

**CATALYZING CHANGE IN AFRICAN
UNIVERSITIES (CAU): STRENGTHENING
LEADERSHIP, MANAGEMENT AND
CROSSCUTTING PROFESSIONAL SKILLS IN
EASTERN AND SOUTHERN AFRICA
Project 9-ACP-RPR-118 #5**

TERMINAL EVALUATION

Final Report

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**Regional Universities Forum for Capacity
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List of acronyms and abbreviations

AAU	Association of African Universities
ACP	African, Caribbean and Pacific Group of States
AIC	Action Implementation Committee
BCA	Bunda College of Agriculture
CTA	Technical Centre for Agricultural and Rural Cooperation
EDULINK	ACP-EU Cooperation Programme in Higher Education
ESA	Eastern and Southern Africa
EU	European Union
FARA	Forum for Agricultural Research in Africa
HEI	Higher Education Institutions
IDRC	International Development Research Centre
IUCEA	Inter University Council for East Africa
KCN	Kamuzu College of Nursing
L&M	Leadership and Management
MAK	Makerere University
MOU	Memorandum of Understanding
NIDA	Nkoola Institutional Development Associates Limited
NRI	Natural Resources Institute
PLG	Peer Learning Group
PME	Planning, Monitoring and Evaluation
RUFORUM	Regional Universities Forum for Capacity Building in Agriculture
UNIMA	University of Malawi
SCARDA	Strengthening Capacity for Agricultural Research and Development in Africa
SUA	Sokoine University of Agriculture

Executive Summary

The project on Catalysing Change in African Universities (CCAU) was conceived with the aim of enhancing capacity of universities in Eastern and Southern Africa (ESA) to engage in innovation processes in leadership, management and cross cutting professional competencies development. Implementation commenced in December 2008 for a 3 year period. CCAU was implemented by RUFORUM and its partners:-Makerere University (MAK); University of Malawi (UNIMA); Sokoine University of Agriculture (SUA), and Natural Resources Institute, University of Greenwich. RUFORUM engaged Nkoola Institutional Development Associates Ltd to undertake a final project evaluation to assess project performance; gather feedback from the stakeholders; and provide lessons to guide similar projects in the future.

Methodology: Data was collected through a review of project documents, face to face interviews with 3 RUFORUM secretariat staff, 33 university staff, and 5 students as well as an email questionnaire.

Findings

Strengthening leadership and management (L&M) competencies of university senior managers: Key achievements include designing and delivering 25 training modules, conducting regional and in-country lesson learning and sharing workshops, training 168 senior and middle level university managers, production and distribution of 169 copies of file folders containing various resource materials as well as procurement and distribution of 150 copies of three reference books. In addition, 318 sets of DVDs/CDs containing reference materials were produced and distributed to participants in the training workshops. The project achieved its target with respect to production of 20 course modules and 30 resource materials on leadership and management; and creating a pool of 60 university managers and lecturers able to champion institutional change process in ESA HEIs.

The reference materials were described as useful, relevant, inspiring, practical and a must read for Africans. Key informants acknowledged that the project was instrumental in imparting L&M skills to those in leadership positions, creating a common conceptual understanding of leadership and enabling a heightened awareness of its importance in HEIs. It fostered realisation that leadership is a collective responsibility in the universities. It was noted that the trainings were done when Makerere and UNIMA were undergoing institutional and management changes and hence the imparted knowledge and skills were very timely and helpful for the managers. Individual alumni from the three partner universities noted that they had shared the highlights of the training and took actions to utilise the acquired knowledge.

Institutional changes resulting from the L&M training included the application of the skills in the development of more realistic strategic plans (UNIMA); improved communication and exchange of feedback (UNIMA, MAK); improved strategic thinking and decisions; involvement of more actors in management; greater devolution of powers and decision making responsibility resulting from increased confidence of managers to take decisions; enhanced staff and student appreciation and use of appropriate management and decision making structures in the universities, and incorporation of concepts from the training in some courses offered to students. The above was noted to have resulted into improved timeliness of service delivery in some departments/units (UNIMA, MAK) with noted improvements in the quality and processing of students' transcripts, testimonials, exam results and certificates; better management of meetings; and better relationships between management/lecturers and students; and improvements in management of facilities and finances. Findings suggest that

progress was made with regards to the project performance indicator requiring that at least 10% improvement in delivery of university services related to L&M by 2011.

Limited follow-up by RUFORUM Secretariat in tracking progress in the application of the skills; lack of training for lower level managers and staff; absence of systematised staff orientation and professional development training for new office bearers; entrenched attitudes and institutional cultures; and inadequate formal mechanisms for sharing lessons from the training were cited as factors constraining institutionalisation of skills and good practices.

Building cross-cutting professional skills, Key achievements include validation of soft skills gaps through consultation meetings with the universities; development and implementation of 31 learning modules on personal mastery and soft skill training; and conducting two training workshops; training 46 PhD students in the first PMSS workshop, 36 of whom also participated in the follow-up workshop. The project facilitated formation of Peer Learning Groups around commodities of interest for the trained students to undertake action research. The training fostered growing recognition that PhD training itself is not sufficient for students to operate effectively both professionally and technically post training, thus the recommendation to make PMSS an integral part of graduate training programs. Failure to conduct the third national training workshop and training of trainers workshop which had been slated for year 3 as well as limited follow-up of the students to ascertain progress on assignments were cited as shortcomings under this result area.

Identifying and piloting international good practice approaches for effective and efficient management of university programmes. Achievements include undertaking a comparative review of university leadership codes around areas of good practice in governance, mainstreaming gender and diversity and quality assurance among other aspects; production of a draft document on international good practice approaches in L&M in HEIs as well as sharing the draft with the Project Steering Committee and implementing partners. The paper was discussed and NRI received feedback. Some progress towards increasing demand to review and streamline policies and regulations of ESA universities by 2011 was made through drafting gender and ICT policies and discussions on policies for M&E and more L&M capacity building in universities. Non implementation of some activities notably participatory assessment of comparative review report and identification of good practices; design of a strategy to institutionalize international good practices on L&M as well as limited sharing of the draft paper were the key drawbacks under this result area. Thus, the project did not fully achieve its target of producing at least 10 international good practices and resource materials for improving L&M.

Enhancing partnerships for effective networking and institutional change management. Project achievements were most notable in the establishment and updating of a project blog on the RUFORUM website; the establishment of communities of practice at MAK and UNIMA which were initially vibrant; production of articles in three *RUFORUM Monthly* newsletter which is distributed on line to over 500 people/institutions; and distribution of the 318 sets of DVDs and MP3s to participants of the L&M training workshops. Findings suggest that the project attained regards to its target of producing at least four different types of communication products (100 copies each). Non implementation of the regional joint reflection and lesson sharing session coupled with limited or no networking across colleges and between universities on L&M issues were the key drawbacks under this result area.

Absence of a moderator/ facilitator impaired effectiveness of the university level communities of practice and the virtual networks.

Challenges: Delays in partner reporting; long time lag pending feedback and subsequent approval of reports by ACP-EDULINK PMU Secretariat; and RUFORUM Secretariat taking long to respond to queries on financial accountability were noted as key factors which culminated into financial flow problems as well as delayed/non implementation of some activities. These affected replenishment of project finances from EU and compelled RUFORUM to pre-finance year 2 and 3 activities using funds from RUFORUM operational overheads. Activities were also undertaken with support from associate partners like CTA, as well as other donors projects which co-funded some training events. To mitigate these challenges, close attention has to be paid to contractual issues with the EU and adherence to local institutions procurement procedures. RUFORUM should devise support mechanisms to enhance partner commitment to meet their obligations, timely reporting and accountability so as to avoid delays.

Conclusions: CCAU was highly relevant, its objectives were well aligned to partner university strategic objectives, regional priorities as well as those of EDULINK and they addressed pertinent needs in the HEIs. Overall, results indicate that the project made significant contribution in strengthening leadership and management competencies of university managers and enhancing professional skills of PhD students, specifically through self-learning and application. The project was noted to have induced changes in the partner universities notably; improved communication across levels, better management of meetings, improved timeliness and quality of decisions culminating into improved delivery of services related to leadership and management. Project effectiveness is rated satisfactory. Shortfalls are in the areas of incomplete identification of international good practice approaches in L&M, limited/non-implementation of some activities under result areas 2, 3 and 4; and loss of momentum in the communities of practice and the virtual platforms. RUFORUM and partner universities' commitment to support capacity strengthening in L&M, coupled with involvement of units/departments with core mandate to undertake CCAU activities provides a strong foundation for continued implementation of interventions and realisation of benefits.

