of spending on higher education as a percentage of the national budget, Gross Domestic Product (GDP), the broad education budget, and the proportion of the education budget that is allocated to basic education. The figures in the table are from actual country budget documents. A country where data is missing is due to no separation of the higher education allocation within the total education budget.

TABLE 9: Financing higher education

Country	Higher Education % National Budget	Higher Education % GDP	Higher Education % Total Education	Basic Education % Total Education
Angola				
2005/6	0.66%	0.24%	9.21%	8.27%
2006/7	0.35%	0.21%	10.06%	36.25%
2007/8	0.52%	0.32%	9.20%	7.22%
2008/9	0.72%	0.45%	9.14%	18.32%
Botswana				
2008/9				
DRC				
2008/9				
Lesotho				
2008/9				
Madagascar				
2005/6	1.70%	0.36%	9.42%	66.35%
2006/7	1.84%	0.39%	11.98%	68.55%
2007/8	1.89%	0.39%	11.53%	69.86%
2008/9	1.84%	0.38%	10.46%	70.90%

Country	Higher Education % National Budget	Higher Education % GDP	Higher Education % Total Education	Basic Education % Total Education
Malawi				
2005/6	3.30%	1.02%	25.26%	
2006/7	4.49%	1.31%	28.35%	
2007/8	4.06%	1.38%	30.00%	
Mauritius				
2007/8	0.99%	0.23%	7.38%	28.42%
2008/9	1.01%	0.24%	8.01%	27.21%
Mozambique				
2006/7			19.10%	49.90%
2007/8			20.20%	48.80%
2008/9			19.70%	48.60%
Namibia				
2005/6	2.48%	0.83%	10.30%	19.94%
South Africa				
2005/6	2.59%	0.68%	12.6%	71.5%
2006/7	2.51%	0.65%	12.6%	69.8%
2007/8	2.46%	0.65%	12.7%	70.2%
2008/9	2.48%	0.66%		
Swaziland				
2005/6	3.20%	1.68%	21.56%	33.25%
2006/7	2.41%	1.50%	21.05%	31.69%
2007/8	3.14%	1.50%	19.61%	33.51%
Tanzania				
2005/6	4.60%	0.88%	40.86%	12.24%
2006/7	4.53%	1.13%	41.18%	12.77%
2007/8	4.45%		48.11%	4.93%
Zambia				
2005/6	2.19%	0.43%	13.76%	49.56%
2006/7	2.40%	0.43%	13.05%	33.91%
2007/8	2.63%	0.51%	13.57%	20.93%
2008/9			13.92%	47.04%
Zimbabwe				
2005/6	4.04%		19.44%	45.32%
2006/7	3.39%		22.99%	43.65%
2007/8	5.48%		24.98%	40.70%

Source: C t P f e

Explanatory Notes

1. Angola: Higher education is part of the National Ministry of Education.
2. Malawi: The Malawi Education budget does not disaggregate expenditure across the different areas within education. Rather, it divides the budget according to personnel costs, other recurrent expenditure that is disaggregated into primary, secondary and tertiary expenditure, and capital expenditure. Transfers to higher education institutions are also not included in the Education budget. The Higher Education figures used in this analysis consist of the transfers to the higher education institutions plus the other recurrent expenditure for tertiary education.
3. Mauritius: Higher Education forms part of the National Education Budget.
4. Mozambique: Higher Education forms part of the National Education Budget.
5. Namibia: Higher Education forms part of the National Education Budget.
6. Swaziland: Higher Education forms part of the National Education Budget.
7. Tanzania: Higher Education is a separate vote on its own which includes Technical Education and Science and Technology. For the purposes of this study only the Higher Education proportion of this Vote was included as Higher Education spending. The total of the Education Vote and the Higher Education Vote was used as the basis for comparison with Total Education spending.
8. Zambia: Higher Education forms part of the National Education Budget.
9. Zimbabwe: Higher Education is a separate vote on its own which includes Teacher Education and Vocational Education and Training. For the purposes of this study only the Higher Education proportion of this Vote was included as Higher Education spending. The total of the Education Vote and the Higher Education Vote was used as the basis for comparison with Total Education spending.

The extreme variation in certain countries' budget data may infer that the way figures are calculated may differ from year to year. For example, spending

on basic education as a percent of the total education budget in Angola increases from 8 percent in 2005/06 to 36 percent in 2006/07 and then decreases to 7 percent in 2007/08 and is projected to increase to 18 percent in 2008/09. Over the same period (2005 – 2008), spending on higher education as a percentage of total education remains fairly consistent at an average of 9.4 percent. A possible explanation is that in the 2006/07 budget there was a large capital inflow to build classrooms (as part of the post-war recovery plan).

Higher Education as a Percent of the Total National Budget averages at 2.68 percent across countries. This ranges from 0.35 percent in Angola (2006/07) to 5.4 percent in Zimbabwe (2007/08). Angola and Mauritius are considerably lower than the average and Zimbabwe almost double the average. When making comparisons of spending across countries, it should be noted that countries may define higher education differently as well as the fact that budgeted figures may differ from actual expenditure. The figures for earlier years are actual expenditure whereas for the latter years are budget estimates and there can be large variations between actual expenditure and budget estimates, thus making it difficult to analyse trends. Countries that have a huge jump in expenditure in one year (Angola and Zambia) may either be the result of a capital injection (to build classrooms) or an error in the budget data.

