

**CROSS-NATIONAL HIGHER EDUCATION
PERFORMANCE (EFFICIENCY) INDICATORS**

Grant Number: 1065-0828

Progress Report: 1 June 2008 – 31 December 2008

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2008-11-19

Dr Butler-Adam
Ford Foundation
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PROGRESS REPORT:

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Duration: 1 June 2006 – 30 June 2009

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The main deliverables for the project are:

1. An international seminar to improve conceptual and methodological understanding of efficiency in higher education in an African context.
2. A framework paper that identifies a set of indicators and a data collection methodology.
3. Country specific reports and discussions on efficiency in a range of countries.
4. The first book on efficiency in an African higher education context produced by scholars and experts within Africa.
5. Capacity (academics and bureaucrats) in a number of countries (five) who can, through the use of actual data, participate in and promote debates on efficiency.

PROGRESS TO DATE

The project has achieved the goals of the first 2 phases. The International Seminar was held on 5-7 March at Spier Estate. International speakers were Prof Gareth Williams, London Institute of Education and international authority on higher education finance and performance indicators and 2 representatives from CHEPS, Jon File and Ben Jongbloed who are also part of the European Union task team on higher education performance indicators.

The Project Group mapped out the next steps and also agreed that there would be two separate, but linked components to the project. The one part would compile a set of **Institutional Profiles** for all 23 South African Universities that could be used by Councils and institutional leadership to provide key indicators for governance and planning. The second component would be **Efficiency Indicators** for each of the major institutions in 8 African countries. In the final phase the Institutional Profiles and the

Efficiency Indicators would be linked so that 'peer' comparisons between institutions in 8 other African countries can be made with relevant institutions in South Africa.

Institutional Profiles

Upon compiling a first draft set of profiles, a seminar called *Indicators for Governance* was held on 2 November 2007 and attended by 60 people. The seminar was organised jointly with the Department of Education, Higher Education South Africa (HESA) and Integrated Technological Services (ITS).

This work has been conducted as part of the CHET Indicators to Improve Governance project, funded by the Ford Foundation. Each of the 23 higher education institutions in South Africa has been included in this study.

In November 2007 a set of institutional profiles covering the following areas was prepared:

A. Student Information

- total enrolments, both head count and full-time equivalent
- growth rates in enrolments
- shape of enrolments by qualification type, field of study, population group and gender
- total graduates and average annual growth in these
- success rates by course

B. Staff and Research Output Information

- permanent staff members in terms of the categories instruction/research and administration
- ratios between instruction/research and administrative staff members
- ratio of FTE students to FTE instruction/research staff
- highest formal qualification of instruction/research staff
- weighted research outputs per permanent instruction/research staff member
- ratio of research publications to permanent instruction/research staff members

C. Income and Expenditure

- total income from all sources and total expenditure on all activities
- surpluses on all activities
- state funding and student fees as proportions of total income
- average income per FTE enrolled student

Data sources for this work incorporated the information submitted annually by each higher education institution to the national Department of Education, research outputs handed in by individual institutions to the DoE in November of each year, and institutional financial statements.

In the November 2007 seminar it was agreed that in addition to the profiles, work would be conducted on the establishment of peer groupings in order to produce analyses of

the kinds of benchmarks institutions may use to measure their performance within different categories and contexts. The project team noted that the actual choice of peers will always depend on the particular focus of a specific performance study.

Each of the 23 profiles covers the academic period 2000–2006. As part of the above revision process, additional information on institutional plans for 2008, as well as the student enrolment and output targets set by the Department of Education for 2010, have been included. In September 2008 the Vice Chancellors and planning officials of each institution were sent their individual profiles and notes on the first peer group proposal.

Further extensive work has been conducted on the peer groupings. The new proposal for these covers the following areas:

- institutional categories (small and medium universities, universities of technology and comprehensive universities)
- student enrolment size (< 20,000 and > 20,000)
- regional groupings (Western Cape, Eastern Cape, Kwazulu-Natal, Gauteng, Free State and North West/Limpopo)

Institutional profiles also include targets set by the national government, partially based on previous work by CHET, and a comparison with a 'peer institution'. Such profiles have been presented to the Councils of the universities of Fort Hare and Nelson Mandela Metropolitan. Both councils and institutional leadership reacted very favourably; at Nelson Mandela the council adopted a resolution that such a presentation should be made annually.

Efficiency Indicators

There has never been a comparable comprehensive data set on a number of universities in Africa and it was expected that constructing such a set would be a major task – and we were not wrong. A great positive was that every Vice-Chancellor approached to participate reacted favourably, and some with considerable enthusiasm. An institutional researcher/data collector was nominated in each of the 8 institutions. For a list, see Appendix 1.

One of the major problems are the notion of full-time equivalent (FTE) students and staff. It has become evident that the concept of full-time equivalent data is not used in the African Universities and thus not collected nor captured. It was also found that data are in most instances not available in electronic format. Due to the absence of full-time equivalent data it was decided that headcount information would be used to calculate performance indicators. In view of limitations in available data the following basic set of tables have been collected per institution for the years 2000 to 2006:

1. Headcount enrolments per qualification type at undergraduate and postgraduate levels

2. Headcount enrolments per major field of study at undergraduate and postgraduate levels
3. Graduates per qualification type at undergraduate and postgraduate levels
4. Graduates per major field of study at undergraduate and postgraduate levels
5. Headcount of academic and administrative staff
6. Income and expenditure

It was also decided that a table would be compiled of the latest available qualification profile of the academic staff members of each university and a breakdown of third stream income between research and donor funds received.

Institutions Participating and Progress with Data Collection

1. *University of Botswana* – a complete set of the basic data tables have been collected. The data set on the qualification profile of the academic staff members must still be obtained.
2. *University of Dar es Salaam* – a complete set of the basic data tables have been collected. The data set on the qualification profile of the academic staff members must still be obtained. Uncertainties regarding the interpretation of the financial information obtained need to be clarified. The data set on the qualification profile of the academic staff members must still be obtained.
3. *University of Nairobi* – the following data elements are still outstanding from the University of Nairobi:
 - a. The number of graduates for postgraduate diplomas per qualification for the year 2001.
 - b. Headcount enrolments for government sponsored undergraduate students per qualification for the 2005/2006 academic year.
 - c. Headcount enrolments for private undergraduate students per qualification for the 2005/2006 academic year.
 - d. Headcount enrolments for government sponsored and private postgraduate students per qualification for all years.
 - e. The financial data and staff data have been compiled for all the years.
4. *Makerere University* - a complete set of the basic data tables have been collected. Follow-up work on the financial information obtained is needed. It appears that donor funding has been included in the income data, but that expenditure of donor funding has not been reflected in the expenditure table.
5. *Eduardo Mondlane University* – a complete set of the basic data tables have been collected.
6. *University of Mauritius* – a full set of tables, including full-time equivalent data were received from the University of Mauritius on 11 November 2008, for the years 2000 to 2006.

