The Role of the University Planner in Kenya

by

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ABSTRACT

Despite the clear importance of investment in higher education for economic growth and social development, the sector is in crisis throughout the world. In all countries, higher education is heavily dependent on government funding. In an era of widespread fiscal constraints, developed as well as developing countries are grappling with the challenge of preserving or improving higher education quality as education budgets are compressed. The crisis is most acute in the developing world, both because fiscal adjustments have been harsher and because it has been more difficult for developing countries expansion, given relatively low enrolment ratios. Obviously there is a wide range of determinants of low levels of efficiency in higher education. But ineffective utilisation and development of available resources (human, material and financial) is in part attributable to the scarcity of quality management, the scarcity of trained administrators, to poor organisation and planning, and to the lack of incentives for cost-effective management. This study attempts to redress this imbalance. The study begins by introducing the concept of strategic planning and argues that the concept has relevance and applicability in Kenyan public universities. The study suggests that only if the right management structure is in place can the university institutions hope to cope quickly and decisively and develop corporate strategy. However, the need to mobilize greater private financing and the need for the government to give universities greater autonomy to manage their affairs are necessary conditions for future universities' development.

1. INTRODUCTION

1.1   An Overview

The fact that education investment has been taking an increasing share of the national budget in the developing countries reflect the high priority given to education in these countries. It is now an accepted view that education has a private as well as a public or social dimension, that it is both a private, personal need and a public, social concern.

At a personal level, education attracts everyone because of its importance in raising people's level of awareness and hence in enabling them compete with others in a world of competition for scarce market and other opportunities. It is therefore a valuable commodity, well worth seeking and treasuring.

Those who conceive of education purely in public utility terms have the larger social reference - the nation or community - as a starting point. In this context, the aim of education become socially defined in terms of the improvement and development of the social environment (the community) of which individuals are participating members. In this sense, education is a socially defined public need, to be publicly provided, publicly shared, publicly consumed and hence publicly regulated (Maliyamkono, 1982).

The justification for investment in education therefore, is that education is not only a basic human right, but also a basic component of social and economic development and that properly planned, investments in education pay great economic dividends (Psacharopoulos, 1985). Bowman (1990) described the economic value of education as the `human investment

revolution in economic thought'.

Most developing countries seem to believe in, and hence to emphasise, the view of education as a public industry in which society should consciously invest for manpower development. Consequently, a sizeable proportion of their national budgets has been spent on educating their people with the expectation that the educated will undertake the many development tasks that require a trained and enlightened cadre.

Initially, opportunities for higher education[1], or scholarships that were offered to students in developing nations to study in the advanced institutions of the industrialised countries were justified by the need to create a dialogue, an understanding, of an international nature. After, the period of colonial rule ended, however, it was realised that developing nations were increasing their productive areas and their production potential faster than their training of manpower, both for providing social services and for producing goods. The local institutions, even when operating at full capacity, were inadequate to cater for the fast developing skills required to harness and propel the production of necessary goods and services.

From the mid 1960s onwards concern about the transfer of technology from highly industrialised to the less advanced countries began to be expressed. Debate centred on the argument that it was not enough to transfer ready-made machines and equipment alone; corresponding training for people to man the machines and to match the created occupational structure were

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[1] The term higher education is used in this study as a generic expression to designate various types of formal post-secondary education institutions that train middle and high-level personnel in degree, diploma and certificate granting programmes. It is used interchangeably with the term university education.

also essential. Without appropriate training, it was argued, total dependence on the advanced industrialised countries would continue. Furthermore, the expansion of primary and secondary schooling system increased the pressure for the expansion of post-secondary educational opportunities.

To respond to such development needs and societal demands in the face of the ever-increasing expense of overseas training, developing countries created additional universities and expanded the existing ones. The major rationale for the expansion of university education in these countries revolves around equity, savings on foreign exchange, economies of scale and other tangible benefits. From the point of view of equity, the expansion of university access helps to prevent higher education from becoming a domain of the privileged by broadening access to university education. Other benefits include higher productivity, an enhanced sensitivity to health and fertility issues, institutional development, political democratization and a general ability to learn and respond. Another important benefit is increased research output. Expanded university education implies an increase in the number of academic staff conducting research for their thesis and dissertations in the critical areas of national development.

The results of the rapid educational expansion surpassed the initial expectations. As Salmi (1991: 2-3) states:

> "Between 1960 and the late 1980s, higher education enrolments were multiplied by 9 in Africa, 4 in Asia and 9 in Latin America. This rapid expansion was fuelled by a strong social demand for higher education, seen as the main avenue for social mobility and promotion, and facilitated by generous government policies of open admission, free education and, in many countries, grants for all students and guaranteed employment for all graduates".

In fact in the early 1960s, the African, Asian and Latin American Ministers of education met under the auspices of UNESCO in Addis Ababa, Bangkok and Santiago respectively to adopt very comprehensive educational development programmes calling, among others priorities, for a rapid increase in higher education enrolments. The ambitious quantitative objectives adopted at that time reflected a strong commitment to rapidly train the middle and higher level professional, technical and managerial manpower required for economic development.

However, after being hailed as agents of modernization and economic growth, universities are now coming under heavy criticism. In many developing countries education planners and decision-makers are confronted with an alarming situation of uncontrolled growth of enrolments and expenditures against a background of diminishing financial resources, a decline in the quality of teaching and research, and a rising problem of mismatch and graduate unemployment. What has gone wrong? How is it possible that the carefully planned development of higher education during the last three decades has led to a crisis situation characterized by a pattern of unmanageable expansion? What kind of approach in planning are feasible and effective to help overcome the present crisis?

There is a danger that African universities will reinvent the wheel several times over unless they seek better methods and approaches to the organisation and management of the institutions through strategic planning.[2]

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[2] Strategic planning is seen as the setting of objectives and the selection of strategies to meet those objectives; its primary focus is to identify major long-term issues and point to major decisions which will change the fundamental character and direction of the enterprise. In the context of a university as a

Moves towards the development of management information systems, business plans, cost/profit centred approach and capacity to produce performance statistics, are relevant in African universities but lacking. Unless such reforms and systems are in place, universities will not be able to respond to reform initiatives being introduced by governments.

After three decades of rapid expansion in a relatively worry-free context higher education is becoming increasingly threatened and tested, in terms of missions, resources and outcomes, by an environment full of constraints and challenges. The impact of economic pressures brought about by oil price movements, the global debt situation, inflation, International Monetary Fund (IMF) conditionalities etc. will be around for some time to come, and since traditional approaches to university planning and decision-making have failed to build into their development and reform strategies appropriate mechanisms to evaluate risks and deal with uncertainties must be found (Salmi, 1991: 1). Some of the governments have had to institute measures to reduce subventions to these institutions resulting in many instances in staff reductions, salary cuts, shortage of books and equipment, etc. with obvious demotivating consequences.

Developing on the issue of university planning Fielden (1973) advises that planning should never be based wholly on techniques. The university environment demands the flexible approach, in which its policies can adopt

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whole, it involves such issues as the long-term rate of growth, the balance between arts and science, the balance between undergraduate teaching, postgraduate training and research, the staff/student ratios, the establishment of new schools of studies, the size of the schools, the relationships of research centres to the schools, etc.

to local needs, national demands, the views of society and participants in universities themselves. This is aimed at maximising outputs in relation to strategically determined objectives, which are defined in reference to its clients and also because governments cannot continue to waste resources, both human and material, by not optimising the efficiency and effectiveness of their use.

Unfortunately in the Kenyan context the writer is of the opinion that the public universities have little or no strategic planning mechanisms for efficiency and effectiveness. They do little more than respond to reductions in resources and to the short term changes in government counter-inflation policy. Very few are prepared to face up to hard choices, in the allocation and redeployment of resources. Jarratt (1985) suggests that:

> "unless a university pays vigorous and systematic attention to the quality of its resource allocation and monitoring procedures it is certain to be wasting its resources, especially the time and energies of its academic staff and not giving best value for money."

A recent definition of corporate planning found in 'Strategic Choice' is:

> "the continuous and collective exercise of foresight in the integrated process of taking informed decisions affecting the future. Planning is the process of questioning, analysing, monitoring, reviewing in the expectation of change. This means that each university has to determine its goals or its "mission" and to assemble a set of objectives against which it can be measured. As the outside environment changes, so the mission or more specific objectives may change."

The purpose of this study is to investigate public universities in Kenya with the intention of providing a rationale for a move towards a more efficient, effective and flexible approach to planning. It will attempt to analyse the implications of any proposed changes and the feasibility of doing so within the institutions and the Kenyan environment.

1.2   Elements of the Problem

As referred to in 1.2 above, the intentions of the study are in meeting the following objectives:

(a)   To identify the traditional approaches to planning and decision making used in the public universities.

(b)   To determine whether there has been any adverse impact on the effectiveness of the institutions' planning activities because of such approaches.

(c)   To evaluate if the objectives for the use of these approaches are still relevant in the environment of this type of institution.

(d)   To identify the elements of the approaches that should be changed.

(e)   To identify the methods that can be appropriately used to facilitate the proposed changes and as such move towards greater efficiency and effectiveness.

(f)   To assess the feasibility of change within the institutions themselves and the Kenyan environment.

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1.3   Scope of the Study

The focus of this study is the function of planning in Kenyan public universities. In more specific terms, it will discuss the development of strategic plans to underpin academic decisions and the development of structures which bring together planning, resource allocation and accountability into one corporate process, linking academic, financial and physical aspects. Other sections of the public sector namely, Ministry of Education (MOE), Commission for Higher Education (CHE), Ministry of Finance, Ministry of Planning and National development and Ministry of Research, Science and Technology, will also be discussed in so far as it helps to throw more light on the subject matter.

1.4   Methodology of the Study

The approach used in this study is based on four aspects, viz:

1. *Literature Review:* A carefully selected literature review in the theoretical approaches to planning, appropriately woven into the text, will be undertaken.

2. *Personal Knowledge and Experience:* Some of the information used is based on the writer's knowledge of the university administration in Kenya over the last ten years during which he has worked as a Senior Administrator in two public universities.

3. *Secondary Sources - One:* Various documents on public universities in Kenya will be used and where appropriate, will be cited.

4. *Secondary Sources - Two:* The writer interviewed top university planning officers from two universities in the United Kingdom namely, The

University of Manchester and The Keele University and obtained very useful first hand information.

1.5   Design of the Study

The study is divided into 6 chapters.

Chapter 1   -   is an introduction which sets the scenario for conducting the study and includes a definition of terms that will be used.

Chapter 2 -   gives an overview of the evolution of university education in East Africa. In particular it charts the historical origins of public universities in Kenya, their rationale and objectives. It also provides some background information on private universities and the Commission for Higher Education.

Chapter 3 -   explores other writers' thoughts about planning. In particular it examines in some reasonable detail what strategic planning is in an institutional context.

Chapter 4 -   sets the problem of study. It details the planning system at work in the public universities, identifies a number of weaknesses of the planning function

and provides an analysis of the impact of the weaknesses on the institutions' planning function.

Chapter 5 - introduces the Western approach to planning in the universities. It looks at social and economic approaches to investment in university education and examines some specific models in relation to work productivity and contribution to national development.

Chapter 6 - is proposed recommendations and concluding remarks.

2. THE DEVELOPMENT OF UNIVERSITY EDUCATION IN KENYA: A HISTORICAL AND CRITICAL OVERVIEW

2.1 Introduction

Universities are not entirely new in Africa. Kwapong (1972: 201-2) rightly reminds us that universities have a long and honourable history in Africa as evidenced by the existence of the University of Sankore in Timbuctoo which is reputed to have been famous in the middle ages throughout northern Africa and the Middle East for the study of law and medicine. The other was the Museum of Alexandria, Egypt which became a centre for scholars and research workers until the conquests of Islam in the seventh century A.D. Among its most famous students were Euclid, Archimedes and Hero. From the Museum and other schools, Greek thought permeated the ancient world and no people escaped its influence (Ashby, 1966). Africa, however, suffered a period of relative intellectual isolation and stagnation between the break-up of the Sudanic Empires (during which time Sankore flourished) and the coming of the slave trade. The subsequent era of the 'scramble for Africa' did not assist the intellectual recovery of the continent and so the modern universities in Africa owe nothing to this ancient tradition of scholarship. They have their roots in a system of education brought from the west as evidenced by the pioneering enterprise of missionaries and traders.

The modern European universities trace their descent from the first two universities founded in Italy in the twelfth century at Salerno and Bologna; but there were forerunners of the early universities of Europe that nearly approached the European conception in aim and scope (Fletcher, 1968). The precursors of modern universities concentrated on the discipline of mathematics, philosophy, medicine, theology and law. Professional education was considered to be an essential and in some cases the most important part of the higher education they provided. The universities of Oxford, Bologna and Sobourne are examples which in their early beginnings started along these models.

The early universities were characteristic of small institutions reserved for the elite in society. They fell under the jurisdiction of the catholic church and since the authority of the church covered Europe, the medieval universities were truly supra-national. The very word 'university' denoted in ancient Bologna the society of foreign students, associating themselves together in nations. The universities constituted an intellectual commonwealth, embodying the same ideal, fulfilling the same function, exchanging teachers, students, and, ideas and their great contribution to society was that they placed the administration of human affairs in the hands of educated men (Rashdall, 1936).

These then are the main historical threads in the pattern of higher education as they have evolved since the early universities: love of scholarship in the setting of community life; professional education; research; service to the region; and the recognition that truth knows no frontiers of race or nationality.

The proliferation of universities began five hundred years ago and has continued to to-day. Indeed in the twentieth century there has been the greatest wave of transplantations of universities to foreign countries. Small or big nations have realised that a sentiment of national unity and the development of a coherent national culture can be promoted in many different ways, but the most powerful way is to transmit it down through the various levels of the educational system from institutions of higher education at the top (Fletcher, 1968).

The early universities were small and elitist in character. But the university has kept pace with the mutations of society (Ashby, 1966). It was not until the nineteenth century with the advent of the University of London when university education was tailored on the basis of the philosophy of university education for national development. Universities in the third world countries have borrowed and are modelled along this revolutionary philosophy by virtue of their long and diverse association with the University of London and similar institutions in Europe. This is the posture which the University of East Africa took and Kenyan universities have continued to pursue to date.

2.2   The University of East Africa

The new concept of trusteeship for subject races that emerged from the peace negotiations at the end of the First World War and missionary pressure triggered the decision by the Colonial Office to set up a permanent advisory committee in 1922, on native education in tropical Africa whose terms of reference was:

'To advise the Secretary of State on any matters of native education in the British Colonies and Protectorates in Tropical Africa, which he may from time to time refer to it, and to assist him in advancing the progress of education in those colonies and protectorates'. (quoted from Ashby: 426).

In the same year the committee was invited to examine a proposal from the government of Uganda for transforming a technical school at Makerere into a central training college for East Africa. The scheme which was approved by the committee in 1924 provided for preparatory courses in medicine, agriculture and veterinary science, and surveying, with advanced literary course for sons of chiefs, school masters, and high grade clerks. Thus the first step was taken towards a policy for higher education in East Africa. Students could now be prepared at Makerere to qualify for entrance to European universities. However, the educational output was tailored to meet missionary and government interests. Missions were interested in bible readers and interpreters and the government in clerks, train guards, bank tellers, medical orderlies and agricultural extension workers (Onyango in Tembo, et al: 129).

The inspiration to create new universities in British colonies in Africa had its source in the reports of Currie in 1933, De La Warr in 1937 and Channon in 1943. The Currie Report called for an immediate and publicly announced programme of university development. There was a growing demand for higher education in Africa; and it regarded it as damaging to British prestige that an increasing number of Africans should be seeking training in foreign countries. It therefore recommended that selected colleges in Africa should be progressively raised to full university status. Makerere College, it was considered, would provided a sufficient nucleus for higher

studies in East Africa but it must proceed through the stages by which university colleges in England reached university status: and that for a time it must be dependent for the granting of degrees on an English university.

It was the De La Warr Commission, appointed three years later that produced the first published exposition of British policy for university education in Tropical Africa. It recommended that Makerere should award its own diplomas and should progress by way of London external degrees to complete the autonomy in the award of its own degrees.

The Channon Report analysed the position of higher education in the colonies, and also dealt with the principles which should guide its post-war development, particularly the development to full university status.

The ideas necessary for creating colonial universities had been supplied by these three reports; what was now needed was a strategy to turn the ideas into accomplishments particularly following the war which had de-accelerated the speed of implementation. It was not until 1949 that Makerere College was made an autonomous institution and was admitted into 'special' relationship with the University of London which would offer its degrees.

It would be important to point out that the advances towards the introduction of university education in the colonies, particularly after the war, were to a large extent responses to political and economic changes that were taking place in the colonies. The changes in the colonial economy, particularly in the manufacturing sector and the resulting expansion of colonial state bureaucracy, created demand for professional and technical personnel. In a letter to the Vice-Chancellors of the British Universities the Colonial Secretary spelt out clearly the urgency that existed when he said:

'His Majesty's Government is deeply committed to quickening the progress of colonial peoples towards a higher level of social well-being and towards the ultimate goal of self-government. It is essential to the success of this policy that the supply of leaders from the indigenous people themselves should be rapidly increased. There is, therefore, an urgent and fundamental need to enlarge our facilities for higher education without which these leaders cannot be created'.

The waves of independence were sweeping through the entire East African region and the tutelage under the special relations scheme of Makerere with the University of London was destined to be short-lived. The need to have an umbrella university which would co-ordinate the development of university colleges in Kenya, Uganda and Tanzania was supported by the Lockwood (1958) working party and the East African governments. It became a reality in 1963 when the University of East Africa was founded with Nairobi, Makerere and Dar-es-Salaam as its constituent colleges. Its functions included:

- ensuring that comparable and high academic standards were maintained in the East African countries.

- co-ordinating the development of the university colleges in the three countries through planned growth aimed at sharing the scarce resources economically by avoiding unnecessary duplication.

2.3   Planning in the Federal University

By 1960, Makerere, a much older institution had 900 students, Nairobi had only about a third as many students as Makerere and Dar-es-Salaam was nothing but a set of paper drawings and political aspirations. Given these gross inequalities, the Federal University was seen as a device for matching

academic standards between the three colleges and as a tool whereby the political ambitions which argued for a university institution in each territory could be reconciled with the economic capabilities of the region; and once the colleges had matured to a level consonant with independent status, and the East African economies could withstand the burden, the Federal University would be succeeded by three full universities (Southall, 1974).

The implications of this model was that development at Makerere should be held back whilst the other two colleges caught up. This conception was hardly likely to fire much enthusiasm for integrated planning at Makerere, whose co-operation was an essential prerequisite for the success of the joint venture. In fact as the grain of independence wore on, and each country got down to the task of defining its developmental needs more carefully, the approach to the planning of the constituent colleges eased by allowing some duplication of efforts in some of the disciplines in cognisance of national needs and aspirations.