An observation can be made that spending on higher education as a proportion of total education for Malawi and Swaziland is above average. The country case studies reveal, however, that a large proportion of this funding goes to student accommodation and does not necessarily improve the quality of higher education.

Higher Education as a Percentage of GDP: GDP is an indicator of economic activity in a country over a given period. Higher education as a percentage of GDP is an indicator of government spending on higher education as a proportion of total economic activity within a country and is useful for



comparison purposes across countries. The average across countries in the study is 0.76 percent. This can be compared with India at 0.7 percent; USA at 1.41

The average annual increase in nominal spending on higher education is 25.95 percent. Tanzania at 45 percent and Angola at 43 percent have increased the most, with Swaziland having the smallest increase at 5.2 percent. Swaziland, South Africa and Zimbabwe's allocation are lower than their inflation rates, suggesting that in fact there is no real growth in public spending in this sector. Country case studies indicate that spending increases are demand driven rather than supply driven.

A number of country planning documents refer to 'reducing unit costs', 'cost sharing' and the charging of tuition fees. These appear to be initiatives to curb the level of growth evident in this table rather than continuing with this scale of increase. The number of new public universities being built, or being planned, is minimal. Current demand is outstripping supply. Evidence in the country case studies suggest that the 27 percent growth in spending is primarily to cope with the current demand.

4.5 Donor Support for Higher Education (Data set 11)

This data illustrates that donor funds are still available to universities but remain a very small percentage of overall university budgets. Private funds are also negligible. Although a handful of countries have plans to build new universities, most countries are not keeping up with the demand for higher education.

Data Set 11: Donor support for Post-Secondary Education. Table Eleven shows the amount in US\$-millions that foreign donors are giving directly to post-secondary education. These are funds that are not going into general country budgets, but directly to universities, colleges and other tertiary

institutions. These funds are also referred to as 'off budget' funds. The trend in developing countries is for donors to contribute to a basket or pool fund. This can either be donor funding going into the central revenue fund or a SWAP (a sector wide approach). For a small sub-sector, such as universities, which are not always a strategic priority of governments or donors, the centralisation of donor funds may make it more difficult to raise project funding at a local level. Table Eleven illustrates that despite the trend to budget support, donors are still giving money directly to post-secondary and other education projects.

The Case Study from the University of Dar es Salaam supports the evidence in Table Eleven. In 2000 when international donors were withdrawing their support on a country level, for example, due to Tanzania's border disputes, the College of Engineering and Technology (COET) submitted unsolicited appeals to donors who maintained a significant level of donor support directly to the college. Tanzania's country figures were not available for inclusion in this table. However, in 2005, COET received US\$2-million from KOICA (Korea) for upgrading ICT facilities and US\$2.5-million from ZTE Corporation in China for equipment. A number of other international donors support COET including GTZ/German Academic Exchange Service (DAAD); Norwegian Agency for Development Co-operation (NORAD); Swiss Agency for Development and Co-operation (SDC); Swedish International Development Agency (SIDA)/ Department for Research Co-operation (SAREC) and Netherlands Organisation for International Co-operation in Higher Education (NUFFIC). Most of COET's foreign funding is invested in staff development or infrastructure.

TABLE 11: Donor support for post-secondary education⁴⁹

Country	Direct Aid to Post-Secondary Education Constant 2005 US\$-millions		
	1999 – 2000 annual average	2004	2005
Angola	7	8	7
Botswana	11	0	0
DRC	4	11	12
Lesotho	1	0	0
Madagascar	15	25	26
Malawi	1	0	12
Mauritius	18	16	15
Mozambique	13	11	9
Namibia	3	1	1
South Africa	28	41	8
Swaziland	0	0	0
Tanzania ⁵⁰	-	-	-
Zambia	3	5	5
Zimbabwe	5	3	3

Source: EFA Global Monitoring Report 2008, Addis Ababa, Table 4

Post-secondary education in the DRC is receiving donor support after the end of its protracted armed conflict from 2000 onwards, and as part of efforts to re-build the country's infrastructure and its expansion plans. Mauritius receives a relatively high level of foreign aid.

A noteworthy trend across the 14 countries is the growth of intra-regional studies as an alternative to postgraduate training overseas. Many donors are beginning to support this. Not only is it a cheaper option, but can also enhance co-operation with the SADC region and in turn curb the brain drain from the region to overseas countries. An increasing number of African nationals, including Basotho and Mozambicans are enrolling in higher education institutions in South Africa, The Partnership for Higher Education in Africa (PHEA). The composition of students attending universities in the SADC region reveals a certain amount of collaboration across country borders to share the learning.

The following three examples of SADC institutional collaboration projects are based on the SADC protocol on education and training. All three aim to increase co-operation between higher education institutions in South Africa and other SADC countries.

- University of Zambia and University of Western Cape (ZAWECA):** This project was focused on providing youth friendly education information and services to address youth reproductive concerns, including those relating to HIV/AIDS. It was just a two-year programme from 2003 – 2005, that involved training of university students as peer educators. A core group of students and unemployed graduates were also deployed into local communities to gather information for research purposes on youth reproductive health concerns, including information on sexual practices.

⁴⁹Partnership for Higher Education in Africa (PHEA), *Partnership for Higher Education in Africa*, Addis Ababa, 2005.

