

**STATE-HIGHER EDUCATION RELATIONSHIP DYNAMICS  
IN GHANA IN HISTORICAL AND CONTEMPORARY  
PERSPECTIVES**

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## **ABSTRACT**

This thesis explores the vicissitudes of state-higher education relationship with emphasis on the manner that the former has influenced the behaviour of the latter relative to the Ghanaian milieu from the provenance of higher education to current times. Theoretical and analytical constructs based on conceptual literature by non- African writers as well as a review of related literature penned by African writers, fairly balanced as they are; serve as rostrums on which findings are weighed. A blend of qualitative research methods –thematic interview, documentary analysis and open-ended questionnaire- serves as the valve in the quest for patterns of governance of system actors and structures relative to institutions of higher education in Ghana.

The findings subjected to critical analyses, reveal regarding the state, system agencies and institutions of higher education, inconsistencies in practice; institutional inertia; virtual power struggles; superficial if not nominal commitment in large terms to policy reform objectives and differing conceptions of the role higher education should play albeit successes chalked after the Tertiary Education Reforms in 1991. Suggestions are made in making the *raison d'être* of the higher education system in Ghana meaningful.

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Sincerely,

Fred Boateng.

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## **DEDICATION**

This work is dedicated to my father (deceased) from whom I draw my academic inspirations and aspirations in life.

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## **LIST OF ACRONYMS AND ABBREVIATIONS**

AAU	African Association of Universities
AFRC	Armed Forces Revolutionary Council
COPP	Conference of Polytechnics and Principals
CPP	Convention Peoples Party
CVC	Committee of Vice Chancellors
CVCP	Committee of Vice Chancellors and Principals
ERP	Economic Reform Programme
ES	Evaluative State
GET Fund	Ghana Education Trust Fund
GIL	Ghana Institute of Languages
GIJ	Ghana Institute of Journalism
HE	Higher Education
HED of MOE	Higher Education Division of the Ministry of Education
HEI	Higher Education Institution
HEQC	Higher Education Qualification Committee
IFI	International Financial Institution
IMF	International Monetary Fund
IPS	Institute of Professional Studies
LI	Legislative Instrument
KNUST	Kwame Nkrumah University of Science & Technology
MOC	Models of Coordination
MOFEP	Ministry of Finance & Economic Planning
MOE	Ministry of Education
MOEC	Ministry of Education & Culture
NAB	National Accreditation Board

NABPTEX	National Board for Professional & Technician Examinations
NAFTI	National Films & Television Institute
NCHE	National Council for Higher Education
NCHER	National Council for Higher Education & Research
NDC	National Democratic Congress
NLC	National Liberation Council
NRC	National Redemption Council
NPP	New Patriotic Party
NTCE	National Council for Tertiary Education
ODA	Official Development Assistance
OECD	Organisation of Economic Co-operation & Development
OPEC	Organisation of the Petroleum Exporting Countries
PNDC	Provisional National Defence Council
PNP	Peoples National Party
PP	Progress Party
QA	Quality Assurance
RAE	Research Assessment Exercise
SAP	Structural Adjustment Programme
SMC	Supreme Military Council
TE	Tertiary Education
TED of MOE	Tertiary Education Division of the Ministry of Education
TEI	Tertiary Education Institution
TER	Tertiary Education Reform
UCC	University of Cape Coast
UCGC	University College of the Gold Coast
UDS	University of Development Studies

UEW	University of Education, Winneba
UG	University of Ghana
UGC	University Grants Commission
UK	United Kingdom
UNESCO	United Nations Educational, Scientific and Cultural Organisation
URC	University Rationalization Committee
US	United States
UST	University of Science & Technology
WB	World Bank

# CHAPTER 1: INTRODUCTION

*"In much of society, research means to investigate something you do not know or understand"...Neil Armstrong*

Every research undertaking commences with a sphere of interest within a given field. This research undertaking will thus be in line with the above. Foremost, interest of the writer lies within the realm of *Governance* but since it entails segments like regulatory, funding and administrative frameworks within levels of higher education, it is imperative that it is narrowed down. System Level Governance is settled on with respect to public higher educational institutions in Ghana, specifically on how the state or national governance structures of higher education have influenced the behaviour of higher educational institutions especially the public ones in a historical and contemporary milieu. The interest level in aggregate engrosses *System Level Governance* with elements of *Power* and *Politics* with regards to the *State- Higher Education Relationship* in Ghana.