The proposals by the Uganda Minister for Education for the remedy of the deficiencies of the Federal University are worth quoting extensively:

> 'I consider it highly desirable that each country should be free to develop its own programme according to the desires and aspirations of its own people. It is entirely wrong in principle to leave the powers of determining a country's development to some agency like the Development Committee or the University Council over which that country has no complete control. In effect, I suggest that each country should be free to devise the machinery for training its manpower in the way it chooses and at the rate it likes. In consequence of this, I propose that the University of East Africa as it is now known, should dissolve. Each country will then be free to train its manpower needs in the way it thinks best, openly and without hinderance or fears of stepping on anybody's toe. This will also bring an end to all movements that now carry a flavour of the underhand together with lots of arguments. Everything

will be above board. If Kenya wants a scheme, although we have it at Makerere, let them have it if they think they can foot the bill. On the other hand, if they have a scheme at the University College, Nairobi, which we think we in Uganda would like to participate in they can let us have the places and we can bear our share of the cost. It seems to me that by and large this is the most sensible thing and there should be no jealousies. By sheer force of reason, it will be found that apart from courses used as status symbols, it may be found that co-operation will come more easily than at present because it will not come by force of votes but by the force of desire to work together and by economic means. Higher education will thus be nationalised.'

So with the academic standards firmly established, and the increasing national aspirations regarding the rate at which each state wanted its university college to grow, the need to separate growth for the constituent colleges was examined by a working party appointed by the East African community in 1968 under the chairmanship of George D. Stoddard. Following the recommendation of the working party, the University of East Africa was dissolved on 30 June 1970. However, the three countries continued to use the facilities at Makerere and the University of Nairobi as shared services.

As a consequence of the increasing national aspirations regarding the rate at which each State wanted its university college to grow, the university's planning function was constantly underplayed in the formative years of the federal scheme, and indeed in an attempt to encourage Makerere, the burden of emphasis was put on the autonomy which would be allowed to the constituent colleges under the federal umbrella. This was in agreement with the Lockwood Committee which had emphasised that the University would 'exist in its colleges' and that 'major decisions as to the academic and other policies of the colleges would be left to the authorities of each college, subject

to certain overriding principles.'[3]

There was no indication that the central administrative structure might be allowed a dynamic and positive role in planning University development; rather, its role was to be confined to regulating and co-ordinating the diverse ambitions of the constituent colleges. Makerere would have been quite unprepared to bow in subjection to a central bureaucracy. The college's Registrar expressed the orthodox view of the university at this time when he wrote that:

> "The University of East Africa will live in its colleges. Its central organisation will consist of a few harmless drudges - a Registrar, someone to type his letters, and someone to keep his records straight. They will need some rooms to work in and some houses to live in ..."[4]

2.3.1 The Quinquennial Advisory Committee (QAC)

It was not long before political developments began to disrupt the co-operative atmosphere (based upon a comfortable assumption of consensus) and to awaken the need for a controlling force at the centre. In 1960 the governments had invited a Quinquennial Advisory Committee (QAC) to East Africa to recommend how much and in what ways they should spend their money on higher education in the period preceding the creation of the University in 1966, as earlier scheduled by the Lockwood Committee. The QAC Report which had been accepted in full by the governments recommended that the Tanganyika College be brought into existence in 1964; that a preparatory planning body for

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[3] Report of the Working Party on Higher Education in East Africa, 1959, p. 20, quoted in Southall, R., (1974: 52).

[4] Southall (1974: 52).

the University be established as soon as possible; and that the implementation of the federal idea be brought forward from 1966 to 1961. But even before the quinquennium had began, the QAC Report had been overtaken by events.

In the first place, the Kenyan Government decided to open three faculties in 1961 rather than the one recommended by the QAC. Secondly the newly elected African majority government brought forward the opening of the new University College, Dar-es-Salaam, so that teaching could begin in 1961. These developments upset the financial schedule outlined by the QAC. Sir Charles Morris - Vice-Chancellor of the University of Leeds and a member of the QAC was asked to re-visit East Africa as an independent arbiter to make recommendations of further grants for the triennium 1961-64. Subsequently increased grants were approved for distribution between Dar-es-Salaam and Nairobi Colleges between 1961 and 1964. Meanwhile, steps were taken to implement the QAC recommendations relating to the early establishment of a central university organisation. A Provincial Council (PV) and an embryonic Senate, known as the Academic Committee (AC) were appointed. The Council would co-ordinate the development plans of the colleges while the Academic Committee would advise the Council on matters relating to academic management of the University.

In regard to planning, the following principles were enunciated:

(a)   Each College's Academic Board would put up its own draft quinquennial programme to its College Council;

(b)   The programme, as adopted by the College Council, would be forwarded to University Grants Committee through the University's Senate and Council.

(c)   The University would make comments on the College's programmes, with regard to the overall planning of University provision. The University should not, however, have any power to withhold the programme from the Grants Committee as submitted by the College; and

(d)   The Grants Committee should consider the College programmes, and recommend and negotiate the necessary finance with the government, which would distribute their resulting grants direct to the colleges in accordance with the Committee's recommendations.

At this crucial stage, the Lockwood model of a co-ordinating and regulating central organisation was endorsed; the initiative in developing the University was to lie with the colleges, on whose ambitions the University could only 'comment', and the burden of decision was to be lifted out of the University itself to an *ad hoc* Grants Committee appointed by the Governments.

Despite this agreement on a peripheralised distribution of powers, there was a recognition that political developments since the QAC Report necessitated a fundamental re-assessment of the University's expansion schedule. Kenya, for example urged a re-assessment because of its rapidly developing ambition to open a second medical school. Yet the main protagonist for a radical adjustment was the University College, Dar-es-Salaam, whose premature birth had upset the whole timetable.

Given all these pressures, the PC agreed on an early re-assessment of academic and professional needs and priorities within the University, and subsequently called in a committee to visit East Africa under the chairmanship of Dr. Davidson Nicol, then Principal of the University College of Sierra Leone. The committee's recommendations were to provide a basis for an eventual University

Development Plan (UDP). The planning policy that had evolved so far was heavily reliant on college initiative. The Nicol Committee was the embodiment of a first attempt to centralise the allocation of resources.

The basis on which the Committee set to work was one which could not but have influenced passions and aroused controversy, for despite the upset of the QAC schedule by both the Kenyan and Tanganyikan governments, it was initially impressed that:

> 'The agreed figure in the Report of the Quinquennial Advisory Committee represented the precise sum available for higher education in East Africa in the period 1961-66 and ... any additional assistance given to one College from funds provided by governments must be at the expense of what was received by another college or other colleges."[5]

The Nicol Report was received with mixed feelings. In Kenya, there was a diplomatic silence as the Royal College kept aloof from the bitter controversy that broke out between Dar-es-Salaam and Makerere over the re-allocation of the monies allotted by the QAC for students' hostels. Dar-es-Salaam had formally requested that part of Makerere's QAC allocation be diverted to itself. But the appeal had been in vain for in reply the Makerere Council had resolved that:

> "The University College, Dar-es-Salaam, be informed that the Council views with great sympathy its problems in financing a capital development programme. The Council, however, was not in a position to assess the needs and resources of the other East African University Colleges against its own pressing capital requirements and considered that such an assessment could only be justly made by an independent advisory body; the Council therefore felt

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[5] Letter from the Ministry of Education, kenya to Nicol, appendix to first meeting of Academic Needs and Priorities Committee, 16 September, 1962, quoted in Southall (1974: 59).

unable to enter bilateral negotiations on this matter."[6]

Quarrels over the transfer and allocation of resources strained university harmony and revealed major deficiencies in the planning process.

2.3.2 The University Development Plan (UDP)

The procedure outlined for the acceptance of the Nicol Report was that it should first go to the PC for discussion and then to the Colleges where detailed estimates should be provided. When these had been summed, the Council would transmit the overall estimates to the Governments. But the events in Kenya and Tanganyika overtook the outlined procedures. As the nature of the financial crisis into which the university had been precipitated by the early growth of the younger colleges became more clear, and the lack of a united approach to growth became more evident to international opinion, so did the realisation develop that a conscious effort should be made to provide an integrated schedule for development.

The introduction of UDP was greeted as an exciting experiment in development economics. Typical of the US reaction was a communique to the PC from the American Council of Education, which pointed out that:

> "... considerable disappointment will be experienced at the prospect, or perhaps the hint, that the relationships between the three constituent colleges of the University of East Africa may be somewhat loosened as a result of discussions over financial and academic planning ... The most significant and substantial aid from American

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[6] Meeting of Makerere College Council, 27 March 1962, quoted in Southall (`1974: 62).

sources without any question is still to be found in the context of University development as a whole."[7]

The attitude depicted in this letter was not uncommon; America was simply making it plain that they would only consider further assistance to any of the colleges on the basis of a development plan agreed within East Africa. The UDP was based on the necessity to produce viable faculties at the Royal College, Nairobi and the University College, Dar-es-Salaam, which would enable them to teach to the comparable standard and range as that at Makerere.

The first draft of the Plan was presented in Mid-March, 1963 to the PC. From this time forward there ensued a continuing discussion throughout Colleges, University and Government circles - from Faculty and Departmental level to Cabinet room.

This section has so far demonstrated how the original timetable for the development of the University of East Africa was rapidly outpaced by political demands in Tanganyika and Kenya. It has also attempted to show that the planning structure of the University so emphasised the autonomy of the colleges that once there was a need for a re-allocation of money awarded by the QAC in 1961, the Universities machinery was quite unable to prevail against the centrifugal forces of ambition in each territory. The consequence of all this was that there was increased pressure to strengthen the Universities role in the planning process. Pressure came especially from three sources: the

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[7] C.W. De Kiwiet, American Council of Education, to Sir Donald MacGillivray, Chairman of Provisional Council, 8 May 1963, quoted in Southall (1974: 66).

international donors; the two younger colleges; and from the University Central Office.

2.3.3 The University Development Committee (UDC)

The UDC was a committee of Council containing the Ministers of Education of all three governments, whose role was conceived as of ensuring that in the coming triennium, there was no deviation from the principles enshrined in the UDP, unless there was consensus amongst the governments. Potentially, then, the UDC was the agent of a more centralised planning process. The creation of the UDC was seen to strengthen the University relative to the colleges. However, it did not increase the University's independence relative to the Governments, and the inclusion of the Ministers of Education on the UDC, though essential, was in practice to ensure that the University was brought even more firmly into the sphere of competitive interterritorial politics.

It was not long before the authority of the UDC was put to the test. The basic model of University growth under the UDP established that whilst each college was to develop viable Arts and Science Faculties, the more expensive professional faculties were to be expanded more slowly, in line with need and with caution lest the East African economies be overburdened with their upkeep. At Makerere there were the Faculties of Medicine and Agriculture; at Dar es Salaam, Law; and at Nairobi, Engineering, Veterinary Science and Architecture. The UDP did not foresee any change in this state of affairs by 1967. But the governments had other ideas.

During the triennium, 1963-67, all three backed projects which

potentially conflicted with their agreement to UDP principles, Kenya started a School of Law, in Nairobi and an Agricultural College in Egerton, whilst Tanzania developed an Agricultural College at Morogoro and a Medical Training School in Dar es Salaam. Meanwhile, less openly, the Uganda Government sought to raise the standard of education in Engineering offered at Kyambago Technical College in Kampala to university level, and at one time operated an arrangement with the university of Strathclyde whereby students were admitted to the last two years of a Strathclyde degree after completing two years at Kyambogo.

The supposed centre of control of planning was the UDC, through which all requests for expansion outside the plan had to be channelled. Requests for the expansion usually originated in the colleges, and might or might not gain the support of the national governments. As the task of the committee was to implement the plan, it had to ensure that new proposals did not work to the detriment of planned growth or have implications of increased government commitment in the triennium after 1967. Not surprisingly, with this restricted role, the conception arose that the UDC's function was purely negative. The University kept a nervous watch on all these developments, ever fearful that its authority over higher education would be diminished.

2.3.5   Towards National Universities

The proposals of the Uganda Government for the remedy of the deficiencies of the Federal University have been quoted earlier in this chapter. It was also becoming clear that the Kenya Government had joined Uganda Government in its desire to rid of the federal university. "Kenya intends to

develop a University in Nairobi out of the present College on July 1st, 1970"[8]

said a Senior Kenya Ministry of Education Official. Tanzania's reaction was

one of resigned acceptance: "If the University is dissolved in 1970, we will not

stand against but accept the position and the only plan we would make is for

the continued use of the facilities at Makerere and Nairobi as shared services"[9]

The Federal University was dissolved in 1970. In the same year the University

College, Nairobi and the University College, Dar es Salaam were transformed

into the University of Nairobi and the University of Dar es Salaam

respectively. The immediate events leading to this development are discussed

in the following section.

2.4   Establishment of Public Universities in Kenya

2.4.1   University of Nairobi

The history of university education in Kenya is fairly recent, dating back

only to the Second World War. Prior to this, the need for university education

was more or less non existent. Education was stratified on racial lines, with

the greater attention paid to European education, even though the European

population constituted not more than 3 per cent of the total population. As

Migot-Adholla (1985: 3) rightly says:

> "Higher education was restricted entirely to the children
> of the settlers who had an educational background in
> the European School System and financial support to

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[8] Report of the Working Party on Higher Education in East Africa, 1969, quoted in Southall (1974: 94-95).

[9]   Ibid.

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enable them to acquire education abroad."

Manpower needs for university graduates were limited and the few who were required for government service were always appointed by the colonial government from Britain. Indeed for nearly three decades after the establishment of colonial rule, the initial effort in providing education to the African population was largely the responsibility of missionaries.

It was not therefore surprising that when the colonial government in Britain appointed the De La Warr Commission in 1937 to examine the need for providing higher education in the colonies, Makerere College was chosen for elevation into a centre for higher studies in arts and science in East Africa, rather than a centre in Kenya, despite the fact that Kenya had a preponderance of European population over Uganda or Tanganyika (now Tanzania) (Owako, 1991). In the thirties and forties therefore, the few Africans who did exceptionally well in the missionary schools went to Makerere for courses which led initially to School Certificate, and later to the award of diplomas in agriculture, education, medicine and veterinary science.

The Asquith Commission of 1945 was a response to increased political pressure in the colonies for higher education. There was therefore a renewed effort by the British government to determine the principles on which higher education and universities could be developed in the colonies. The Report dealt with broad principles rather than with specifics for each colony. The balance was however, still tilted in favour of Makerere College (Owako: 1991).

In Kenya the immediate post war concern was not so much with provision of the elitist education at higher level (not in European settler

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interest) as with the need 'to provide facilities for all races to supply the skill and technological outlook that was so lacking in the colony.' The tendency was to disparage the African 'scholar' and to view him as a source of friction and discontent (Kimble:, 1963). Accordingly the government set up a committee under the chairmanship of G. P. Willoughby to look into ways and means of implementing recommendations of the development committee regarding the establishment of a technical and commercial institute in Nairobi. The Committee's Report, submitted in 1949 recommended that a technical and commercial institute be founded in Nairobi to initially provide full-time and part-time courses in 'practical trade skills', then courses leading to higher national certificate before eventually preparing matriculated students of all races by full-time study for university degrees in engineering and technological subjects which Makerere College did not provide. The new institution, renamed technical college received a Royal Charter in 1951. Meanwhile the Asian community which had collected money to build an institute of higher learning in Kenya as a tribute to the late Indian leader, Mahatma Gandhi joined hands with the government in building the new institution, thus avoiding competition and duplication of effort in the field of higher education. The new college was formerly established by an Act of the East African High Commission in 1954, under the name Royal Technical College of East Africa. The College opened its doors to the first batch of students in April 1956, and thus a nucleus for university education was firmly planted in the Kenyan soil for the first time.

By this time the waves of independence brought about by the 'wind of change' had swept through the entire East African region, accompanied by

strong national aspirations. In the field of education this expressed itself in the need to have a university college in each of the three territories. Accordingly in 1955, as an attempt to reconcile these aspirations a working party under the chairmanship of Alexander Carr-Saunders was appointed for the purpose of, among other things, reviewing the estimated requirements of higher education in East Africa for the next ten years. However, the rapid development in higher education in East Africa at this time led to the appointment of another working party in 1958 under the chairmanship of John Lockwood, the Vice-Chancellor of the University of London, to advise on the proposals for the creation of new institutions of higher education in East Africa. Among the party's recommendations was that the Royal Technical College of East Africa was to be elevated to become the second inter-territorial university college institution in East Africa. This was realised in 1961, when the college was admitted into special relations scheme with the University of London. The name was then changed to Royal College, Nairobi, and it admitted its first batch of students to study the degrees of the University of London in arts, science and engineering, while continuing to offer professional courses in architecture, quantity surveying, commerce and domestic science.

It has been observed firstly that the establishment of the Royal College, Nairobi boosted the institutions of higher learning and training (Migot Adholla, et al, 1980) and secondly that the period of transition to post-colonial society also witnessed the expansion of opportunities for overseas education and training. The main beneficiaries of these increased opportunities were Africans whose educational interests were previously subordinated to those of the colonial ruling class. In the 1960s Kenya was lucky to benefit from the

'American Scholarship invasion' which began in 1959. This was organised by Tom Mboya, the vigorous and astute politician and trade union leader. Eric Ashby (1966: 266) says:

> "He saw that the output of graduates from the University College of East Africa (there were forty graduates in 1957 and thirty-six in 1958) would be totally inadequate after independence; and he doubtless saw, too, considerable prestige for any politician who could bring the loaves and fishes of higher education to the degree-hungry students of Kenya."

Table 1 overleaf shows the numbers of Kenyan Students who got admission in overseas training institutions during the period of transition to independence.

The establishment of the University of Nairobi in 1970, following the dissolution of the University of East Africa ushered in new challenges. Although the Kenyan Universities adopted the University of London philosophy, circumstances compelled the first Kenyan University to be elitist in character. The government and the university saw their goal as one of producing urgently needed skilled manpower to take over from departing expatriates after Independence. However, by the end of the first decade of independence it was realised that this elitist approach was not consistent with certain national development objectives. Consequently it became imperative that expanded education for national development as opposed to elitist education be the goal of higher education. During the first year of its establishment, the university was further expanded by the addition of the new faculties of Agriculture, Education, and Law, the School of Journalism and the Institute of African Studies.

Table 1. The Destination of Kenyan Overseas Students 1954-1963

Year	United Kingdom	India Pakistan	Union of S. Africa	Other Countries	Total
1954	482	360	26	34	902
1955	588	353	17	39	997
1956	725	400	17	53	1,195
1975	876	371	3	78	1,328
1958	872	409	14	91	1,386
1959	1,018	485	20	208	1,731
1960	1,158	623	22	587	2,381
1960/61	1,307	640	20	675	2,640
1961/62	1,455	910	20	1,305	3,690
1962/63	1,609	712	44	1,383	3,748

* *The figures for 1960/61 and 1962/63 shown here include students who went to Australia and New Zealand.*

Source: Kinyanjui, K. et al: Notes on the Evolution of Overseas Training Policy in Kenya
In Policy Developments in Overseas Training, ed. T. L. Maliyamkono. 1980:58 General Printers, Nairobi.