7. *University of Ghana* – The University of Ghana was included at a very late stage of the project. The University is currently busy with the first attempt of completing the data templates.

8. *University of Namibia* – an almost complete data set has been collected.

Institutions from participating African countries will be compared to relevant institutions in South Africa, using size and programme mix (such as medical and engineering schools) as selection criteria.

Conclusion

The project is on track to deliver more than anticipated in the Deliverables. In addition to the interest by the university Councils to whom presentations had been made, Charles Sheppard and Nico Cloete have been asked to present keynote speeches at the upcoming (March 2009) ITS Users conference (400 data managers from universities in Africa, Europe, US and Australia).

Dr N Cloete
Director, Chet

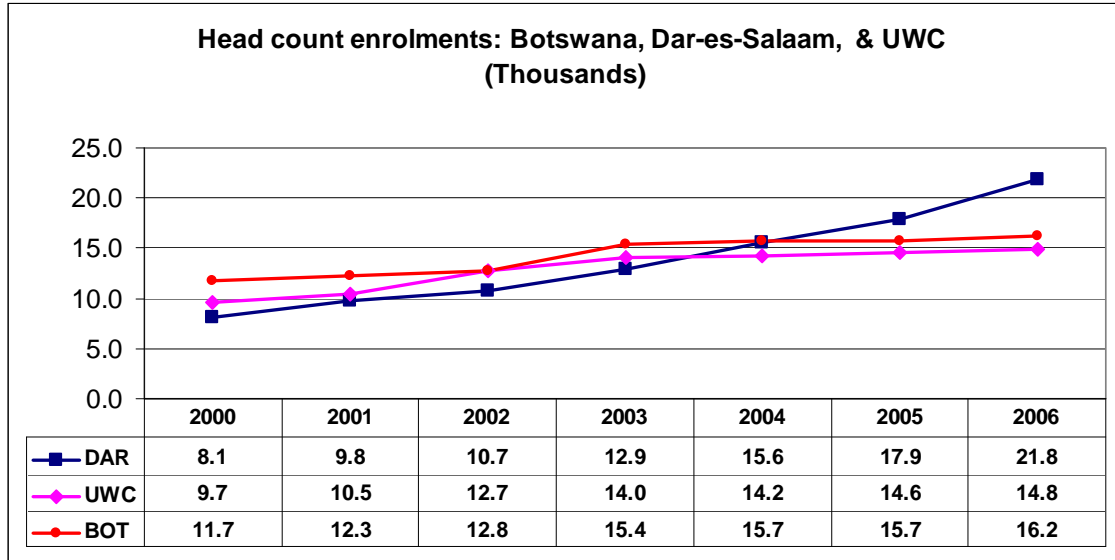
APPENDIX 1 Efficiency Indicators Project Group

Institution	Researcher	Position	Email / Phone
1. Eduardo Mondlane University	Arlindo Chilundo	Professor and Seconded to Planning Division of National Ministry	arlindo@zebra.uem.mz (o) 258 21494743 cell: 258 823022530 Prof. Filipe Jose 258 21 427851 ph 258 21 326426 fax
2. University of Dar-es-Salaam	Daniel Mkude	Retired Registrar and Deputy Vice-Chancellor	mkude@uccmail.co.tz (h)255 22 2410168 Cell: 255 713 325323
3. Makerere University	Florence Mayega	Senior Economist Planning and Development Department	fnakayiwa@pdd.mak.ac.ug (o) 256 414 542470 Cell: 256 772498058
4. University of Pretoria	Pieter Vermeulen Antony Melck	Director: Buro for Institutional Planning Advisor to the Vice Principal	pieter.vermeulen@up.ac.za (o) 012 4203786 or 012 4202666 antony..melck@up.ac.za (o) 012 4202229
5. University of Nairobi	Bernard Waweru	Registrar - Academic	(o) 254 020 318262 ext 28248 Cell: 254 722 825804 bmwaweru@uonbi.ac.ke bexeawa@yahoo.com
6. University of Mauritius	Kishore Bagaunt Anjana Monogee	Director: Quality Assurance Administrative Officer, Quality Assurance	(o) 230 4541041 ext 1517 bkb@uom.ac.mu a.monogee@uom.ac.za
7. University of Botswana	Dawid Katzke	Deputy Vice-Chancellor Finance and Administration	Katzkedb@mopipi.ub.bw (o) 267 355 2031
8. University of Ghana	Alfred Quartey	Director Planning and Management Information Services	aquartey@ug.edu.gh

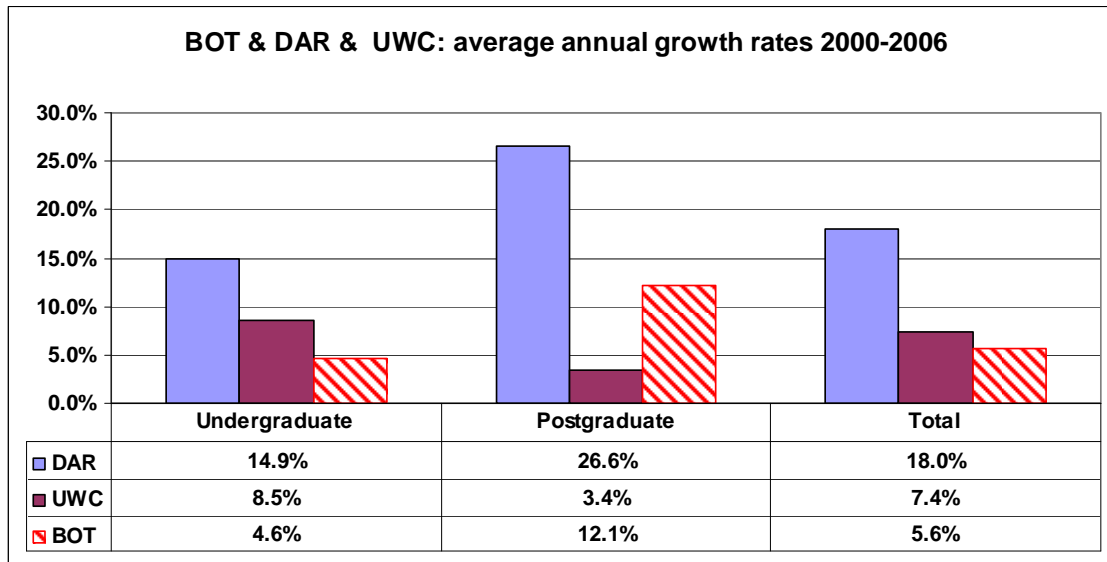
APPENDIX 2: Institutional Profiles: Comparison of Botswana, Dar-Es-Salaam & UWC

