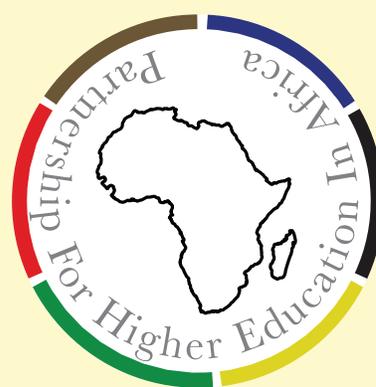


# Partnership for Higher Education in Africa

Report of Activities, 2008-2009





## Partnership for Higher Education in Africa Highlights 2008-2009

- **The PHEA exceeded its \$200 million pledge in June 2009**, by \$5 million and seven months early. At official end of ten years, over \$400 million in grants will have been made.
- **27% of the 2008 grants were jointly programmed.**
- The second **University Leaders' Forum in Ghana** in November 2008 engaged Vice-Chancellors and colleagues from 18 partner universities on the development and retention of the Next Generation of Academics. PHEA is supporting subsequent national policy work in South Africa and Nigeria.
- The **Educational Technology Initiative** was launched in July 2008, supporting the application of educational technology to improve teaching and learning in seven partner universities. Participation in the eLearning Africa conference in Dakar publicized the effort and advanced collaboration across the network.
- **The Bandwidth Consortium (BWC)** successfully transitioned from its temporary host to the Nigeria ICT Forum. A new Intelsat contract was negotiated and the business plan is being implemented in consultation with KPMG (Nigeria).
- **Several connectivity strategies** took off:
  - The Association for Progressive Communications (APC) implemented national advocacy models for affordable universal broadband in South Africa and Ghana and began a similar effort in Nigeria with local partners.
  - The African Networks Operators Group (AfNOG) completed site visits and the first bandwidth management training workshops for PHEA-supported universities.
- The **Higher Education Research and Advocacy Network in Africa (HERANA)** continued to deliver on its research and advocacy agenda:
  - Country-level studies on higher education and economic development were completed and preliminary findings were released. Work on eight institution-level studies continued.

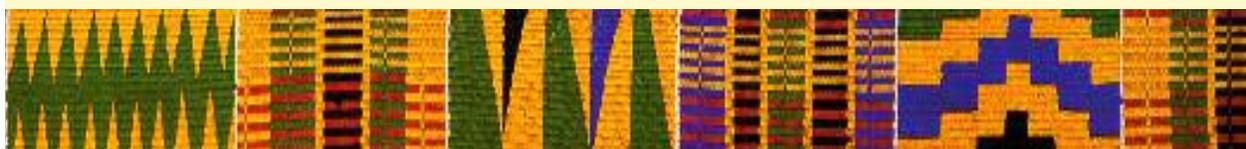




- Investigations into the links between higher education and poverty reduction, higher education and democracy, and the research-policy nexus continued apace.
- The Performance Indicators project linked institutional profiles and efficiency indicators across eight African countries, allowing peer comparisons.
- The University World News Africa coverage and the HERANA Gateway's indexing are serving the advocacy mission, informing a range of stakeholders within and outside Africa.
- Efforts to stimulate dialogue on **higher education financing reform** advanced in eight Partner countries, including stakeholder conferences in Pretoria in March 2009 and in Nigeria in May 2009.
- The **PHEA continued to expand its outreach** to advocate for African universities and increase the impact of PHEA support. Regular consultations continued with the World Bank, African Development Bank, USAID, IDRC, key US-based organizations, and within philanthropy.
- **Consultative meetings with African university partners** focused on Next Generation of Academics, higher education financing, e-learning, and connectivity



Colleagues from East, West and South Africa meet at the 2008 University Leaders' Forum





## Information and Communications Technologies (ICT) Initiatives

The Partnership for Higher Education in Africa (PHEA) has been heavily engaged in ICT-related work from its inception. Internet connectivity, network management training, and eLearning initiatives have all received PHEA support, with nearly \$11 million in ICT grants disbursed since August 2007, including over \$9 million in multi-foundation, joint projects. The ICT initiatives are led by the respective grantees, in close consultation with the PHEA foundations and technical oversight from the PHEA ICT Associate.

Following is a summary of each of the current joint PHEA initiatives in ICT, focusing on recent accomplishments. A table listing African higher education institutions benefitting appears at the end.

### **The Educational Technology Initiative (ETI)**

*Purpose:* To expand and enhance the effective use of educational technologies for teaching and learning at seven PHEA-supported universities, addressing some of the underlying challenges facing the higher education sector in Africa. An explicit research component and external evaluator ensure that the project systematically records and reflects on experiences so that lessons learned can be shared effectively and made public. The project runs from July 2008 through June 2012.

*Funding:* Carnegie, Ford, Kresge, MacArthur, and Rockefeller four years' support totaling \$5.7 million. The grantee is the South African Institute for Distance Education (SAIDE) with assistance from the Centre for Educational Technology at UCT.

#### *Recent Achievements:*

- Concluded a one-year planning phase that identified opportunities, prioritized needs, and developed seven university plans.
- Presented work to date at the eLearning Africa Conference, May 2009 in Dakar.
- Developed detailed implementation plans at each university in close consultation with SAIDE; one of these, by Kenyatta University, has been approved, and four others, by Catholic University of Mozambique and universities of Ibadan, Jos, and Dar es Salaam are under review by PHEA partners.
- Created ETI Web site to support the community of practice:  
<http://www.oerafrica.org/phea>





- Obafemi Awolowo University hosted a Nigerian conference on ICTs in education in September 2009.

### **The Bandwidth Consortium (BWC)**

*Purpose:* To enable bulk purchase of Internet bandwidth by a consortium of African universities in order to lower the unit cost. Increased access to fiber optics promises to reduce costs and improve speeds for those with proximity to the new marine cables, yet many universities in Africa still typically pay \$5,000 or more for each megabit per second (mbps) of bandwidth. The current grant period runs from October 2008 through September 2011. There are currently 13 BWC clients, of which 10 are PHEA-supported institutions.

*Funding:* Carnegie, Ford, MacArthur, and Rockefeller three years' support totaling \$3.95 million. The grantee is the Nigeria ICT Forum.