⁵⁰Global Monitoring Report 2008, Addis Ababa, Table 4.

- **University of the Witwatersrand, University Eduardo Mondlane, Mozambique, and the University of Namibia (NEW):** The project involves joint curriculum development, research collaboration, joint teaching, and staff and student exchanges. The subject areas covered are Engineering, Economics, Education, Animal, Plant and Environmental Science, and Management.
- **Pretoria University (SASVO) Outward Bound:** The Southern African Student Volunteers Organisation (SASVO) unit at Pretoria University received funding from The South Africa – Norway Tertiary Education Development programme (SANTED) to conduct a pilot Student Representative Council (SRC) Leadership Training programme for 30 student leaders from ten tertiary institutions in South Africa and the SADC region. The programme was originally planned to take place over three weeks. During the first two weeks students underwent leadership and survival training courses offered by Outward Bound South Africa (OBSA), to ensure bonding as a group and to enhance their leadership skills. In the final week they worked on a regular volunteer SASVO work project.

4.6 Summing Up

We can return to our five basic questions for some summary answers:

- **Do the 14 SADC countries have national development plans?** Yes they do, at least in the form of poverty relief strategic plans. Some countries have much more than this.
- **To what extent does higher education feature in these plans?** The answers vary from country to country, but the majority of country development plans do not align with national education plans.
- **How is higher education financed or otherwise supported?** All the details are here and in the country profiles on the SARUA website. The percentages of total education spending are revealing, as are the percentages of GDP that is spent on higher education.
- **What linkages exist between state and higher education in terms of higher education funding and co-operation in the developmental sphere?** Again there is a lot of variation between countries, but too many countries have no or ineffective linkages, with the result that inadequate budgetary allocations are made to higher education.
- **What role is played by international donor agencies?** This role is changing with project and sector/programme support being increasingly replaced by direct budget support. Donor agencies have got the message regarding the links between higher education and development, and their financial support remains considerable.

The following summary deals in slightly more detail with the results of this study:

All countries have planning documents that relate to development issues, although some of them go no further than poverty relief. A worrying reality is that the majority of country development plans do not align with plans for higher education. In many cases, development and higher education are simply not thought of as relating in any significant way. A key problem here is a serious lack of strategic planning capacity in the various ministries. In addition, even when good strategic plans exist, they are all too often not deliberately linked to the budgetary processes and therefore remain inadequately financed. In spite of these shortcomings, however, there appears to be a growing awareness that access to higher education, as well as its subject offerings and quality relate closely to successful socio-economic development.

A few countries talk enthusiastically about the importance of a 'knowledge economy', but these ambitions need to be seen against a backdrop of extremely low research outputs, a situation that indicates inadequate investment in research infrastructure and equipment. In this regard, a few countries have invested heavily in basic school education at the expense of higher education. Conversely, it is encouraging that almost all SADC countries have a



SECTION FIVE

Conclusions and Propositions

5.1 Concluding Overview

A clear narrative regarding sub-Saharan African higher education has emerged from this overview.

The universities established by the colonial powers tended to focus primarily on teacher training and agricultural programmes. After independence and during the 1960s, most newly established African states saw higher education as a priority element of socio-economic development, and more specifically to enhance the capabilities of the civil service. Money was therefore spent to broaden the scope of African universities and to link them to European institutions. But this 'golden era' lasted only until the global economic downturn in the late 1970s. From that date, the financial viability and output quality of the nascent African universities declined. The general deterioration was exacerbated by aid agencies in the developed world. Taking their cue from the World Bank and the International Monetary Fund, they believed that higher education was a low priority in the face of the a whole array of dire socio-economic problems afflicting Africa during the 1980s and into the 1990s. By the start of the 21st century, however, a new realisation had taken hold among development experts: effective higher education was now considered to be a powerful component in the struggle for sustainable improvements in the developing world. But in Africa, the SADC region included, these new perceptions were met by a higher education system suffering from considerable neglect. Endemic underfunding, countrywide economic stagnation, wars and civil unrest, and not least the brain drain of African academics, had taken their toll.

Against this background, the express purpose of the current research has been to establish a situational analysis in the SADC region: in higher education, in governments, and in the international aid agencies involved in the region. If higher education and development efforts are now seen as inextricably interdependent, what is happening to establish the necessary linkages on the ground?

The research has provided some important – and sometimes sobering – answers that are detailed in Section Four. The intention in this final section is to establish a set of recommendations that take into account the challenges facing SADC universities and governments. The recommendations are designed to bring the new convictions concerning the inter-relatedness of higher education and development closer to the grasp of the people most intimately involved: higher education leaders and planners, relevant government officials, and also those international aid agencies with an interest in the development of southern Africa.

5.2 The Propositions

The following propositions are expressed as essential needs that should be fulfilled if a more organic relationship between higher education and national development is to be achieved.