Recommendations: Four broad recommendations are proposed. i) Universities should undertake measures to enhance institutionalisation to impart the skills in L&M to all heads of departments and staff so as to develop a critical mass of people who can apply the good practices in L&M for project sustainability and greater ownership. This would include implementation of coordinated and systematic feedback processes; orientation of new office bearers in L&M, exploitation of existing structures such as committees and meetings for discussions and lesson sharing; and anchorage of the training to already existing capacity building systems. ii) RUFORUM Secretariat should have a clear strategy to follow-up and ensure that the changes they expected to catalyse in the universities are institutionalised. This could involve conducting a half day meeting in each university to review progress, identifying and supporting champions within each university/college, and facilitating continued knowledge/information and lesson sharing on L&M across universities. iii), RUFORUM Secretariat in collaboration with the universities should strengthen the capacity of member universities staff to deliver the training in L&M thereby lowering costs and enabling greater outreach. iv), future learning sessions should be preceded by sending advance questions to enable participants consult and prepare some materials which would facilitate more informative group discussions.

1. Introduction

1.1 Background

The European Union, African, Caribbean and Pacific (ACP) countries Cooperation Programme in Higher Education (EDULINK) provided a grant to the Regional Universities Forum for Capacity Building in Agriculture (RUFORUM) to implement a project on Catalysing Change in African Universities (CCAU). The project was conceived with the specific objective of enhancing capacity of universities in Eastern and Southern Africa (ESA) to engage in innovation processes in leadership, management and cross cutting professional competencies development. It addresses institutional capacity so as to maximise academic quality and relevance through developing leadership, management and professional skills. It also addresses support for institutional capacity building, innovativeness and adaptive management in ESA HEIs. It was developed to address the need to retool those who play the most critical roles in the management of universities with modern management skills that are important for such positions; and to improve capacity of university administrators to mould these institutions into suitable environments for innovation and creativity.

The project implementing partners were RUFORUM Secretariat in partnership with Makerere University, Uganda; University of Malawi (UNIMA), Malawi; Sokoine University (SUA), Tanzania and Natural Resources Institute (NRI), University of Greenwich. The associate partners included Forum for Agricultural Research in Africa (FARA), Association of African Universities (AAU), Inter University Council for East Africa (IUCEA) and Technical Centre for Agricultural and Rural Cooperation (CTA).

The ESA partner universities were to facilitate orientation of L&M and PM/SS competence strengthening interventions to university and national level functions. They also had to facilitate staff and managers recruitment into the project activities, institution level awareness and training activities and ensure that there are mechanisms for sustaining partnerships and institutionalising the learning process and international good L&M and PM/SS practices. Makerere University were in facilitation of personal mastery competence development for lecturers and provision of support for leadership and management skill enhancement for senior university managers. University of Greenwich was to support the institutional change management process, particularly through working with Makerere University. The associate partners were expected to facilitate networking and collaboration; promote partnerships within ESA and Africa-wide; leverage resource mobilization; and conduct policy advocacy in support of the action. They were to serve as the main conduits for information sharing and lesson learning for the action as well as facilitating regional learning platforms and providing additional retooling avenues and courses for lecturers and university managers.

Project implementation commenced in December 2008 and was set to run for a three year period through November 2011. RUFORUM took lead in coordination and management of the action, and had to report to the ACP Secretariat, the RUFORUM Board, AAU, and FARA. With the project life in its final year of implementation, RUFORUM engaged the services of Nkoola Institutional Development Associates (NIDA) Limited to undertake a final project evaluation. This report presents study methodologies, findings of the study; lessons learned and recommendations.

1.2 Objectives of the final evaluation

The overall objective of this assignment was to conduct a terminal evaluation of the project to establish extent of achievement of project objectives, get feedback from stakeholders and document lessons.

Specifically the study set out to:

- i. Establish extent to which project objectives have been achieved in relation to expected targets and agreed indicators in the logframe;
- ii. To analyze the expected and unexpected, positive and negative outcomes and impacts of the project;
- iii. Draw up some recommendations for future action after the CCAU project ends;

1.3 Methodology

The approach used in the study involved information gathering from project documents; project implementers; staff from three RUFORUM member universities¹, and some students. Literature was reviewed on project documents including the project proposal, workshop reports and progress reports. Key informant interviews were conducted with RUFORUM secretariat staff, 33 staff from three partner universities and 5 students who participated in the personal mastery and soft skills training. Field data collection was preceded by development of study instruments which were presented and discussed with the client. Field findings as well as information from secondary sources have been compiled, and subjected to critical analysis with a view to establish progress towards project targets. Rating has been used to assess project performance against evaluation criteria of relevance, effectiveness, and sustainability (see annex B).

1.4 Arrangement of the Report

These next sections of the report are arranged as follows:

Chapter 2: Presents the study findings

Chapter 3: Presents assessment of project relevancy and sustainability

Chapter 4: Presents the conclusions, emerging issues and recommendations

2. Findings

Project interventions implemented by RUFORUM, its implementing partners and associates fall within four result areas:- a) strengthening leadership and management competencies of university senior managers; b) strengthening professional skills of lecturers and junior university staff, c) identifying and piloting international good practice approaches for effective and efficient management of university programmes; and d) enhancing partnerships for effective networking and institutional change management. Findings present evidence of activities undertaken, achievement of expected results, shortcomings and challenges. In presenting the findings an attempt is made to talk to the indicators but conclusive data has not been established to measure all the indicators as stipulated in the project logframe.

¹ Makerere University, University of Malawi and Sokoine University of Agriculture.

2.1 Strengthening leadership and management competencies of university senior managers

Project interventions in this result area focused on planning for effective implementation, designing of training modules for senior managers, production of training modules and resource materials; as well as conducting learning and lesson sharing sessions.

2.1.1 Planning for effective implementation.

Project interventions to plan for effective implementation were undertaken with a view to refine the implementation strategy; consult with university managers for buy-in and operationalisation of the learning process. The interventions also focused on establishment of project implementation and management structures; identification of institutional gaps in leadership and management; as well as design and implementation of participatory Monitoring, Evaluation and Learning strategy. Findings reveal that planning for effective project implementation was realised through the inception meeting as well as scoping visits and institutional analysis in the universities.

An inception planning workshop was held in Entebbe, Uganda at Imperial Botanical Beach Hotel from 23rd to 25th February 2009. Key outputs from this workshop included revised project outputs, a detailed and refined project work plan and implementation plan; agreed milestones for the activities and outputs. Other achievements included development of an agreed set of Terms of Reference (ToR) for Partners; establishment of Action Implementation Committee (AIC), identification and clarity on specific Leadership and Management issues and gaps; and a revised project logframe. The meeting was also noted to have helped in creating participant self awareness and opening up to accept weakness in L&M.

Scoping visits and institutional analyses were also conducted in the three project partner universities with a view to create awareness among managers in participating universities and make plans for the training activities. This process helped in:

- a) Clarifying the type of individuals to target for the training with a focus on the younger staff that still had longer period to serve their universities and communities;
- b) Situational analysis and subsequent identification of the key units in the partner universities to be involved in the CCAU project.
- c) Strategies to foster institutionalisation and long term sustainability. This culminated in the recommendation that the program engages units such as the Academic Registrars Units, as well as Departments of management that have CCAU activities as part of their core business
- d) Lesson learning from on-going efforts to address the capacity issues in leadership at SUA and UNIMA. This helped to improve focus and nature of the training at Bunda and SUA.
- e) Clarity on scale of training in order to lower costs in light of large numbers of aspirants in the partner universities. To ensure that a larger number of participants could be involved, the managers at SUA and UNIMA agreed to look for cheaper venues off- campus as well as to cost share in transportation of participants to these meetings.
- f) Adoption of the model for L&M capacity strengthening used in the project Strengthening Capacity for Agricultural Research and Development in Africa (SCARDA) which was coordinated by Forum for Agricultural Research in Africa (FARA), one of the project associate partners.

2.1.2 Design short training modules for university managers

Project interventions focused on designing of training content for the short courses for senior managers as well as middle level managers and lecturers. Findings reveal that a total of 15 modules were designed and delivered by the consultancy firm during the two three-day training sessions for senior managers. Seven modules on the theme ‘Facing Brutal Facts about Africa and African Academic Institutions’ were covered in the first regional reflective training workshop while eight modules spread over three themes were covered during the first in-country training. In addition, Natural Resources Institute (NRI) of the University of Greenwich prepared 10 course modules for training the mid level managers (Table 2.1). Thus a total of 25 course modules on L&M were produced which surpasses the project target of 20 modules.