*Recent Achievements:*

- Negotiations with an excellent candidate for BWC Executive Director are proceeding. The ED will be expected to expand the BWC client base and navigate the enterprise through a rapidly changing technical environment.
- Developed and implemented a business plan, in consultation with KPMG Associates (Nigeria), with changes in costs, prices, and billing policy to ensure long-term stability and sustainability.
- Developed Web site to advance marketing efforts:  
<http://www.bandwidthconsortium.org/>

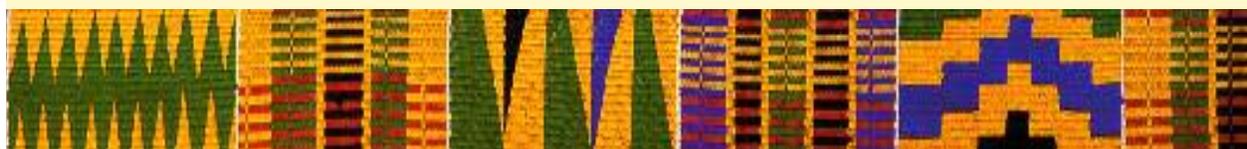
### **Bandwidth Management Training**

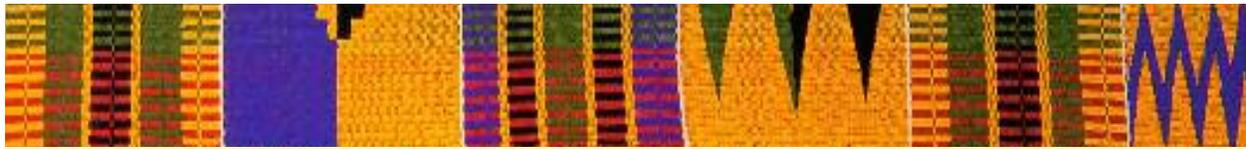
*Purpose:* To develop network optimization and bandwidth management skills at PHEA-partner universities. Ensuring optimal network use is essential in a bandwidth-scarce environment, and involves network topology and other technical skills as well as policy elements. The overall grant period runs from April 2008 through April 2010.

*Funding:* Carnegie, Ford, MacArthur, and Rockefeller support for a total of \$600K. The grantee is the African Network Operators Group (AfNOG).

*Recent Achievements:*

- Completed site visits and detailed needs-analyses for twelve PHEA-supported universities.





- Completed training workshops in May (Cairo) and September (Accra) of 2009, for 36 participants from 12 PHEA-supported institutions.

### **Open Access to Broadband Coalition**

*Purpose:* The Broadband Coalition project brings together broad-based coalitions of civil society stakeholders in South Africa, Ghana, and Nigeria to promote competitive, affordable access to broadband Internet as a critical enabler of teaching, learning, research, and economic development. The grant period began nominally in July 2008 and is slated to conclude by March 2010.

*Funding:* Supported by PHEA funds at the Institute of International Education (IIE) totaling \$185,320. The grantee is the Association for Progressive Communications (APC).

*Recent Achievements:*

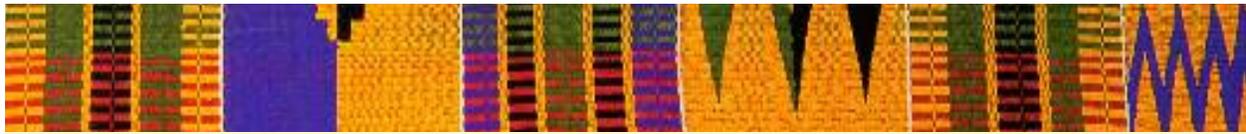
- **South Africa:** Completed campaign, with a “Framework for a Comprehensive National Broadband Strategy in South Africa” signed by stakeholders and presented to Sipiwe Nyanda, the new Communications Minister. Developed Web site to solicit public support: <http://www.broadband4africa.org.za/>
- **Ghana:** Held the first stakeholders’ workshop in August 2009 and implementing a follow-up media strategy. Developed Web site to solicit public support: <http://www.ghanconnect.org.gh/>
- **Nigeria:** Identified leadership for the Nigerian campaign. Planning for a first stakeholders’ workshop is well underway.

### **Development of National Research and Education Networks**

*Purpose:* The Association of African Universities (AAU) established the Research and Education Networking Unit (RENU). RENU acts as a focal point for the development of national and regional RENS, promoting collective action and serving as a clearinghouse of information on ICT initiatives, trends, opportunities, best practices, expertise, and funding. AAU/RENU is also represented on both the Transition Committee and the Consultative Governing Board of the BWC, reflecting its growing role in the promotion of open and affordable access to bandwidth.

*Funding:* Carnegie, Ford, and Rockefeller supported the establishment of RENU with support totaling \$357K. New support for \$600K from Carnegie, Ford and the PHEA funds at IIE is being put in place for another three years. PHEA support leveraged IDRC funds in 2006 and 2009.





*Recent Achievements:*

- Developed a brochure titled “Key Elements of ICT Policy for African Higher Education Institutions” that was disseminated at the 12th General Conference of the AAU in Abuja, Nigeria in May 2009.
- Held workshops in Cameroon, Nigeria, and Senegal for Vice Chancellors, regulators, regional organizations, and IT professionals on HEI connectivity, RENS, and the relevant policy environment in Africa.
- Organized the AfREN meeting held in Cairo in June in conjunction with the AfNOG/AfriNIC meetings, focusing on regional updates and development of strategies to ensure sustainability.

**ICT Beyond January 2010**

Each of the current joint PHEA initiatives in ICT extend beyond the closure of the PHEA office in January 2010. In order to protect the PHEA investment in these complex projects, existing PHEA funds at IIE will be used for an ICT consultant to continue to provide technical oversight for one year, through January 2011. The bulk of the consultant’s time will be spent in the first half of 2010 when oversight and advice will be most critical: the Educational Technology Initiative (ETI) will move from its planning phase into its implementation phase; the Bandwidth Consortium (BWC) will transition to leadership under a new Executive Director and procure new supply and distribution contracts; and the other projects described above will end outright.



Aki Sawyerr (former AAU Secretary General), Peter Materu (World Bank), and Tade Aina (Carnegie Corporation) engaged in University Leaders' Forum proceedings





### Participation of PHEA-Supported Universities and Institutions in ICT Initiatives

	<b>Educational Technology Initiative (ETI)</b>	<b>Bandwidth Consortium (BWC)</b>	<b>Bandwidth Management Training</b>
<b>Ghana</b>			
Association of African Universities		✓	✓
University of Education, Winneba	✓	✓	✓
University of Ghana		✓	✓
<b>Nigeria</b>			
Ahmadu Bello University		✓	✓
Bayero University		✓	✓
Obafemi Awolowo University		✓	✓
University of Ibadan	✓	✓	✓
University of Jos	✓	✓	✓
University of Port Harcourt		✓	✓
<b>Kenya</b>			
KENET			✓
Kenyatta University	✓		
<b>Mozambique</b>			
Catholic University	✓		
<b>Uganda</b>			
Makerere University	✓		✓
<b>Tanzania</b>			
University of Dar es Salaam	✓	✓	✓





# Higher Education Research and Advocacy

## HERANA

The PHEA's main initiative in support of African higher education research and advocacy is the Higher Education Research and Advocacy Network in Africa (HERANA). This network is coordinated by the Centre for Higher Education Transformation (CHET) in Cape Town. Between 2007 and 2008, support from the Ford, Kresge and Rockefeller foundations and Carnegie Corporation of New York totaled \$1,650,000. The countries participating in HERANA are Botswana, Ghana, Kenya, Mauritius, Mozambique, South Africa, Tanzania, and Uganda.