Section A: Head count enrolments

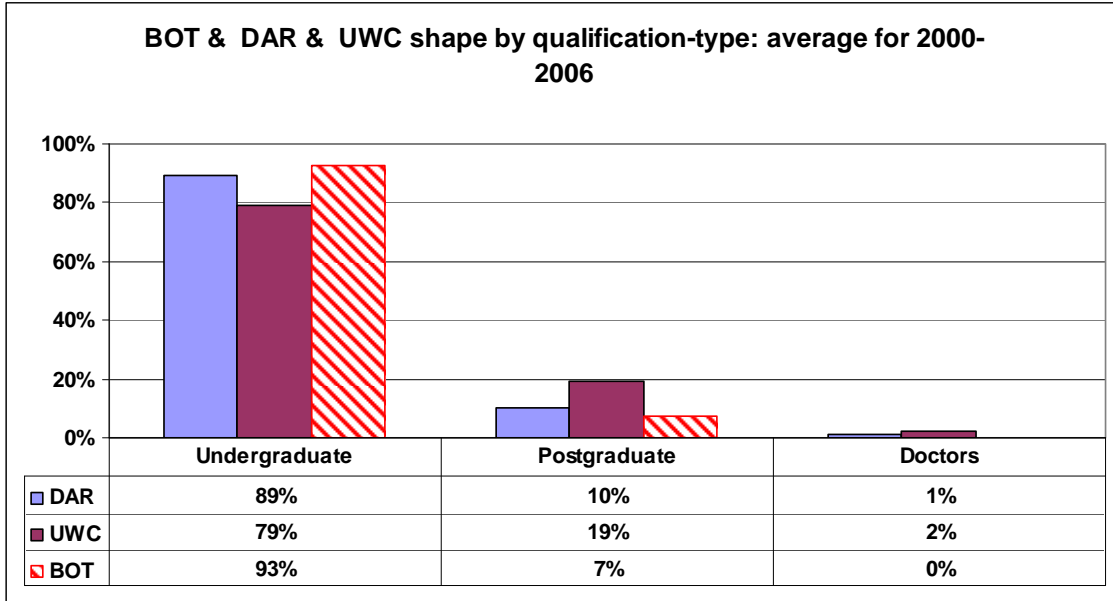
Graph 1



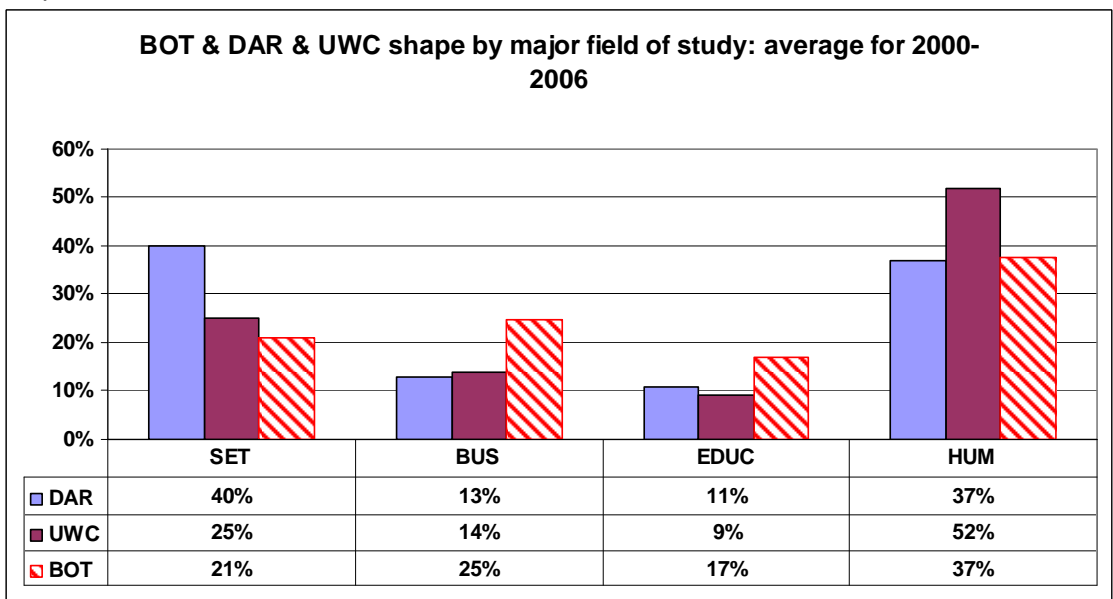
Graph 2



Graph 3

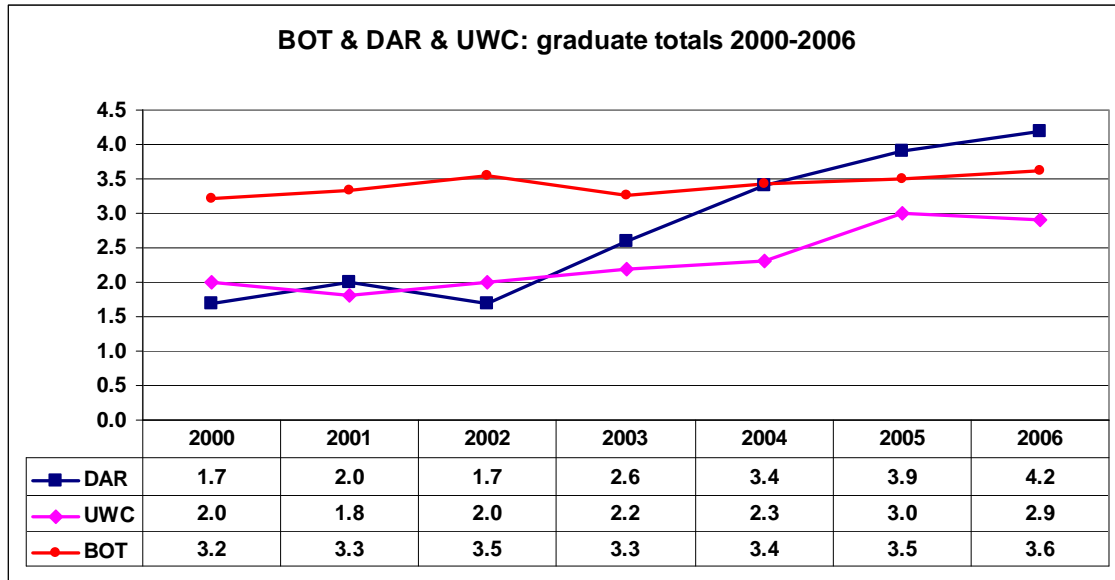


Graph 4