## 1.1 Research Problem

The role of the state in steering higher educational institutions worldwide generally has changed in recent times albeit subject to national variations. In the past, the pre 1980's to be precise, governments generally used to play monolithic, monopolistic and hegemonic roles over higher educational institutions. The latter, subsumed under the former's goal objectives were obliged to yield to the former's expectations as they were at their behest. In current times, the rationality of governments to solely govern these institutions has been questioned. Government generally have rolled back their traditional steering roles to give room for the institutions and other stakeholders to take part in the governance processes, hence the cliché, *less government, more governance*. The state's steering roles- regulatory and the power of its purse- no matter how reduced it is, is very indispensable.

Within the Ghanaian context, the post-independent era before 1991 was characterised by governments which used legislative instrument(s) of higher education subsumed under broad educational acts to steer higher educational institutions in different styles subject to varying governments after independence. 1991 was the watershed in Ghana higher education system

when the regime at the time came out with a White Paper on Tertiary Education Reforms based on University Rationalisation Committee Report in 1988. (Manuh et al. 2007) It was an important point of departure from the general application of inclusive laws on education to these institutions to a specific and explicit one. The reforms arouse one's curiosity to find out how specifically the state and system agencies acted in the period before and after the reform era relative to the HE sector..

The research questions thus are:

*How did the Ghanaian state or national governance structures steer higher educational institutions prior to the Tertiary Education Reform in Ghana?*

*How has system governance of higher education in Ghana changed after the Tertiary Education Reform?*

## **1.2 Purpose of the Study**

The purpose of the study which are subtly interrelated are foremost, to explore patterns or trends of state governance of public HEIs in Ghana in a historical or contemporary setting; find historical vicissitudes if any concerning the aforementioned point; the purpose of the study is in consonance with the hackneyed definition of history in academic study- not merely the study of the past but the product of our attempts to understand the past. (pre and post-1991 periods)

## **1.3 Significance of the Study**

Any endeavour in research is worthless if it has no bearing or relevance to the society or scientific community. We cannot talk about it and see its importance if it is not going to ameliorate an existing state of affairs (policy or any other phenomenon) in society and/ or scientific community. In this view, it is thus apt to spell out the aim and motivation of the research work. The significance of the study is that it would:

-serve as a catalyst for good governance of higher educational institutions in Ghana

- .stimulate ongoing academic debates about state actions with regards to higher education institutions
- infuse fresh perspectives in policy-making, practice and research
- supplement the scanty literature on the topic
- project system steering as a vital complement to the burgeoning institutional governance of HEIs

#### **1.4 Delimitation of Study**

The research is confined to the system level of higher education in Ghana. Thus all the various system governance structures of higher education (HE) in Ghana from their emergence in the pre-colonial era to current times are made units of analysis in the work. Nonetheless, by virtue of the fact that these structures are not vacuous but operate on and relate with higher education institutions, the reactions of governing actors of the latter are incorporated in the work to get a comprehensive sense of the dynamics of system governance of HE in Ghana.

It is believed that the findings would be of immense source of benefits not only for the system level of HE in Ghana but the institutional and unit level as well.

#### **1.5 Usage of Selected Terms**

It is appropriate to indicate that certain terms which may appear synonymous in the work but are actually distinctive are used interchangeably. The terms *state* and *government* have nuanced meanings but in the work they refer to the same entity. In a likewise manner, higher education institutions (HEIs) and tertiary education institutions (TEIs) have similar meanings except that in Ghana, the latter term was used and is still used to describe all postsecondary institutions of HE after the reform unlike before, when the former was used to describe universities –which were the only institutions then.

## **1.6 Organisation of Study**

The research study comprises of seven chapters. Chapter 1 is a precursor to subsequent chapters. It introduces one to the work by giving a gist of what it is all about. Chapter 2 gives information about the context of the study –Ghana and its aspects of life including its HE system. Chapters 3 and 4 amply discuss the theoretical and analytical constructs and literature review respectively. These two chapters in the way they are presented in the work illustrate a fair balance of African literatures on one hand and Anglo-American literatures on the other hand. The latter are relied on in the devising of the theoretical constructs from which insightful reflections are made and the former for empirical data on the setting, Ghana and for that matter, Africa. The methodology for the research work is described in Chapter 5. Specifically, the choice of research methods, issues of their credibility, reliability, ethics and validity are touched on as well. Chapter 6 analyses, interprets and discusses the collected data via themes from which trends of governmental steering and the blueprints of HE and the system actors of HE in Ghana are assessed. This chapter becomes the rostrum for the concluding chapter which retrospectively describes the preceding chapters in a succinct way and proceeds to summarising findings of the research, give recommendations for amelioration of existing state of affairs and suggestions for future research.