Table 2.1: Training modules on Leadership and Management developed during the project

Module	Theme	Training session	
1. Dreams from the Founding Fathers of African Nations	Facing Brutal Facts about Africa and African Academic Institutions	First regional reflective training held in Mombasa	
2. Fifty Years of African Independence- An Odyssey			
3. The Role of Education and Innovation in National Development			
4. The Role of Numeracy and Literacy Skills in National Development			
5. Flowering and Non-Flowering Institutions			
6. The Role of Culture of Discipline in Institutional and Nation Building			
7. Institutions Taking Responsibility for National Development			
8. Fifty Years of Independence – Africa vs. Singapore	Review of Facing Brutal Facts About Africa and Her Institutions of Higher Learning	Second Session In-country training workshops for senior leaders and managers	
9. Why Have African Institutions Failed?			
10. Review of Outcomes of Activity 1 at Mombasa, Kenya	The Good to Great Quality Leadership Model		
11. The Good to Great Leadership Model			
12. Application of Good-to-Great Model to Our Institutions			
13. Elements of Quality Management Planning Standards	Introducing ISO 9001-2000 Quality Management Standards		
14. Introduction to ISO 9001-2008 Quality Managements Standards			
15. Applications of QMS Standards to Institutional Effectiveness			
16. Institutional analysis – core functions, internal environment			In country workshops for training of the mid-level managers
17. Institutional analysis – external environment, stakeholder mapping			
18. Institutional analysis – PESTLE and SWOT			
19. Strategic planning			
20. Introduction to change management			
21. Leadership and managing people			
22. Leadership and management capacities needing strengthening in the colleges			
23. Conflict resolution exercises			
24. Business development			
25. Team building activities			

2.1.3 Produce training resource materials

The project set out to produce at least 30 resource materials on L&M and cross cutting professional skill competence development. Findings reveal that in addition to the training modules, each participant in the first and second training sessions was provided with a file folder containing various resource materials; including group work discussion guides, some reading materials, and evaluation questionnaires. A total of 169 copies were distributed

during the first reflective learning session workshop and the second reflective learning in-country training workshops.

One hundred fifty copies of three reference books (50 copies for each book) that complement and enhance the learning were distributed to the partner universities:- MAK, UNIMA and SUA. These books include: 'From the Third World to the First' by Lee Kuan Yew, 'State of Africa' by Martin Meredith, and 'Good to Great' by Jim Collins. To facilitate learning, dissemination and up/out-scaling of the learning, each participant/department represented in the first and second training sessions were given a copy of the reading books. The participants were also encouraged to buy some of the reference books. The Vice Chancellors of MAK and UNIMA noted that they have encouraged the colleges to buy copies of the books. The VC of MAK bought 200 copies of Good to Great which he has been giving to each person who gets into management positions. Likewise the university office at UNIMA bought 105 copies of the books and distributed them to each of the colleges and the university management office. Copies of the reference books were also sent to the libraries. In addition Bunda College bought 10 copies for each of the three books and stocked the college library.

In addition a set of DVDs/CDs and MP3s were produced and given to each of the participants with a view to allow more in-depth understanding of ideas. A total of 318 sets of DVDs/CDs (160 sets in the first regional reflection workshop, and 158 sets of the in-country trainings) were produced and distributed during the project. Each participant in the first regional reflective workshop and the second training session for senior leaders and managers received 2 MP3s, and 2 DVDs. The findings on production and distribution of resource materials surpass the project target of 30 resource materials.

Key informants acknowledged receipt of the books and other reference materials. The reference materials were noted to be very good, useful, very relevant, and inspiring. Key informants reported that in general the training materials were interesting, practical, relevant to their operations and even applicable to other fields and positions that some of them hold outside the university. The most cited reference book from the interviews was 'Good to Great'.

Text Box 1: Anecdotal views on resource materials

- *The recommended books are must read for Africans.*
- *The books helped to refresh our minds on L&M.*
- *The books inspire the will to do things that can lead to transformation of institutions and countries.*
- *They serve as a blueprint that offers a fallback to provide you with models to use whenever you get a problem area in management". "I refer to it in my free time. It is like my Bible".*

2.1.4 Conduct learning and lesson sharing sessions.

Learning and lesson sharing sessions were conducted with the aim of enhancing senior managers and lecturers understanding of and capacity for leadership, management and implementation of balanced university development. These comprised of sequentially arranged short regional learning sessions, self practice by individual managers and experience sharing at the respective universities. Findings reveal that a regional reflective workshop, followed by self practice triggered by assignments to managers; in-country trainings for senior leaders and managers as well as training for middle level managers were conducted.

However the third regional reflective learning session and the third self-learning session by managers which had been planned for year three did not take place.

The first regional reflective workshop held in Mombasa, Kenya from 7-9 June 2010 was attended by 51 participants (15 from SUA, 15 from UNIMA, 14 from MAK and 7 from RUFORUM Secretariat). The participants analysed the L&M in their respective institutions and units and developed an agreed list specifying i) what they should stop doing, ii) what they should start doing, and iii) what will we continue doing.

Self learning practice by managers: The first regional reflective workshop was followed by self learning practice by the managers. The self learning practice was built on the take home assignments given to the participants during the first regional reflective session. The assignment included reading the reference books, sharing the reading and training materials with the staff they supervise, identifying at least twenty 'Good to Great' leadership implementable principles from the book.

The participants were expected to submit the assignments prior to the second reflective training session which took place in their respective countries. However, it was noted that the submission of the assignments was unsatisfactory as the participants only completed the first part of the assignment focusing on sharing the materials. Time constraints due to other pressing duties once they were back at their posts were cited as the key reason for unsatisfactory completion of assignments. It was noted that there were no systematic and regular follow-up of participants to ascertain progress on the implementation of the assignments as well as their corresponding outputs and outcomes. Follow-up was limited to telephone and email enquiries from the RUFORUM Secretariat Planning, Monitoring and Evaluation (PME) unit and only a handful responded to the emails. Nevertheless key informants indicated that they had read and shared the reference materials with their subordinates. They also noted adoption of the practices to run activities in their faculties/units/departments.

Self learning practice was followed by the second in-country training workshops spanning over three days and covering three themes each with 2-3 modules. A total of 154 participants (UNIMA 62, MAK 47 and SUA 45) attended the second training sessions. The training sessions were designed to be sequential and cumulative, hence senior managers who participated in the first regional workshop were expected to also attend the in-country trainings. In addition new participants were also brought on board. Findings reveal that 37 (15 from UNIMA, MAK 14, SUA 5, and RUFORUM Secretariat 3) out of the 51 participants in the first regional workshop also participated in the in-country training.

In addition, UNIMA organised a third round of follow-up in-country workshop for the middle level managers including faculty deans, deputy deans, college registrars and their assistants, college finance officers, internal auditors and some heads of units/departments, from all the 5 colleges and the main university office. A total of 53 people participated in this workshop. NRI provided the lead facilitators for this work. The participants in the first regional reflective workshop as well as some of those from the second training sessions were used as co-facilitators during this workshop.

Overall findings reveal that a total of 168² senior managers and leaders took part in the training. The number of participants is more than double the project target of establishing a pool of 60 university managers and lecturers able to champion institutional change process in the ESA HEIs and beyond. Through the learning and reflective sessions coupled with self learning and practice the participants improved their ability to take leadership actions which can induce change at their various levels. However for them to effectively champion change would require favourable organisational environment, (policies, procedures, incentives) as well as support mechanisms that help to influence the decision makers and provide opportunities for experience sharing.

Second self learning session by managers: The Makerere University participants formed the ‘Good to Great’ forum made up of a seven member committee to maintain the momentum gathered at the 3 day workshop, and liaise with the office of the Vice Chancellor and the University Senate on how best to implement the ‘Good to Great’ model at Makerere University. They conducted three face to face meetings, formed a virtual discussion forum involving all the participants in the training sessions and made a presentation to the Senate about the need for change at the university.

However, the forum gradually lost momentum up to the point that there were no more virtual and physical interactions. This was attributed to three factors:- i) absence of a network facilitator to trigger and coordinate discussions; ii) diversion of staff focus to adaptation to structural changes which were occurring at the university at the time; and iii) laxity due to prolonged wait for follow-up trainings at lower levels to take place so as to bring all staff on board.

Nevertheless individual alumni from the training sessions noted that they had taken some actions to share and utilise the knowledge.

- Some noted that they had shared the highlights of the training with fellow members of their Faculties/units and again during Faculty Board meetings. In one case a respondent from MAK noted that they had started to incorporate some of the ideals notably knowing staff competencies and getting them to serve where they can best perform. Then the restructuring at Makerere University came; and they seem to have lost it at that point.
- A participant from SUA noted that “I briefed my deputy on what we were taught during the training and gave him the books on leadership to read, and also the books were given to other members of staff”.
- Another participant from SUA reported that after the first workshop, I convened a meeting of Heads of sections (Departments), shared and discussed issues that we needed and could improve, initiated the process of implementing two things:
 - Developing the Vision and Mission of the Library –now already approved by the university organs
 - Initiated plans to face-lift the library external environment using library resources, while requesting for additional funding, now implemented to a large extent.