One of the biggest achievements of the country in the first decade of independence, so far as university education was concerned, was the emphasis on self-sufficiency in high-level manpower. The decade also saw an increase in student numbers, as well as the systematic introduction of postgraduate studies in a variety of disciplines in the University. Sooner or later however, the capacities at the University of Nairobi would not cope with the 'educational boom' that was already underway.

At independence, Kenya adopted harambee (self-help) as the motto for national development. The government encouraged and promoted self-help development strategy for two main reasons: It was an inherent way of life of the people which was widely practised throughout the country; and its contribution would supplement government effort in nation building; it was therefore profitable to build on it.

Many thousands of development projects have been undertaken through harambee effort. They cover numerous diverse activities but it is the development of education, however, more than elsewhere, that the harambee spirit has been most successful (Chinapah, 1992). The results of the expansion of primary schools triggered rapid increase in the number of school leavers. This very rapid rise of primary education output suddenly altered the national employment position. The school leavers could not all get places in the secondary schools neither could those who failed to get into secondary schools find jobs easily. Both parents and pupils began to realise that secondary education was more crucial for one to get a job.

Individual families, local communities, politicians all began to put more emphasis on secondary education and consequently in an increase of self-help efforts to build more secondary schools. As more and more young people and their parents saw secondary or higher education as the key to secure well paid jobs in the modern sectors, an increasing proportion of the age group aspired to higher education. The 1980s therefore saw an unprecedented output of students from secondary schools, a large number of whom met university entry requirements, at a time when thirst for university education was increasing fast. Besides, the need for high-level manpower was also still being felt by various sectors of the economy and these needs could not be adequately met by the University of Nairobi.

Kanu, the ruling party, was spurred on the vital necessity of training as quickly as possible the men and women who would take over the management of the new nation. Primary school enrolment rose from 891,553 in 1963 to 5,455,996 in 1991; secondary school enrolment rose from 301,120 at independence to 614,161 in 1991; and university students from 565 in one university in 1963 to 39,431 in four public universities in 1991 (Kanu Manifesto, 1992). Table 2 overleaf shows the phenomenal growth in enrolments in the higher education institutions. While Table 3 shows the high expenditure on higher education compared to primary and secondary levels.

Table 2. **Kenya Students in Nairobi, Moi, Kenyatta and Egerton Universities and (J.K.U.C.A.T.) 1985/86 - 1990/91**

FIELDS	1985/86	1986/87	1987/88	1988/89	1989/90	1990/91
Undergraduates	7,482	8,593	15,051	20,046	24,164	36,691
Postgraduates	1,353	1,236	1,291	1,292	1,598	1,580
Other, i.e. Diplomats, etc.	65	59	83	1,800	1,532	1,160
TOTAL	8,900	9,800	16,425	23,138	27,294	39,431

Source: Nairobi, Moi, Kenyatta and Egerton Universities and J.K.U.C.A.T.

Table 3.   Expenditure of the Ministry of Education,
1989/90 - 1992/93 in k£million

RECURRENT EXPENDITURE:	1989/90	1990/91	1991/92	1992/93
General Administration and Planning	46.79	48.89	22.82	48.19
Pre-Primary Education	0.60	-	0.67	0.65
Primary Education	246.97	292.52	348.36	346.33
Secondary Education	78.60	88.20	98.27	97.24
Technical Education+	3.54	6.10	7.22	7.38
Teacher Training	17.45	14.97	14.85	12.87
Special Education	3.82	3.44	5.11	4.84
Polytechnic Education	3.65	3.62	4.99	4.15
Higher Education	86.54	122.21	97.93	118.62
Miscellaneous	1.78	2.17	2.49	1.08
TOTAL	**489.74**	**582.12**	**602.71**	**641.35**
DEVELOPMENT EXPENDITURE:				
General Administration and Planning	0.90	4.18	1.68	24.22
Pre-Primary Education	-	-	-	-
Primary Education	1.02	0.69	3.56	1.80
Secondary Education	1.99	5.28	5.16	2.94
Technical Education	0.23	0.28	0.81	4.69
Teacher Training	8.84	10.09	20.23	9.76
Special Education	0.37	0.69	5.62	0.70
Polytechnic Education	0.02	0.20	0.26	1.35
Higher Education	23.14	41.74	23.54	56.63
Miscellaneous	0.17	0.08	-	-
TOTAL	**36.68**	**63.23**	**60.86**	**102.09**
TOTAL RECURRENT AND DEVELOPMENT EXPENDITURE:	**526.42**	**645.35**	**663.57**	**743.44**

Source: Statistical Abstract, 1991, Central Bureau of Statistics.

2.4.2 Other Public Universities

In 1981 a working party under the chairmanship of Colin B. Mackay, former president of the University of New Brunswick in Canada was appointed to look into the need for establishing a second university. The Report of the Presidential Working Party on a Second University in Kenya (1981:37) recommended, among other things, that the proposed university should be technology oriented, and produce graduates of professional disciplines to serve in the rural areas. The report suggested that the second university should, through its applied research and field activities, relate to society in such a way that there is continuous and positive dialogue, and that it addresses itself to relevant national problems. The second university, later named Moi University, was established in Eldoret by an Act of Parliament in May 1984 by transfer of the entire department of forestry from the University of Nairobi to the new university.

But as the problem of demand for university places could not be solved by establishing one technological university only, need was still felt for more universities in Kenya, since by the mid-eighties there were about 10,000 Kenyan's studying abroad through private sponsorships (Development Plan 1989-1993: 219).

Accordingly in 1985, by an Act of Parliament, Kenyatta University College, which had been a constituent college of the University of Nairobi since 1972, was elevated to a full university. This was soon followed by the elevation of Egerton College from an agricultural diploma college to a constituent college of the University of Nairobi in 1986, before being elevated to a full university by an Act of Parliament in 1987.

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Later, in 1988, Jomo Kenyatta College of Agriculture and Technology, which had been established as an agricultural and technology college in the late seventies, was also elevated to University College status as a constituent college of Kenyatta University. Eight months ago it was elevated to full university status.

Further developments in this area came in 1990, when - in order to cope with the double intake involving the last batch of the 'A' level entrants and the first batch of the new 8-4-4 system, Maseno University College was established in Western Kenya near Kisumu, as a constituent college of Moi University. It was established on the existing facilities formerly occupied by Siriba Teachers' College and the Government Training Institute, Maseno. In the process Siriba Teachers' College was abolished while the Government Training Institute, Maseno was transferred to a new location. Similar development took place at Laikipia Teachers' College in Nyahururu and Moi Teachers' College in Eldoret, which were also abolished and their facilities taken over as campuses of Egerton and Moi Universities respectively. The latest development was the establishment of Kisiri University College in 1994, as a constituent college of Egerton University.

Thus today, Kenya has five fully-fledged public universities and two university colleges supported by the government, and catering for about 41,000 students.

2.4.3 Private Universities

One of the recommendations of the Working Party, as already mentioned earlier was that the establishment of private university institutions

be encouraged to reduce admission pressure on public universities. The expansion of private universities is therefore consistent with the Government of Kenya's policy on promotion of the establishment of private universities.

There are a number of private institutions which have been operating as universities, albeit as small units only. Out of the eleven such institutions, five of them, namely: University of Eastern Africa (Baraton), United States International University, Daystar University College, Catholic Higher Institute of Eastern Africa and St. Paul's United Theological College have taken positive steps to expand enrolments and diversify courses. The rest are concentrating exclusively on theological training at degree level.

2.5   University Education Policy and Objectives

Government policy in university education is stated in various documents on education and national planning. The latest government postulation of university education policy is contained in the Sessional Paper No. 6 of 1988 on Education and Manpower Training for the Next Decade and Beyond. The government stipulates that it provides university education as the apex of the formal system of education in order to educate and train high level manpower required by the country. Universities are also charged with the role to teach, undertake research, develop and advance knowledge, store and disseminate such knowledge. University education and training programmes are therefore expected to respond to the demands of national development and emerging socio-economic needs and to provide solutions to problems facing society.

The specific objectives of university education are:

(a)   to develop, advance, preserve and disseminate knowledge and to stimulate intellectual life;

(b)   to train and prepare high level manpower needed for development;

(c)   to promote cultural development and the highest ideals and values of society;

(d)   to provide, through research and consultancy, knowledge, skills and services to the community by helping solve problems facing the society; and

(e)   to assist the government in achieving its planned development of higher education.

The Government has established five public universities to provide increased opportunities for university education and training. However, there continues to be a growing demand for university education as more school leavers from the 4-year secondary education of the 8-4-4 system of education seek to enter universities. Last year, of 131,000 Form IV leavers about 25,000 were qualified for admission and only 10,189 of those qualified were admitted; it is projected that by 1994/95, some 134,000 Form IV leavers will produce about 28,000 qualified candidates competing for 12,000 places (Statistical Abstract:, 1993: 181). The Government plans to continue with the development and consolidation of university education to meet the rising demand.

According to the Government, and as clearly stated in the 1989-1993 National Development Plan, pp. 218-219:

"There is a need for expansion of university education in the country which arises from the following factors: first, this level of education is necessary in generating a pool of highly qualified personnel in various specialised skills. Greater numbers of graduates will generate the potential for promoting higher productivity of capital and other resources in their individual capacities as farmers, engineers, doctors, industrialists, scientists, etc. The need to expand university places should not, therefore, be related exclusively to public sector employment. Second, the ratio of university graduates to the population is still relatively low in Kenya as compared to other countries with similar levels of development and in relation to the level of technological sophistication the country has attained."

The Government hopes to do this in a 'systematic and cost-effective manner' through optimum utilization of current public university institutions. From 1991/92 academic year, university enrolment was based on specific projections on university admission, starting with 10,000 students and thereafter an annual growth of 3 per cent of previous admitted students. The Government would also encourage the development of private universities while at the same time strengthening the university education supervisory and co-ordinating machinery to ensure proper development and maintenance of acceptable university standards of teaching and research.

The Government is therefore in agreement with the recommendations of the Working Party on Education and Manpower Development for the Next Decade and Beyond, 1988, which among others, were that:

- the growth in university student enrolment be matched with provision of appropriate resources in order to maintain high standards, quality and relevance of university education, training, research and scholarship;

- some of the existing training and research institutions be developed as university institutions offering degrees of Kenyan public universities;

- the establishment of private university institutions be encouraged but controlled and guided to ensure they offer courses relevant to the needs of Kenya and maintain acceptable standards;

- the development of public universities be co-ordinated and harmonized to ensure complementarity in the provision of university education;

- the functions of the Commission for Higher Education and the public universities with regard to planning and development of university education, staff development, financing and admission of students, be reviewed with a view to streamlining their responsibilities.

2.6 The Commission for Higher Education

The Commission for Higher Education (CHE) was established under the Universities Act 1985, with the broad objective of "making better provisions for the advancement of university education in Kenya".[10] Its major functions include promoting the objectives of university education; advising on the establishment of public universities; accreditation of universities; co-ordinating the long-term planning and development of university education; planning and providing for the financial needs of university education and research; processing the establishment and eventual accreditation of private universities; liaison with the government, public and private sectors on the overall national

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[10] Universities Act 1985: p. 3.

manpower development and requirements. The Universities Act (1985) empowered the Commission to appoint by resolution, a Universities Grants Committee (UGC) and to delegate some of its functions to it.

A further function for the Commission is to appoint a Central Universities Admissions Committee (CUAC) to advise the Commission on the following:

(a)   the co-ordination of admissions to public universities on a national basis;

(b)   the establishment and maintenance by such means as it considers appropriate of equivalent educational standards as a prerequisite for university admission;

(c)   prescribing the minimum requirements upon compliance with which a person may become academically qualified for admission to a university.

The Working Party reiterated the functions for the Commission as stated above. However, it further noted that CHE's functions of planning and development of universities, staff development, financing and admission of students appeared to be similar to the functions of individual public universities as provided in the various legal instruments that have established them. The Working Party also identified the low staffing capacity within CHE in terms of handling the various responsibilities vested in it and recommended that:

> "the functions of the Commission for Higher Education
> and those of public universities, in university education

planning and development, financing and admission of students, be reviewed with a view to streamlining their responsibilities."[11]

As a consequence of this recommendation the Government established in 1991, the Policy and Planning Task Group (PPTG), within CHE, to perform the critical functions of policy formulation, planning, budgeting, financing and investment planning. The PPTG functions were to continue until such a time when CHE would be strengthened and expanded to undertake all its functions. The PPTG membership is drawn from CHE, Public Universities and Ministry of Education. It operates within CHE but reports directly to the Permanent Secretary, Ministry of Education. The other task of PPTG is to review and harmonize the legal framework of the Universities Act 1985 with the various individual universities' Acts. The ultimate goal of this is to enable CHE to perform all of its former and new functions in the management of Higher Education in Kenya without potential conflicts with the institutions of higher learning.

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[11] Report of the Presidential Working Party on Education and Manpower Training for the Next Decade and Beyond, 1988: p. 72).

3. LITERATURE REVIEW

3.1 Introduction

The concentration of this chapter is upon planning as a process at the institutional level in our 'typical' university. The chapter explores mainly other writers' thoughts about planning.

A main difficulty in writing about planning in the 1990s is, first, the euphoria which developed around formalized institutional planning in the 1960s and, second, the dramatic loss of that euphoria in the second half of the 1970s. Planning in the 1960s was to be the solution to all problems. In terms of the political analysis of institutions, planning was to be the integrative process which linked the 'bottom-up' creativities, and demands for participation with the 'top-down' leadership and control elements. In terms of trends in that expansionist period, planning would enable institutional managers to understand and cope with the ever increasing quantities and waves of expansion predicted for the next decades. In terms of techniques, the models constructed by planners would create a rationality in decision taking supposedly missing since the days of simpler elitist societies. Transference would not be a problem either. Planning thus became almost a religious tenet for the young managers and the entrepreneurs, not forgetting the consultants, who reached the top of their professional trees in the university world in the forced growth of the 1960s.

The shock of the succeeding period, particularly following the oil-led inflation boom from 1973 onwards, was thus considerable. Social and

demographic changes, disruptions and uncertainties undermined its predictability. Economic stagnation, or faltering in economic development, removed the expansion and questioned the validity of planning. The political shift from participation and consensus-seeking to unionization, confrontation and negotiation by-passed the internal integrative role of planning. Transference of ideas and techniques met with 'tissue rejection' in the bodies receiving the transplants. Discontinuity replaced consensus-building. Thus the elegant strategic plans of the 1960s became 'dead letters'. It is with this background that many of the writers mentioned in the succeeding pages have tried to re-define planning.

3.2   Some Thoughts on Planning

First, then, what is planning? Let us begin with a dictionary definition 'scheming to accomplish a purpose'. The elements of the defined activity are fairly clear: it is purposeful (i.e. goal oriented); it presupposes perception of the need or opportunity for 'scheming'; it is future-oriented, and involves the notion of a sequence of events over time; it requires the formulation of alternative courses of action; and it involves a choice from among those alternatives. Planning, in this sense, might be conceived as either a mental activity, or an observable individual activity, or an observable activity of a group. In other words, planning is an activity that may occur at a number of levels. For the present purposes planning at the institutional level, and at the level of the university education system as a whole, is of most interest.

The simple notion of hierarchy can be sharpened in a number of ways. Most useful is the distinction between levels of activity drawn by a number

of writers, notably Anthony (1965: 16-18). Anthony argues that 'planning' and 'control' are distinct mental activities which are not separable in practice but find expression in three kinds of activity: strategic planning, management control and operational control. He says:

> "Strategic Planning is the process of deciding on the objectives of the organisation, on changes in these objectives, on the resources used to attain these objectives, and on the policies that are to govern the acquisition, use and disposition of these resources ... . Management Control is the process by which managers assure that resources are obtained and used effectively and efficiently in the accomplishment of the organisation's objectives ... . Operational Control is the process of assuring that specific tasks are carried out effectively and efficiently."

These distinctions neatly link different levels of analysis, and not only in the way Anthony suggests.   He consistently adopts a 'top management' perspective. But what appears to a top manager as a management control problem may well appear, at a lower level, as a strategic issue for the sub-unit concerned.

A related variable is the time-scale within which planning as an activity takes place. For the purposes of the planning model Ansoff's (1965) distinction between long-range and proximate periods is useful. Ansoff refers to the future period over which the organisation seeks to plan, and is thus bounded by the 'planning horizon'.

These elaborations of a simple notion of planning have suggested that within an overall plan there will be 'sub-plans' covering defined levels of analysis, sub-objectives and time periods. At the same time the development

of the model has implicitly introduced new elements which should be made explicit. Specifically, we must move away from the conception of planning as a discrete activity rooted in the present, albeit future-oriented. It has not been possible to elaborate the model without moving emphasis to the notion of planning as a process. In other words, planning is a continuous rather than a discrete activity: it's end product is the process of planning itself, rather than a plan. Any plan is no more than an interim report on the planning process. At this point we might agree with Ackoff (1970: 4) that:

> "... planning is a process that involves making and
> evaluating each of a set of interrelated decisions before
> action is required in a situation in which it is believed
> that unless action is taken a desired future state is not
> likely to occur, and that, if appropriate action is taken,
> the likelihood of a favourable outcome can be
> increased."

Put differently, planning is the continuous and collective exercise of foresight in the integrated process of taking informed decisions affecting the future. It is a definition of a process rather than a plan and is not dissimilar to that of Bennis: (1969: 529)

> 'Whatever else planning may mean, it signifies
> anticipation of some future state of affairs and the
> confirmation of the vision of that future in the present
> in order to motivate, guide and direct present action.'"[12]

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[12] Bennis, W.G. et al., 1969: The Planning of Change, New York, Holt, Rinehart and Winston.

3.2.1 Planning as a collective activity

The element of planning as a collective exercise is brought out quite clearly by McCorkle Jr. (1982: 69). He states that:

> "The critical decisions needed in uncertainty ... cannot be established effectively from on high. Rather, 'Do this and that', the operating principle must be 'Do whatever is necessary to achieve agreed-on objectives effectively and efficiently'. The management principle provides extensive freedom for department chairs and other managers to act relatively independently, within plans, policies and delegations of authority."

Firstly, to limit participation is to restrict the range of experience and ideas which can be brought to bear on the analysis of problems and the formulation of alternative solutions. Secondly, planning is of little value unless the organisation possesses the ability to change and has the opportunity to change. Both of these prerequisites depend upon a complex set of factors: the ability to change being related, for instance, to the degree of structural flexibility of the institution, and the opportunity to change being affected by external assessments, by various agencies and publics, of the institution's performance, offerings and utility. A major task of management is to maximise these two prerequisites, both of which depend heavily on the attitudes of members of the organisation and their sense of being a party to the decisions. In the long run, therefore, for planning to be effective those members need to be involved in the formulation and consideration of proposals; and not regard planning as something formulated by staff experts and conducted by small committees. Lockwood (1972: 17-18) shares the same view when he says:

> "There should be no technical mystique surrounding planning. The fact that planning uses advanced

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techniques sometimes leads institutions to appoint technical specialists as planners, sited in offices separate from those concerned with routine management. To do this is to misunderstand the nature of planning..."