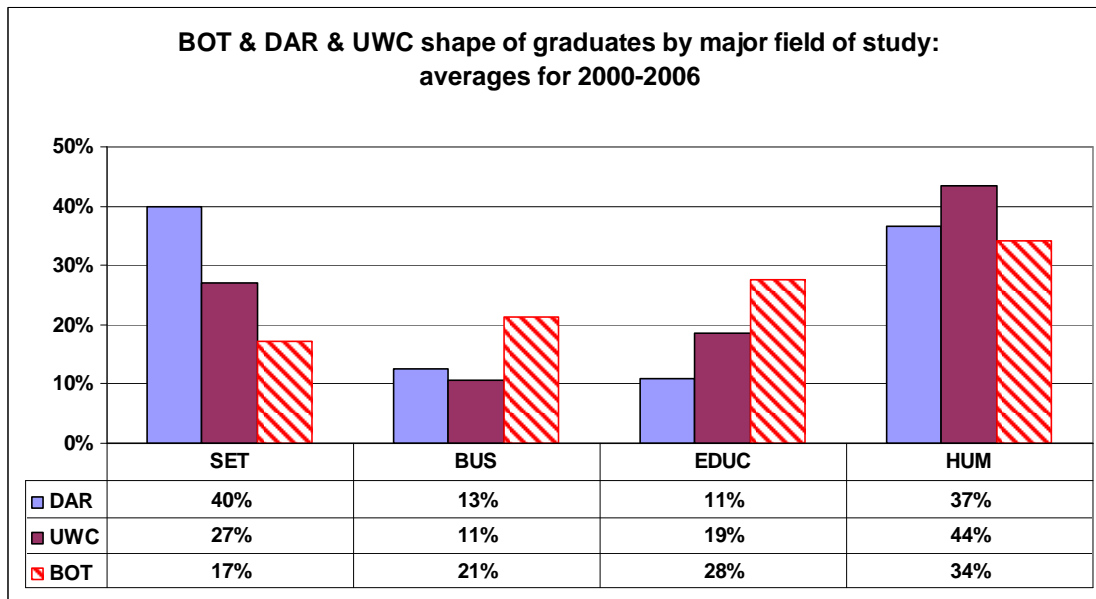


Section B: Student Outputs

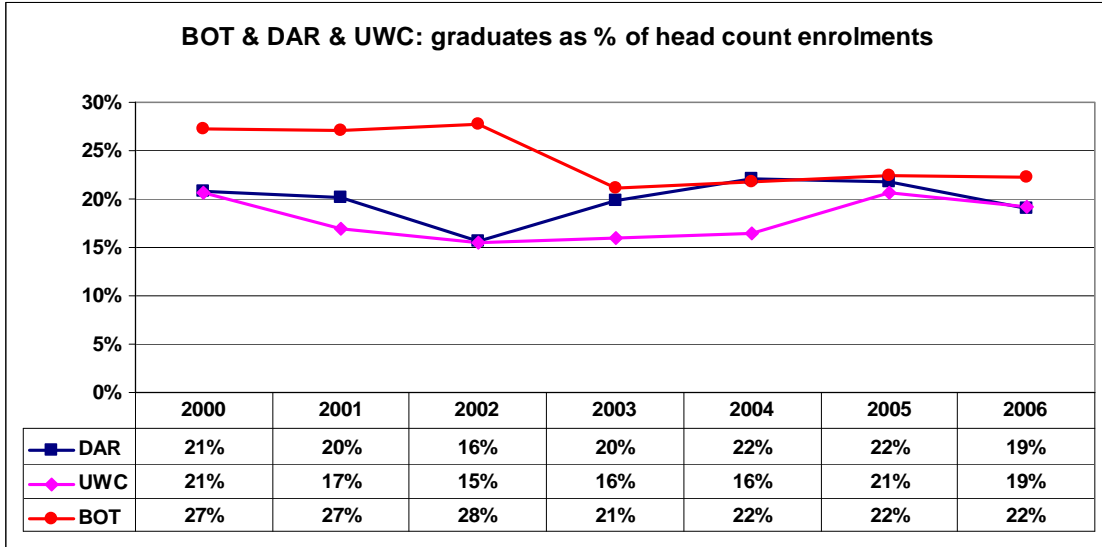
Graph 5



Graph 6

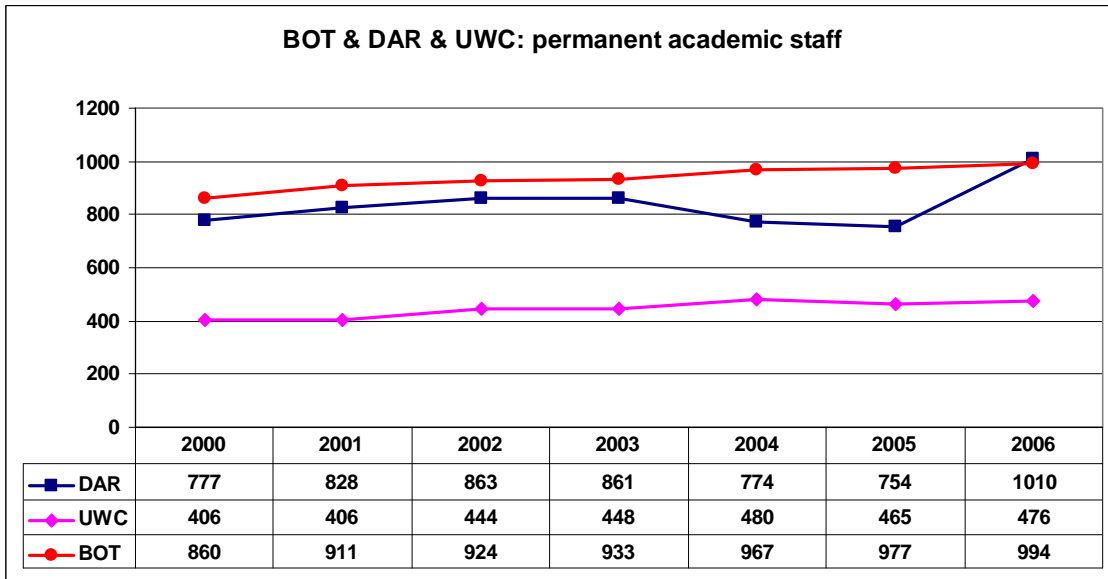


Graph 7