² 154 in the in-country second session training workshops (inclusive of 37 who also participated in the first training session) plus the 14 who only participated in the first regional reflective workshop.

After the second workshop, we discussed about implementing two things:

- Plans for in-house workshops/discussions to share some ideas with fellow staff (all library staff)
- In-house training on Customer care issues in our library.

UNIMA set up a task force after the first regional workshop to discuss and formulate a plan of action for implementation of the lessons learned from the leadership and management activities. The university planned to sponsor another phase of 3 two day workshops for HODs, staff and faculty members in Zomba (for Chancellor College and University Office staff) Blantyre (for Polytechnic and College of Medicine staff), and Lilongwe (for staff at Bunda College and the College of Nursing). This was seen as a way of targeting more staff to increase on out reach and reinforce what was learnt from the previous workshop. The university was committed to meet the costs for these workshops. The university had expected to engage the same consultants who facilitated the regional workshops to backstop the fourth round trainings of staff in the departments. However the workshops had not been done by the time of this evaluation, this was attributed to scheduling which did not match with availability of the proposed lead facilitator, and the overwhelming activity at UNIMA to resolve the impasse at Chancellor College where staff went on strike and the college was closed for 8 months in 2011.

Nevertheless, college level meetings coordinated by Vice Principals and involving current and in-coming Deans, Heads of Departments and Registrars were held at the Kamuzu College of Nursing, Bunda College of Agriculture, Polytechnic and Chancellor College. These were used as the opportunities for orientation of the heads of departments, sharing experiences and lessons from the regional and country level workshops. However, the duration of the meetings varied across colleges from 1 day meetings to 5 day meetings. Hence key informants noted that new office bearers would benefit from more days of engagement and exposure. College wide orientation of staff was not done although individual participants noted sharing highlights of the information with staff in the faculties as well as encouraging them to read the books.

Polytechnic College also organised a meeting where they discussed governance issues in the college. The meeting was attended by college managers and staff, as well as administrators from central university office. This provided a forum for discussion and feedback from the central office.

Top university management seem committed to follow-up on these plans, drive greater change and consolidate gains from the experiences. The leadership recognise that it is important to sustain the gains since office bearers change quite frequently thus necessitating such training to be offered annually and whenever new management is introduced.

The learning and lesson sharing workshops were noted to have offered the universities a great opportunity to discuss leadership and management issues pertinent to them. It was highlighted that of particular value and insight were the discussions and reflection on what they were doing, what they should stop doing and why, what they should continue doing, and new practices they had to start doing. It was also noted that the in-country workshops had more impact because more participants took part, they tackled context-specific issues and they brought together leaders and managers of different levels who had the capacity to take things forward.

Text Box 2: Key informant views on L&M training sessions

- ‘I have attended trainings before but they were not practical. The RUFORUM training was more user friendly to our situation in Africa.’ It was not about discussing theories in management, rather it focused on discussing how to apply principles to practical challenges
- ‘There was active participation during the training sessions, which focused on self reflection on issues pertinent to our institutions.’
- ‘The RUFORUM training was good because offered guidance and energised managers to face the brutal facts so as to address issues that retard progress in the institutions.’
- ‘Training was context specific, with emphasis on drawing attention to the weakness in your own institutions. But it also helped people to understand that challenges were not unique to a single university and the realisation that others in the region are doing something about it.’
- ‘It was one of the most well organised trainings I have ever attended.’
- ‘It was perfect. It is unfortunate that there was no follow-up training.’
- ‘The training was excellent. The facilitator was very good and had the ability to resonate with the participants and send the message home.’
- The two workshops and particularly the first one in Mombasa to me were “business unusual”. I found them very relevant with regards to my administrative work.’

Some staff noted that they have incorporated concepts from the training into their courses. One respondent expressed that this was a critical step in developing a critical mass of individuals with the requisite skills in L&M. He reported having incorporated these concepts in an undergraduate course and has so far shared knowledge with 2 groups of Masters students by instructing them to read ‘Good to Great’ and engaging them in discussions on every chapter. In addition, some faculties in Polytechnic have incorporated concepts from the training into modules of the courses they offer while others which are in the process of curriculum review have been urged to do so as well.

The knowledge and skills have also been shared with student leaders whenever new office bearers come on board (UNIMA Polytechnic and Bunda College). This entails a one day sensitization workshop where principles of discipline drawn from the training are drawn. The effect of this has been that students have greater appreciation of the value of other partners in the university. Thus they are gradually abiding by the university rules and regulations and this has eased relations between students and management.

The knowledge has also been shared with non university actors. One of the respondents reported having shared the information with others in a parastatal in which she is a board member. Another respondent noted that he incorporated issues of L&M as a module in the curriculum of a short on applied nutrition which has been offered to 140 middle level managers in the Malawi.

However it was also noted that there was limited follow-up of the assignments which participants in the second training sessions were expected to do. The RUFORUM Secretariat PME unit used e-mails and phone calls to establish progress on assignments. Feedback was only received from not more than 10 participants. Non-completion of the assignments by majority of the staff was attributed to a host of factors including closure of Chancellor

College in UNIMA, structural changes at MAK, limited follow-up from RUFORUM secretariat and lack of clear strategy to support institutionalisation of the changes in the universities.

2.1.5 Impact on knowledge and skills of participants

Findings reveal that key informants acknowledge having improved their knowledge and skills in L&M. They also reported that they developed their listening skills, humility, level five leadership skills, team working skills. In the universities, progression into leadership and management positions is based on academic qualifications and elections. Therefore most office bearers join management without orientation in L&M which has often culminated into leadership by trial and error as the managers learn on the job. Hence the project was valuable in imparting L&M skills to those in positions of leadership.

The training helped to create heightened awareness and realisation of the importance of leadership. It induced self awareness of weaknesses, and the fact that change will begin with producing managers who are capable of facing the brutal facts, squarely taking on the challenges and initiating action without waiting for others to act. It fostered realisation that leadership is not a domain for office bearers in the central office but a collective responsibility in the university. Appreciation that individuals have to act and collectively transformation will come to the institution.

Key informants cited having appreciation of the need to assess the type of people you need to help you move the institutions. Training enabled realisation of the need to assess individual's attributes and the requirements of the positions so as to place people in the right positions where they can ably deliver. Recognition that leaders have to understand the characters of the various people they work with so as to offer proper and tailor made guidance.

It created a common conceptual understanding of leadership. It was noted that the project has led to a culture of developing common language with regards to leadership and management. Managers refer and remind others of the principles; hence it is easier to communicate required administrative changes/instructions without people feeling that the leaders are being oppressive.

It was noted that the trainings were done when the universities (MAK and UNIMA) were going through changes and hence the imparted knowledge and skills were very timely and helpful for the managers. At the time of the training, MAK was undergoing a process of reviewing its management structure and principles from the training fed into the thinking at the time regarding the new organisational units and their management. A senior manager at MAK highlighted:

“... what has been clear to me is that while I have been chairing and managing the restructuring process, the ideas and training I got from the two workshops (Mombasa and Entebbe) have been very useful. I am already using some of the principals in managing the College.”

Other anecdotal views from key informants suggest that the trainings improved knowledge and skills of the participants.

- *“Generally, I was enriched as far as leadership knowledge and skills are concerned. I came out of the workshop a changed person in my way of looking at things. The training broadened my understanding of leadership qualities and issues. Also, they were*

conscience-touching with respect to mind set and how an individual may contribute in bringing about positive change at work place or anywhere they happen to be/live. I (we) were made to reflect on main reasons of the unacceptable levels of poverty in rural Africa, and how some of the reasons could be overcome” (respondent from SUA).

- *“The training enhanced my planning and decision making competencies. For example, I allocate more time to activities that will lead me to achieve tasks, I delegate where I can, I do not waste time in trivialities, I concentrate most on where my competencies lie –to be the best and not just good.” (respondent from MAK)*
- *“The training I attended was very useful to me, I was able to know the qualities of a good leader, and that as a leader one is supposed to serve people, give guidance and not to give orders. My Faculty also benefited by applying the management skills we were able to work in harmony.” (respondent from SUA)*
- *“The training cultivated greater understanding that there is potential to grow as an individual, institution and country. Appreciation that change is made by individuals then institutions can flourish. It inspired me to change my leadership style and to squarely face issues which retard progress.”(respondent from UNIMA).*

Text box 3: Changes at RUFORUM Secretariat induced by the CCAU project

Participation in CCAU training by RUFORUM Secretariat staff was noted to have:-

- Focused initiatives towards achievement of unit/organizational vision and goals;
- Improved staff ability to face management challenges/ failures through honest reflection; clear action planning and unity of purpose;
- Led to renewed energy to facilitate institutional change and ensure sustainability of RUFORUM coordinated programmes at the universities.