The devolution of planning activity clearly assists the collective involvement since it is generally recognised that direct participation is possible in decision taking mainly within the basic units (departments), and needs to be replaced by consultation and by participation through representation at the higher levels. Clearly, the analytical and preparatory work on particular issues will normally be conducted by individuals or small groups. This has always been the case. However, there always has been danger in the unstructured involvement of the inexperienced participants; for example, the opening up of planning can result in an emphasis on equity planning (the avoidance of selective or discriminatory decisions). As R.W. Tyler has pointed out:

> "Institutional Planning that is conducted by the staff of the institution based only on its experience, beliefs and goals is likely to be seriously inadequate because the institution is in a symbiotic relationship with the external environment and agencies on which it is dependent, and their pressures should find expression in institutional planning."[13]

Tyler's point was recognised in the 1960s in the structuring of the internal planning process in some university institutions in the western world. It is partly for that reason that the cycle of the planning process should commence with the production of guidelines and assumptions which set the

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[13] Knowles, A.S., (ed.) 1977: *International Encyclopedia of Higher Education,* San Francisco, Jossey-Bass, p. 3262.

limits within which the discussions in the cycle should be held, which contain an assessment of the signals from the external environment, and which set out specific recommendations for action. In the absence of a clear framework of policy guidelines and assumptions, participants will waste valuable time and energy, and tend to concentrate on formulae. Highly participative groups find it difficult or impossible to reach consensus about the quality of competing bids and tend therefore to welcome such quantitative aids as can be accepted as fair to all. The principle of "equal misery" and across-the-board cuts typify this style.

The preparation of assumptions to counteract that tendency is a task to be undertaken by the leadership; and throughout the cycle of discussion the leadership should be involved in maintaining and clarifying the parameters and in debating the specific recommendations. It is that role of leadership in providing policy guidelines and strategic assumptions which allows us to deny the assertion that 'participative management (which involves having many decision points, with consequent pluralism) is not compatible with firm institutional priorities and purpose.'[14]

This planning process in which a hierarchy of planning exercises is carried out at different levels is an approach that consumes time and may unearth disagreements and tensions but it does ensure that the final plan chosen by the university is rooted in the wishes of its members and has been fully discussed.

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[14] Goodlad, S. (ed.) (1983). Economies of Scale in Higher Education. Guildford: SRHE & NFER - Nelson, p. 82.

3.2.2 Planning as a Continuous Process

> "The continuous nature of planning flows from the
> recognition of planning not as an activity solely
> concerned with the formulation of long-term plans but
> as a process which can also be used to adjust the
> present state marginally and regularly without
> necessarily working towards a fixed plan."

says Lockwood (1985: 168).

Because of the impact of uncertainty from the mid 1970s greater emphasis has been placed upon the need for flexibility of response and less emphasis upon the long-term. Argeti (1968:232) similarly pointed out that

> "Basically corporate planning is concerned with today,
> not with tomorrow. Basically it is concerned with
> actions and not with plans."[15]

Continuous also implies that the process must contain an in-built flexibility (e.g. willingness and opportunity to allow switching of resources between options in the light of unexpected changes) and needs to avoid the rigidity and discontinuity sometimes generated by the existence of financial year and academic year cycles. Equally the word 'continuous' indicates that an element should be a regular process of monitoring and evaluation (to facilitate a continuous readjustment of performance in both qualitative and quantitative terms) and that the process should function on a rolling basis.

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[15] Ibid. p. 168.

3.2.3 Planning as Foresight

The term 'foresight' stresses that the process should encompass strategic assumptions about the factors likely to affect the future of the institution (e.g. the nature of its clienteles, the market situation for future enrolments, developments in the geographical region, employment trends, the impacts of technological changes, policies being pursued by critical pressure groups, resource availability), and set those assumptions into alternative scenarios for the institution based not only upon the above factors but upon assessments of the strengths and weaknesses of the units and programmes within the institution.

The planning assumptions prepared by the leadership are, again, the key to the exercise of foresight. It is the leadership's role to maximize the institution's influence over its own future through the preparation of a strategy. Keller (1983:75) confirms this when he says:

> "To have a strategy is to put your own intelligence, foresight, and will in charge instead of outside forces and disordered concerns."

In times of adversity and uncertainty the need to exercise foresight is increased since the pressure for external control and determination of programmes increases under these conditions. In America, says Keller:

> "Over 70 per cent of all public institutions (of higher education in the USA) now cannot start a new academic programme without elaborate application and approval procedures from their state co-ordinating board, which can take three to four years."[16]

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[16] Ibid., p. 25.

It can also be claimed that a period of severe stringency facilitates the development of a strategy.

3.2.4 Planning as an Integrated Process

The importance of integration in the organisational structures and processes needs little elaboration after having considered the terms 'collective', 'continuous' and 'foresight' contained in the definition of planning. In terms of horizontal integration, the teaching, research, financial, personnel, social and physical aspects should not be seen as separable branches of planning which can be conducted in isolation or merely co-ordinated at certain times and stages in the process but as aspects which need to be interrelated at all main points of the planning process. Similarly in terms of vertical integration, departmental, faculty and university planning cannot be regarded as disparate, but should be carried out in concert within an agreed framework so that their interaction can be continually taken into account.

As with participation, the extent to the integration of any particular set of planning discussions and decisions will depend upon a variety of factors. Sometimes, for example, the external environment will unexpectedly pose issues which require speedy responses, so that the university will have to analyse these issues and make the responses within constraints which do not allow all aspects to be interrelated. Nevertheless integration should remain the aim.

3.2.5 The Need for Information for Planning Purposes

The need for information for planning purposes and the related desirability of evaluating the effectiveness of planning, require little

justification. The quality of planning depends to a significant extent on the information fed into the process, and planning cannot remain efficient unless feedback is received on the effectiveness of performance.

Planners have a voracious appetite for information. In the university environment the extent of information needed for effective planning is almost limitless and would always overflow from any formal information collection system. But internal flows of information have to be tapped and external data have to be accessed. If a central focus for university planning is established it should be able to do this. Information also has to be communicated effectively. As Ewing (1969: 136) says:

> "few errors damage the human side of planning more than errors in communication."

Planning makes the implicit inarticulate and private explicit, articulate and public. It brings decision-making out of the closet (Keller, 1983). Informed decisions on the other hand, are more likely to flow from placing informed people in decision-making situations than from putting information in written form in front of uninformed committees.

3.2.6 'Decisions'

ITT describes its decision-making in the following way:

> "... decisions are based on logic - the business logic that results in making decisions which are almost inevitable because all of the facts on which the decisions must be based are available. The function of the planning and the meetings is to force that logic out into the open where its value and needs are seen by all." (quoted in Williamson, 1981: 65)

Planning is concerned with action, with changing the direction of enterprise and operations; it has to be feasible and realistic, and set in structures which can implement those decisions. "Strategic planning concentrates on decisions, not documented plans, analyses, forecasts and goals." (Keller, 1983: 148). Strategic planning is action-oriented. It constantly asks what shall we do? How shall we decide? Where do we put our attention and energy?

3.2.7 Corporate Planning

Having elaborated a definition of planning, we will now consider some of the basic features of corporate planning. As George Keller (1983) has outlined in his chapter on 'Planning: The Turbulent State of the Art', planning in the decades leading up to 1980 fell into two broad categories. Firstly, incrementalism: this is based upon the belief that the future is too unpredictable for speculation to be profitable, that decisions are best taken by partisan groups bargaining over immediately available resources and priorities and that information on costs, trends and external developments is for political use; it consists of muddling through; incrementalism was and remains, by far the most popular form. The second category is that based upon management science flowing from the usage of operational research in the Second World War, emphasising the rational and the economic, and involving the employment of computer-forecasting, etc. To some extent, corporate planning in the 1960s was an attempt to combine these two categories, the mechanical, long-term and the political-incremental; it was much closer in its descriptions of the former but in its application it shifted towards the later.

Corporate planning is an amalgamation of all individual functional plans of the organisation. Activities in each department affect the efforts of other departments, and the corporate plan must cover every aspect of the organisation. If the different department plans were drawn up independently the results would compare with a team of horses pulling in different directions, and liaison and co-operation between the managers concerned is thus of vital importance. This indeed is one of the major 'spin-off' benefits of effective planning. Managers have a clearer knowledge of the opportunities, frustrations and aims of their colleagues in other parts of the organisation and can take a broader view of their own responsibilities as a result. Moreover,

> "... a formal plan provides the opportunity not only to understand the framework of thinking within which corporate management operates, but also to judge the quality of its logic, the credibility of its solutions and the value of its contribution to the company as a whole." (Williamson, 1981: 66-7)

The main facets of corporate planning systems are as follows:

(i)   Institutional Mission

Mission statements should be stated in fundamental terms. Such statements should necessarily be general in nature, partly because of the intertwined multi-purpose nature of the university; they would normally include the provision of instruction, the pursuance of research, and the undertaking of public service but set in a framework of the basic guiding philosophy of the university.

(ii)   Objectives

Objectives should be defined and, if practical, should be specific in terms of quantity and time - for example, 'to graduate 100 economists in 1995'.

However, the extent to which objectives can be stated with precision will be dependent upon the external environment, and the extent to which they will be institutional rather than sub-institutional will be dependent upon the degree of devolution in the internal system, but the aim should be as specific as possible in the prevailing circumstances.

(iii)   Structure

The activities, responses and policies being planned need to be structured, partly to facilitate the process of analysis and discussion, partly to enable the guiding framework to be translated into specific objectives and partly for purposes of implementation and evaluation. In most cases the structure will follow the pattern of areas and units in the institutional organisation; in other cases the emphasis might be placed upon a division between production units and support services; and in other cases the planning units or the cost centres could be different from the organisational units (e.g. for planning purposes the teaching and the research activities in the operational units of the department).

(iv)   Timescales

The planning process should divide into phases with the degree of specificity in the objectives and quantification declining towards the shorter phase of the planning horizons. The shortest phase should be that for which it is possible to budget accurately, which is not in every circumstance as long as the traditional financial year. Budgeting should, however, be seen as an integral part of the planning process, and should be designed as a planning as well as an operational activity. Traditional university budgets emphasize

function and objects of expenditure with line-item accountability (e.g. expenditure on academic staff salaries) whereas they should emphasise the object-oriented programmes (e.g. total expenditure involved in the production of graduates in medicine). The budget should thus be explicitly a policy document recording how the available resources will be used to attain the stated objectives, and showing the choices that have to be made between alternative objectives and programmes.

(v)   Forecasting

In the period of certainty, forecasting is largely the projection of supply and demand for several years ahead. In the current and foreseeable period of uncertainty, forecasting should have a different focus. Careful market research, particularly on sources of future student enrolments[17] is one aspect of it. Another is the forecasting of internal flexibilities (e.g. anticipated rates of staff loss in the long-term) and requirements (e.g. forecasts of long-term capital renewal. A further aspect is that of assessing the likely impacts of technological advance on the processes of teaching, research, administration, etc. and thus upon staffing levels, space needs, etc. Forecasting, therefore, remains an essential feature of planning but it is now less to do with the costed extrapolation of trends and more directed at assessments of future institutional flexibility and the opportunities across a variety of fields which might present themselves to the institution.[18]

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[17]   Ihlanfeldt, W., 1980, p. 172.

[18]   Lockwood, G., 1985, p. 173.

Forecasting should be one of the factors which facilitates in the planning process the explicit consideration of alternatives. The scrutinizing of alternatives, before a course of action is approved is not more than common sense but very often not done.

(vi)   Implementation and Evaluation

That the planning process should result in the implementation of decisions is an assertion apparently of the obvious. "Yet the history of planning is littered with examples of the contrary,"[19] admits Geoffrey Lockwood. Our definition of planning emphasizes decisions, rather than plans, but it nevertheless remains necessary to ensure that decisions are implemented, which is by no means always the case.

According to McIntosh (1977)

> "Evaluation is in a sense a man-made word - a word designed to up-grade certain sorts of common sense activities which many administrators and businessmen do, as a matter of course in their day-to-day work, in order to legitimize their activity. "

McIntosh implies that evaluation should be viewed as a normal part of administrative, and managerial practice. At the present time universities are increasingly subjected to a variety of curricula, demographic, economic, social and technological change. In each of these areas both academics and administrators are likely to be involved with three different dimensions of change. Firstly, past practices may be scrutinized in order to assess their

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[19]   Ibid., p. 173.

appropriateness to contemporary needs. Secondly, existing practices may require amendment to accommodate new policies and procedures. Thirdly, attempts will be made to assess how potential future needs may be anticipated by the university. Each of these perspectives - historical, present and future - inevitably requires the application of certain evaluation procedures.

The task of planning is made easier if, at the time of taking planning decisions, criteria are set by which the outcome should be measured. The planning process also needs to be designed so that the experience and information resulting from evaluation is transferred into the activities of setting the guiding framework, objective formulation, programme determination, etc. So that the process is a continuous cycle of planning and activity.

3.2.8 Summary

Although we have elaborated on the definition of planning in many words, planning itself is extremely simple in concept. It consists basically of a decision today on where the organisation wants to be tomorrow and the selection of means and actions that will get it there. An organisation has two basic postures that it can adopt towards its future:

> It can react to external changes as they occur, acting
> opportunistically to good or bad developments; or it
> can follow a pre-determined course of action designed
> to influence future events in its own favour as far as
> possible.

Most organisations, as we have already noted, claim to follow the second, but in practice have more in common with the former. A major reason

is that the pressure of events can force any but the most well-founded plan off track, and so flexibility to adjust to unforeseen developments must be part of the planning process.

Planning is not a technique in itself, although it may use all or any management techniques. It is an approach to business, a philosophy that commits the organisation to taking its future into its own hands. It is a guide and a method of charting the progress of an organisation, but it is not a substitute for risk-taking, entrepreneurial flair or management decision-making, all of which have important roles within the planning framework.

> "It may not be possible to plan the genius of a Ford, Einstein or Edison, but it is possible to plan the environment in which their efforts can flourish."
> (Williamson, 1981: 66)

Finally, there is often a temptation to emphasise the strategic or tactical aspects of a plan to the detriment of the other components which may be more or equally influential in causing its success or failure. A similar mix of elements is required in a plan regardless of the product it features, its scale or its aims. These may be summarised in four questions:

1. Where are we now?   -   Situation audit.

2. Where do we want to go?   -   Determination of objectives.

3. What do we have to do?   -   Strategic or tactical action plans.

4. How are we getting on?   -   Monitoring and control.

The emphasis is on a sense of direction and some sort of corporate

scanning device to make sure that the destination is reached. Theodore Levitt (1974:74) summed up the basic idea: "If you do not know where you are going, all roads lead there." Lack of planning is the most direct route to nowhere.

4. A CRITICAL ASSESSMENT ON THE PLANNING FUNCTION IN KENYAN PUBLIC UNIVERSITIES

4.1 Introduction

> " ... the crisis of higher education is not merely one of public confidence vis-a-vis the performance of higher education; it is also, and perhaps more fundamentally, an internal crisis of purpose, that is one which touches on the very nature of individual institutions, their roles and functions and their place in the total higher education system."[20]

Higher education is in crisis. Countries are following three main strategies to minimize the adverse effects of the crisis: the passive risk approach - a conscious decision not to tackle any sensitive issues because of the potentially negative political implications; the positive risk approach - a deliberate effort to introduce meaningful reforms; and the diffuse risk approach - a more timid approach is followed whereby the education authorities introduce reforms in limited segments of the higher education sector. Kenya falls under this last group of countries.

The very success of the expansionary policies has put university education in jeopardy as enrolments have grown at a faster pace than resources. The general feeling is that the quality of teaching and learning has

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[20] Statement made during the 1981 OECDE Intergovernmental Conference on Policies for Higher Education, quoted in Taylor, W., Universities under Scrutiny, OECD, 1987, p. 7.

declined as a result of overcrowding, inadequate staffing, deteriorating physical facilities, poor library resources and insufficient scientific equipment. In many cases, internal efficiency[21] is very low and a significant portion of the budget is wasted. Coombe (1991) summarises this sad state of affairs sadly in one of his consultancy reports. He says:

> "One of the abiding impressions of this consultation is the sense of loss, amounting almost to grief, of some of the most senior professors in the oldest African universities as they compare the present state of their universities with the vigour, optimism and pride which the same institutions displayed twenty or thirty years ago. It is not just the universal regret of age at the passing of youth, nor the sad awareness that a generation of unique academic pioneers has almost run its course. It is also the grim knowledge that the nature of the university experience today is profoundly different for many teachers and students, so different and so inferior that some wonder whether it can rightly be called a university experience at all."[22]

The present crisis has shaken the confidence of university administrators, academics, students, parents and employers alike. Much of the blame is put on the economic recession of the 1980s and the structural adjustment policies, forced on many African countries and the debt burden to

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[21] Internal efficiency examines the main aspects of internal operations, including the content and relevance of the courses, the teaching methods, the quality of the staff (and staff student ratios), the adequacy and utilisation of space, the appropriateness and use of equipment, the effectiveness of management and the interrelations with industry. The measure of internal efficiency is the success rate, i.e. the output of successful graduates in relation to the initial input. It thus refers to the most efficient use of inputs.

[22] Coombe, T. A Consultation on Higher Education in Africa, Report to the Ford Foundation and the Rockefeller Foundation, January 1991, quoted in Salmi, J. 1991: The Higher Education Crisis in Developing Countries, the World Bank.

explain the lack of resources and the diminishing job prospects. But is the crisis just an outcome of adverse economic circumstances or the logical result of unsustainable structural trends, rooted in non-observance of proper planning practices and procedures? Subsequent sections of this chapter are devoted to examining what has gone wrong in the Kenyan universities.

4.2   The Changing Role of the Universities

The formal links between old established European universities and the fledgling African ones led, not surprisingly, to attempted imitation at all levels by the new universities and at least initially to a similarity of perceived roles. According to Ashby (1964) the basic assumption of the Asquith 'doctrine' was that the colonial universities' primary purpose was to

> "... produce men and women with standards and capacity for leadership which self rule requires."

Commenting with respect to Nigeria, Austin (1980: 207) describes how this was seen to require

> '... a university on the gold standard, presented with the seal of international approval and charged with high ideals. It was intended to educate a locally rooted, nationally minded elite able to unite the young federation as civil servants and professional men and women, while upholding academic standards as members of a wider universe of learning."

The universities were to nurture and sustain an intellectual elite through the same organisation, procedures and virtually the same curriculum as European universities. Except for a few critics, who in most cases had been educated outside both Africa and Europe, this view was not controversial at the time. The African wanted a replica of the European university at its best.

The expatriate staff had no other model to offer (Ashby, 1964: 22).

The demand by Africans that their universities mirror those in the European countries as a way of ensuring equal standards has evolved over the past four or so decades. This has occurred partly as a result of a growing confidence within the institutions but mainly as a response to social and political forces outside. Essentially, the demand for change has been made in two areas. First, there has been the call for Africanisation of the universities, most importantly in curricula. Second, there have been pressures for the purposes and functions of the universities to be perceived differently from those in Europe. Indeed the social purpose of a university in Africa differs from its traditional social purpose in Europe.