- **Proposition one.** The most fundamental need is to create a national vision for higher education. While many countries have national education policies reinforced by enabling statutory Acts, the same cannot be said for higher education specifically. The lack of an explicit policy vision and legal framework for higher education militates against creating a responsive system geared towards achieving national development priorities. An explicit and continuously reviewed policy vision for higher education also provides an important framework for monitoring progress. For those countries without a policy vision for higher education, the imperative is to develop one. For those with such a vision, the challenge is to ensure that it has widespread support and top-level political backing.
- **Proposition two.** Coupled with need number one is the need to get higher education into the national planning processes, thus ensuring that the utility and concerns of higher education are

factored into government thinking. To begin with, it is essential that the voice of higher education, in relation to the other sub-sectors, be heard in education as a whole. With regard to fulfilling its role in development, a good place for higher education to start is engagement with national poverty reduction strategies. From this base of broader responsibility can be built the consultative networks and mechanisms necessary to address the obvious reciprocities between higher education and developmental government.

- **Proposition three.** Higher education needs to receive appropriate consideration in budget planning. Higher education stakeholders need to understand the complex set of budgetary processes, both at a formal and informal level, so that they can design an effective engagement strategy and ensure that higher education receives the maximum possible allocation within the context of the country's fiscal restraint. Synchronising with the national budget cycle is

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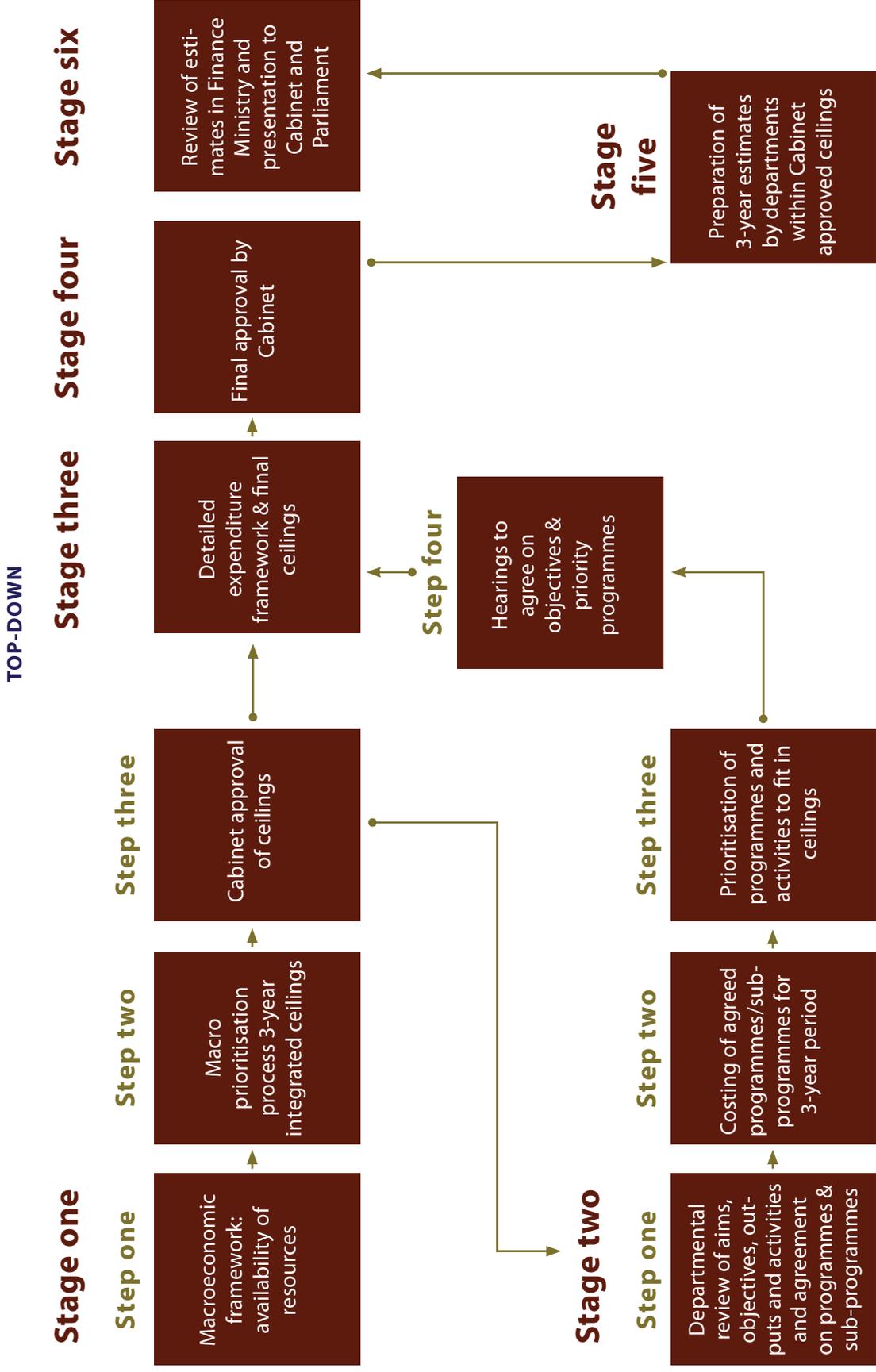
The following section shows how higher education stakeholders could plan a proactive budget engagement strategy with a practical, step-by-step guide on engaging with a country's budgeting system. The steps are generic and based on common international Public Finance Management (PFM) reforms. The exercises are primarily aimed at stakeholders who are traditionally outside the budget process, to assist them with identifying their role and where the most appropriate entry level might be.