The PHEA funded three main areas of HERANA's work in 2008-09. Current activities and recent accomplishments in each area are highlighted below.

### 1. Research on Higher Education and Development in Africa

In 2008-09, several research projects investigated the complex relationships between national policies, economic development, and the development of higher education systems. Macro (country-level) and micro (institutional-level) case studies in eight African countries advanced through the stages of data collection, as did research on relationships between higher education to poverty reduction and higher education to democratic citizenship. One such study uses survey data to explore whether popular conceptions of democracy are reflected in student governance and/or leadership at three institutions: the universities of Nairobi, Dar es Salaam, and Cape Town. A new research area introduced in 2008 explores the links between academic research and relevant policy-making. Like HERANA's other projects, this "research-policy nexus" will benefit from the network's focus on a comparative approach.

Final reports for many HERANA research projects are slated for publishing in 2010. These will include:

- A book on the key lessons for Africa from successful higher education systems in North Carolina, South Korea, and Finland
- An international literature review on higher education and economic development
- Three reports on higher education and democracy, and an integrated report
- A report on higher education and poverty reduction
- A book, "Universities and Economic Development in Africa:





Contextual and institutional factors that facilitate or inhibit development.” Preliminary findings were released in University World News

## **2. Advocacy for Higher Education in Africa**

HERANA’s advocacy work was advanced in 2008-09 through the HERANA Gateway, the University World News Special Africa editions, and the coordination of seminars with researchers, institutional leaders, and government representatives.

### ***HERANA Gateway***

The number of academic sites indexed in the HERANA Gateway expanded to 17 and advertising initiated in February 2009 succeeded in driving traffic to the site. From February to May 2009, there were 1,681 visits to the site. Access is from 94 countries. In the remainder of 2009, HERANA is exploring more cost-effective hosting options for the Gateway, increased integration with the new CHET website, and a permanent presence on the University World News Web site.

### ***University World News (UWN) Africa Edition***

From March 2008 to September 2009, UWN Africa published 38 fortnightly editions on developments and current issues in African higher education. Two Special Africa Editions were also published focusing on single topics of importance – “Differentiation in South African Higher Education,” and “Race and South African Universities.” By mid-August 2009, UWN Africa journalists had written 355 reports, comprising 228 original news articles on higher education in 25 African countries – including some 60 all-Africa reports and 20 regional articles – and more than 100 ‘newsbrief’ items that expanded coverage to 34 countries.

UWN Africa attracted a great deal of interest across the continent and globally. The number of registered readers of the Africa Edition grew to more than 6,000 – one third of UWN’s total of 18,000 registered readers worldwide. In the 12 months to July 2009, the UWN website had on average 41,500 visitors a month and the average number of pages viewed was 376,000 per month. The Africa Edition has a network of 14 African journalists and also draws less regularly on the work of other reporters and academics. Going forward, UWN Africa will continue to grow its network of African journalists and expand its efforts to become financially viable.

### ***Seminars for Debate and Dissemination***

Multi-stakeholder seminars were held in six of the eight case-study countries (Botswana, Ghana, Kenya, Mauritius, South Africa, and Uganda) to initiate key discussions between researchers and relevant higher education policy makers and disseminate for input the





preliminary findings of the economic development and poverty reduction projects. The seminars also promoted HERANA, the Gateway, and the UWN Africa Edition.

### **3. Cross-National Higher Education Performance Indicators**

Work on this project's main components continued in 2008-09 and included the creation of Institutional Profiles for all 23 South African universities and Efficiency Indicators for each of the major institutions in the eight countries participating in the HERANA project. Eight country reports that look at 15 performance indicators and 10 development indicators will be published in 2010.

Combining the data collected for the Indicators project with HERANA's other research means that for the eight participant countries, there are now fairly comprehensive "pictures" of the institutions under investigation and certainly the most comprehensive "pictures" of a set of African universities ever compiled. With these comparative indicators now assembled, it is possible for the project to both expand to other universities and investigate more deeply the ways in which such indicators relate to institutional success and national development. Simultaneously, the Indicators project continues to serve as a means of advocating for the establishment of electronic databases of higher education data on both the institutional and country levels.

### **Higher Education Financing in Africa**

Financing arrangements in African higher education systems are commonly "inadequate, inequitable and inefficient" (Pillay, 2008). There is generally insufficient support for improvements in quality, in particular postgraduate training and research and the continued professional development of young academics. Inequities in access to the ranks of senior faculty persist, with gender, socio-economic status and urban/rural origin serving as major determinants from secondary through postgraduate levels. Cost-sharing measures are often implemented inefficiently without a coherent funding formula that connects planning to budgets. Greater inequities often result. Few countries have efficient student loan programs or effective regulation of private universities, resulting in large inefficiencies. Many governments restrict universities' abilities to generate third stream income.

The 23 signatories to the 2008 University Leaders' Forum Communiqué recognized that the lack of sustainable higher education financing models on the continent is a critical constraint to developing and retaining the next generation of academics. These leaders committed themselves to collaborating at national and regional levels to shape the debates on higher education financing models. To support the translation of this commitment, the PHEA is pursuing four major complimentary strategies:





1. Multi-country analyses of higher education financing models
2. Building advancement capacity in partner universities
3. National dialogue in South Africa on third stream income and subsequent action
4. National dialogue in Nigeria on sustainable higher education financing

### **1. Multi-country analyses of higher education financing models**

This work, led by Dr. Pundy Pillay, arose out of the concerns mentioned above and recognition that existing analyses were too few, generally conducted by externally-based researchers, and paid limited attention to local issues. With Ford support, Pundy Pillay led a nine-country study of higher education financing, looking at Botswana, Kenya, Lesotho, Mauritius, Namibia, South Africa, Uganda and Tanzania. Subsequent PHEA support through IIE funds allowed analyses in Ghana and Nigeria. The work analyzes the current state of tertiary education financing in the each country, examining: the types of state funding available for teaching and research; funding available per program; equity in expenditure, by comparison to household income data; extent of loan and grant funding; and the nature and magnitude of private financing of tertiary education. The comparative analysis provides valuable benchmarking within Africa and with international trends. Beyond diagnosis, the work offers proposals for the design of effective financing models for each country. The dissemination plan consists of:

- A subset of the case studies released in a report for the South African Research Universities Association, “Higher Education Funding Frameworks in the Southern African Development Community.”
- The original nine country studies and a comparative analysis chapter will be published as a book by the Centre for Higher Education Transformation with Ford support.
- Ten policy briefs are being prepared by Karen MacGregor, editor of University World News-Africa, to translate the findings for the policy making audience.
- The Ghana and Nigeria papers will be published with a comparative analysis chapter.
- Nine national dissemination workshops are being planned. Expected participants include representatives from: ministries of higher education and national tertiary commissions or council; relevant Parliamentarians; senior management of higher education institutions; key private sector institutions; and research organizations.





## **2. Building advancement capabilities in individual partner universities**

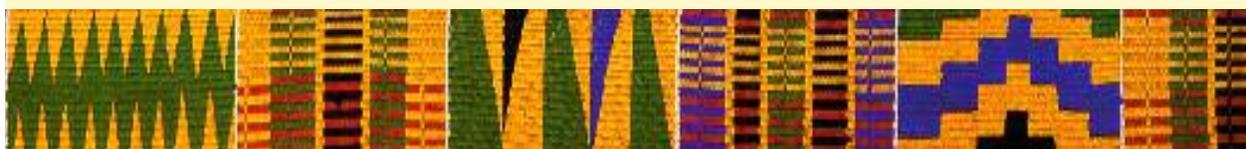
PHEA engagement in this area includes both Individual and Joint grants in two main areas.

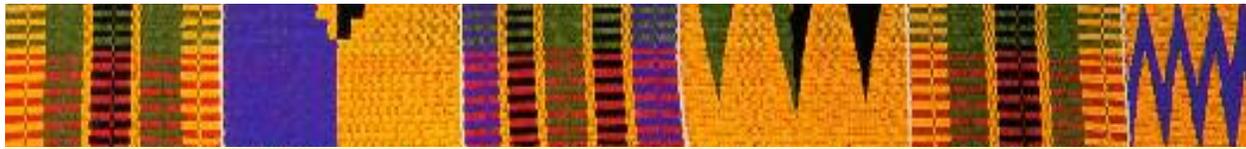
### ***Training and Technical Assistance***

- Carnegie and MacArthur support advancement training in partner universities through grants to the Council for Support of Advancement and Education (CASE)
- Carnegie supported the South African Institute for Advancement (Inyathelo) for the development and fundraising workshop for women from African universities
- Carnegie commissioned Inyathelo to examine the status of 3rd stream income in universities in six countries

### ***Support to Individual Universities***

- Carnegie supports the strengthening of advancement units at the universities of Jos, Obafemi Awolowo, Makerere, Dar es Salaam, and University of Education, Winneba
- Kresge, through Inyathelo, is supporting advancement and fundraising at the Cape Peninsula University of Technology, University of Pretoria, University of the Western Cape, the University of the Witwatersrand, and the Red Cross Children's Hospital Trust
- Kresge's challenge grant to the University of Witwatersrand for a new School of Public Health includes an additional challenge to encourage 100% board giving. Wits met the challenge in July 2009, making it the first South African university to achieve this milestone of fundraising best practice.
- MacArthur supports the establishment and strengthening of advancement units at University of Ibadan, Ahmadu Bello University, University of Port Harcourt, and Bayero University.
- MacArthur funded the establishment of the U.S. based Nigerian Higher Education Foundation, a public charity that represents a cross section of universities' fundraising interests abroad and raises funds for these universities.





### 3. South African dialogue on third stream income

The Kresge Foundation provided support for a national conference on 3rd Stream Income in South African universities in March 2009. Rhodes University was commissioned to prepare a background paper and Inyathelo and HESA were the organizers. All 23 South African universities were represented, including seven vice-chancellors. The PHEA supported the participation of five university leaders from Kenya, Ghana and Nigeria. The program covered several 3rd stream income issues: commercialization/sponsored research; endowment and reserves management; public-private partnerships; short and long term financing; and the role of the vice-chancellor in fundraising. Specific areas of follow-up action were identified and HESA is taking a lead in building a community of practice. A revised background paper and a formal report are being prepared.

### 4. National dialogue in Nigeria

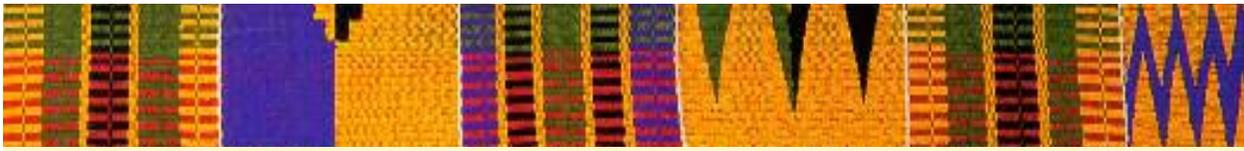
A national conference on “Sustainable Higher Education Financing in Nigeria” was held in Abuja in April 2009, with support from the World Bank and the PHEA. With leadership from the Nigerian university leaders who met as group at the University Leaders’ Forum and support from the STEP-B program, the program involved a range of Nigerian universities and institutions. PHEA funds at IIE are supporting the National Coordinating Secretariat for follow-up activities:

- Research on incentives, statistics, and policy in practice and the identification of gaps
- International benchmarking including on advancement
- Consultation with a wide range of stakeholders
- Advocacy, including with Vision 20-20 and the National STI Review



Nigerian university leaders identify key issues for sustainable higher education in November 2008





## Next Generation of Academics

In 2008-09, the PHEA worked to address the Next Generation of Academics through support for dialogue and debate, action plans, and individual foundation programs.

### Support of Dialogue and Debate

In November 2008, at the second meeting of the University Leaders' Forum, Vice-Chancellors and colleagues from eighteen African universities met in Accra to discuss the development and retention of the next generation of academics. Other participants included leaders of major international development organizations, business leaders, donors, and university leaders from the US, UK, France, Singapore, Brazil, and the West Indies. The issues were clearly and comprehensively discussed and analyzed, from multiple perspectives. A background analysis was commissioned, with eight national and 14 institutional profiles on next generation of academics indicators.