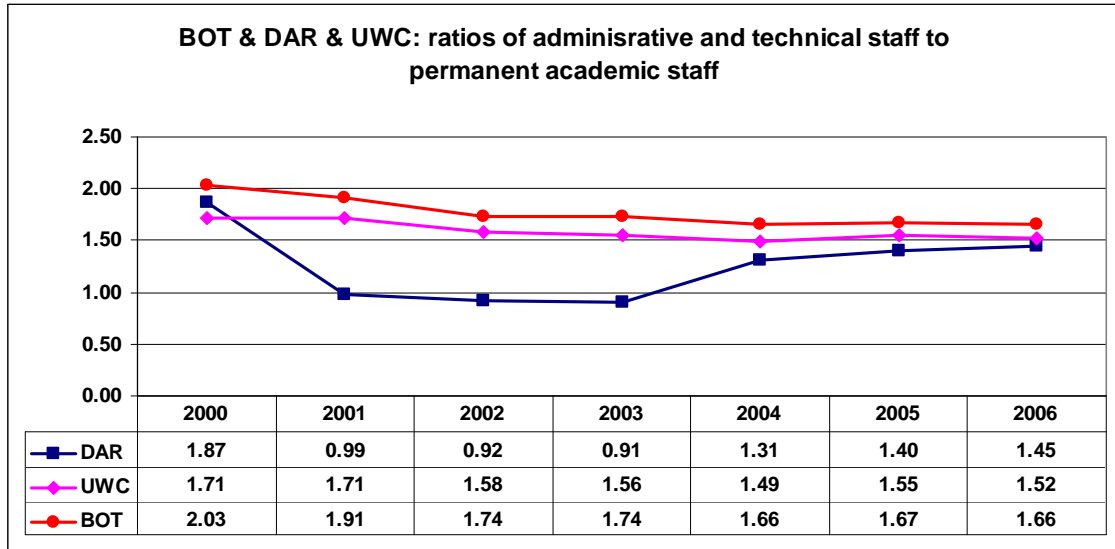


Section C: Staff

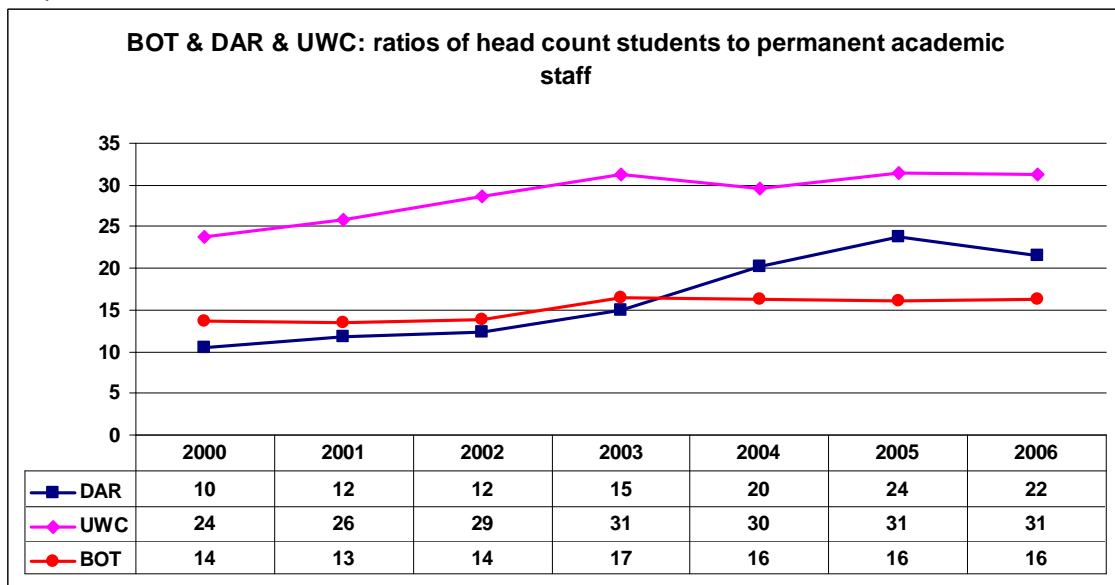
Graph 8



Graph 9

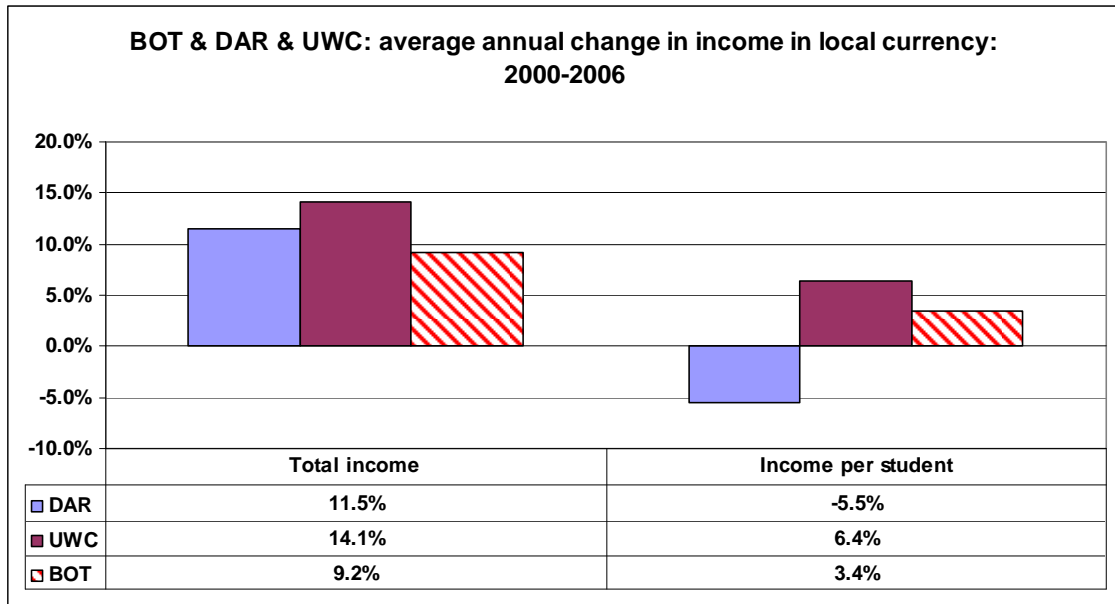


Graph 10

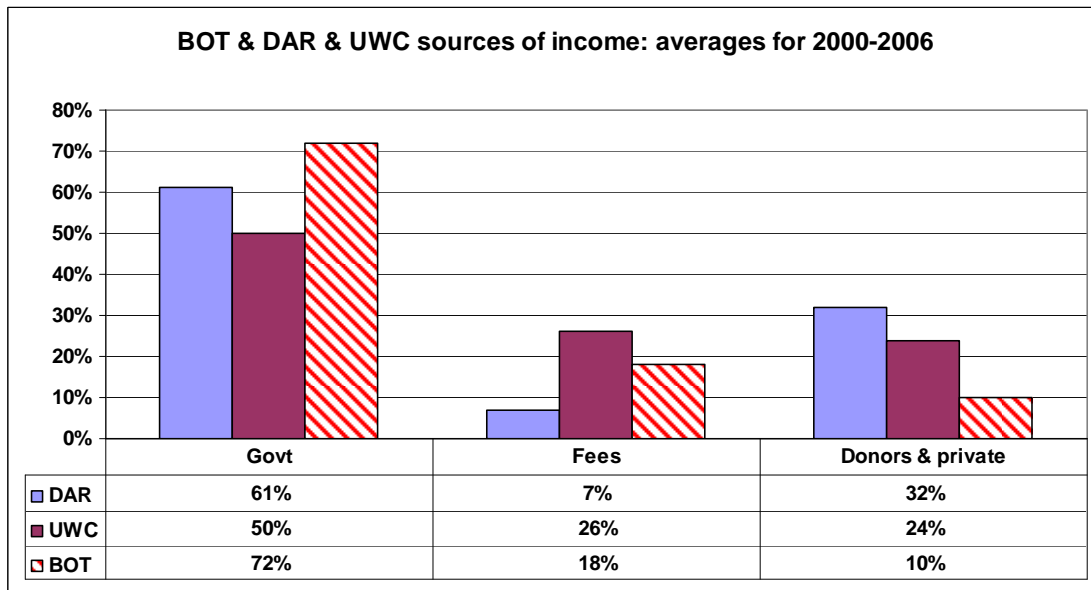