## CHAPTER 2: CONTEXT OF STUDY

*“Whiles the rest of the world has been improving technology, Ghana has been improving the quality of man’s humanity to man”...Maya Angelou*

### 2.1 Introduction

Many studies and/ or reports are set in both in time and place contexts. The importance of settings or contexts of works and reports are not in doubt by virtue of the fact that they put the latter in appropriate perspective, thereby actively engaging readers to enhance their understanding and interest in the latter. Be it historical or contemporary, about Africa or Asia, about Ethiopia or Brazil, time and place contexts are pivotal in the written or oral works. It is thus apt that the context of the study is situated. It is set in Ghana both in historical and contemporary contexts. As said earlier in the preceding chapter<sup>1</sup> the focus or the subject matter of the study is System Governance in Ghana’s Higher Education. Nonetheless, the nation Ghana must be made known in order to comprehend the arena on which the research study is based.

### 2.2 GHANA

The name *Ghana* means Warrior King<sup>2</sup>. Colonised by the United Kingdom over a century, Ghana, formerly known as the Gold Coast was the first sub- Saharan country to attain independence on March 6 1957 and on July 1 1960, it became a Republic. General aspects of Ghana would be described as well as those directly connected with its higher education system. They are the geography, demographics and culture; history of political governance system; economy; educational system; higher education system.

#### 2.2.1 Geography, Culture and Demographics

Ghana is situated in West Africa and is bordered by francophone countries- Burkina Faso to the north, la Cote d’Ivoire to the west, Togo to the east- and a huge gulf, the Gulf of Guinea, which is part of the Atlantic Ocean to the south. The West African nation is about the size of

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<sup>1</sup> See chp.1 pg

<sup>2</sup> Jackson, John G. *Introduction to African Civilizations*, 2001. Page 201



its colonial master, the United Kingdom or slightly smaller the state of Oregon<sup>3</sup> in the US. The Greenwich Meridian traverses the country at Tema.<sup>4</sup> Ghana is a tropical country seated in the equatorial regions of the world. It is endowed with a lot of mountains, rivers, semi-deciduous forests, the Atlantic Ocean, lakes as well as agricultural and mineral resources.

It is an ethnically heterogeneous society with Akan 49.3%, Mole- Dagbon 15.2%, Ewe 11.7%, Ga- Dangme 7.3% Guan 4% Gurma 3.6%, Gurunsi 2.6%, Mande- Busanga 1% and other tribes 3.2%, according to the 2000 census. In terms of religion, the preponderant religion is Christianity with Islam being a significant minority religion and the animist indigenous religions. Ghanaian culture is replete with numerous festivals celebrated by the aforementioned tribes, and is symbolised by the conventional acceptance of the Ghanaian hospitality. There is a proliferation of local languages about 46 spoken in Ghana albeit English is the official language used in schools as a medium of instruction and in the official and administrative realm. According to the Ghana Statistical Service, the mid-year population estimate for 2009 was about 23 million (precisely 23,416,518). According to UNICEF (2007), life expectancy at birth of Ghanaians in years is 60. Administratively, Ghana is divided into ten regions and subdivided into 138 districts.

### ***2.2.2 History of Political Governance System- A Tortuous History of Governments***

After handing over the reins of government and administration to the first indigenous government the Convention Peoples Party (CPP) and his tenure of office was over, Charles Noble Arden- Clarke, the first Governor-General had this to say:

*...are you not going too fast along the road of independence? ... My time is up and I must stop. In March this year, Ghana achieved independence. To revert to the question of whether we went too fast, the "Now, now, now" of the CPP lasted for some seven years before self- government was achieved, and achieved with good will on both sides. I do not know whether it would have been possible to slow things down and still retain that good will, and if that good will had been lost, I wonder whether Ghana would still be a member of the Commonwealth? This is as far as I will go in answering my own question.*

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<sup>3</sup> CIA Factbook 2009