> 'In Europe, universities have stood for continuity and conservation; in Africa universities are powerful instruments for change." (Ashby, 1964: 98)

During the 1960s and 70s the community role of the universities was probably expressed most often and by both African politicians and academics. Presidents Nkrumah and Nyerere provide examples of the former:

> 'While I fully subscribe to the vital principle of academic freedom, a university must relate its activities to the needs of the society in which it exists...' [23] (Nkrumah, 1964)

and

> 'Even if it were desirable, we are too poor in money and educated manpower to support an ivory tower existence for an intellectual elite ... We must, and do,

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[23] K. Nkrumah (1964) The Role of a University - *The University of Ghana Reporter*, March.

demand this university take an active part in the social revolution we are engineering.'[24] (Nyerere, 1964).

Almost a decade after these speeches were made, the question of the role of African universities was still being debated. In a workshop that was held in Ghana in 1973 and which was attended by leading university administrators from all over Africa, some of them felt:

> "... that universities in Africa, as they had developed in the 1960s, were hardly more than white elephants and flashy symbols of modernization: ivory towers occupied by a minority elite, expensively educated, and as expensively maintained, at the expense of the vast majority of the population, with whom they have little in common." (Yesufu, 1973: 39)

The roles which the workshop decided were appropriate for the *truly African University* were very different and more ambitious. These were:

(a)   Pursuit, promotion and dissemination of knowledge: with an emphasis on practical knowledge, locally oriented.

(b)   Research: with an emphasis on research into local problems affecting the immediate community.

(c)   Provision of intellectual leadership: not only the production of knowledge but also its wide diffusion for meaningful programmes of economic and social development.

(d)   Manpower development: including the participation in training middle level manpower and shift in degree programmes away from the purely academic to the practical and professional.

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[24] J. Nyerere (1964) An Address by the President of the Republic of Tanganyika at the Inauguration of the University of East Africa. *West African Journal of Education*, February.

(e)   Promoting social and economic modernization: through example and activities outside the university including extension work with small scale traders, artisans and farmers.

(f)   Promoting intercontinental unity and international understanding: through providing the foundation to reinforce the positive image of Africa.

The ideal type of university evolving from such expanded sets of functions has been termed by Lauglo (1982) as utilitarian. Its main purpose is to serve the development needs of society as formulated by political authorities by structuring its size and programmes to manpower forecasts and its curriculum to immediate social and economic problems. The implications, however, go further since what is being called for is a substantial and direct involvement of the university in the immediate concerns of the community. Attempts to put this wider concept of the role of universities into practice have been numerous and examples from Kenya, Ethiopia, Cameroon, Ghana, Mali, Nigeria, Tanzania and elsewhere are documented in Thomson and Fogel (1976). Most have involved the creation of departments or units expressly designed to work with groups outside the university, or on activities which take students and faculty into rural areas.

4.2.1 Criticisms

Two forms of criticism have been levelled at the attempts by universities to significantly increase their direct involvement in the community. Williams (1981) argues that in certain cases activities such as graduates helping with some activity in a rural community centre represents nothing more than

universities playing at development through expensive gestures and engaging in window dressing to impress governments or aid agencies. Another argument is that such projects are an inefficient use of university resources and that the pressures on universities to expand their roles in the directions described are extremely detrimental to their main role of providing high quality teaching. This view has been forcefully put forward by Shils (1981).

A similar view is held by Wandira (1977). There is no disagreement he argues, as to the ways in which universities could serve communities. The question is whether small and young universities are capable and have the resources to follow these ways. If not, the failed attempts will lead to a dangerous disillusionment. While the objectives of expanded roles may be generally acceptable, the reality of funding imposes its own constraints.

> "The agony of choice, indeed the absence of choice, is often intolerable. Thus the poorest countries of Africa find that they cannot afford the university they need for their development. In turn, poor universities are unable to make as significant a contribution to the development of their countries as they would like. This vicious circle of poverty is one of the greatest challenges of the university. In the planning of its programmes of teaching and research, the poor one-country-one-university institution is severely handicapped." (p. 54)

4.2.2   Adaptation Not Always Right

With limited resources choices must be made. That choice is not necessarily between a 'relevant' university and one totally divorced from the surrounding society. The most important question is how well do the universities perform the functions they adopt?

Educational planners and planners of new universities in the developing

countries are less confident today than they used to be two or three decades ago. At that time, they just took the model they knew and which had been impressed upon them as acceptable, the Western educational model. They "transplanted" its different levels - with minor adaptations - in developing countries. Western advisers and Africans - with degrees from Europe and the USA - agreed on what was best for the young independent states. Time has proved that they were not always right.

But when educational planners, vice-chancellors and other experts are now less confident, less certain of what medicine to prescribe to guarantee the 'right' development of their universities this is also a 'healthy symptom'. It indicates greater knowledge, maturity, reflection and intellectual independence. In the remainder of this chapter some of the more problematic questions concerning the planning functions of the universities are analysed.

4.3   Role of the Government in Promoting University Education

Broadly, the metamorphosis of university education in the world, different regions and circumstances notwithstanding, have today crystallised into certain aspects of commonalities in university governance. In Britain the approach tends to exhibit a high degree of autonomy, but the State intervention and linkage are retained by funding and policy formulation through the University Funding Council (UFC). In continental Europe the state intervention is more direct through ministries of education which fund, formulate policy and employ academic as well as administrative staff. In China and the former Eastern Block the state has even more direct central planning. In America and Japan the government intervention is minimal because of the

existence of corporate financing, upon which the universities can resource instead of the government. From the above examples it appears that state intervention in university governance is inevitable.

In the Kenyan context, the country has practised a government style that has:

(a)   occasioned heavy reliance of public universities on public funds for their upkeep and management;

(b)   exclusively funded student tuition and other fees for the maintenance of these students in public universities but with the contradiction that those not in national universities have exclusively financed their education from their pockets;

(c)   encouraged an over-dependence mentality by public universities on government initiative as well as funding even in those instances where clear legislative provision and framework exist for universities to initiate or pursue policies or actions to steer their long-term policies on admission, self-sustenance and planning.

The government established the first Universities Grants Committee (UGC) in 1971 to deal with planning and programming for the University of Nairobi and its constituent, Kenyatta University College for the period 1972/73 and 1974/75. During the period 1975/76 to 1980/81, the University based its operation on annual estimates. Subsequently the second UGC was appointed in 1980 to plan the University's operations up to 1983.

The terms of reference for the two UGCs were similar. These included among others:

- to plan on long-term basis and in this regard harmonize the planning of the universities with quinquennial national development thereby facilitating the management and development of university programmes.

But like the first UGC , the Second UGC was never given a chance to realise its achievement. From 1983/84 the universities operations were again based on annual estimates, the reason being that the report of the second UGC, released in 1983 was overtaken by events which led to the establishment of a second university, namely Moi University.

As mentioned earlier, in 1985 the Commission for Higher Education was established and empowered to carry out all the functions of the UGCs and more. Unfortunately there were marked conflicts in the provisions of the Universities Act which established CHE, and the provisions of the individual Universities Acts. The individual Universities Acts did not take into account the provisions of the Universities Acts which empowered the CHE to co-ordinate planning, programming, budgeting and funding of higher education. As a result of the conflicts the environment in which higher education system operates has become increasingly unstable and unpredictable. In the absence of a co-ordinating body the universities took it upon themselves to seek for funding from the Ministry of Education directly and individually from one year to the next. Moreover, whilst university budgets were inflated and do offer tremendous potential for efficiencies and rationalisation, the way the government chops universities budgets quite arbitrarily by up to 70 per cent and requiring them to continue to take in increasing numbers of students, is a recipe for disaster as far as the universities are concerned. As Lillis (1989)

rightly puts it:

> "Where inordinate political commands influence or even
> dictate university intakes, on top of massive demographic
> pressures and the consequences of structural reform of the
> education system, rational planning and management is
> virtually impossible and the task is faced with extreme
> trepidation."

More often than not the Government's response to demographic pressures and

social demands has been to off-load on to the universities the problem of

managing the intake. Whilst student management is a university problem, the

issue of entry standards, admission criteria and quota rationales is a macro-

policy decision. The absence of a political rationale for a realistic universities'

staffing and infrastructural capability precludes a management rationale for

delivering quality education.

Equally, universities themselves need to change their whole attitude and

culture. They have to become more entrepreneurial, more efficient, more goal-

driven, more ready to decentralize decision-making and accountability, and

fundamentally, more aware of what it costs. The major incentive for

embracing change and an entrepreneurial spirit is that universities will

increase the diversity of their sources of funding and achieve a greater control

over their funding, thereby inevitably increasing their autonomy and

independence from government, with all that that can mean for improving

conditions within the universities. Nonetheless, there are two important

economic justifications for government support for higher education:

- higher education investments generate external benefits important for

  economic development, such as the long-term returns from basic

research and from technology development and transfer; because these benefits cannot be captured by individuals, private investment alone in higher education would be socially suboptimal; and

- imperfections in capital market (related to the lack of collateral for education investment) constrain the ability of individuals to borrow adequately for education. This undermines, in particular, the participation of meritorious but economically disadvantaged groups in higher education.

For the above reasons the government operates a student loan scheme to assist students who need to borrow for their education; and a bursary programme that guarantees necessary financial support to academically qualified poor students unable to pay direct university fees. The loan scheme covers all students attending university courses in the public universities. The objective for the loan scheme was to enable the large numbers entering university to meet certain expenses including accommodation, food, books and personal expenses as an aspect of cost sharing. However, experience with the existing loan scheme has been disappointing. Because of heavily subsidized interest rates, high default rate, and high administrative costs, the financial performance of the loan scheme has been unsatisfactory - so unsatisfactory that it would have been cheaper to substitute loans with outright grants. The following Table 4 overleaf reflects the insignificant loan recovery ratio compared to some impressive performance by a few selected countries.

Improving the efficiency of the existing loan scheme is a major challenge for the country. Despite the poor performance of many loan schemes as reflected in the following table, the experience of Colombia and Quebec, for

Table 4: Student Loan Recovery Ratio for Selected Countries

COUNTRY	Average Loan Recovery		YEAR
	Excluding Default and Administrative Costs	Including Default and Administrative Costs	
MORTGAGE LOANS			
Venezuela (FGMA)	77	8	1991
Kenya	30	8	1989
Brazil I	19	2	1983
Jamaica I	26	8	1987
Colombia I	27	13	1978
Chile	52	18	1989
Honduras	49	27	1991
Indonesia	43	29	1985
Brazil II	38	29	1989
Sweden I	39	30	1988
Jamaica II	44	30	1988
Denmark	48	38	1986
Japan	50	40	1987
USA (GSL)	71	47	1986
Finland	65	48	1986
Norway	67	52	1986
Colombia II	71	53	1985
Hong Kong	57	53	1985
UK	74	59	1989
Quebec	69	63	1989
Barbados	87	67	1988
INCOME CONTENGENT LOANS			
Australia	52	43	1990
Sweden II	72	67	1990

Source: Albrecht and Ziderman, 1992a.

example, shows that it is possible to design and administer financially sustainable schemes.

4.4   Planning at the National Level

There is a need to differentiate between planning at the institutional level and planning at the national level because what goes on in the individual institutions can only be properly understood within the framework of the national scene. At all events in Kenya, university development is linked by an umbilical cord to the national situation.

The establishment and development of university education in Kenya has been shown earlier to have been based on several rationales. The major one however, has been to produce highly trained manpower capable of replacing expatriates and to be available for the new demands generated by expected high rates of economic growth. The traditionally strong role of the state in higher education has its origins in political and economic circumstances - elite systems, guaranteed public sector employment, and stable economy - that has radically changed.

So in the aftermath of the newly recovered independence Kenya followed international convention wisdom in the belief that the most important priority was to train as many qualified people as possible in professional fields relevant to the needs of the economy. This created unlimited expectations among the population by allowing automatic access to higher education for all secondary school graduates by inscribing in the country's constitution a commitment to provide free education at all levels, and by offering a public sector employment guarantee to all university graduates. The desire for a rapid growth in enrolments therefore led to the

search for a planning methodology.

Rather than direct control, the government's responsibility is that of providing an enabling policy environment for both public and private university institutions and of using the leverage of public funding to stimulate the public universities to meet national training and research needs efficiently.

4.4.1 Link with the Government

One of the major features of the university education system in Kenya is that the universities, though largely dependent on the state for their finance, are autonomous institutions, established by Acts of Parliament, conducting their own affairs. In this respect, the universities are almost unique among government institutions financed from public funds in not being subject to any kind of direct ministerial directive.

The Acts provide a link between the University and Government through the Ministry of Education. In particular the Acts provide that annual estimates shall be approved by the Council before the commencement of the financial year to which they relate, but before they are submitted to the council for approval they shall be submitted to the Minister of Education who may approve them with or without such amendment as he may deem fit and after the Minister has given his approval the Council shall not increase the sum provided in the estimates without the consent of the Minister. (Moi University Act, chapter 210A). The provision is the same for all other individual university Acts. The Acts further stipulate that the accounts of the University shall be audited by the Comptroller and Auditor-General or an Auditor appointed by the Council with the approval of the Minister in concurrence

with Comptroller and Auditor-General. These financial control systems, exercised through the Commission for Higher Education severely impinge on the autonomy of the universities.

The functions of CHE are similar to that of former UGC in the United Kingdom whose terms of reference was:

> 'To enquire into the financial needs of university education in the United Kingdom and to advise the government as to the application of any grants that may be made by Parliament towards meeting them ... and to assist, in consultation with the universities and other bodies concerned, the preparation and execution of such plans for the development of the universities as may from time to time be required in order to ensure that they are fully adequate to national needs. ...' (quoted in Onushkin, 1971: 179-80);

while the terms of reference for CHE include:

> "... to plan and provide for the financial needs of university education and research, including the recurrent and non-recurrent needs of universities; and to determine and recommend to the Minister the allocation of grants of money for appropriation by Parliament to meet the needs of university and research and review expenditure by universities of moneys appropriated by Parliament ..." (The Universities Act, 1985, Chapter 210B).

The Commission in this respect acts as a buffer or shock-absorber between the government and the universities. This is not to say that the Commission aspires to a detailed planning of each university's development or to a detailed oversight of such planning. But it is to say that in the increasing complexity of university affairs there should somewhere be a strategic picture. And it is

the Commission's responsibility to sketch that picture. Consequently it is the Commission's duty to ensure, by its advice to the government, that universities, as institutions, have at their disposal adequate funds for their total and continuing activities.

4.4.2 Policy Decisions

According to CHE's structure policy discussion about the national university system is highly concentrated; it takes place mainly in Nairobi and involves a relatively small number of people, including the heads of the six university institutions. These are the members of CHE's committees which co-ordinate or influence higher education, which relate higher education to secondary education, and which link education to politics, industry, bilateral aid policy and economic and social development and plan university education.

These closely-interlocked committees form a network which contains most of the information relevant to higher education policy-making. The system is democratic in that senior members of the Universities are constantly in touch with the evolution of national thinking, not least at the vital stage when opinion is forming but when no formal decisions have been reached. But how successful has the effort of planning high level manpower been?

4.4.3 External Efficiency

Two types of external efficiency affect the higher education system: graduate unemployment and declining research output.

(i)   Graduate Unemployment

Graduate unemployment rose sharply during the 1980s and continues to rise. This reflects the slow economic growth over the 1980s; the sluggish growth aggregate demand for highly skilled labour; and confirms that the government policy of absorbing all graduates in the public sector has become unsustainable. There are a number of indications that the overall human resource development effort has surpassed its optimal level, including the difficulty facing university graduates in finding jobs; graduates accept less challenging and low paying jobs. Together, these provide strong evidence of imbalance in the labour market for skilled workers and indicate that labour markets are characterised by excess demand for skills.

Graduate unemployment is likely to worsen in the near and medium term since economic stagnation is adversely affecting the economy's capacity to absorb the rapidly growing numbers of higher education graduates. Kenya's economic growth hit its lowest mark of 0.4% in 1993 and there are no signs that it will significantly pick up in the near future. The pursuit of stabilisation and adjustment programmes will continue to amplify the slowdown of public sector employment growth - which has traditionally been the main outlet for university graduates.

The majority of students are enrolled in the arts and humanities, because these have traditionally led to government employment and relatively fewer students pursue science courses. Table 4 (page 95) shows this disparity. Even long after public sector employment opportunities got saturated, the imbalance in enrolment in the arts and science courses has not been corrected. As pointed out in a Government report to the World Bank,

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"the most rapidly expanding disciplines have been in
education and the humanities and social sciences.
These disciplines are less capital intensive in that they
require mainly class-room space and staff as opposed to
specialized laboratories and laboratory equipment.
Consequently the maintenance of quality in these areas
has been relatively easy." (Republic of Kenya, 1991: 16)

It has been argued that provision of places should be geared to the demand from the economy for the products of the system, not as - at present - to the demand from school leavers for places within the system. That line of criticism has not been generally accepted, partly for political reasons, and partly because no-one knows how to estimate the manpower demand, or to regulate resources within universities with sufficient flexibility to ensure that they are kept in balance with changes in any skilled manpower needs that are determined. In fact the government accepts that:

"In the past, manpower planning has been undertaken
on an ad-hoc basis and related to narrow areas of
concern such as manpower needs for administrative
and managerial cadres." (Republic of Kenya,
Development Plan 1989-1993, p. 226)

According to ILO, there are grave problems of redundancy, unemployment, superfluous or irrelevant teaching skills which await educational systems that expand without due forethought to future levels of need and categories of skill required. (ILO: 1983). The place for the allocation of responsibility for this should be within the planning units in the universities, working in close co-operation with the Commission for Higher Education and the Ministry of Planning and National Development

(ii)   Declining Research Output

Research is systematic enquiry conducted under rigorous scientific methods. It can offer immediate and long-term benefits to the whole nation, directly by improving crops, health, education, infrastructures, etc. and indirectly by raising the level of understanding of nature and society and fostering high educational standards (The World Bank, 1992).

The universities employ the bulk of scientists engaged in research and development work but have failed to utilize their potential for advanced scientific training and research. Due to fiscal constraints the government is unable to significantly support national research efforts. For example, between 1977 and 1987, mainstream scientific output declined by 53 per cent, as measured by the number of scientific publications in national and international journals (The World Bank, 1993).

The lack of productivity and success in research in Kenya stems directly from the absence of overall planning as well as resource shortages. Consequences of this planning vacuum have been the inability: to set clear, realistic priorities; to manage the implementation of research activities; to agree on coherent and collaborative roles and responsibilities for the separate research institutes, funding bodies and universities; to allocate accountability; to monitor progress and output against targets; and to establish incentive systems (reward and sanctions) to ensure effective use of the limited available resources.