Step 3: Stages of the Budget Cycle. On an annual basis government budgets have various stages in their cycles. As with any cycle there is not a defined start and end point and stages overlap. From the perspective of influencing expenditure patterns, the logical entry point is at the policy review and formulation phase. However, to have significant input to influence policy, good quality monitoring and evaluation is required during budget implementation. Different stakeholders need to identify at what stage they can have the most influence on the budget.

From the perspective of an individual Vice-Chancellor of a collective higher education forum, the two stages of engagement are the policy review and formulation stage and strategic and operational planning stage. Preparation can be made for this by accurate and user friendly reporting, including an annual report with current data and audited statements. Universities should have updated Education Management Information Systems (EMIS) data to supply regular in-year data to relevant ministries. The Ministry of Finance should establish open communication and trust with higher education institutions and explain the allocations they receive in a

transparent nature. A robust medium-term budget with three-year indicative ceilings will assist universities to draw up their own three-year budgets.**mun**

DIAGRAM 2: Stages of budget formulation and adoption



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ANNEXURE TWO

International Aid to African Higher Education

Bilateral Aid

The table below reviews aid to education, by comparing aid to post-secondary education prior to 1999 and after 1999. It shows that aid decreased in 2000, but increased substantially – but not linearly – thereafter. France and Germany, which provide the largest portions of aid to higher education, made substantial increases in aid to post-secondary education during the period 1998 – 2006. Japan increased its aid

to post-secondary education from 2001 to 2004, but decreased it significantly in 2005 and 2006. The table shows that Japan, Germany and France provide the largest proportion of aid to higher education. In aggregate, while Official Development Assistance (ODA) to higher education increased post-Dakar (i.e. 2001 – 2003), it decreased in 2004 and 2005, before increasing in 2006.

TABLE 1: Post-secondary aid by bilateral donors (1998 – 2006) (US\$ millions)

	1998	1999	2000	2001	2002	2003	2004	2005	2006
Sweden	9.05	16.09	1.79	15.97	16.38	12.03	17.38	21.66	4.32
Canada	37.11	54.9	62.85	50.48	79.1	71.82	80.33	23.41	32.23
Norway	0.57	15.49	25.11	51.71	33.47	29.18	28.79	30.11	33.37
UK	10.81	4.3	2.25	3.65	3.32	4.25	1.41	1.38	1.47
US	6.65	106.29	65.44	110.74	51.59	46.58	33.36	20.88	21.95
Japan	83.27	177.19	31.78	401.87	647.63	669.9	804.53	433.08	474.15
Netherlands	68.56	30.03	20.99	23.24	63.49	45.61	119.64	94.8	142.56
Germany	504.59	488.71	415.25	445.77	511.62	795.25	860.9	126.73	972.06
France	380.25	481.41	461.17	415.38	653.02	826.34	1045.29	1069.63	1279.96
Total	1100.86	1374.41	1086.63	1518.81	2059.62	2500.96	2991.63	1821.68	2962.07

Source: OECD-DAC

Few agencies provide a detailed breakdown of their spending on higher education. Generally, aid to higher education is provided in the form of scholarships for study abroad, research grants, project funding through research collaboration units

and funding to research networks such as the African Virtual University (AVU).

The following table provides a breakdown of how DFID allocates its higher education funding:

TABLE 2: Breakdown of DFID to higher education

DFID	Allocation per year
The Commonwealth Scholarship and Fellowship Plan	GBP 12 million
DFID Shared Scholarship Scheme	GBP 2 million
DELPHÉ	GBP 2 million
African Virtual University (AVU)	approx. BGP 0.6 million
Research Studies	GBP 2 million

This table below provides a breakdown of the most recent round of projects supported by Development Partnership in Higher Education (DELPHE). Ethiopia, Malawi, South Africa and Uganda compose the bulk of African recipients of project funding. In the case of

United States Agency for International Development (USAID), between 2000 – 2004 it funded 84 projects, of which South Africa was the main recipient of 27 projects and Ethiopia was second largest recipient for eight projects.⁵¹

Aid to sub-Saharan Africa

Overall, Africa benefits from a significant proportion of aid to developing countries, especially from France, mainly to Francophone African countries.

Table Four provides average annual disbursements of

TABLE 4: ODA to Africa by DAC donor US\$ million, average annual net bilateral disbursements