Section D: Financial data in Local Currencies

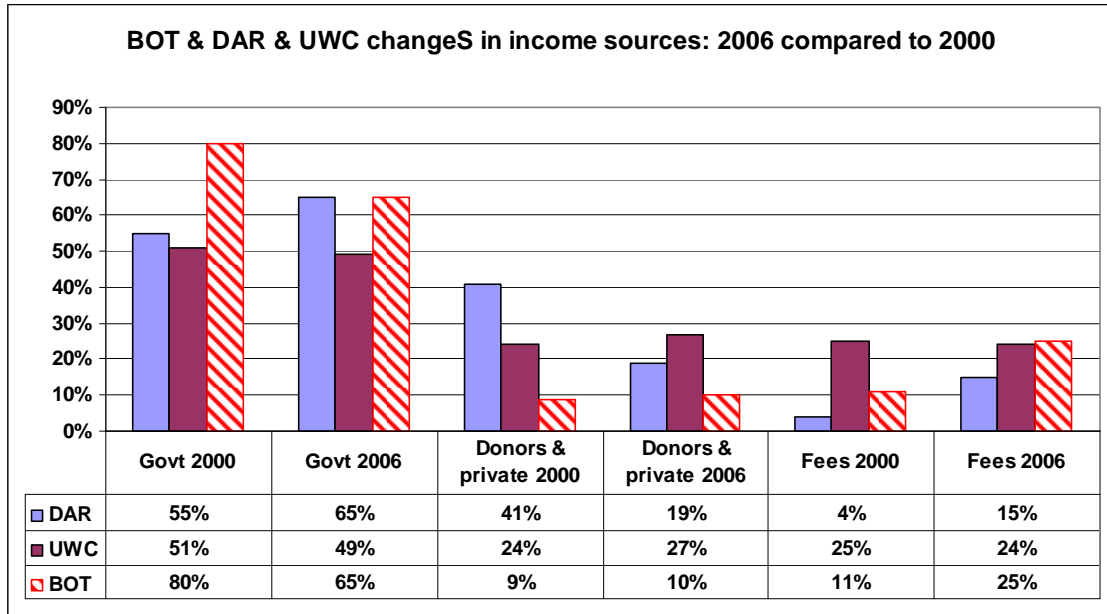
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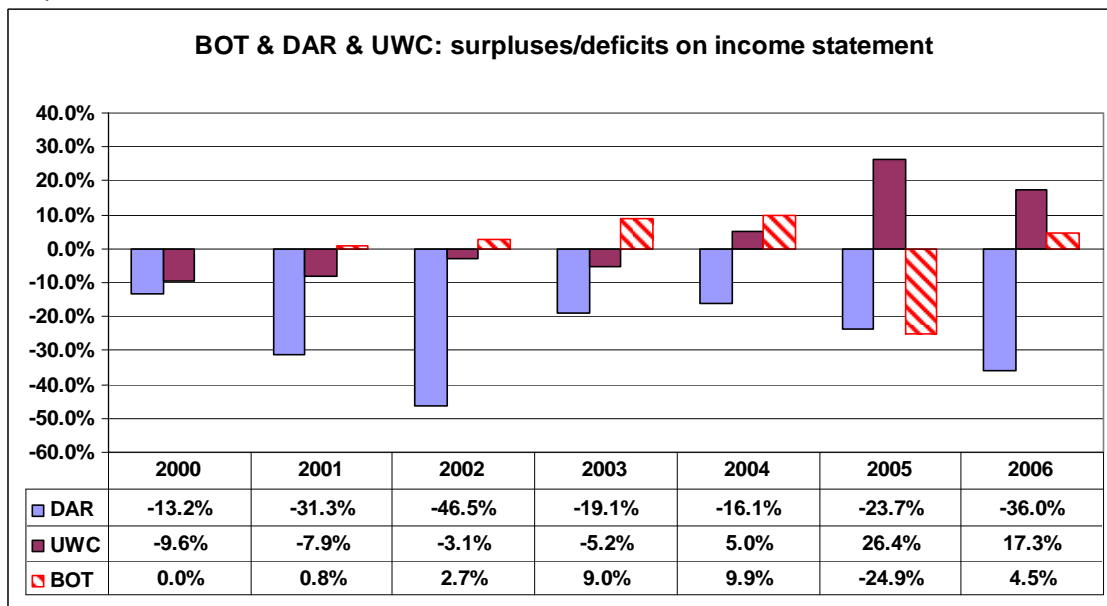
Graph 12