The emergence of parallel systems of research institutes and funding without an overall plan has clouded the legitimate research role of universities and has created a competing demand for scarce research resources. The effect

on the universities is clear. They have failed to develop strong research leadership. There is a chronic dearth of equipment and consumables. This dearth is exacerbated by the escalating expenditure on salaries for teaching and non-teaching university staff. Approximately 94 per cent of the budget allocation goes to personnel and a scant 6 per cent is allocated to non-personnel items - research included. There are no incentives for staff to sustain research activity and publication after promotion to certain grades. There is also a strong feeling at grass-root level that research activities do no relate to the needs of the customer, for example in industry and farming, and that opportunities for collaborative projects and staff development programmes are being overlooked. University research therefore, has had very little impact on the economy. The universities have become essentially teaching institutions, and their research is rarely intended for practical applications, reflecting the low level of university-industry interaction.

(iii)   Pursuing Equity

Achieving greater equity of participation in higher education is important for economic efficiency as well as for social justice and stability. In Kenya, the rapid growth of enrolments has led to increased access to higher education for traditionally less privileged populations, including women and students of rural origin. A government report to the World Bank argues that "from the point of view of equity, the expansion of university access helps to prevent higher education from becoming a domain of the privileged by broadening access to university education" (Republic of Kenya). However, as reflected in Table 5, women are still under represented in universities. A major

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determinant of gender inequality in higher education is low female participation at the primary and secondary levels. Factors such as family income and traditional attitudes towards women only amplify the problem at the tertiary level. Another issue is the gender streaming that occurs in secondary education.

Improving the access of women and other disadvantaged groups to high-quality primary and secondary education is essential to any long-term improvement in the equity of higher education. The distribution of enrolments and the quality of instruction at the lower levels of education are the major determinants of representation in higher education. Other more immediate measures are also appropriate. Minor adjustment in admissions requirements, including preferential admissions policies to increase the proportion of female students, will not adversely affect higher education quality, if the overall selectivity is high and if remedial assistance is available. In Uganda, for example, bonus points were introduced in 1990 to increase the representation of women at Makerere University. The proportion of females admitted increased from 23 percent in 1989/90 to 30 percent in 1990/91 (World Bank, 1994). In Kenya, admission to public universities is very selective and based on student achievement in national examination that minimize qualitative variations at the secondary level so relaxing requirements for these special groups, as a short-term corrective measure may be the appropriate thing to do. Strategies must be multi-faceted if they are to be effective in increasing the representation in higher education of women, ethnic minorities, students from low-income families and other economically or educationally disadvantaged groups.

Table 5. Public Universities Undergraduate Enrolment 1988/89 to 1992/93

	1988/89			1989/90			1990/91			1991/92			1992/93		
	M	F	T	M	F	T	M	F	T	M	F	T	M	F	T
University of Nairobi	2,056	798	2,854	2,162	636	2,298	4,609	1,427	6,036	2,430	717	3,147	2,527	881	3,408
Moi University	858	320	1,178	821	347	1,168	3,626	1,844	5,470	1,171	512	1,683	1,275	492	1,767
Kenyatta University	1,102	865	1,967	1,088	919	2,007	3,268	1,691	4,959	1,962	769	2,731	2,103	902	3,005
Egerton University	881	321	1,202	782	270	1,052	2,726	970	3,696	1,409	479	1,888	1,513	496	2,009
GRAND TOTAL	4,897	2,304	7,201	4,853	2,172	7,025	14,229	5,932	20,161	6,972	2,477	9,449	7,418	2,771	10,189
Percentage Females	32.0			30.92			29.42			26.21			27.20		
Enrolments in Science	1,659	451	2,110	2,125	518	2,643	5,000	1,050	6,050	3,035	631	3,666	3,078	815	3,893
Percentage Science	29.30			37.62			30.0			38.80			38.21		

Source: University of Nairobi, Moi University, Kenyatta University and Egerton University.

4.5   University Management

4.5.1   Universities As Organisations

Throughout the history of universities, they have tended to be communities of scholars and students, governing themselves in order to preserve the identity of the community. The eighteenth century however, saw the beginning of a movement away from private patronage towards corporate patronage. The government of universities ceased to be solely a matter for close corporations of scholars and began to be the shared pre-occupation of scholars and distinguished laymen drawn from their community. Secondly, universities have been considered as institutions of higher learning, and therefore providing a service to the community like other institutions do. They have not been regarded in the past as organisations or enterprises and therefore there has been resistance to using corporate management techniques in the universities.

In the university traditional management is spread and diffused throughout the organisation to an extent that is unknown in any other large-scale organisation. One major reason for this diffusion and for their relatively non-hierarchical structure is that the existence of universities depends on a high proportion of high-powered people, at least in the sense of intellectual capacity and professional skills and knowledge. The decision making process in a university is based on committee and thus power is shared in the university community. This is a collegiate model which involves power-sharing amongst equals, or a number of people in offices whose spheres of authority are directly competing, each with a power to veto. (Weber, 1947).

Trist (1969) on the other hand looks at organisations as open socio-technical systems. Open in the sense that universities operate in an open environment from which they import factors of production (students, staff, etc.); transforms them through activities of teaching and research; exports graduates and knowledge as outputs (Katz and Kahn, 1966). A university is also a social system because human resources have to be co-ordinated, controlled, motivated and rewarded. The managerial function finds its only outlet through the members of the organisation (body corporate). (Fayol, 1949)

A university like any other organisation has its goals, which include the generation and dissemination of knowledge; meeting the needs of the society through trained and skilled manpower, and contribution to the wealth of the nation and the local community. It is evident therefore, that the university shares similar characteristics with other organisation, namely set goals, human and other resources, and the establishment of co-ordination and control systems to achieve the set goals. Subsequently it also shares similar problems as other organisations. It should therefore be able to benefit from the modern management techniques employed by other organisations. However, as indicated earlier, universities differ in their structures, decision-making process and quality of their personnel. The new management styles have therefore to be adapted to suit this complexity.

4.5.2 Management vs Administration

The historical autonomy of universities as well as the supposed high level of expertise of individuals concerned with their management and administration, has often meant that external interventions have proved difficult. University leadership has proved resistant to management and

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structural reform. Many institutional leaders (principals, rectors, vice-chancellors) are erstwhile or existing academics upgraded or promoted on the assumption that they inherently possess the necessary repertoire of management skills and that intensive programmes of orientation or training are not necessary.

Management according to Drucker (1970) is:

> "... never concerned with restoring or maintaining normality, because normality is a condition of yesterday. The real task of management is that of re-directing and re-focusing activities towards what are the right economic readiness for today and tomorrow."

Management therefore, must be dynamic in terms of instituting changes where necessary; decisive in the sense that policy issues must involve taking some risks; and development by considering the future growth and consequences of such growth. Studies show that those universities whose senior managers had exceptional leadership and managerial skills, together with established management processes, met the demands for change most effectively.[25]

University institutions throughout the world are increasingly finding that institutional effectiveness depends on the vision of those with managerial responsibilities, and their ability to communicate that vision. This is reflected in Keller's (1983) statement:

> "Leadership is that intangible ability to touch people's nerve endings and cause them to act."

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[25] Report by a CUA/APA Study Group in Temple, P. and Whitchurch, C. *Corporate Strategies for Change in Higher Education*, Strategic Choice, 1991.

However, because institutions are now typically operating with multiple objectives and a complex network of interest groups, innate leadership skills, even where they exist are unlikely to be effective if institutional managers have not been exposed to a range of management experience earlier in their careers, and management development programmes which aim to deliver management skills, techniques and knowledge, which can be used to guide and inform judgement and decisions.

Administration on the other hand tends to deal with routine aspects of the organisation's activities and in regulating and controlling functions. (Clarke, 1985). Administration can therefore be considered to be as static as it seeks efficiency in maintaining the status quo; it is resistant to new ideas and suggestions because of the fear of taking risks; and is more concerned with implementation of decisions rather than actual decision-taking. Keller (1985) also thinks that there is a difference between administration and management when he says:

> "... administration sees that things are done right,
> management sees the right things are done. While
> administration seeks efficiency in the present structure,
> management strives for effectiveness through improved
> structure."

Universities need to adopt new management techniques if they have to efficiently and effectively manage their programmes in the competitive environment in which they operate, and the scarce resources at their disposal. It is important to stress that as management capacity and capability narrow in relation to escalating across-the-board management problems, the bleak contemporary context threatens an even bleaker future.

4.5.3   University Government

University management involves using carefully and wisely the limited resources available to the university, in order to achieve its objectives. At the institutional level universities have exhibited certain structures or organs by which they are governed. These involve processes and people responsible for the organisation of the university. It is the role of university managers to organise, direct and control university activities. (Lockwood, 1985). There are two groups of university managers: academic managers who are full-time academics, but also carry out administrative responsibility and are therefore part-time administrators; secondly, central administration which consists of full-time professional administrators in various fields.

Practice around the world suggests that a university must have a supreme organ which may be called Senate or Council or Regency. The Senate is the Supreme organ for academic matters in most university institutions. Council or Regency where it is created is the supreme organ for policy and administration. A third university administration organ is the faculty or college board which is a group of university academic departments in a similar discipline. A department is the basic unit of university government. A fourth constituent of the university government is the student body. The students' community through their organisation or through their collegiate nature becomes a force within university administration. A fifth organ of the university governance is the chancellor who in most of the developing countries is usually the head of state or government.

Kenya's experience in the development of university education is a relatively short one. As stated earlier the experiences of other countries, mostly

western have been influential in the setting up of the governance, structure and policies at Kenyan universities. In consequence the governance of the public universities also consists of a Chancellor, Councils, Senates and Student Organisations along the lines described above.

It is difficult to categorise university management problems according to specific sub-headings, because they do not fit easily under single labels. In general though the problems cut across a range of tasks and competencies in a number of critical areas associated with managing the environment and responding to demands from external sources; with resource issues; with leadership issues and the management of planned change; with structural adaptation and organisation development, including relationships between key roles; and staff development.

The complexities of these problems and how they impact on planning at institutional level are discussed in the following section.

4.6   Planning Experience at the Institutional Level

4.6.1   Funding Source

As the government and institutions embark upon enforced policies of structural re-adjustment and upon formal policies of reduced central funding, the issue foremost in the minds of those engaged in university planning and management are: the harsh fiscal environments in which the universities operate; the lack of funds for teaching and research; across-the-board qualitative deficiencies (intakes, facilities, infrastructures, staff, etc.); and the search for indicators of internal and external efficiency.

Kenya follows a system of "negotiated" funding whereby the Ministry of Education through CHE allocates a "negotiated" budget to the universities without necessarily considering objective criteria linked to the universities' internal efficiency or performance. This type of allocation mechanism has serious drawbacks. When the funding formula is not linked to institutional performance and does not allow for flexibility, it is difficult to adjust the distribution of financial resources to changing circumstances. Moreover, there may be a danger in relying on a buffer organisation mediating between universities and the central government. While the buffer organisation present the theoretical advantage of shielding universities from government interference, thus fostering institutional autonomy and quality control, in times of severe financial constraints, they can be used to impose painful budget reductions. In theory, the most efficient allocation mechanism would be to transfer subsidies to the students themselves, through loans or grants. The rationale is to facilitate student choice, stimulate competition among the institutions and make them more responsive to labour market needs. But the government is yet to be convinced that such a system should be established in Kenya. Instead public universities subsidize students' food and accommodation and medical services provided to them. The average yearly subsidy in these areas per student has been estimated to be as high as 80 per cent. The cost for feeding and accommodating students in August 1990 had been calculated at Kshs. 64.00 per day versus Kshs. 35.00 presently received per day".[26] (Republic of Kenya).

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[26] From the Report of the Policy Planning Task Group (PPTG) established by the Ministry of Education (1991) to implement Universities Investment Project

The root cause of faltering quality of teaching and research in the public universities is their preponderantly supply-driven orientation. People are "educated and trained" and "knowledge is produced" with little consideration of the economic requirements of the agriculture, industry and services sectors. In the context of economic growth strategies based on technology innovations, the World Bank argues that:

> "... it is critically important that the institutions responsible for advanced training and research programmes be guided by representatives from the productive sectors in order to help ensure the relevance of academic programmes." (World Bank, 1994).

Financial incentives for joint industry-university co-operative research, corporate-sponsored internships for students, and part-time academic appointments for professionals from the productive sectors can all help strengthen the linkages and communication between the universities and other sectors of the economy. It is suggested that a planning process which does not attempt to survey the environment and draw conclusions from it for the institution's activities cannot be properly classed as strategic.

4.6.2 University Planning Models

A planning model attempts to illustrate in quantitative terms the relationships between all the internal units (and external factors) in a university. The ultimate objective of the model builder is to produce a formula or set of equations which allows a decision to answer 'what if' questions. If

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(UIP), funded by the World Bank.

fees are raised by 5 per cent will it enable the university to balance its budget?[27] If student enrolment is concentrated on the Arts Faculty at a marginal staff-student ratio of 13 to 1, what will be the effect on the budget? Because of the expense and time involved in ascertaining the relationships of all the units and factors involved, many models make assumptions, these assumptions inevitably have been about averages and have also been based on historic figures. University planning models which result are thus vulnerable to criticism and for this reason their cost-benefit has been in doubt. (Fielden, 1973).

(i)   Planning Based on Ratios or Formulae

It is not difficult to develop quantitative relationships between most of the component elements in a university. Academic and administrative staff, technicians, secretarial staff, square metres of floor area, capital value of equipment, consumable expenditure, conference expenditure have all in many universities been allocated and planned on a formula basis which are adjusted each year for inflation and other factors.

The conventional starting point for a formula based planning system is always an estimate of student numbers by department. The process is that targets are chosen, the implications of them are then calculated and the resulting total in resources examined. Sometimes it can be useful to approach the exercise from the resources end, and examine the numbers of students that could be taken in different disciplines for a given fixed cost in fixed accommodation.

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[27] The budget is the financial/numerical expression of the operational plan for one year ahead (e.g. capital budget, recurrent budget).

Although resources are utilised effectively in this model, the failings in the method are obvious. It ignores utterly all academic considerations and the two principal factors, need for course and student demand. However, these failings have not prevented formula based planning from becoming the most widely used approach to university planning. Most of those who apply ratios are now aware of the need to be critical and selective so that flexibility and freedom can still find a place.

(ii)   Academic Shape Planning

This approach expects each academic unit to develop a long-term plan for all its activities, teaching, research, external services, etc. The staff and student implication of the plan are calculated and costed. The complete departmental blueprint is designed to take into account individual staff aspirations, subject trends, student demand, national requirements, etc. The difficult stage follows when departmental blueprints are combined, totalled and matched against overall university objectives and available resources. It may be that at this stage the university quotes some overall ratios in an attempt to correct any extreme suggestions from departments. In a final 'bargaining' the university will collectively adjust the departmental blueprints into a coherent university plan. If a set of overall planning assumptions and a statement of broad university objectives can be prepared to guide the departments much of the heat may disappear from the final potentially disruptive stages of this approach.

The advantages of the approach are clear. It allows staff freedom to allocate effort according to skills and aspirations; it can enable a department

for example to achieve a higher research output than a flat staff student ratio might allow. If the university can orchestrate its departments into a successful harmony, the approach can be fulfilling to the individuals as well as satisfactory to society. The disadvantages of the concept need little enunciation. It is difficult and demanding and may require a degree of diplomacy and leadership in the university that is lacking. It is likely to open up rivalries and concealed ambitions and make the resultant planning exercise less peaceful than might otherwise have been the case.

(iii) The Pragmatic and Intuitive Approach

Critics deride this approach as haphazard, indecisive, weak, the very negation of planning. Supporters on the other hand would call it flexible, responsive and sensitive to the gradual changes in academic priorities and policies.

The symptoms of the approach are: a reluctance to plan budgets for more than one year; a dependence on the vice-chancellor on face to face discussions the conclusions of which are unrevealed to others; an occasional sudden adoption of a major new direction in university policy and an emphasis on the individual's initiative without reference to the broader view.

The philosophy gulf between the supporters and the critics of the pragmatic approach can be extremely broad. The one holds that a university is a collection of individuals or groups, each of which are following their own aspirations. The opposing view considers that a university can have a collective voice, that the university policies can and should sometimes overrule an individual's plans and that a long term statement on goals and objectives for a university is feasible.

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4.6.3 Planning and Resource Allocation Process in Kenyan Public Universities

The fact that the university is a small constituent of a national higher educational system places constraints upon its planning. There are two major examples of the technical constraints of belonging to a national system: there is little point in forward planning more than five years ahead. So long as the total system operates on a quinquennial planning cycle; it is extremely difficult for the university to combine capital and recurrent finance in its planning since these two sources are planned separately in the total system and on different time-scales. However, the existence of a national system, which is itself making significantly more use of planning, underlines the need for the university to plan ahead.

The Commission of Higher Education itself decides how precisely the grant will be apportioned amongst the universities, although within the limits of the overall government policy. Each university institution makes a case in its quinquennial application for the money it requires. The money is given in a block whose size is related to the case made by the institutions. There are limitations on the proportion and the total number of students who may be enrolled year by year, and thus on the staff-student ratio. These constraints, which some prefer to describe as controls, are important, and affect internal decisions, sometimes sharply. Where capital grants are concerned, the Commission imposes stricter and more direct controls, so that buildings, especially must conform to tight cost specification with strict physical limits.

The universities created a planning process which requires each spending unit (department) in the university to prepare annual plans which

flow through areas to the major committee of the university and which are re-evaluated and revised each year. The absence of a highly-centralised planning unit which would work under the planning committee's authority was chosen for two main reasons: One, the organisation of the universities is based upon the devolution of responsibilities and initiatives to its areas and units with a co-ordinated system which makes them aware of their interdependence; Two, it is felt that planning should be a participative process, all members of faculty cannot participate equally and very few normally are able to be involved or are even interested, in the total process, but the aim is that there is no mystique surrounding planning and everyone should have an opportunity to contribute to some aspect of planning - the planning process is concerned with the future ranges and standards of teaching and research, social and cultural provision in all areas of the university, participation is essential in such a process.

The claims from different spending units are not merely aggregated, they are brought into relationship with each other and, at some stage arranged in order of priority. The priorities may be indicated with each unit's claim or postponed until the size of the Commission grant is known. The universities entrust the task of compilation and analysis of their submission to their planning units which subsequently takes it to a standing committee on planning where the final 'bargaining' takes place and where the departmental blueprints are adjusted into a coherent university plan. More often than not the sums requested by the universities and the sums they receive bear so little relationship to each other in money terms that it is not hard to disown the submission as being impossible to implement. Thus the planning studies

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become a paper exercise.

Strategic and financial planning is formulated and co-ordinated by the Planning and Establishment Committee (PEC). This is a committee of Senate, chaired by the Vice-Chancellor. The committee is responsible for the detailed control and allocation of resources to both the academic and academic-related sectors of the university. In order to enable PEC to concentrate on matter of policy, much of the detailed work is undertaken by the faculty boards and the department committees where the plans actually originate. The chairmen of faculty boards and department committees attend meetings of PEC. Reporting also to PEC is the Research and Postgraduate Committee. This advises PEC on research activity, on graduate education and on funding for research. A central funding exists to provide research support. This is particularly useful for members of the academic teaching staff who do not otherwise have access to outside funds.