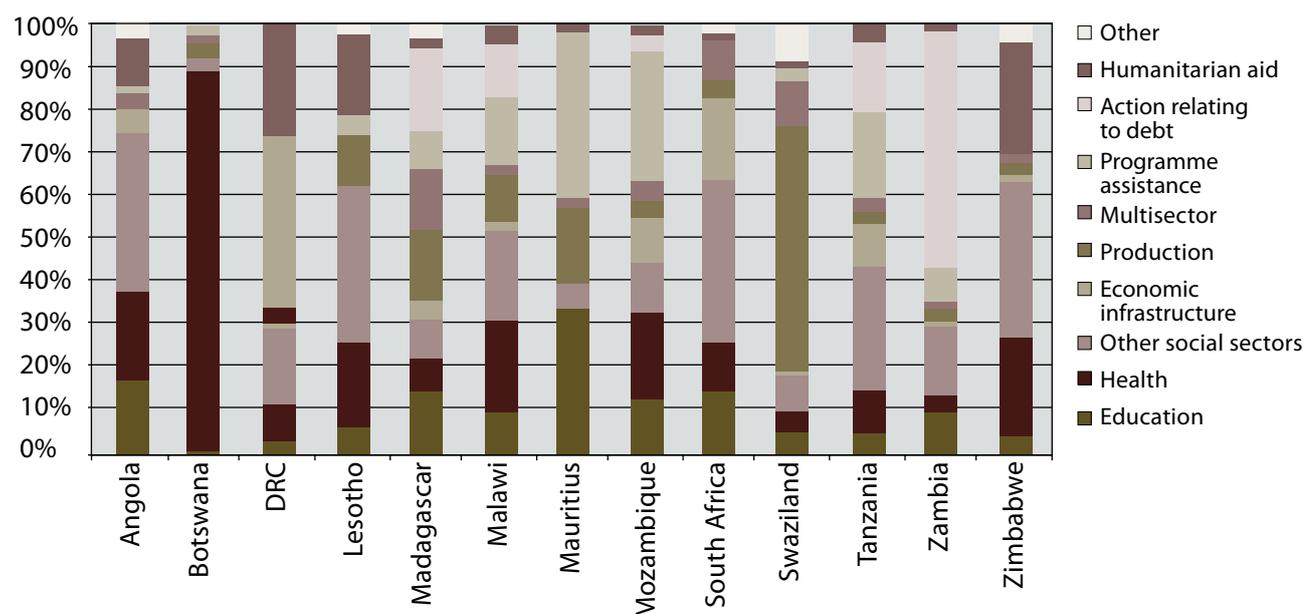
Donor	1980 - 89	1990 -1999	2000 -2004	2000 - 04 Africa as % of each donor's aid
Sweden	551	532	548	49%
Canada	495	429	405	47%
Norway	383	511	502	48%
UK	824	840	1,521	52%
US	3,065	2,962	3,338	37%
Japan	933	1,184	885	15%
Netherlands	748	748	1,055	52%
Germany	1,711	1,617	1,345	43%
France	2,999	3,574	2,886	76%

Source: OECD-DAC

Table Five illustrates the breakdown of aid to SADC countries by sector. Except for Mauritius, ODA to education does not form a substantial portion of overall aid. Aid seems to be especially low to educa-

tion in countries receiving ODA in relation to debt (Angola, Democratic Republic of Congo, Madagascar and Zambia).

TABLE 5: Bilateral ODA by sector (2005 - 2006)



Source: OECD DAC

Note: Not a categorical variable

Table Six presents the total ODA to SADC countries for the period 1990 to 2006. Overall, aid to the SADC

countries increased significantly in 2003, dropping in 2004 and 2005, before rising again in 2006.

TABLE 6: Net ODA to SADC countries

	1990-1991 average	1995-1996 average	2003	2004	2005	2006
Angola	357	517	549	1 175	437	165
Botswana	186	93	31	48	48	63
DRC	896	198	6 053	1 861	1 827	1 998
Lesotho	175	125	90	98	69	70
Madagascar	555	357	605	1 274	914	738
Malawi	696	529	580	515	578	649
Mauritius	101	25	- 17	33	34	18
Mozambique	1 369	1 124	1 171	1 268	1 277	1 573
Namibia	200	209	164	178	115	141
South Africa	0	444	726	642	680	699
Swaziland	71	49	38	22	46	35
Tanzania	1 463	977	1 928	1 791	1 481	1 775
Zambia	879	1 465	668	1 152	935	1 388
Zimbabwe	475	485	212	191	376	272
Total	7 424	6 595	12 796	10 248	8 816	9 586

Source: OECD-DAC

Multilateral Financing to sub-Saharan Africa

The World Bank

Educational lending for tertiary education by the World Bank to Africa does not suggest any pattern responding to the Dakar Forum. As shown in the Table Seven, there were large year-on-year fluctuations in lending for higher education between 1998 and 2007. For example, in 1998 tertiary lending represented 11.5 percent of all World Bank education lending. This value dropped to 7.4 percent and 8.5 percent in 2000 and 2001, respectively, before jumping to 14.6 percent in 2002, dropping to 0 percent in 2003 and 1.4 percent in 2004, and then shooting up

to 16.5 percent in 2005, dropping back to 8.6 percent in 2006, and climbing to 19.8 percent in 2007. The shift in spending suggests that aid is unpredictable and that national governments cannot easily rely on international financing agencies for making long-term plans. It also suggests that the key challenge for international agencies is to implement the Paris Aid Harmonisation Declaration and the Gleneagles 2005 commitment to make aid long-term, predictable and sustainable. Too few bilateral and multilateral agencies are providing aid in this manner.