Graph 13

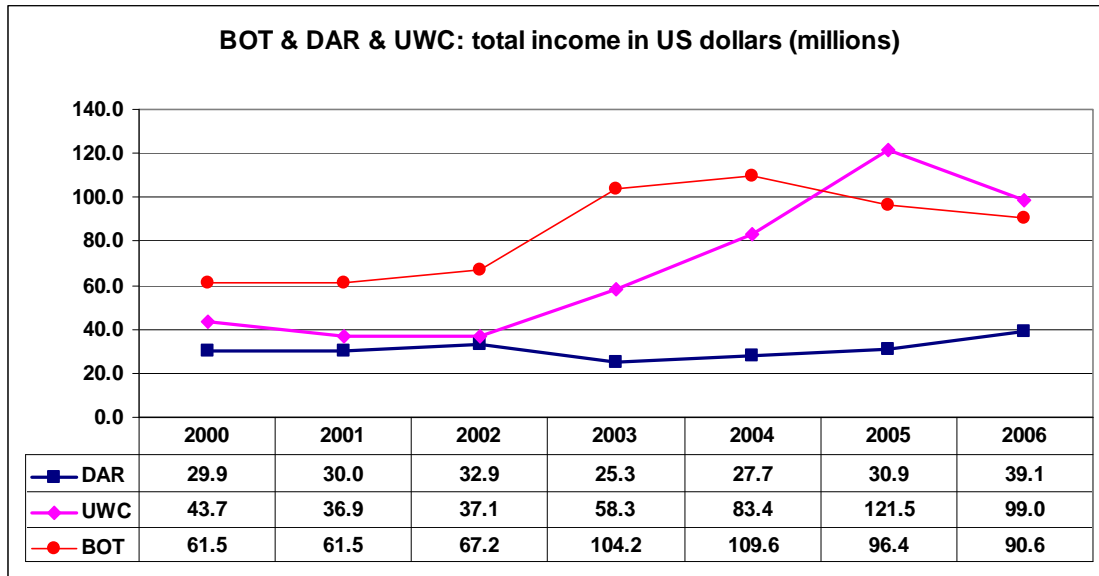


Graph 14

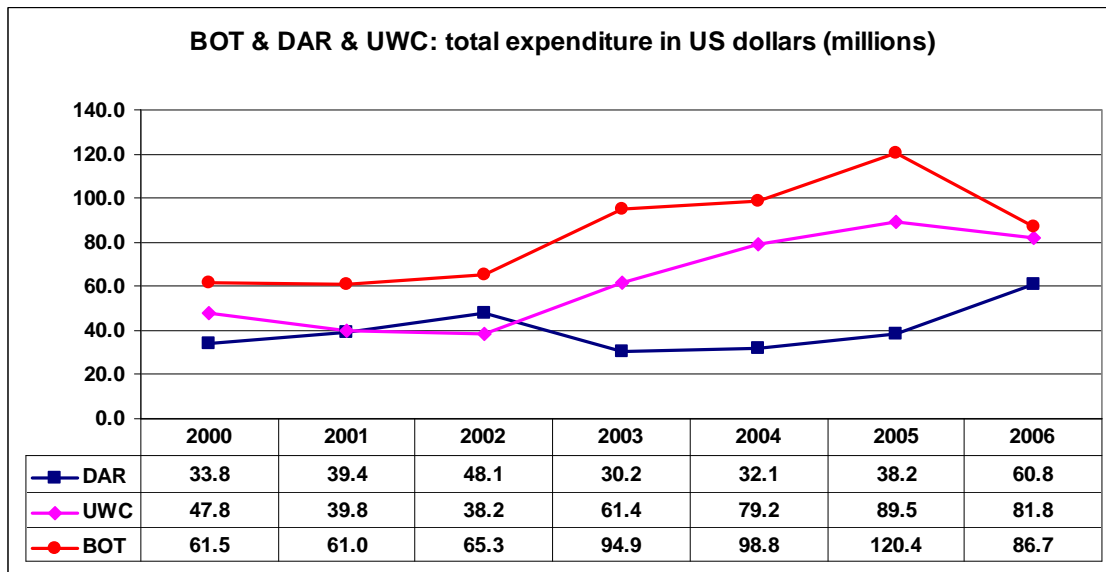


Section E: Financial Data in US Dollars

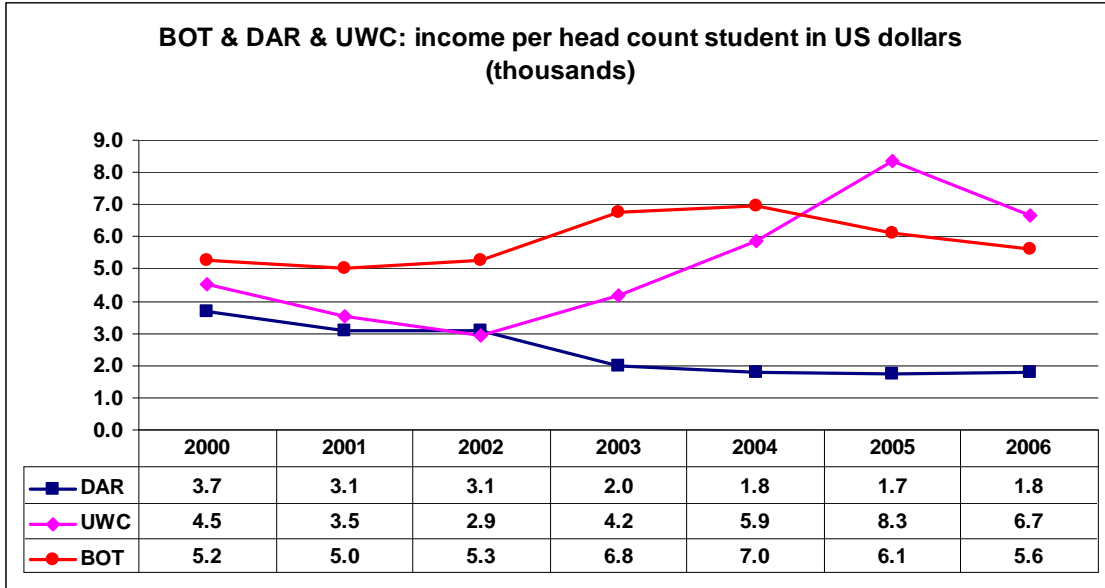