2.1.6 Changes in partner universities following the CCAU project

- i. *Development of more realistic strategic plans.* Management of UNIMA applied the skills acquired from the training in the development of the university’s 5 year strategic plan. “People appreciated the training, the institution was very energised and the strategic planning process offered an immediate opportunity to apply the knowledge and skills.” Application of these skills is reported to have resulted in the development of a more relevant and realistic plan. The strategic plan highlighted the requirement for new management skills and priority actions which included: promoting efficiency in management, reviving the planning unit, developing strategies for change, promoting participatory governance, among others. This has made it easy to cascade goals to lower college levels.
- ii. *Improved strategic thinking and decisions.* Management has since been able to make a number of challenging and strategic decisions. Examples include:
 - a) The training was noted to have strengthened management resolve to increase student intake in the face of daunting challenges thereby widening access to university services (UNIMA notably Bunda). Though the college faced constraints in terms of infrastructure (lecture rooms, laboratories and accommodation), and government had promised to construct new ones, management took a bold step not to defer expanding intake until the infrastructure was in place. It was noted that realising that they had to take the institution to greater heights, management was decisive and determined to increase intake. They decided to delink enrolment of students from available accommodation space and erected a temporary structure to provide teaching space. Consequently student intake at UNIMA-Bunda increased from 600 to 2000 in the last three years.

- b) Impetus to analyse staff workload. Bunda College management has decided to introduce cluster teaching where a team of lecturers offer a course unit with each covering some topics where they are most competent. This is being done in an effort to ensure effective delivery but also to reduce the load on some individuals.
- iii. *Involvement of more actors in management:* It was noted that the training induced strengthening of management body of Bunda College by incorporating deans in the management committee. They are involved in setting policy directions and resource allocation in the college. It was noted that decisions were previously taken by a small group, this has changed with involvement of many more players and often seek people's views.
- iv. *Greater devolution of powers and decision making responsibility.* It was noted that even before the trainings, there was devolution of powers to lower offices for instance from the university office to college principals and likewise to Deans and Heads of Departments. However, it was not effective as these managers would in some instances be reluctant to take responsibility and make decisions out of fear. It was pointed out that since the training, the managers at different levels including Deans and Heads of Department have increasingly been more effective at sharing responsibilities, executing delegated activities and addressing issues at their operational levels without continually forwarding issues to the principal's office or central university office as had been the case in the past. This change was also attributed to:
 - a) ***Increased confidence of managers to take decisions.*** It was noted that the training helped managers to overcome fear of being overruled by the higher offices. Better and more efficient decision making at the different levels of management.
 - b) ***Enhanced staff and student appreciation and use of appropriate management and decision making structures in the university.*** It was noted that the learning and lesson sharing processes increased staff appreciation of the decision making structure and the appropriate levels where to issues. This was noted to have lessened tensions. Some Deans noted that they have discussed with faculty staff for them to appreciate the structure. The need to create awareness among students was also recognised. When staff or students bypass the appropriate level where the issue has to be addressed first and go straight to the higher office, in such cases the higher office refers them back to the right office.

The above was noted to have resulted into improved timeliness of services related to L&M decisions. Issues used to be referred from one office to another and back but now decisions are made in the office with direct responsibility. It was also observed that this has contributed to reduction in the number of calls to the University Office for guidance from College level managers.

- v. *Catalysed timely service delivery in some departments/units related to management (UNIMA, MAK).* Testimony from finance department at Polytechnic college-UNIMA revealed that following the training, staff appreciated the need to hasten delivery of services by the department for improved services in the university. Consequently timely processing of procurements, preparation of management accounts, preparation of budgets in consultation with the relevant departments and provision of guidelines for rationalisation of budgets. Fast processing of paperwork as the relevant offices are decisive while handling the requests without tossing to and fro different levels. At MAK,

it was noted that there has been great improvement in the quality and timeliness of service delivery as students' transcripts, testimonials, exam results, certificates are processed faster. Commitment to continuously improve delivery of services to students is increasingly reiterated in staff and Senate meetings.

- vi. Senior managers have held inspirational talks with non-teaching staff to catalyse greater appreciation of their roles in the system and demonstrate greater ownership of the institution. Notably greater staff involvement has also resulted from this and there is greater respect for those who hold leadership positions (UNIMA).
- vii. Improved communication and exchange of feedback within units/colleges and from central offices in the universities (UNIMA and MAK). More regular meetings, updates via emails, circulars, memos sharing through e-newsletters, were cited as some of the means used to communicate management resolutions and updates. *The Dean School of Education at MAK observed that the training inspired him to establish a weekly e-mail update called 'Business from the Dean' in which he updates his staff on the meetings he attends, tasks for the week and how to execute them among any other pertinent issues. This has been widely appreciated by its recipients.*

Since January 2010, MAK University adopted monthly press conferences during which the VC shares information with people from the media for onward relaying to the external stakeholders. These are attended by journalists from print and electronic (radio and television stations) media houses who are free to ask questions for response by the university team. Colleges have also been encouraged to organise college based press conferences. In addition each college now has a Communication Officer.

- viii. *Better management of meetings.* It was noted that meetings used to take long hours due to haphazard discussions. This changed after the training, with implementation of meetings being more organised, having direction and being *better* managed. Contributions are very good, people have become more decisive and better at time management during the course of meeting. Meetings used to last up to eight hours but now take at most two and a half hours yet they address the same number of issues. Minutes are disseminated on time, are reviewed and comments are shared before subsequent meeting. Currently, action points are developed and tracked yet some issues were not followed up in the past (UNIMA Polytechnic, and Kamuzu College of Nursing).
- ix. *Catalysed better relationships between management/lecturers and students.* Through the annual leadership training for student leaders, managers have shared some of the ideas from the L&M trainings with the students. It was noted that this has gradually helped to lessen tensions between the students and management. Some alumni of the L&M trainings noted that they share elements of the knowledge information with their classes on the first day of meeting the new class. Key informants noted that they interact better with students and are more approachable (MAK and UNIMA).
- x. *Adopting culture of progressing from good to great as a part of the organisational culture:* It was pointed out that management at university and college level reiterates the need for staff to progress from good to great during management meetings, annual review meetings, Deans' meetings and departmental meetings. This has been based on

the principles that were learnt from the books and the trainings (UNIMA-University office, Bunda, KCN, and Polytechnic).

- xi. *Improvements in the management of resources.* Rationalisation of use of facilities such as board rooms and lecturer rooms at Bunda College and activity based budgeting and accountability at KCN were cited as examples. Finance department at UNIMA-KCN was noted to have delegated the responsibility of financial management, judicious use and accountability against budget lines and activities to the various departments. The finance officer introduced reporting forms as staff in each department at Kamuzu College of Nursing now request for and spend funds which they budget for. Prior to this, staff used to spend and account without making reference to the approved budgets.
- xii. Synchronised calendar of activities across the colleges and within colleges (UNIMA). It was noted the university has synchronised the time when new office bearers come into office. Now all managers come on board in August and this provides an opportunity to orient them at the same time.
- xiii. Management is more supportive of staff training for various categories of staff including drivers and secretaries beyond those in management positions. The project opened up channels of furthering management skills. At UNIMA the individual colleges are increasingly sending staff for short courses for training in soft skills. More reference materials related to leadership and management beyond the three recommended ones have been acquired and shared with those in management positions (MAK, and UNIMA).

The Human Resources Directorate at MAK is being improved upon with the view of conducting more staff training workshops of this kind and availing relevant resources like management books. In addition, each college now has a Human Resource Officer, to guide capacity building initiatives in the college.

- xiv. At individual level after the training, participants regularly evaluate themselves to assess whether they operate in a disciplined manner, and apply disciplined thoughts and actions. The ICT unit at UNIMA KCN noted having adopted practice of setting weekly goals and tasks to be done. These are agreed upon on Monday and the unit reviews to establish extent of achievement and discuss the factors favouring or hindering attainment of targets on Friday. Likewise the registrar's office at Chancellor College noted that they now develop action plans with clear targets, and convene weekly meetings to review performance. Before they would only meet to discuss progress without having set clear targets.

Findings suggest that the project made commendable progress in strengthening capacity of university managers to champion institutional change processes in the HEIs. The expanded student intake at Bunda geared at providing an opportunity to those who qualify to join university to access university level training; reduced time for processing requisitions for finance as well as other requests due to timely decisions, and timely processing of student testimonials, transcripts and certificates suggest improvement in delivery of university services related to leadership and management.