During 2006 and 2007 the World Bank allocated approximately 36 percent of its lending to education⁵², which represented a marked increase in

⁵² World Bank

its overall lending for education. More importantly, between 2006 and 2007 overall education lending to Africa increased by 109 percent, from US\$339-million to US\$707-million. In addition, higher education received the second largest proportional increase with

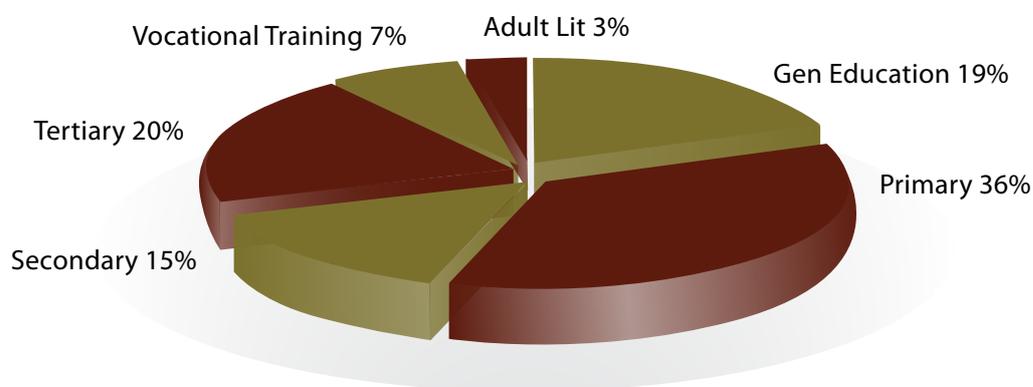
a 381 percent rise from US\$29.1-million to US\$140.1-million. In the short-term, this suggests a strikingly positive shift in World Bank thinking on lending for higher education.

TABLE 7: World Bank educational lending to Africa (US\$ million)

	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007
Adult Lit/Non-formal	0	30	6	0	14	1	4.6	0	0.7	19
Gen Education	27	11	93	89	128	129	79.9	175	173.5	131.4
Primary	226	126	57	60	214	238	92	106	90.6	257.9
Secondary	98	11	14	14	0	54	124	11	18.3	106.6
Tertiary	46	25	14	17	69	0	4.5	61	29.1	140.1
Vocational Training	2	5	6	20	47	2	16.5	16	27.2	51.5
Total	400	209	190	210	473	424	362.9	369	339	707
Tertiary lending as a % of the Total	11.5%	12.0%	7.4%	8.5%	14.6%	0.0%	1.4%	16.5%	8.6%	19.8%

Figure One below⁵³ below provides a breakdown of World Bank lending to Africa for each education sub-sector.

FIGURE 1: World Bank lending to Africa for education by sub-sector (2009)



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The European Commission

The table below presents data on the provision of ODA by the European Commission (EC) between 2000 and 2006. The table shows that although EC

funding to education as a whole has fluctuated over this period, the percentage allocated to higher education since 2001 has oscillated between 28 percent and 38 percent.

TABLE 8: European Commission: Breakdown of ODA to education (US\$ million)

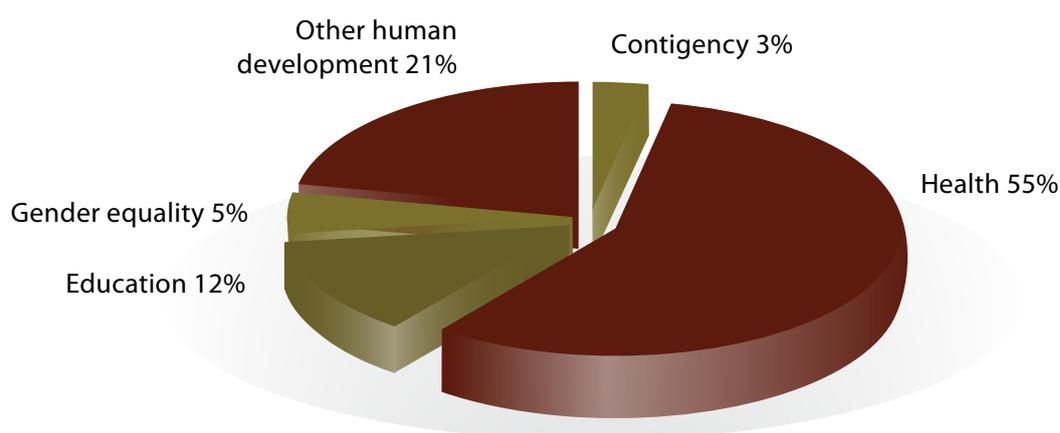
	2000	2001	2002	2003	2004	2005	2006
Basic	258.36	29.93	20.55	226.55	99.89	309.84	197.21
Secondary	21.13	15.11	84.27	54.92	59.57	61.36	105.18
Post-secondary	13.51	72.11	97.25	163.68	159.81	273.18	170.58
Unspecified	98.82	101.29	51.85	140.06	101.73	100.43	117.24
Education Total	391.82	218.44	253.92	585.21	421.00	744.81	590.21
Post-secondary ODA as a % of the Total	3.4%	33.0%	38.3%	28.0%	38.0%	36.7%	28.9%

Source: OECD-DAC

In its 2007 – 2013 budget the EC has allocated EUR130-million for education, with approximately 38 percent going to vocational education and skills training and 62 percent to primary education. Figure

Two presents a breakdown of the EC's 'investing in people' funding allocation for 2007 – 2013, which totals EUR1,060-million.⁵⁴