The overall structure provides a strong, credible and acceptable means of determining and controlling academic and financial priorities. Through the process of devolution much financial authority and decisions over priorities have been passed down to the department committees and faculty boards. The academic-related departments also report to PEC on matters of resource in that sector of university activity. These include the library, and the Central Administrative Departments (including the Vice-Chancellor's Department, Finance, Registrar's and Estates and Services) and staff and student facilities.

A number of factors however, combine to make these procedures impractical. First, the procedures are based on single sourcing from government therefore they are not capable of responding to the recent

'disincentive' of reducing government budget allocations to public institutions. Second, due to the inadequate government funding the meetings for resource allocation are usually characterised by stiff and disruptive competition for the limited funds. Third, the elaborate committee system is time consuming and can sometimes be very inefficient in dealing with urgent planning and resource allocation matters. Furthermore, many academic parts of the universities have been seeking more control over their own activities than is possible under the expenditure-based procedures.

4.6.4   The Role of the University Planner

To plan effectively each planning unit requires to be provided with the strategic plans (e.g. rate of growth, etc.), the operational plans[28] (e.g. staff and student logistics for two to five years ahead), which have already been made and the next year's budgetary assumptions of the university; and it is only with adequate and relevant information that the planning units will be able to review and propose any changes in their own plans. Moreover, planning for a number of years ahead requires time and concentration which a busy person in charge of an operational department can never give. He/She has so much paper work, so many decisions coming in from day to day that planning is always a thing that can be done next week. Therefore to ensure that it is done, universities have established planning sections in the Registrar's Departments headed by a planning officer and staffed by people who are

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[28] Operational planning is the means by which an institution addresses its strategic objectives and monitors its success, in doing so by annual programmes, capable of intermediate review.

experts in planning and will have nothing else to do but to devote their time in the planning activities of the section. The section provides first of all a prick to the conscience that where the senior officers or heads of departments would say 'Yes, I know I ought to be thinking about 1995 and I will do that next week', the planning section would force them into it by actually fixing the meetings and circulating relevant materials and therefore they must actually do it. Secondly it provides eyes and ears and hands to do the work - not instead of them but to do it for them and with them - and just to bring it down to the domestic scale as it were.

The planning section by its very existence is able to provide a service, which can say very well we will try to write a paper, we will find the figures and other relevant information that are missing, we will do the work but we will be doing it for you, and we will bring it back to you and then it is up to you to take it or leave it or tell us what to do. Also, internal flows of information have to be tapped and external data have to be accessed. This can only be done if a central focus for university planning is established. Information also has to be communicated effectively - and that is only possible in a system where information flow is centrally co-ordinated. The information system is indeed a key element in planning, if for no other reason than that it influences and reflects the levels at which planning takes place. It can also help to improve the quality of decision-making by improving the quality or increasing the quality of data on which a decision is based.

The universities are required each year to submit to the CHE detailed financial forecasts with commentary and explanations including student number projections. These are compiled by the planning section and the staff

in the Finance Department. These forecasts form the basis for the relationship of the universities with the Commission for Higher Education. However, the universities are also required to demonstrate their good management practice through the regular production and update of institutional plans and IT plans. As Keller (1985) says of MIS:

> "Improving the management information system is an indispensable step in improving the every day operation of the campus as well as a requisite for strategic planning."

The institutional plans are compiled and co-ordinated through PEC. They set out the important academic initiatives and priorities which the university wishes to pursue within the best estimates of the financial projections and other known constraining factors.

5. LESSONS FROM THE
WESTERN UNIVERSITIES

5.1   INTRODUCTION

At a time when ideas are rapidly transmitted globally and changes in thought and attitudes in one country spread immediately to others, international movements are created which may affect several countries simultaneously. The student revolts of the late 1960s were an instance of this. But, of course, open communication of ideas is not universal, barriers still exist and transmission is often resisted. Further, even where `open' two-way communication is found the same willingness to change will not be present everywhere. We would expect to find in the relatively open societies of Western countries certain similarities in their universities. However, university education, having evolved over centuries may still to some degree reflect the traditions and conditions peculiar to those countries. In addition, not all countries within this group have advanced to the same economic level and this will be a further factor leading to diversity. Among the countries of the former communist bloc, on the other hand, one would anticipate a less diverse higher education, greater degree of rigidity and a resistance to outside influences. Finally, one might predict that the developing countries would adopt and borrow freely from both West and East those experiences which would assist them along the path of proper planning in their highest education systems, provided they were consistent with their particular political ideologies.

Much of this is found to be the case, but the differences which exist between industrialised countries of the West are greater than anticipated. As one American writer has said; `When we pass beyond the facts of exponential growth and student disorders any resemblance between the American universities and universities elsewhere is purely coincidental. This chapter introduces some aspects of Western approaches to planning in the universities which the developing countries in general and Kenya in particular, might wish to borrow in order to improve their planning systems. The writer is more familiar with the planning approaches in British universities so most of the examples will be drawn from the British Universities.

5.2   Academic Freedom and University Autonomy

Academic freedom and university autonomy are emotive expressions. They include concepts which are essential to a university if it is to fulfil its function in society. They are visceral in the structure of academic man everywhere. Academic freedom and university autonomy has developed in most Western countries as a specially protected corner of intellectual freedom. They are protected by unwritten conventions or by charters and statutes. It is not so much a personal privilege claimed by members of the academic community, it is a condition of work, granted because it is believed to be essential for teaching and learning the truth as scholars see it; and (as Michael Polanyi pointed out many years ago[29]) because a climate of academic freedom

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[29]   R.M. Hutchins, `The Issues'. The University in America (Chicago, Centre for the Study of Democratic Institutions, 1967), quoted in Stephens, M.D. et.al (eds.), Universities for a Changing World, p.8.

is the most efficient medium for research. It has been defined as:

> "that freedom of members of the academic community, assembled in colleges and universities, which underlies the effective performance of their functions of teaching, learning, practice of the arts, and research. The right to academic freedom is recognised in order to enable faculty members and students to carry on their roles."[3031]

In its strict connotations, which is the freedom of the individual university teacher to teach according to his conscience and convictions and to publish his views on his subject, academic freedom is now secure in British universities (Ashby, 1966). According to Atwoki (1973), in African countries,

> "... academic freedom is a laboured concept in those countries that have not got a clearly established national ethos. It is naive to expect that academics and students will `hold similar views to those who run the government', unless they accept and contribute to the principles whereby those who run the governments established themselves. In a climate of political instability, coups, counter-coups and general irrationality, academic freedom is a myth".

The idea that scholars in universities ought to be free to teach and learn what and how they wish goes back to the middle ages, but the custom of guaranteeing this privilege by popular consent dates only from the last century. It was formulated in Germany in universities which were directly under the supervision of the State, as *Lehrfreiheit* (a privilege of the teacher) and *Lernfreiheit* (a privilege of the research worker and the student). As defined

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[30] R.F. Fuchs, `Academic Freedom - its basic philosophy, function, and history', Law and Contemporary Problems, XXVII (1963) 431.

in Germany, it had certain limitations; academic freedom 'must be in sympathy with the great religious event of humanity which we call Christianity'; a professor who is hostile towards the State and who aims at its dismemberment or destruction 'cannot as an honest man accept an office and a commission from the hands of the people or the State'. The concept of *Lehrfreiheit* has been adopted in English-speaking countries and greatly broadened. In Britain and the United States it would be considered an infringement of academic freedom for a university to impose any censorship on the utterances of any member of its staff on any subject, whether it lies within his field of expertise or not. It would also be an infringement if any authority, either inside or outside the University, were to forbid a university officer to take a certain line in his teaching or in his published work; and it would be a scandalous infringement if he were to be dismissed from his office for refusing to comply. However it is important to note that academic freedom cannot exceed the liberties allowed by the law of the land. So a country which does not permit freedom of speech and publication to its ordinary citizens (and many developing countries don't) cannot grant academic freedom to its universities. In such countries academic freedom is in eclipse and accordingly universities cannot flourish.

Whereas academic freedom is an internationally recognised an unambiguous privilege of university teachers, the question as to what constitutes autonomy in universities is anything but unambiguous and the patterns of authority which satisfy academics in different countries are very diverse. However, if the right of the State to supervise the universities is laid down in the State constitutions, this naturally means that the State may not

exceed this right. It may not interfere with the universities affairs. It is generally recognised in most Western countries that State supervision must be limited to safeguarding the law. It does not imply any supervision of academic standards. The State has only to ensure that its laws are not infringed by the proceedings of the universities. In the United States although the State universities have to submit annual budgets to the legislature the government of a State is delegated by the State constitution to a board of trustees or regents who are elected by general suffrage in the State and who have absolute sovereignty - and cannot be overruled even by the legislature - in the government of the State university (Ashby, 1966). In Britain all universities have *de jube* self-government though changes in the constitution have to be approved by the Privy Council; and the statutes of a new university have also to be approved by the Privy Council after consultation by the university funding committee, which scrutinizes the draft statutes carefully and often suggests amendments to them. Remarkable care is taken by the UFC (which advises the Minister of Education and Science) not to interfere in the running of universities.

5.3 Relations with the State and Principles of Governance and Management

A clear understanding of relations between higher education and the State are a pre-condition for quality and accountability in governance and management in higher education institutions. The principles of academic freedom and university autonomy is central in this respect. Academic freedom and autonomy of university education guarantee the prescription of the

university as a community of free inquiry and the stimulating climate required for scientific advancement and dissemination of knowledge. Recent experiences in the developing countries mentioned by Atwoki above has provided strong evidence of the need to defend the principles of university autonomy and academic freedom as a *sine qua non* for normal functioning and the very existence of higher education institutions. On the other hand, the entire socio-economic environment compels higher education institutions to build up ties and partnerships with every sector of society.

It is for the above reasons that the governments in the Western countries accord the proper degree of autonomy - together with adequate financial provision - to higher education institutions in order to allow them to be relevant and perform their creative, reflective and critical functions in society. Institutional autonomy also implies increased responsibility in matters of funding, systematic self-evaluation of research and teaching and a constant concern for cost-effectiveness and efficiency in all activities.

Analyses of the present conditions of higher education, particularly in the developing countries (as we have seen in the case of Kenya) are unanimous in pointing to insufficient financial resources as one of the main constraints for its further development. The challenge of limited resources in these countries is unlikely to be overcome in the near future. Thus it will be necessary for such higher education institutions to show a capacity to redress themselves in order to be able to cope with this challenge. The most viable institutions of higher education, also in financial terms, are those which enjoy academic freedom and autonomy and have succeeded to build in their functioning structures, proper mechanisms allowing them to remove

mediocrity and to guarantee quality of teaching, research and service. They are also the institutions which stand a better chance in the competition to secure resources from the public and private sectors.

5.4   The Need for a Planning Strategy

In the United Kingdom most institutions can point to long traditions of "plans". For fifty years or so the quinquennial system required them to submit forward estimates to the UGC every five years, the last occasion being 1971. The good news was that the planning assumptions in most institutions of higher education tended to be that growth and additional funding were more or less permanent features. Plans were then, largely bids to Government for funding additional to existing unquestioned activities; the requisite funds may not have been assured, but there was a political will to go a long way to finding them (Strategic Choice, 1991).

While such plans were intended to meet external requirements, they were not normally strategic in our sense of adjusting internal activities to external pressures; and they were only secondary, if at all, instruments of internal management. In this era, the collegial mode of decision-making predominated; therefore when higher education entered a period of steady-state and then contraction, reductions in recurrent grant tended to translate into plans requiring equal misery across the board. The collegial mechanism had little else to offer.

Throughout the late 1970s, many universities had little or no strategic planning mechanisms. They did little more than respond to reductions in resources and to the short term changes in government counter-inflation

policy. The arrival of the Conservative Government under Margaret Thatcher (i.e. The General Election of May 1979) changed this situation. The agenda for all institutions funded from the public purse became:

- accountability between government and institutions, and within institutions;

- economy

- efficiency and effectiveness;

- value for money

- executive styles of management;

- assessment of performance.

These are, of course, inter-related issues. In terms of the funding and planning of university activity it has meant the development of strategic plans to underpin academic decisions and the development of structures which bring together planning, resource allocation and accountability into one corporate process linking academic, financial and physical aspects. These new developments were made even more inevitable when the Government withdrew from UGC funding (equivalent to about 12 percent of the grant). This brought an element of uncertainty into university budgeting not experienced even in the worst days of the 1973-74 oil crisis. Confirming that university expenditure had fallen by 12 percent as compared with 1979-80 the UGC went on to tell the universities that:

> `It is not the Committee's intention to distribute the cut
> in resources equally between institutions and fields of
> study. We have decided that in order to maintain the
> vitality and responsiveness of universities, resources
> must continue to be made available for necessary new

developments, as well as new appointments in fields of special importance. The Committee believes that this can and should be achieved without the closure of any whole university. Regrettably, however, savings of the order required must involve reducing the range of subjects taught in some universities, and this will involve recommendations for the closure or radical reduction of some departments with the likelihood of consequent redundancies of staff, both academic and non-academic. There will also be implications for the continued ability to conduct postgraduate teaching and research in some areas of study in some institutions.'[28]

5.5   Management and Planning Structures

In the early eighties it became apparent that:

- academic committees found it increasingly difficult to take hard financial decisions;

- the planning and resources allocation machinery had to be able to respond more quickly, and to deal with more sophisticated planning concepts;

- positive leadership was required.

Meanwhile, external pressures on institutions to "plan" and to have "plans"

became more frequent and insistent.

A major influence in the university world in Britain and in Government,

in particular, was the Jarratt Report of 1985. It asserted that a university which

had not given corporate consideration to where it stood in relation to academic

quality, spread and market performance, and where it wanted to be in five

years time, would have reduced prospects of success and be in danger of

drifting (Strategic Choice, 1991). It followed that each university should

develop a rolling institutional and academic plan, reviewed regularly and

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[28]Quoted in Shattock, M. et.al (eds.), Resource Allocation in British Universities, CUA Resource Allocation Group, 1983, pp.13-14.

against which resources were allocated (Jarratt, 1985). A further legacy of Jarratt was the establishment of Planning and Resources Committees of strictly limited size reporting to Council and Senate with the Vice-Chancellor as Chairman and both academic and lay members. In addition the Vice-Chancellor was also designated by Jarratt not only as academic leader but also as Chief Executive of the University. This reinforced their role as head of a senior management team, and emphasised the hierarchical, top-down mode of decision-making. The Report also provoked the University Councils into re-asserting themselves at the expense of the all-too-powerful Senates. It had to be stressed that first and foremost universities are corporate enterprises to which subsidiary units and individual academic members of staff are responsible and accountable. Large and powerful academics who sometimes see their academic discipline as more important than the long-term well-being of the University which houses them can be forces for chaos. Failure to recognise this can weaken an institution and undermine its long-term vitality.

A major and fundamental conclusion of the Jarratt Report was that planning and consensus management are inimical. One of the major changes to occur in the management of universities was the movement away from the consensus model of management towards a more executive style. If universities were to be responsive to change and to be able to introduce innovative ideas quickly and to be able to move away from the consensus model of government (where the tenured professional academic staff were allowed to regulate resources through collegial means) to executive styles of management which allowed them to be adaptive and flexible. This is an essential first step in a period of economic restraint and cut-backs.

5.6   The Current Management Agenda

> "A managerial revolution ... is influencing administrative practices in all social institutions, whether in the public or private sectors. Simply expressed the language and metaphors of manufacturing are being applied to financial and administrative practices in higher education..."

said an American observer recently. Commercial or manufacturing organisations undertake strategic planning in order to build a sustainable long-term future for themselves within a continuously changing environment. The basic elements of this approach are to:

- decide which business they are in and what values and objectives they wish to pursue (their mission);

- determine what benefits (through goods or services) they will sell to whom, on what competitive criteria (their marketing strategy);

- plan how they will develop from where they are now to where they aim to be in the future;

- identify shorter-term targets and indicators against which they can measure their progress.

Similarly, for the universities, planning does not mean central control, it means, as in the case of commercial organisations, the ability to look forward to the future and to take appropriate action in order to control the institution's affairs, to build a long-term future within a continuously changing environment. Only if the right management structure is in place can institutions hope to cope quickly and decisively and develop a corporate strategy. The Government's response has been to strengthen the hand of those

responsible for "management" within the institutions. It funded studies of good managerial practice in the universities and the public sector in 1985 and 1986 (Jarratt, 1985; NAB, 1987), emphasising the key role of the chief executive in leading and directing the institutions. It also funded a research project on how the financial reductions of 1981-84 were handled, which produced managerial guidelines for Vice-Chancellors and Principals (Sizer, 1988). The replacement of the UGC by the Universities' Funding Council (UFC) in 1989 heralded major changes in funding policies for universities. The separation of teaching funding from that for research was introduced in order to hold universities more accountable for the way in which income is allocated and for the purposes to which it is put. The 1989 financial memorandum between the UFC and universities went much further than previous conventions in requiring that Vice-Chancellors and Principals accept personal responsibility, so far as the use of public money is concerned, for the affairs of their institutions.

Exponents of the "new managerialism" find support in one of the best-selling books on American higher education, George Keller's "Academic Strategy" (1983), which goes some way towards bridging the gap between the collegium and the hierarchy, so far as planning is concerned Keller sees the old-style industrial management with rigid hierarchies and bureaucracies as inappropriate, but advocates "soft" management by objectives, with an authority which decides on realistic objectives, devises shrewd strategies and defines long-term goals towards which the members of the organisation can agree to work. He identifies some of the ingredients of educations new management style:

- administrators (Vice-Chancellors, Principals, Deans) are replacing their passive role with a more active one;

- finance is assuming a new prominence;

- campus governance is taking new forms;

- the communication process is becoming more open;

- people are becoming more important;

- technology is becoming a more integral tool for management;

- the future is becoming as important as the present and the past, and administration is yielding to management;

- the external environment and the market are receiving more attention;

- planning is becoming essential.