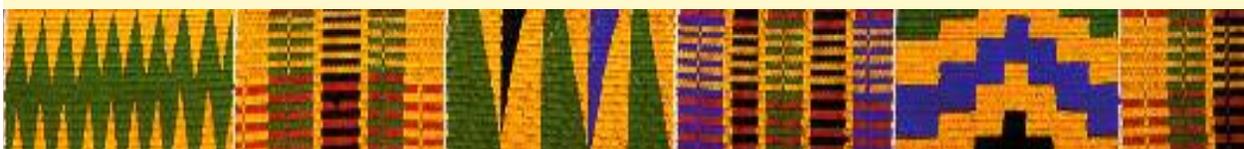
The three-day Forum began with an overview of the value of scholars to Africa's development and an articulation of the staffing crisis. The examination of promising approaches covered national policy approaches, university case studies, opportunities for private sector collaborations and innovative training approaches. The Forum concluded with the outlining of national and regional plans for moving forward.

The ULF Communiqué was signed by 23 African higher education leaders who committing themselves to address the needs at institutional, national and regional levels. The significant press coverage, in West Africa and internationally, has greatly increased recognition of the regeneration of faculty crisis in Africa.

### Support of Action

Gaining momentum from the University Leaders' Forum, two national breakout groups, South Africa and Nigeria, put forward plans that the PHEA is supporting using funds at IIE.

**Higher Education South Africa (HESA)**, South Africa's university leaders' organization, is **producing a national strategic framework document** on building the next generation of academics. Following approval by the HESA Board, it will be used to engage government in developing and funding a national program to build the next generation of academics. The framework is being created through a process that brings together South African universities to share experiences of designing and implementing programs aimed at building the next generation of academics. Participants will share lessons on the institutional conditions that enable or constrain the successful implementation of programs and conceptualize sound principles for growing the next





generation of academics. HESA members are working to devise appropriate strategies for the retention of these academics at universities and to design a cost effective national framework that can be implemented by all South African universities.

The Nigerian university leaders participating in the ULF put immediate focus on the issue of **financing and differentiation of the higher education system**, two constraints the group identified as critical for the next generation of academics. This group took the lead in shaping the May 2009 national conference, “Sustainable Higher Education Financing in Nigeria.” The group has addressed the Committee of Vice-Chancellors and is preparing to feed into two major national strategic planning efforts, Nigeria’s Vision 20-20 and the Science Technology and Innovation Review, including a push for a national science foundation to provide competitive research support. Concurrently, these university leaders are working on institutional change in their own universities to create an enabling environment for young academics.

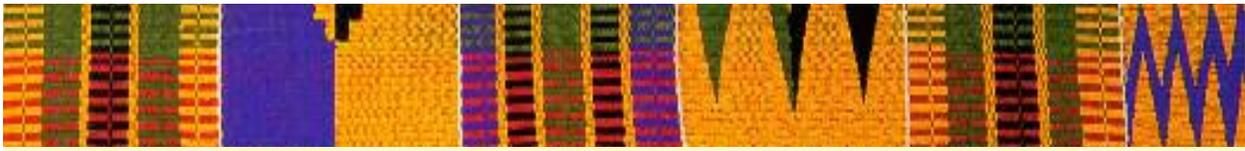
### **Support of Individual Foundation Grantmaking Strategies**

Since 2007, the PHEA foundations have been exploring the issue of the Next Generation of Academics. The PHEA has engaged in a collective learning process that has included a 2007 PHEA retreat on the issue, the January 2008 AGAG workshop on the perspectives of vice chancellors, young scholars, and researchers, the development of a concept paper, and the consultative University Leaders’ Forum in November 2008. These deliberations, both internal and external, on the Next Generation of Academics have had an impact on the grantmaking strategies of the partner foundations. In 2009, Carnegie Corporation of New York, Ford Foundation, and the MacArthur Foundation have each developed new strategies focused on the Next Generation of Academics. The Mellon Foundation has long been engaged in supporting the next generation of academics in South Africa. Foundation strategies vary but with continued knowledge sharing, collaboration and improved effectiveness are expected.



Clifford N.B. Tagoe (Vice-Chancellor, University of Ghana) and Njabulo S. Ndebele (President, AAU) exchange lessons learned at the Leaders' Forum prior to the closing session





## **PHEA GRANTMAKING IN PHASE 2: JANUARY 2008 – JUNE 2009**

### **Main Headlines**

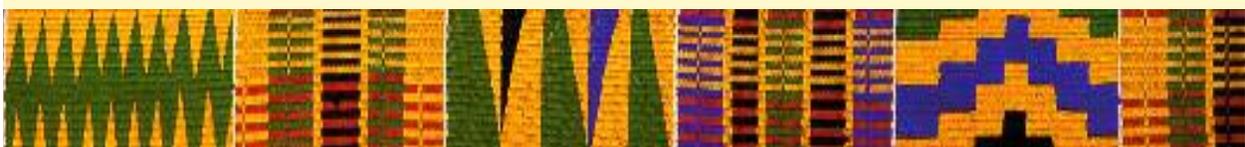
- The \$200 million PHEA pledge was surpassed in June 2009
- Ten years' PHEA grantmaking will exceed \$400 million
- Joint grantmaking among foundations has increased over time
- Improvements in the PHEA grants database allows improved analysis of where the investments were made

Following the definition of what counts as a PHEA grant, this update provides a brief in three parts:

1. Summary of Phase 2 grantmaking
2. Grantmaking in 2008-2009
  - a. In what areas were grants made?
  - b. Where was Joint Grantmaking focused?
  - c. How much was invested within Africa compared to outside?
3. Improvements to online grants database

### **What Grants Count towards the PHEA Pledge**

1. If a grant is to a higher education institution (university, center, institute, NGO, or system) in one of the nine Partnership countries, the grant qualifies.
2. For other grants, the funding foundation must indicate how the grant will directly and reliably strengthen the capacity of higher education institutions throughout Africa or in one or more Partnership countries.
3. The unit of analysis is the institution or system and not independent individuals. Support to individuals must be to individuals within Africa, not to non-Africans.





## 1. Summary of Phase 2 Grantmaking

### ***The \$200 million pledge has been reached***

Since the Re-launch of the Partnership in September 2005 through June 2009, PHEA foundations have invested **\$205,980,377** in grants to PHEA partners. This milestone was reached with seven months left to the current period of commitment. By January 2010, the ten year investment of the PHEA foundations will exceed **\$400 million**.