FIGURE 2: EC allocation of funding (2007 – 2013) EUR Million

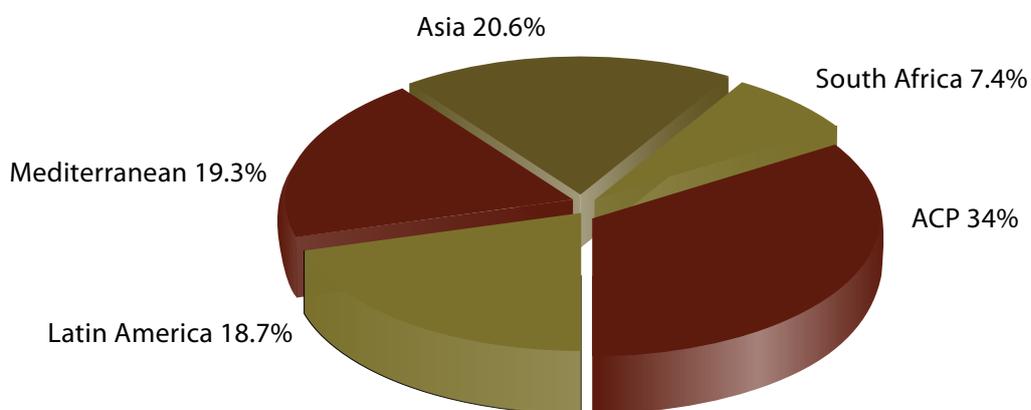


⁵⁴ E ea C 2007

The EC funding provided through the European Development Fund (EDF) includes funding to education in 22 Afro-Caribbean-Pacific (ACP) countries. (This is the group of African, Caribbean and Pacific countries

which are signatories of the Lomé Convention and Cotonou Agreement). The following chart presents an indicative regional breakdown of EC funding to education by recipient.

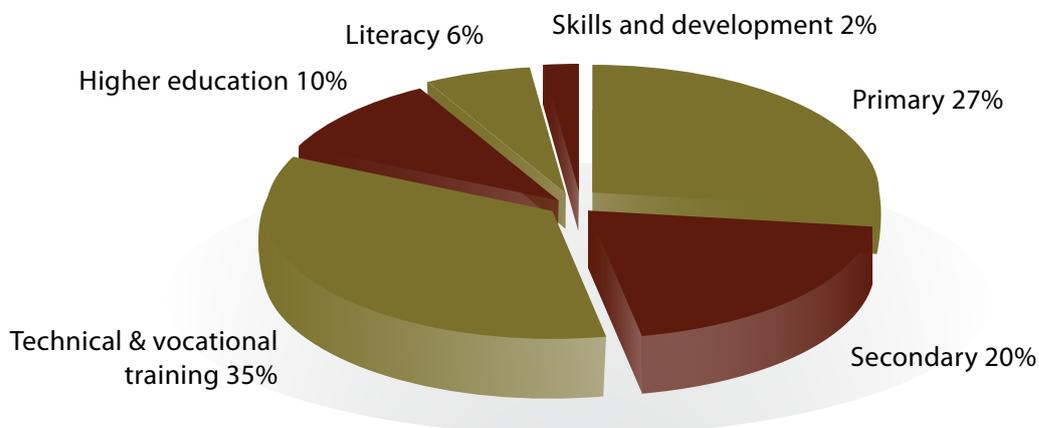
FIGURE 3: Indicative regional breakdown of EC funding for education



The African Development Bank
 The African Development Bank (ADB) is primarily focused on technical and vocational training. Between 2000 – 2005 this sector received 35 percent of the

total ADB financing budget, while higher education received 10 percent. Taken together these two post-secondary sectors received a total of 45 percent of the ADB budget.⁵⁵

FIGURE 4: ADB Financing to education (2000 - 2005)



⁵⁵ ADB 2007

ANNEXURE THREE

The complete list of 66 universities in SADC's 14 countries, as per SARUA records:

Angola (one university)
Universidade Agostinho Neto

Botswana (one university)
University of Botswana

Democratic Republic of Congo (four universities)
University of Goma
University of Kinshasa
University of Kisangani
University of Lubumbashi

Lesotho (one university)
National University of Lesotho

Madagascar (six universities)
University of Antananarivo
University of Fianarantsoa
University of Mahajanga
University of Northern Madagascar
University of Toamasina
University of Toliara

Malawi (two universities)
Mzuzu University
University of Malawi

Mauritius (two universities)
Mauritius University of Technology
University of Mauritius

Mozambique (four universities)
Eduardo Mondlane University
Institute of International Relations
Universidade Pedagógica
University of Lurio

Namibia (one university)
University of Namibia

South Africa (23 universities)
Cape Peninsula University of Technology
Central University of Technology
Durban Institute of Technology
Mangosuthu University of Technology
Nelson Mandela Metropolitan University

North West University
Rhodes University
Tswane University of Technology
University of Cape Town
University of Fort Hare
University of Free State
University of Johannesburg
University of Kwazulu-Natal
University of Limpopo
University of Pretoria
University of South Africa
University of Stellenbosch
University of Venda
University of Western Cape
University of Witwatersrand
University of Zululand
Vaal University of Technology
Walter Sisulu University for Science and Technology

Swaziland (one university)
University of Swaziland

Tanzania (eight universities)
Ardhi University
Muhimbili University College of Health Sciences
Mzumbe University
Open University of Tanzania
Sokoine University of Agriculture
State University of Zanzibar
University of Dar Es Salaam
University of Dodoma

Zambia (three universities)
Copperbelt University
Mulungushi University
University of Zambia

Zimbabwe (nine universities)
Bindura University of Science
Chinhoyi University of Technology
Great Zimbabwe University
Hare Institute of Technology
Lupane State University
Midlands State University
National University of Science and Technology
University of Zimbabwe
Zimbabwe Open University



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