The "new managerialism" is not without its critics. It is not just that the adoption of a management model based largely on the experiences of the private sector is not as simple a task as Jarratt or the UGC would seem to believe. The critics suggest that the private sector model ignores the possibility that the present organisational arrangements do indeed meet the needs of the institutions. The conventional analysis is that the institution is complementary to, rather than in control of, the departments and other basic units. It is they which have been regarded as the primary institutions while the university itself has been seen as virtually a holding company (Boys et.al 1989). The reason is the fragmented nature of the work of academics, particularly as researchers, small groups of whom (or even individuals) can "produce" on their own and be rewarded for what they produce, with little need to relate to other groups working in the same "factory": the discipline imperative has
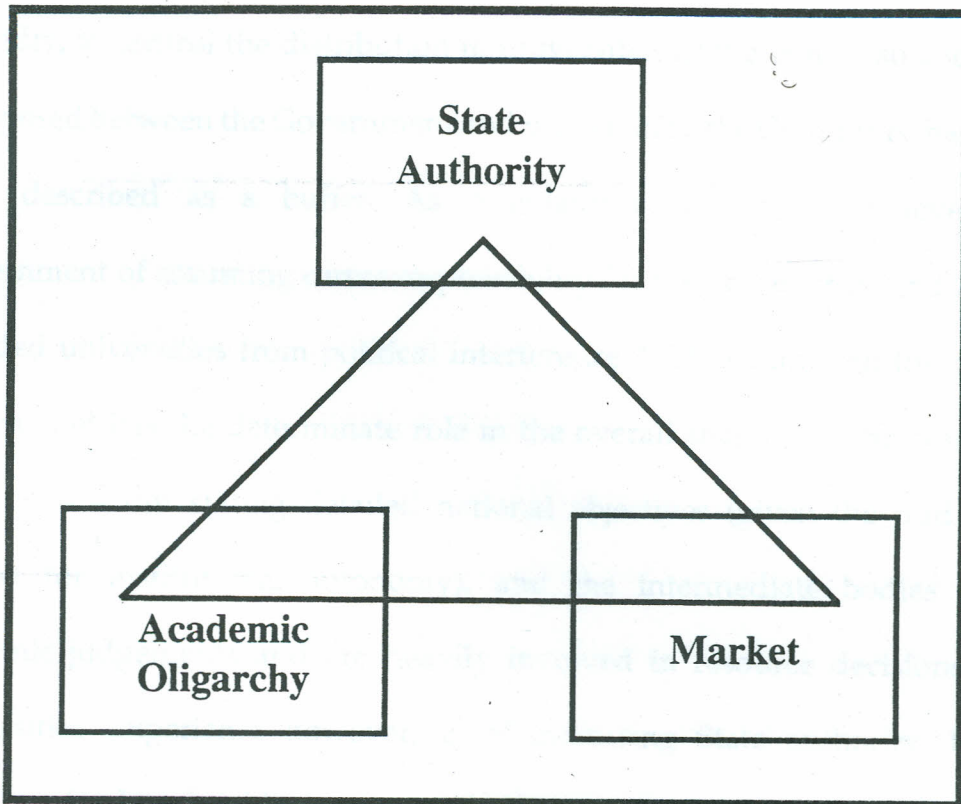
been a basic fact of organisational life in the leading international centres of learning for well over a century (Clark, 1983).

What ever the views of the critics of the new managerialism, the concept of the university as a corporation is now firmly rooted on both sides of the Atlantic. It is useful to note that although commercial organisations are in some ways fundamentally different from higher education institutions - notably their obligation to ensure an adequate return on their shareholders' investment - they are in many other respects very similar. In particular, higher education institutions, like commercial organisations, have to build their own positions and capabilities in a complex competitive environment.

5.7   Higher Education Planning in a National Context

All major British institutions of higher education have core funding from the taxpayer and in that sense are "public" rather than "private", and that core funding comes through the Department of Education and Science. The relationship between the individual institution and the Government is therefore a crucial element in the environment which has been changing significantly, and which can be expected to continue changing. Clarke's "triangle of co-ordination" (Figure 1) provides a helping starting point. Clark (1983) identifies three model forms by which the activities of a nation's institutions of higher education are co-ordinated: State authority, academic (or professional) oligarchy, and the market. In practice however, the actual form of higher education in a nation comprises elements of all three, though in varying proportions.

Figure 1

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│              ┌──────────────┐                 │
│              │    State     │                 │
│              │  Authority   │                 │
│              │      △       │                 │
│              │     ╱ ╲      │                 │
│             ╱         ╲                        │
│            ╱           ╲                       │
│   ┌───────────┐    ┌───────────┐              │
│   │ Academic  │    │  Market   │              │
│   │ Oligarchy │    │           │              │
│   └───────────┘    └───────────┘              │
└─────────────────────────────────────────────┘
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Source: Strategic Choice (1991), p. 12.

Within the triangle, with each model form at a corner, Clark places USA to "market", Russia to "State authority" and Italy to academic oligarchy, Britain is placed between Italy and the USA. Britain locates fairly closely to rule by academic oligarchy because of the extensive role of the UGC and other intermediate bodies. The University Grants Committee was established by the issue of a Treasury Minute in 1919. Its members are appointed by the Secretary of State for Education and Science. They are nearly all university academics with a small number drawn from industry and other sectors of education. The Committee's task is first, to provide the Government with the

information about the needs and capacities of universities which is required for decisions on how much money to allocate to the university system; and, secondly, to control the distribution to universities of the money so allocated. Interposed between the Government and universities, the Committee has often been described as a buffer. As originally conceived, 'it relieved the Government of assuming direct responsibility for the universities, and it safeguarded universities from political interference'[29]. Thus although the central government has the determinate role in the overall shaping of the system, it is hesitant about stating detailed national objectives (given the traditional respect for institutional autonomy), and the intermediate bodies retain academic judgements and are heavily involved in resource decisions. The universities' experience however, is of increasing State authority. Under pressure of reduced public funding and requirements for greater accountability in the use of that diminished public funding, it is more widely held the UGC became more intrusive and directive. The reduction in the proportion of academic members of the UFC compared with the UGC may reduce academic hegemony and increase the voice of the consumers of the output of higher education. Current government policies are creating pressures on institutions to plan more comprehensively in all ways. This implies greater potential for competition for resources of all kinds; the need for effective institutional planning to respond to a more complex environment has become fundamental.

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[29] From a report on University Development 1962, 1967, quoted in M.L. Shattock et.al (eds.). The Planning and Administration of Higher Education in Britain with special reference to the Universities, British Council, 1973.

6. PROPOSED RECOMMENDATIONS AND CONCLUDING REMARKS

6.1   Introduction

The allocation of dwindling resources between strongly competing claims requires firm management structures and decisions based on sound judgement. The universities require, and should construct resource allocation structures which span the differing aspirations of the Council (the employer and financial authority) and the Senate (the supreme academic body) and the Faculties. That is not to say that decisions will be taken easily. The resource allocation models allow money to be released to particular activities. At the same time in order to retain their dynamism and responsiveness to change, the Universities have to devise systems which allow money to be shifted easily between different competing claims. The constant erosion of money from the public must now force the universities to re-assess their role in society and the activities they can support with confidence. They must become more accountable for use of their money and demonstrate that they are delivering the particular activities that they are funded for. As we have already discussed at length this involves the need for planning and performance assessment at institutional, faculty and departmental level. It also requires a constant scanning of internal and external dynamics to ensure that academic, financial and physical factors are all pulling in the same direction. At the national level, this implies: strengthening the financial base of public

universities; strengthening the oversight bodies with a capacity to analyse policy, evaluate funding requests, monitor institutions' performance and make information about institutions' performance available to students; and introducing transparent mechanisms for the allocation of public higher education budgets.

This final chapter provides some suggestions, not prescriptions, of the possible approaches the university institutions and the government may adopt in trying to resolve some of the important planning issues that have been raised and discussed in this study.

6.2   Institutional Leadership and Management

Given the intensive calls for closer and more accountable systems of management as well as intense political scrutiny of the sub-sector, given the central role of universities in national development, the issue of institutional leadership is a critical one as a pre-condition for successful organisation development. The procedures by which the chief executive is identified and appointed, the structures within which the process occurs, the length and mandate and type of responsibilities exercised by the leadership is a major determinant of the effectiveness and efficiency of the institution. Equally, it determines the legitimacy or otherwise of the academic leadership and the ways in which it is enhanced, and in part, the relative degree of autonomy and command of the decision-making power of the institution.

Traditionally, academics have been appointed to become vice-chancellors. Changing financial circumstances and concerns about the strategic management of universities (as well as the strategic management of change within them) raise questions not only about the nature of powers and qualities of the leadership but of the design and institutionalisation of effective structures for management. Together, these questions necessitate change and more serious consideration of the pool from which the leadership may be appointed. Demands upon the leadership are to achieve not only academic goals but also planning, budgeting and marketing outcomes. Given the multi-dimensional complexity and nature of universities as organisations, this places severe demands and expectations upon the leadership. Do the leaders command the necessary repertoires of skills and competencies to formulate and implement institutional corporate plans and to manage the people and programmes within them?

As stated earlier in chapter four, university institutions generally are increasingly finding that institutional effectiveness depends on the vision of those with managerial responsibilities, and their ability to communicate that vision. It is therefore recommended that appointment of the chief executive and that of his top administrative officials be considered on the basis of having been exposed to a range of management experience earlier in their careers, and also be prepared to be exposed to management development programmes which aim to deliver management skills, techniques and knowledge, which can be used to guide and inform judgement and decisions. Case studies in the U.K., undertaken in the Department of Education and Science on nine universities' response to the notorious UGC's grant letter of July 1st, 1981, and

analysed by Sizer (1987), illustrate that those universities whose senior managers had exceptional leadership and managerial skills, together with established management processes, met the demands for change most effectively.

6.3 Management Information Systems as a base for Planning and Management

In the developed countries, the traditional autonomy of administrative work and management is being transformed as information technologies evolve new concepts and innovative practices. Management information systems, underpinned by information technology and computerized systems, are leading to the introduction of more efficient, easier and less labour intensive, more systematic and more reliable working methods of data collation, storage, retrieval, analysis and utilization. They have been instrumental in evolving a new approach to management problems.

Although the transfer and application of information technology is still in its infancy State in Kenya, micro-computers and systems of networking have the potential to open up new possibilities for more efficient streamlining of management support systems within both universities, CHE and the Ministry of Education and for decentralizing decision-making.

6.4 Mobilising Greater Private Financing

There are several main ways in which governments can mobilize greater private financing: cost-sharing with students, raising funds from alumni and

external sources, and engaging in other income-generating activities.

The financial base of public universities can be strengthened by mobilising a greater share of the necessary financing from students themselves, who can expect significantly greater lifetime earnings as a result of attending university institutions and who often come from families with ample ability to contribute to the costs of university education. Cost-sharing can be pursued by charging tuition fees and eliminating subsidies for non-instructional costs such as accommodation and meals. The Government can permit public universities to establish their own tuition and fees with interference.

A second strategy for diversifying the financial base of public universities is mobilisation of donations and endowments form alumni and private industry. These contributions, essentially gifts to the universities, can take many forms, including funding for the construction of new facilities, the endowment of professorial chairs, donations of scientific equipment, books, or provision of scholarships for needy students.

This kind of philanthropy is frequently a response to tax regimes that encourage such donations. Tax incentives in Chile, for example, give private companies a tax exemption on 50% of their donations to universities. India is the developing country with the most generous tax concessions on philanthropic contributions to universities: 150 per cent of individual and corporate contributions are tax deductible.

A third strategy for public universities is the pursuit of income-generating activities such as vocational course,s contract research for industry and consultancy services. Some of the projects could have the added advantage of being used as practical teaching and training facilities for

students. The government can encourage this, and particularly can avoid the **disincentive** of reducing government budget allocations to public universities to offset incremental resources raised by the institutions from outside sources.

6.5   Monitoring and Evaluation

Little or no systematic evaluation is undertaken within the Kenyan public universities. Monitoring operational plans is essentially a control activity based on the achievement of targets expressed in resource or output terms to provide an early warning system about deviations in expected performance. It can largely be accomplished in quantitative terms, and as such is an important element in the evaluation of activity. Evaluation is concerned with assessing the impact or quality of performance and relies on a range of indicators or guides to support the human judgements that have, in the last analysis, to be made about progress towards objectives. The process is a pivotal one in the planning cycle because it links past performance with the setting of objectives for the future. It may well involve revising the basic philosophy of the plan (or parts of it) and a reappraisal of the indicators by which it is assessed.

It is not, of course possible to undertake a major review of every aspect of activity every year, as this would be too time consuming. It is recommended that the universities adopt a mixed scanning approach, whereby one or two areas will be highlighted for attention in a particular year although the regular use of performance indicators can serve to identify specific

problems which may be emerging. Peer review mechanism (e.g. the existing external examiner system, or a more formal review body containing "experts" from outside the institution) may be usefully applied in this context. The authority of external opinion may command acceptance by the institution and the outcome may be a restructuring of departments or a re-focusing of activity so as to concentrate resources on a particular area. Thus, while much can be done "domestically" to examine critically institutional progress, outside opinion can lend weight to the argument that "something must be done".

6.6 Proposed Planning and Resource Allocation Model

Figure 2 shows the proposed Planning and Resource Allocation Model.

Strategic academic and financial planning is formulated and co-ordinated by a Joint Committee on University Development (JCUD). This is a joint committee of Council and Senate. The members are the Vice-Chancellor (Chairman), the Deputy Vice-Chancellors, Senate and Council representatives. The Joint Committee is responsible for detailed control and allocation of resources to both the academic and academic-related sectors of the University.

In order to enable JCUD to concentrate on matters of policy, much of the detailed work is undertaken by the Academic Planning Sub-Committee (APSC) (for the academic sector) and the Academic-Related Planning Sub-Committee (ARPSC) (for that area of University activity). The Academic sector of the University is divided into various Resource Centres e.g. Arts, Education, Science, Law etc. Reporting to the JCUD is the Research Committee. This advises JCUD on research activity, on graduate education and on funding for

research. The overall structure should provide a strong, credible and acceptable means of determining and controlling academic and financial priorities. Through the process of devolution much financial authority and decisions over priorities have been passed down to the Resource Centres.

The ARPSC also reports to JCUD on matters of resource in that sector of University activity. These include the university Library, the Central Administrative Departments (including the Vice-Chancellor's Department, Estates and Services, Finance and the Registrar's Departments, and staff and students facilities.

JCUD provides resource centres with annual budgets within which to operate. These take account of cross-subsidisation between centres as a result of policy decisions and of assumed staff losses and essential replacements. The basis of the budget is determined by JCUD and the Resource Centre in the light of agreed academic plans. This permits the devolution of responsibility and provides a basis for financial monitoring and control.

The Planning and Resource Allocation procedures are closely monitored by the staff in the University Planning Unit to ensure that the planning figures do not deviate from actual out-turn.
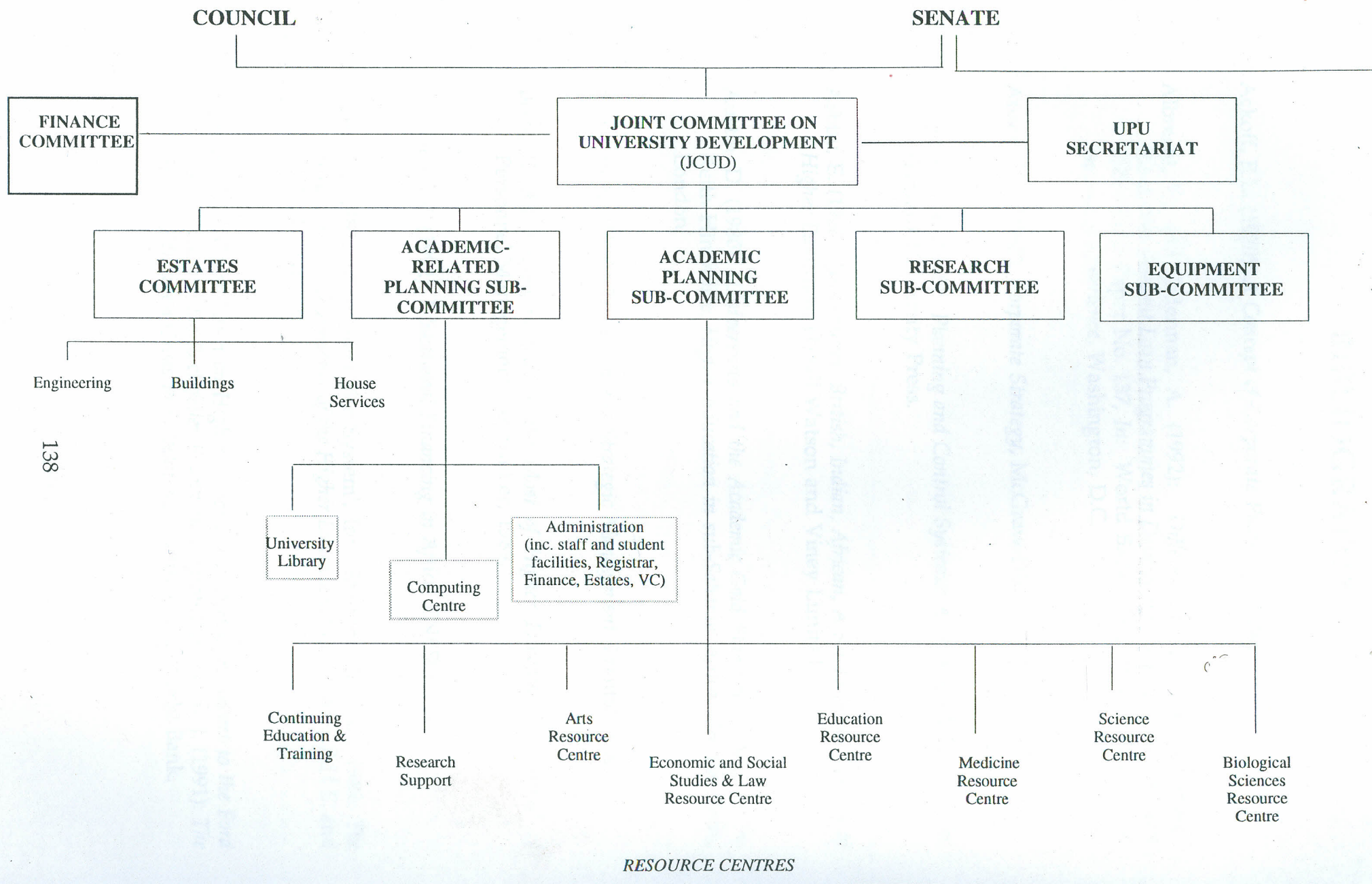

6.7   Institutional Machinery for University Planning

The University Planning Unit (UPU) faces serious organisational problems. In the opinion of some observers weak organisational machinery is of greater concern than methodological problems. The UPU Office is supposed to be responsible for co-ordinating the various planning activities of the Resource Centres but itself lacks the authority to implement programmes. Furthermore, since the Unit is usually composed of low-level calibre staff it

frequently lacks the necessary skills to advise on implementation. It is therefore necessary to identify the central planning authority with the competence and strength to undertake the co-ordination of the planning function. In the proposed structure (Figure 2) the UPU is elevated to a major department responsible to the Joint Committee on University Development. Headed by a Deputy Registrar (Planning) its major functions should include:

- co-ordination of all planning activities;
- collection, analysis and storage of data;
- monitoring and performance evaluation.

Figure 2. Proposed Planning and Resources Committee Structure

COUNCIL

SENATE

FINANCE COMMITTEE

JOINT COMMITTEE ON UNIVERSITY DEVELOPMENT (JCUD)

UPU SECRETARIAT

ESTATES COMMITTEE

ACADEMIC-RELATED PLANNING SUB-COMMITTEE

ACADEMIC PLANNING SUB-COMMITTEE

RESEARCH SUB-COMMITTEE

EQUIPMENT SUB-COMMITTEE

Engineering

Buildings

House Services

University Library

Computing Centre

Administration (inc. staff and student facilities, Registrar, Finance, Estates, VC)

Continuing Education & Training

Research Support

Arts Resource Centre

Economic and Social Studies & Law Resource Centre

Education Resource Centre

Medicine Resource Centre

Science Resource Centre

Biological Sciences Resource Centre

RESOURCE CENTRES

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