### ***Joint grantmaking has increased over time***

It is important to note that **27% of the grants in 2008 were Joint grants**. As Table 1 shows, there is a clear pattern of increased Joint grantmaking each year, an indication that seven foundations have been able to increase their collaborations—and bring more funding to those collaborations—as they gained more experience in working together. The new PHEA partners—the Hewlett, Kresge, and Mellon foundations—have been important contributors to both the volume and proportion of Joint grants. Looking at this tenth year, it is encouraging to find that the proportion of joint grantmaking in the first half of 2009 is higher than in 2007 and 2006.

**Since the Re-launch, 18% of the PHEA grants have been Joint grants.** At the time of the Re-Launch (4th quarter of 2005), foundations made significant joint ICT investments for the Bandwidth Consortium and NRENs as well as joint support to AERC. In 2006 Joint grants comprised only 10% of the grants as the PHEA funded the planning of several new collaborations in Higher Education Research and Advocacy, ICT Connectivity, and

**Table 1.  
Individual and Joint Partnership Grants During Phase 2**

<b>Period</b>	<b>Individual</b>	<b>Joint</b>	<b>TOTAL</b>	<b>% Joint</b>
4th Qtr, 2005	\$8,630,815	\$4,476,080	\$13,106,895	34%
2006	\$49,736,484	\$5,765,987	\$55,502,471	10%
2007	\$44,119,138	\$6,855,699	\$50,974,837	13%
2008	\$43,831,172	\$16,123,224	\$59,954,396	27%
2009 through June	\$21,703,778	\$4,738,000	\$26,441,778	18%
<b>TOTAL</b>	<b>\$168,021,387</b>	<b>\$37,958,990</b>	<b>\$205,980,377</b>	<b>18%</b>

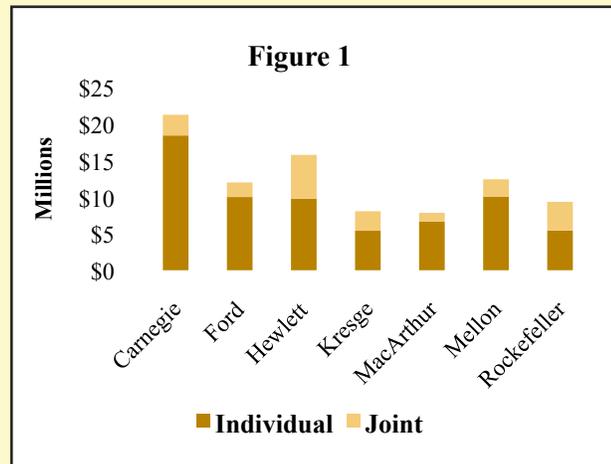




ICT e-Learning. In 2007, the proportion of Joint grants increased to 13% as initiatives in several focal areas were launched: HERANA, the Nigeria ICT Forum, and interim hosting of the Bandwidth Consortium by IDRC. The following section discusses 2008 and 2009 grantmaking.

## 2. Grantmaking in 2008-2009

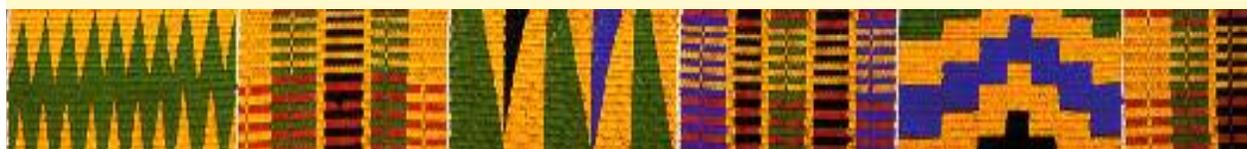
Figure 1 and Table 2 capture the individual foundation grantmaking for the eighteen months between January 2008 and June 2009, by type and total. The total value of grants ranges from \$7.8 million (MacArthur) to \$21.2 million (Carnegie). Overall, \$20.9 million or 24% were programmed jointly. Although Kresge and Rockefeller are on the lower end in total grant amounts, they, along with Hewlett, had higher than average proportions of Joint grants. This may be explained by the fact that neither Hewlett nor Rockefeller has a program for the institutional development of African universities. Hewlett made large grants to two research/training networks supported by other foundations (AERC and INDEPTH Network), an ICT initiative, and paid three years' PHEA membership



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**Table 2.**  
**Individual and Joint Grantmaking by Foundation**

Foundation	Individual	Joint	Total	% Joint
Carnegie	\$18,354,342	\$2,819,874	\$21,174,216	13%
Ford	\$9,973,530	\$1,984,000	\$11,957,530	17%
Hewlett	\$9,729,000	\$5,982,000	\$15,711,000	38%
Kresge	\$5,376,878	\$2,660,000	\$8,036,878	33%
MacArthur	\$6,646,000	\$1,169,850	\$7,815,850	15%
Mellon	\$10,038,000	\$2,350,000	\$12,388,000	19%
Rockefeller	\$5,417,200	\$3,895,500	\$9,312,700	42%
<b>Total 2008-09</b>	<b>\$65,534,950</b>	<b>\$20,861,224</b>	<b>\$86,396,174</b>	<b>24%</b>

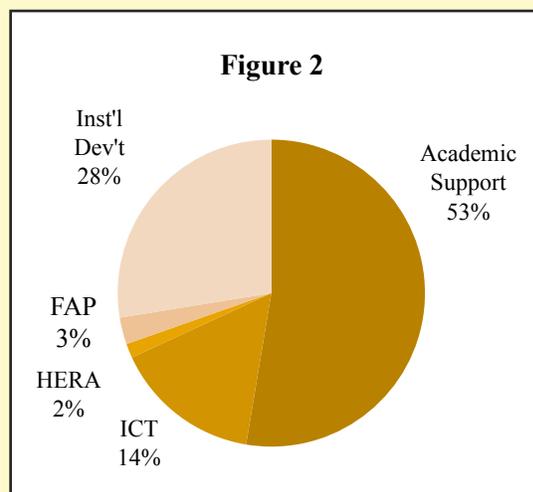




dues to IIE in 2008. Rockefeller funded several PHEA ICT initiatives and the same two networks, albeit for lesser amounts. Kresge, the newest of the partner foundations, joined with an understanding of the existing PHEA joint initiatives and made a commitment to support the Educational Technology Initiative upon joining the Partnership. With a program for institutional development, it also recently partnered with Mellon to support Rhodes University.