The findings suggest that progress was made with regards to the project performance indicator requiring that ***at least 10% improvement in delivery of university services related to leadership and management by 2011***. However with no baseline data it was not possible to establish the magnitude of change. The evaluation team did not access any documentary evidence to enable assessing the indicator requiring that 'at least 30% increase in favourable peer review reports of ESA university programmes by 2011'.

2.2 Strengthening professional skills of lecturers and junior university staff

Project interventions under this result area focused on validating soft skill gaps in the two target HEIs of SUA and BCA; production of learning modules and resource materials, conducting of learning sessions, conducting national training for each of the two target universities; and formation of peer groups for action learning. The peer groups were also expected to initiate action research on priority areas identified during sub-activity.

Key achievements include validation of soft skill gaps through consultation meetings with the universities; development and implementation of 31 learning modules on personal mastery and soft skill training, conducting two training workshops, and training 46 PhD students in PMSS. Out of the 31 modules, 17 were covered during the first PMSS session while 14 were covered in the second session training (Table 2.2). Out of the 46 PhD students who participated in the first 10 day PMSS training held at Egerton University in July 2009, 36 also attended the second follow-up PMSS training workshop September 2010 in Uganda. The follow-up workshop provided an opportunity for sequential learning through sharing progress on their action plans and feedback on application of principles of the first training as well as imparting more skills, information and knowledge on PMSS. Shortcomings were in the area of failure to conduct the third national training workshop as well as the training of trainers workshop which had been slated for year 3.

Positive feedback was given by majority of the key respondents. The trainings involved presentations, group work and activities which ensured high levels of interaction and participation. The facilitators and students felt that the trainings were interesting, student centred, enabled them to change their mindsets; gain communication skills and think creatively about opportunities, among other benefits. Some participants reported having built their confidence and applied skills like problem solving, conflict resolution, leadership, systems thinking, negotiation, active listening, proposal writing, team work, visioning, and giving feedback in their work after the trainings. The participants formed an active network and continue to communicate amongst themselves. They have benefitted from the interactions with other participants from different countries, sharing experiences and encouragement.

Participants acknowledged the value and timeliness of the training however it was highlighted that the timing of the second training was not convenient as it was conducted during a period when many of the participants were preoccupied with their research papers and as such could not focus as much on the training. It was noted that besides the participant action plans which they had to report on in the subsequent workshops, project implementation did not make provision for structured processes of gathering feedback and following up on students after the workshops.

Table 2.2: Modules developed and delivered during the Personal Mastery and Soft Skills training sessions

Modules in first session of the PMSS training		Modules in second session of PMSS training	
1	Workshop co-management & contract	Feedback on Personal Learning Groups (PLGs)	
2	Personal Development – Emotional Intelligence	How to deal with the identified challenges?	
3	Personal Development – Johari Window	Student/supervisor relationships	
4	Personal Development – Feedback	Mentoring	
5	Listening and Hearing	Personal development – the concept of wholeness	
			Active Listening
			Some tools for effective communication
			Impediments to Active or Complete Listening
	Ways of enhancing Active Listening		
6	Personality Styles	Team development	
7	The Blanket Game	Facilitation of team development processes	
8	Characteristics of high performing teams	Conceptualizing impact-oriented research	
9	Introduction to systems	Conceptualizing consultancy	
			Types of systems
			Characteristics of systems
			Managing change in social systems
			Phases of change
	Systems Game		
10	Towards research for impact - challenges to agricultural research	Managing personalities in teams	
11	Action research	Developing facilitation skills	
12	Personal Development	Communication – Reframing – The art of questioning	
			Myself as a development project
			Why we get stuck
			Visioning exercise
	Exploring our potential		
13	Facilitation in change processes	Negotiation and conflict management	
14	Towards Peer Support Learning	Planning for professional development beyond PhD	
			Formation of Peer Learning Groups
	Action plans for Peer Learning Groups		
15	Defining our Identity		
16	Agreeing on our next steps		
17	Giving and receiving feedback		

Action research by peer groups: Peer Learning Groups (PLG) were formed during the first PMSS training workshop. The groups were mainly formed around commodities of interest. These groups prepared action plans which they implemented between the first and second PMSS trainings. Feedback from the participants indicated majority of them acknowledging great improvements in their professional lives, particularly in work relations. The participants acknowledged having applied various aspects of the PMSS training content and self learning from the process. They said the first PMSS trainings was very beneficial to them and recommended that all students needed to go through such trainings.

2.3 Identifying and piloting international good practice approaches for efficient and effective management of university programs

Project interventions were geared towards generating a set of globally accepted and tested university management principles and practices. Activities included conducting comparative review of university leadership codes, undertaking participatory assessment of comparative review report and identifying international good practice. The other interventions focused on production of resource materials on international good practice and disseminating to target audiences as well as designing of a strategy to institutionalize international the good practices on leadership. Findings reveal that with the exception of comparative review and production

of a draft paper on good practices and approaches in L&M in HEIs in Africa, the other interventions were not implemented due to lack of funds to undertake year three activities.

Comparative review of good practices in leadership and management in universities in Africa and elsewhere was conducted by a team from Natural Resources Institute (NRI). Findings of the review guided production of a draft paper on good practices and approaches in leadership and management in higher education. The draft report included ideas for good practice in governance, mainstreaming gender and diversity and quality assurance among other aspects. The paper was shared with the project Steering Committee and implementing partners who provided feedback. It was noted that information from this report has been used to contribute to discussions on streamlining codes of conduct in participating universities. This would suggest that some progress on the project performance indicator requiring that at least two universities in ESA streamline codes of conduct by 2011.

With regard to progress towards achieving the indicator requiring at least 20% increase in the demand to review and streamline policies and regulations of ESA universities by 2011, it was reported that a number of policies notably those related to ICT, gender and M&E have been discussed in universities, with some drafted and others approved. These include the gender and ICT policies, and discussions on policies for monitoring and evaluation and more L&M capacity building in universities. However, limited implementation of all the necessary activities under this result area curtailed full achievement of the expected results and targets. Thus the project target of at least 10 international good practices and resource materials for improving L&M produced was not achieved.

2.4 Enhancing partnerships for effective networking and institutional change management approaches

Project interventions focused on development of formal partnerships between and across participating universities; development of e-platforms for virtual learning and sharing on L&M and soft skill competence development. The project also set out to develop knowledge and communication products on L&M and soft skills for dissemination; hold regional joint learning and lesson sharing for university managers, lecturers and other actors; and provide regular and final feedback to university managers on the process. Findings reveal that the project made progress in most of these areas. Shortfalls were in failure to organise the regional joint learning and lesson learning sessions which had been slated for year three.

Key achievements include establishment of MOUs with NRI, Makerere University and the consultant assigned to facilitate the trainings for senior managers; formation of formal partnerships between participating universities; and communities of practice at UNIMA and MAK. A project blog hosted within the RUFORUM website was established for virtual learning and sharing of information on L&M.

Establishment of partnerships: Formal partnerships between and across participating universities were developed. Among these was the preparation of a memorandum of understanding between RUFORUM and Makerere University, UNIMA and Sokoine University as well as with Natural Institute of the University of Greenwich. Findings from key informant interviews reveal that there is an increase in inter-institutional collaboration among RUFORUM member universities, notably in the area of proposal writing and implementation of projects.

For instance Dr. Philip Nyaga a lecturer in the faculty of veterinary UoN noted that they had written two proposals with collaborators from Makerere University and SUA. Dr. Gitao from UoN indicated that together with collaborators from SUA they wrote a joint proposal to East African Productivity Project which was approved for funding. Dr. Maonga from UNIMA-Bunda reported having used the links provided through RUFORUM communication to prepare a concept note which they submitted to EU-ACP EDULINK, while Dr. Gondwe from UNIMA-Bunda noted that they had written a research proposal to African Union while another proposal they wrote with Egerton University has been approved for funding. The findings suggest progress towards attainment of the performance indicator requiring that **at least 20% increase in joint implementation of projects/activities by 2011**

Development of e-platforms for virtual learning and sharing on L&M and soft skill competence development: A project blog was developed in the first year of project implementation and it was hosted within the RUFORUM website. The blog was up-dated during year two and three implementation process with up-dates form project implementation. It was active for some time however activity declined overtime. Communities of practice to serve as platforms for dialogue and advancement of L&M; encourage peer learning, follow-up on training impacts, facilitate increased implementation of reforms were formed in Makerere University and UNIMA. These were vibrant and interactive at the start however activity gradually declined. Loss of momentum was attributed to absence of an administrator/facilitator who would continually catalyse/trigger discussions.

Development of knowledge and communication products on L&M and soft skills for dissemination: As part of the project activities relating to the development of knowledge and communication products on leadership and management and PMSS for dissemination, CDs and MP3s were offered to participants of the leadership and management training workshops. Furthermore, related newsletter articles were presented in the *RUFORUM Monthly* (March 2009, April 2009, and August 2009) which is widely distributed among RUFORUM's stakeholders. Other communication products included a project flyer, a poster and a brochure of the project summary which were distributed during workshops and meetings, as well as by snail-mail and e-mail attachments in some cases.