Graph 15



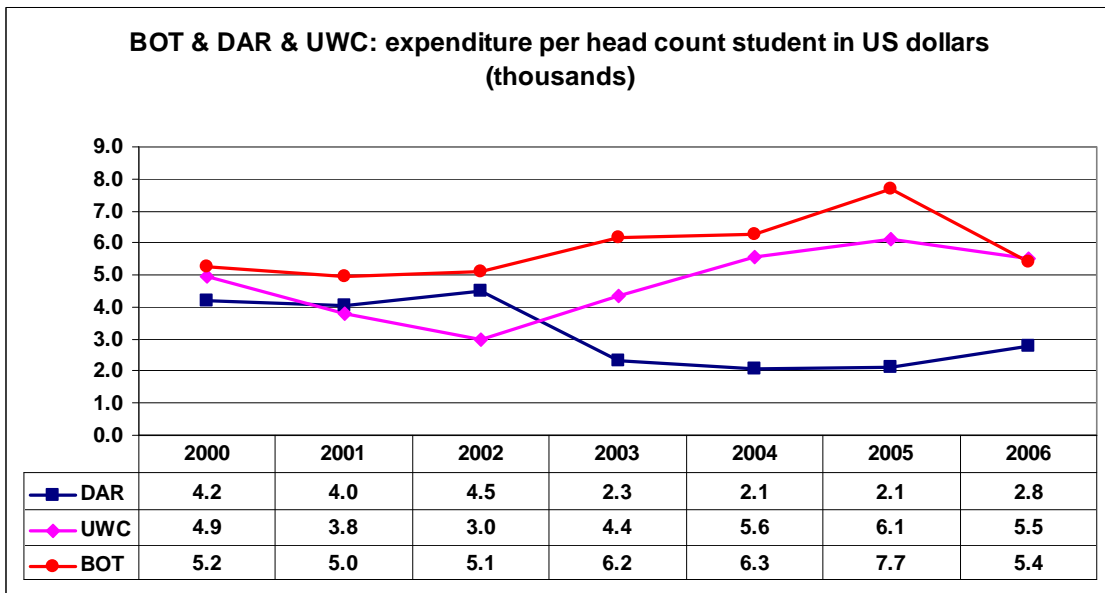
Graph 16



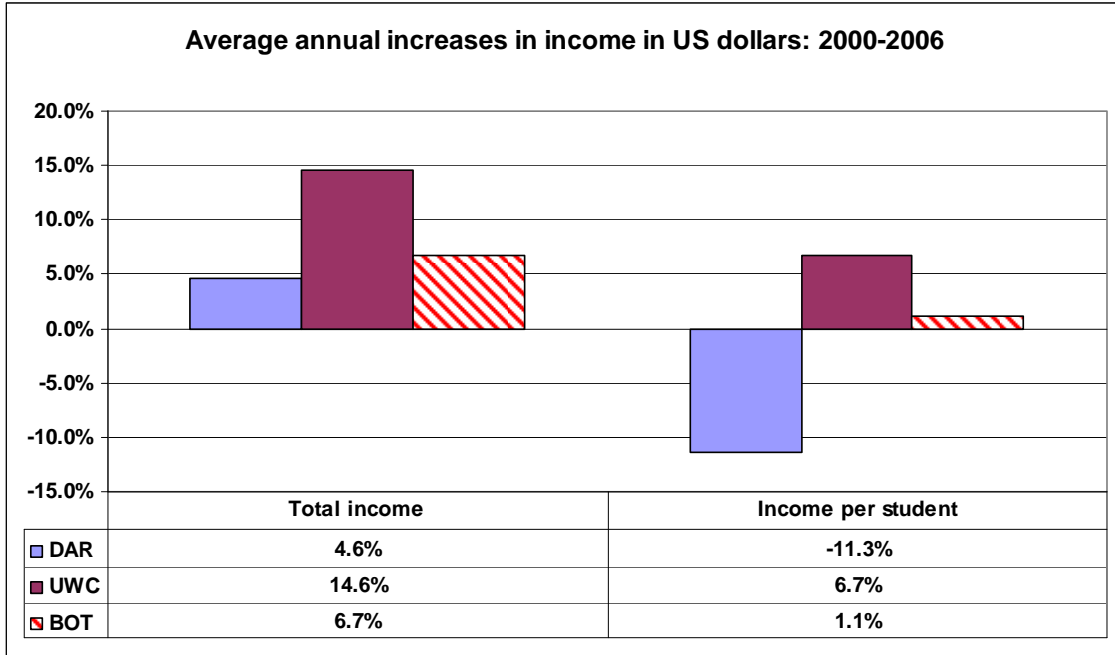
Graph 17



Graph 18



Graph 19



Graph 20