***In what areas were grants made?***

Grants are categorized along five broad areas of support, to facilitate analysis of both scale and impact of Individual and Joint grantmaking. Figure 2 illustrates the distribution of the 2008-2009 grants across the five areas of support while Table 3 specifies the distribution by sub-fields within each of the broader areas. In the period January 2008 through June 2009, the largest proportion of grants (53%) went for **Academic Support, \$45.5 million**. Of this, \$22.3 million (49%) was for the Next Generation of Academics and another \$12.2 million (27%) supported university efforts to serve communities and society (“Outreach”). **Institutional development accounted for 28% of the grants in 2008-2009** (\$23.8 million) including higher education management (\$10 million), facility



development (\$10 million), facility

**Table 3.**  
**Total Grantmaking Amounts by Area of Support and Sub-Field**

Area of Support	Total	Sub-field	Sub-field %
<b>Institutional Development</b>	\$23,812,199		
Administrative staff development		\$30,000	0.1%
Facility development		\$2,615,796	11%
Higher education management		\$10,034,223	42%
Library Support		\$2,654,000	11%
<b>Academic Support</b>	\$45,471,442		
Next Generation of Academics		\$22,251,442	49%
Outreach		\$12,169,200	27%
<b>Information &amp; Communications Tech</b>	\$13,377,683		
Connectivity		\$3,579,683	27%
E-learning		\$9,798,000	73%
<b>Higher Ed Research &amp; Advocacy</b>	\$1,294,850		
<b>Foundation Administered Project (NYU, IIE)</b>	\$2,440,000		

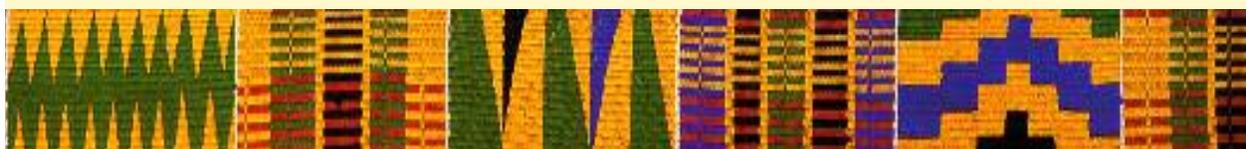
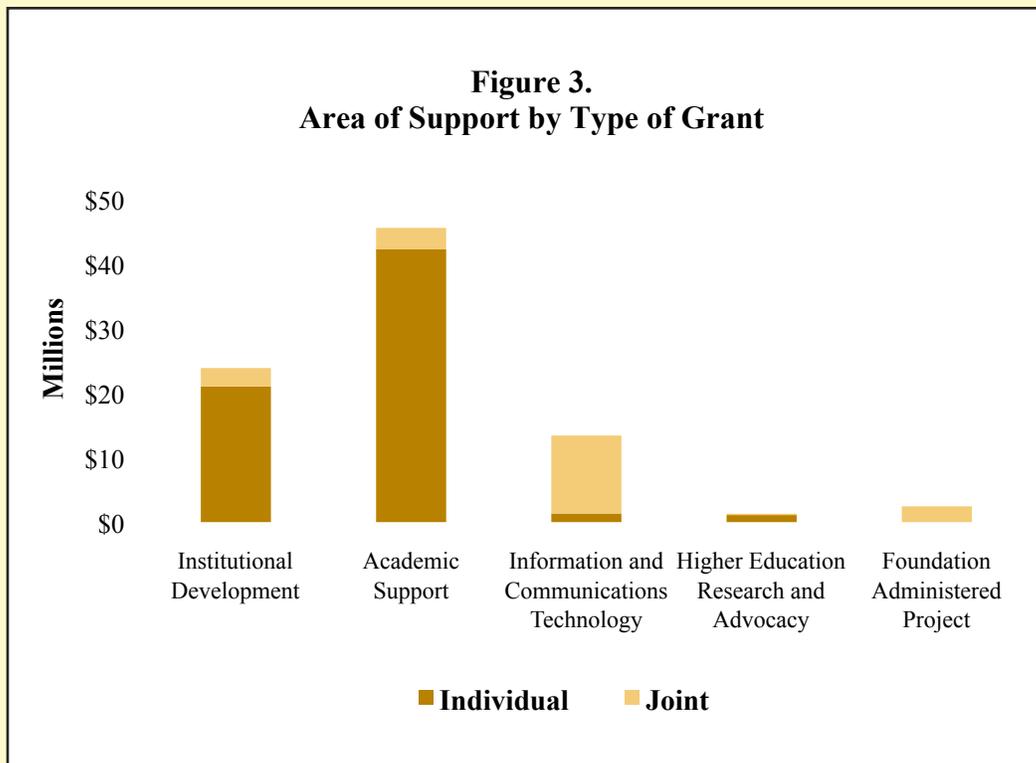




development (\$2.6 million), libraries (\$2.7 million), and administrative staff development (\$30,000). Another 14%, or \$13.4 million, went to **Information and Communication Technology**. Of this, \$9.8 million supported several E-learning efforts and \$3.6 million supported connectivity. There was limited grantmaking for **Higher Education Research and Advocacy** in this period (\$1.3 million). Grants categorized by **Foundation Administered Project** are 2008 grants to the PHEA secretariat, either to NYU or IIE.

### ***Where was Joint Grantmaking focused?***

As Figure 3 indicates, 88% of **Institutional Development** grants are Individual grants. Of the \$2.86 million in Joint grants, INDEPTH Network received \$1.9 million for core support from Hewlett and Rockefeller while Carnegie, Kresge, and MacArthur invested \$757,541 to support the development of fundraising capacity in partner universities, with the assistance of the Council for Advancement and Support of Education and the South African Institute for Advancement (Inyathelo).





Joint grants for **Academic Support** represent \$3.1 million or only 7% in this area, most of support (\$2.7 million) directed at the Next Generation of Academics. Grants include \$1.5 million of Kresge and Mellon support for Rhodes University's faculty accelerated development program, Hewlett and Rockefeller grants for AERC's postgraduate training programs support, Ford seed money to the African Population and Health Research Center for developing the new doctoral training program, CARTA, and a small Mellon grant for the University Leaders' Forum with the theme of Next Generation of Academics.

In contrast, **90% or \$12.0 million of the ICT grants are Joint grants. E-learning Joint grants totaling \$8.5 million** involved all seven of the PHEA foundations in Joint grantmaking during this period. Five foundations (Carnegie, Ford, Kresge, MacArthur, and Rockefeller) committed \$4.7 million of the total \$5.4 million budget for the four-year **Educational Technology Initiative (E-learning)** led by the South African Institute for Distance Education and the University of Cape Town Centre for Educational Technology (CET). Carnegie, Mellon and Hewlett made complementary grants to organizations engaged with the PHEA Educational Technology Initiative. Mellon (\$1.3 million) and Carnegie (\$300,000) support the new CET master's program in ICT in Education. Hewlett's grant of \$1.9 million to the Open Educational Resources Africa project supports the larger continent-wide initiative. Ford and Kresge made Joint grants totaling \$659,000 to the International Association of Digital Publications for the development and use of open access e-learning courseware at selected universities and to provide affordable access to digital publications.