Providing regular and final feed back to university managers on the process: Communication with university partners was on-going throughout the project with peaks at particular times notably before and after events such as visits to the universities and regional learning sessions.

2.5 Challenges

Financial flow issues were observed as the main challenge that curtailed smooth implementation of project interventions. This partly attributed to:-i) delays in partner reporting which impaired timely submission of reports; ii) long time lag pending feedback³ and subsequent approval of financial reports by ACP-EDULINK PMU Secretariat; and iii) RUFORUM Secretariat taking long to respond to queries on financial accountability. Subsequent queries further delayed the whole process till project ended. This affected replenishment of project finances from EU and compelled RUFORUM to pre-finance year 2

³ It was observed that it took over 1 year for RUFORUM to get first feedback from the EU ACP-EDULINK PMU and by the time this was received the second year reports were due.

and 3 activities using funds from RUFORUM operational overheads. Activities were also undertaken with support from associate partners like CTA funded some training events, as well as other donors projects for instance IDRC which funded part of the PMSS training for PhD students.

The financial flow problems were noted to have accounted for delays in implementation, delays in disbursement of funds to service providers as well as non-implementation of some activities. For instance the third PMSS workshops, third regional reflective workshops, training of trainers were not undertaken. The following were highlighted as measures to mitigate these challenges: i) close attention has to be paid to contractual issues with the EU and adherence to local institutions procurement procedures; ii) RUFORUM should devise support mechanisms to enhance partner commitment to meet their obligations, timely reporting and accountability so as to avoid delays.

3 Assessment of project relevancy and sustainability

3.1 Project relevance

Relevance is a measure of the pertinence of the project strategy and activities to the needs of the target beneficiaries. This section therefore provides an assessment of the relevance of project objectives (at purpose and output level) to the priorities of the targeted sector.

Adaptive Leadership and Management (L&M) structures and personnel with cross-cutting professional skills able to work in a variety of environments was identified as a prerequisite for repositioning of African Higher Education Institutions (HEIs) to respond to key challenges constraining their ability to effectively contribute to poverty alleviation. Many universities in Africa lack strong management and leadership systems that are needed to promote responsive academic and research activities. Weak management is manifested in several forms: ineffective communication between various levels of management and lecturers, students and other stakeholders; poor resource management; poor service delivery; and inadequate quality assurance processes, among others. Project interventions were therefore geared at enhancing capacity of universities in East and Southern Africa to engage in innovation processes in leadership, management and cross-cutting professional competencies development.

The action supported on-going efforts by RUFORUM to build adaptive university management structures in its member universities. It addresses strategic objective of developing capacity of leadership and management at all levels at MAK as well as the capacity building objective at UNIMA which calls for training of heads, deans and other supervisory staff in leadership, management, administrative law and strategic planning. It was also in line with aspirations of the universities to ensure good Governance and Management with the objective of providing effective leadership and management.

At the continental level, project interventions built on the Africa-USA Higher Education collaboration and the Forum for Agricultural Research in Africa (FARA) assessment of National Agricultural Research Systems (NARS) which called for new approaches and innovative initiatives to address critical human and institutional capacity deficiencies in African universities and research systems (NARS). It was also in line with the component of strengthening leadership and management of HEIs in Africa under the Association of African

Universities' (AAU) Programme on Mobilising Regional Capacity Initiative (MRCI) to strengthen networking among African HEIs. The project objectives were in line with EDULINK Programme relating to fostering capacity building and regional integration of higher education through institutional networking between HEIs and supporting a higher education system of quality that is efficient and relevant to the needs of the labour markets.

3.2 *Project sustainability*

The continued utilisation of project outputs and realisation of benefits will depend on the continued implementation of capacity strengthening initiatives, addressing potential risks including putting in place mitigation measures. Assessment of prospects for continuation of project activities during the post-EU EDULINK financing period; and durability of changes and impact brought about by the programme; has been undertaken in light of the following critical factors that influence sustainability of programme operations.

3.2.1 Political sustainability

Political stability within the ECSA region coupled with on-going efforts to strength regional groupings offers a favourable environment for the continued undertaking of CCAU related activities. The implementation strategy of CCAU was designed to operate within the framework of the universities. The in-country trainings were organised with full participation of the partner universities. Commitment of partner university management to support third and fourth round trainings provide a strong foundation for sustainability of project activities. The inclusion of staff training on L&M in college action plans, coupled with university wide efforts and commitment to avail relevant resources materials and training of staff reflects resolve of university managers to cascade the learning to all levels of staff which will enhance sustained acquisition of knowledge and skills.

3.2.2 Social Sustainability and ownership

It is likely that stakeholder ownership is sufficient to allow for project outcomes/benefits to be sustained. CCAU had a number of strategies for fostering ownership of project outputs including creating awareness among managers, and engaging units such as human resource development, academic registrars as well as departments of management that have CCAU activities as part of their core business. The project inspired self drive within the individual participants to initiate change. Socio-support and commitment of participants is reflected in changes in management styles, sharing the information with non university actors as well as inclusion of the concepts and skills in training courses.

3.2.3 Institutional Sustainability

It is our view that it is likely that institutions will be available to carry on activities that result in the continuation of project benefits. The human resource directorates at the university level coupled with subsequent decentralisation of the office to college levels as cited in Makerere university provide structures which will support continued identification of staff capacity strengthening gaps as well as initiation of interventions to address them. Involvement of staff from the HR units as well as academic registrars' strengthened capacities of those who have CCAU activities as their core business. This provides a strong foundation for sustainable institutions. The existence of various committees (Finance Officers Committee, Academic Registrars Committee, Deans Committee) and other management fora offer an opportunity for continued reference to the principles and sharing of experiences. Universities should therefore harness such fora for continued learning and lesson sharing in the area of L&M.

The formation of university based communities of practice as well as a virtual platform to aid exchange of knowledge and experiences ensure continued networking and sharing of good practices to foster sustainability. However gradual loss of momentum presents a cause for concern and calls for clear strategies to facilitate the networking, and energise the members to maintain active participation.

3.2.4 Economic and financial sustainability

It is our view that it is moderately likely that financial resources will be available to carry on the activities that result in the continuation of benefits. This is attributed to universities' prioritisation of staff capacity strengthening in their strategic plans coupled with RUFORUM's commitment to support universities in mobilising resources for L&M training initiatives. The RUFORUM Business Plan 2011-2016 identified leadership and management, as a main institutional strengthening complementary activity and a resource mobilization strategy has been designed within the business plan to entrench the wider application of the initiative to other member universities. RUFORUM Secretariat will also continuously broker information and provide feedback on sources of funding and capacity building on institutional transformation.

4 Conclusions, lessons and recommendations

4.1 Conclusions

Limited capacity for planning and managing the institutions, as well as capacities for managing research, training and outreach programmes are among the key factors preventing universities in the ECSA region from effectively contributing towards poverty eradication. The CCAU project was designed to enhance capacity of managers. Results indicate that the project made significant contribution in strengthening leadership and management competencies and enhancing professional skills through the design, production and delivery of course modules and various resource materials. This has been enhanced by self-learning and application by the participants. The project was also noted to have induced some changes in the partner universities notably improved communication across levels, better management of meetings, improved timeliness and quality of decisions culminating into improved delivery of services related to leadership and management.

Project relevance: CCAU was well aligned to partner university strategic objectives, regional priorities as well as those of EDULINK. Therefore project is highly relevant and a rating of one is given in this respect.

Effectiveness: On a six rating scale (presented in Annex A), we conclude that project effectiveness was satisfactory. Project drawbacks are in the areas of not fully completing the process of identifying international good practice approaches in L&M, development and operationalising of strategy for institutionalisation of good practices, and undertaking the joint regional reflection session. Likewise, absence of moderator/facilitator impeded sustained momentum in the communities of practice and the virtual platforms which in turn impaired project efforts in enhancing partnerships for effective networking and institutional change management. This conclusion of project performance has also taken into consideration the fact that EU released funds for only one year and yet more funds were required to undertake activities in years 2 and 3 which compelled RUFORUM Secretariat to

pre-finance activities for year 2 and year 3, inevitably causing delays and non-implementation of some activities.

Sustainability: In light of the existing political environment, RUFORUM Secretariat and partner universities' commitment to support capacity strengthening in L&M, strategies for ensuring ownership and institutional sustainability, result in a composite rating for sustainability as 'four' (likely).