**Joint grants for Connectivity totaled \$3.58 million**, most of it for the Bandwidth Consortium. Five foundations supported IDRC in temporarily hosting the Bandwidth Consortium from July 2007 through October 2008. Ford, Hewlett, and Rockefeller grants for \$945,700 joined earlier Carnegie and MacArthur grants. In November 2008 the Bandwidth Consortium moved to the Nigerian ICT Forum and received \$2.3 million from Carnegie, MacArthur, and Rockefeller. Support from other foundations is planned in the second half of 2009. Connectivity was also supported through grants from Ford, MacArthur, and Rockefeller (\$333,983) to the Africa Network Operators' Group (AfNOG) for bandwidth management training at partner universities in the Bandwidth Consortium. When combined with an earlier Carnegie grant, the AfNOG program support totals \$595,075.

**Higher Education Research and Advocacy** received Joint support representing 15% of \$818,600 between January 2008 and June 2009, largely because the HERANA initiative was funded in 2007 and the multi-country higher education financing analyses and dissemination are funded through PHEA funds at IIE. During this reporting period, Ford funded the Africa edition of the University World News Africa edition e-newsletter and Kresge supported Rhodes University for a study of 3rd stream income in South African universities.

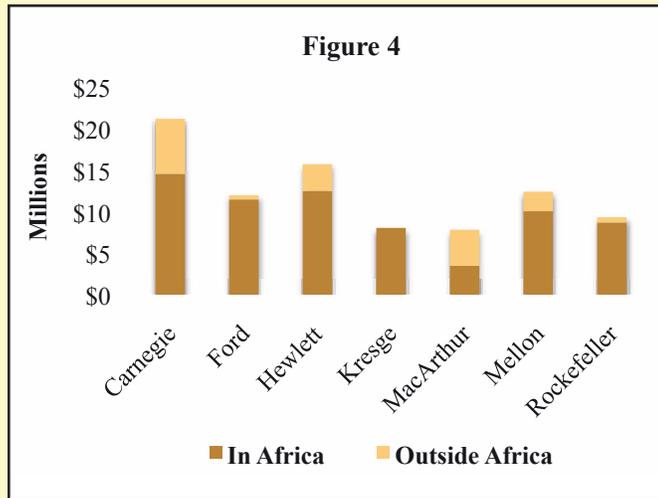




The **Foundation Administered Project** grants are all Joint grants as they were in support of the PHEA secretariat. Hewlett and Ford made renewal grants to IIE while Carnegie, Mellon and Rockefeller made renewal grants to NYU through the closing of the office in January 2010. These grants contribute to PHEA annual membership of \$400,000 in Joint grantmaking per annum. Mellon, as Affiliate Partner, contributes \$100,000. All seven foundations met their membership dues through 2010.

**How much was invested within Africa compared to outside Africa?**

Since the start of 2007, the PHEA Office has separated grants going to African institutions from those going to organizations outside Africa. Figure 4 and Table 4 show the total grantmaking within and outside Africa in 2008-2009.



The percentage of PHEA grants going directly to African institutions ranged across foundations, from 44% to 100%. The overall average of the value of PHEA grants between January 2008 and June 2009 was 80%. Looking just at Joint grants, support to institutions outside of

Africa consists almost solely of PHEA secretariat support at NYU and IIE. The exception is Carnegie and MacArthur support to the Council for Advancement and Support of Education (CASE) to improve partner universities' fundraising capacity.

**Table 4.  
Grantmaking Within and Outside Africa**

Foundation	In Africa	Outside Africa	Total	% in Africa
Carnegie	\$14,527,716	\$6,646,500	\$21,174,216	69%
Ford	\$11,457,530	\$500,000	\$11,957,530	96%
Hewlett	\$12,471,000	\$3,240,000	\$15,711,000	79%
Kresge	\$8,036,878	\$0	\$8,036,878	100%
MacArthur	\$3,462,183	\$4,353,667	\$7,815,850	44%
Mellon	\$10,037,000	\$2,351,000	\$12,388,000	81%
Rockefeller	\$8,677,600	\$635,100	\$9,312,700	93%
<b>Total</b>	<b>\$68,669,907</b>	<b>\$17,726,267</b>	<b>\$86,396,174</b>	<b>80%</b>





The largest Individual grants to organizations outside of Africa were Carnegie's \$4.66 million funding for the Regional Initiative for Science Education (RISE), a Next Generation of Academics initiative, and MacArthur's \$3.5 million grant to the International Foundation for Science to improve the science infrastructure base of universities in Nigeria and Madagascar. Carnegie also provided \$540,900 support to the Association of Commonwealth Universities to strengthen research management capacity and \$506,800 to the American Society of Cell Biology for research training of young scientists. Hewlett made several large grants for open educational resources (University of Michigan and Open University) and a grant to the Institute of International Education to improve access to demographic and related data in sub-Saharan Africa. A series of smaller grants for population research and training and library support were made to US and British institutions. MacArthur made two outside Africa grants to support Nigerian university libraries and another to the Nigeria Higher Education Foundation to strengthen linkages between universities and the Nigerian Diaspora. Mellon's individual support outside of Africa went to US universities, mostly for support to African universities for ecological research and training.

### **3. Improvements to online grants database**

The PHEA Web site contains a searchable database with all PHEA grants since its establishment. This serves a major public accountability role as well as being a powerful analytic tool for PHEA foundations and the PHEA office. The improved database populates the interactive map on the PHEA home page.

The database can be searched by country, grantee, foundation, year grant was made, Joint or Individual grant, and keywords. Multiple search fields can be used and a total value of the grants selected and the number of grants appears at the top of every search.

The PHEA office has been introducing a revised set of keywords to increase the analytic power of the database. These new keywords were applied to the 2008-2009 grants reported in this document. By the end of 2009 the new keywords will allow an analysis of the ten years of grant making by five programmatic areas and eight sub-fields as well as mechanisms (e.g. research support, fellowships) and disciplines (e.g. agriculture, HIV/AIDS, law). An illustration of the type of reports available is provided below. Feedback is desired.





**Figure 5.**  
**Example of output from improved grants database**