4.2 Emerging issues and lessons

The following emerging issues were elicited from the implementing partners, lecturers and students:

- i. Financial flow issues curtailed smooth implementation of project interventions. Delayed partner reporting which impaired timely submission of reports; long time lag pending feedback and subsequent approval of reports by ACP-EDULINK PMU Secretariat; and RUFORUM Secretariat taking long to respond to queries on financial accountability were cited as the precursors to the financial flow problems. To mitigate them:-
 - Close attention has to be paid to contractual issues with the EU.
 - RUFORUM Secretariat should devise support mechanisms to enhance partner commitment to meet their obligations, timely reporting and accountability so as to avoid delays.
- ii. There is growing recognition that PhD training itself is not sufficient for the students to operate effectively both professionally and technically, post training. Thus, imparting knowledge and skills on PMSS was noted to foster a culture of continuous learning amongst students and be essential for increasing the ability of graduates to be productive in multi-disciplinary work, team work and for application in managerial roles which many of the students take up later in their careers. Participants recommended that these skills should be imparted to all graduate students and incorporated into PhD curriculums.
- iii. Partial exploitation of opportunities for application of the leadership and management skills (MAK and UNIMA). The cited constraints to the institutionalisation of these skills have been:
 - Staff were really inspired by the training' and the expected a follow-up initiative by RUFORUM Secretariat in the form of another training event and/or tracking progress in the application of the skills they had acquired. Staff expected further training by the end of 2010 but it was not offered.
 - The closure of some colleges in UNIMA due to the academic freedom impasse made it difficult for individuals and colleges to effectively implement the action plans and follow-up on progress made since the trainings.
 - High turnover of managers in the university system requires clear mechanisms for systematic orientation of the new office bearers on L&M. For instance, it was noted that at MAK many of the participants were in acting capacity at the time of the training, there have been 10 new principals since 2011, new directorates and decentralisation of operations to college levels yet orientation is not provided. This necessitates that the new office bearers are trained to become effective leaders and managers.

- Entrenched attitudes and institutional culture which are difficult to change in order to make the required transformation to happen. This will require orientation of all staff members on L&M so as to build the requisite knowledge and skills at all levels and cultivate greater appreciation for transformation.
- iv. Limited or no networking is occurring across colleges and between universities on leadership and management issues even following the trainings. This implies that many opportunities for lesson sharing in this area across countries and universities were not exploited.
- v. Risks identified at project design stage should be monitored throughout the project life and mitigation measures revised periodically. For instance commitment of participants to completing assignments (learning sessions) was identified as a possible risk but the measures employed were inadequate in offsetting this risk which presented a major challenge to implementation of this project.

4.3 Recommendations:

- i. Universities should undertake measures to enhance institutionalisation of the good follow-through with the earlier plans to impart the skills in L&M from the CCAU project to all heads of departments and staff so as to facilitate widespread awareness and application of the good practices in leadership and management. This is important for project sustainability, fostering ownership and curbing resistance to changes to this effect. It was observed that transformation in the universities would require not just individuals but rather a critical mass of people to think and take action that drives changes. Actions should include:
 - a) Training all heads of departments and staff who did not participate in the regional and in-country learning sessions during the CCAU project.
 - b) Systematic orientation of new office bearers in L&M every time a new group assumes office. This should apply to all levels including committees, and student leaders.
 - c) Universities should harness existing management meetings as well as meetings for people in similar functions/positions (i.e. registrars, finance officers, heads of ICT units, deans) for sharing of experiences so as to induce continued learning and lesson sharing in the area of L&M. Meetings should reflect and assess progress made towards institutionalisation of these skills within the universities. This would provide a more routine/regular mechanism of following up on staff challenges and experiences.
 - d) Coordinated planning of efforts and systematic follow-up at each level to ensure that those in positions of leadership and management apply the skills. Consider in-building assessment of application of good L&M practices in the staff appraisal system.
 - e) Institute measures to mainstream the concepts of L&M as learned in the CCAU project in the university organisational culture. Establish favourable organisational environment (policies, procedures and incentives) to encourage the adoption and application of the good L&M practices. Options include incorporating the principles into standard operating procedures; developing user guidelines for managers; and mentoring of young staff to take on the leadership mantle in future.

- f) Anchor coordination of the training in L&M to the already existing capacity building systems within universities where appropriate. This could imply that the HR department take lead and sustain capacity strengthening of senior and middle management staff in L&M, including orientation of young managers, new office bearers and lecturers, retooling of current leaders and offer refresher short courses. In so doing, a university culture that integrates the principles of leadership and management coupled with an environment that enhances the application of these soft skills will be built.
- ii. RUFORUM Secretariat should have clear strategy to follow-up and ensure that the changes they expected to catalyse in the universities are institutionalised. Measures to keep the momentum/ fire burning.
 - a) In close collaboration with university management, conduct a half day meeting in each university to review progress, agree on what has to be done to ensure institutionalisation of the changes and get renewed commitment from the participants. Then continuously liaise with the university top management to drive the process. RUFORUM Secretariat should regularly follow up with the top leadership (university and college level) to ensure that they are driving change at all other levels of management and operation.
 - b) Identify and support champions within each university/college who can ably take lead in ensuring the adoption of the principles learnt by managers. RUFORUM Secretariat should complement efforts of the champions by influencing the key actors who can effect change. To supplement this, each college or university could establish task forces charged with following up on issues related to leadership and management.
 - c) Facilitate continued knowledge/information and lesson sharing on L&M across universities. Engage a network moderator/facilitator to continuously catalyse discussions and information sharing.
 - iii. In collaboration with the universities RUFORUM Secretariat should strengthen the capacity of member universities staff to deliver the training in L&M along the lines of CCAU. Over time this would be cheaper and have greater outreach.
 - a) RUFORUM Secretariat should facilitate the universities to assess whether the current curricular can generate the type of leaders with desired attributes to ensure transformation of institutions and communities in Africa. This should be done in close collaboration with relevant institutions/key stakeholders in the respective countries who work with the universities to guide direction curriculum.
 - b) Catalyse the universities to build on the knowledge and resource materials obtained during the CCAU project to develop and improve existing training programs in universities. Develop curricular for tailor made short courses in L&M for staff. Also refocus the training curricular for students with the aim of ensuring that it helps students to understand and build their ability to apply the principles of good L&M for transformation. PMSS training should be included in the curriculum for graduate students.
 - iv. In case of future regional reflection and learning sessions, advance questions should be sent to the prospective participants to reflect on the challenges in their units with colleagues before the actual workshop. This would enable participants to reflect on the issues, generate more informative discussions and make the most of the limited

time often offered by the workshop programme. In addition assignments should be split into shorter sections to be completed over a longer period as the participants pointed out that they struggled to complete the assignment loads in the required time due to their busy schedules.

5. Annexes

Annex A: List of documents reviewed

1. Project implementation plan
2. Report on scoping visit to UNIMA and SUA
3. CCAU Interim Narrative report 2009
4. CCAU Narrative report 2010
5. Report of the first regional reflective workshop held in Mombasa, Kenya from 7-9th June 2010
6. Report on leadership and management training workshop in Malawi from 10th-14th May 2010
7. DVD/Mp3 prepared for senior leaders and managers from first regional reflective workshop
8. DVD/Mp3 prepared for senior leaders and managers for in-country training workshop (sample for Makerere University)
9. Review of Good Practice: Leadership and Management in Higher Education (Summary Interim Report)

Annex B:

Performance ratings: Based on information from the data collection processes and critical analysis, the team used ratings to assess project performance with regards to the evaluation criteria of relevance, effectiveness, and sustainability.

Relevance, was rated on a binary scale: ‘satisfactory’ or ‘unsatisfactory’

1. Satisfactory
2. Unsatisfactory

Effectiveness was rated on a six level scale ranging from highly satisfactory, satisfactory, moderately satisfactory, moderately unsatisfactory, unsatisfactory, and highly unsatisfactory.

1. Highly unsatisfactory: The project has severe shortcomings.
2. Unsatisfactory: The project has major shortcomings.
3. Moderately unsatisfactory: The project has significant shortcomings.
4. Moderately satisfactory: The project has moderate shortcomings.
5. Satisfactory: The project has minor shortcomings.
6. Highly satisfactory: The project has no shortcomings.

The likelihood of sustainability of project outcomes was judged based on results of the assessment of risks that can undermine continuation of benefits:- political factors, availability of adequate financial resources, social factors; and conducive institutional framework. A score has been provided for each risk factor using the following scale:

1. Unlikely. There are severe risks affecting that criterion of sustainability.
2. Moderately unlikely. There are significant risks that affect that criterion of sustainability.
3. Moderately likely. There are moderate risks that affect that criterion of sustainability.

4. Likely. There are no risks affecting that criterion of sustainability. The composite rating was then computed by adding up the individual ratings and dividing by number of risk factors.

Annex C:

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