<sup>4</sup> The main industrial and port city in Ghana

Arden Clarke's statement above illustrates the urge for Ghanaians led by the CPP to self-determine their destinies from the British colonial authorities. The CPP, a socialist party led by Nkrumah<sup>5</sup> with its motto of "Self Government Now" garnered independence for Ghana and ruled till 24 February 1966 when it was toppled by a military cum police junta, the National Liberation Council (NLC) which ruled and organised a transition that paved the way for a civilian government of the Progress Party (PP) to usher in the Second Republic after winning the 1969 elections. The PP, a liberally oriented government ruled ephemerally for 23 months but was ousted by another military regime, the National Redemption Council (NRC) on 13 January 1972, which later transformed into Supreme Military Council (SMC). On 5 July, 1978 a palace coup was organised by senior ranks within the SMC government- a change in the leadership under the same government. On 4 June 1979, a mutiny by junior officers of the Ghana Armed Forces formed the Armed Forces Revolution Council (AFRC) after overthrowing the SMC II government. After 112 days in office, the AFRC organised a transition to which the Peoples National Party (PNP) won an election and was sworn into office in September 1979. The Third Republic led by PNP was ephemerally in power and was toppled by the Provisional National Defence Council (PNDC) on 31 December 1981 which ruled for eleven years, organised a transition and handed over paradoxically to a civilian government, the National Democratic Congress (NDC) -the common denominator between the PNDC and NDC was the their leader<sup>6</sup>. The civilian government completed its first term and won a second term by winning the 1996 elections. In 2000, in an unprecedented manner, a constitutionally elected government, NDC handed over to another party, the New Patriotic Party (NPP) when the latter won the 2000 elections. The NPP also became a two-term government after winning the 2004 elections. The NPP lost narrowly to the NDC in 2008 and assumed the reins of government from the former.

The history of governments in Ghana in brevity has been one hallmarked with inconsistencies, incoherence and polarization exemplified by military takeovers which truncated constitutional orders and became a great source of political instability.

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<sup>5</sup> Ghana's first Prime Minister and President

<sup>6</sup> Flt. Lt. and President J. J. Rawlings

### **2.2.3 Economy**

Ghana's economy, like most of the Less Developed Countries (LDCs) is agrarian with 70% of the population in the agricultural sector, which accounts for 51% of the Gross Domestic Product (GDP) and 54% of the labour force. The employment sector is made up of the public sector (59%), semi-public parastatal (2.9%), private formal (7.8%), private informal (80.4%) and others (3%). The unemployment rate is 11.2%.<sup>7</sup> The structure of the economy has not really changed from the one bequeathed to it at the independence era as it still depends on the primary sector of agriculture, mining and forestry for foreign exchange and employment. Cocoa was and still is the mainstay in the largely agricultural subsistence economy. Being the single largest contributor to agricultural GDP (45%), it is the second largest producer of cocoa in the world. In 2007, 35% of Ghana's GDP and 60% of total employment were in agriculture.<sup>8</sup> For the mining sector, Ghana is endowed with minerals such as gold, diamond, bauxite, manganese, as well as salt.

In 2007, offshore petroleum exploitation and exploration additional reserves identified significant oil finds. Oil thus has been discovered in commercial quantities however it is expected to flow and transacted in the latter part of 2010. In 2008, Ghana garnered its highest GDP growth of 7.3% but fell by the end of 2009 at 6.2 (Ghana Statistical Service 2010). The GDP per capita PPP<sup>9</sup> for 2008 was \$1500 and the GDP PPP was \$ 34.2 billion.<sup>10</sup> According to the Human Development Indices (2009 p 35), 27% of the population lie below the international poverty line of US\$1.25 a day, 78.5% live below the US\$2 a day and according to the World Bank, Ghana's per capita income has barely doubled in the last 45 years. The national currency is the Ghanaian Cedi which was redenominated in July 2007.

### **2.2.4 Educational System**

Structurally, Ghana's educational system is made up three levels- basic level, secondary level (now high school level) and tertiary level (which includes all post-secondary institutions). Historically, the educational system which Ghana inherited from the British colonisers operate on the 6+4+2+3 system- 6 years of basic or primary schooling, 4 years of middle

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<sup>7</sup> <http://www.statsghana.gov.gh/KeySocial.html>

<sup>8</sup> Centre for the Study of African Economics, Briefing Paper, CSAE

<sup>9</sup> Purchasing Power Parity

<sup>10</sup> CIA Factbook 2009

school, 2 years of sixth form education that could lead to a three year university programme. The educational reforms of 1987 changed the structure- six years of basic education, 3 years of junior secondary school (now junior high school), 3 years of senior secondary school (now senior high school) and usually 4 years of university education. In 2007, there was another educational reform whose recommendations slightly changed the structure -2 years of kindergarten education starting at age 4 and 4 years of senior high school system. In 2009, aspects of the 2007 educational reforms were reviewed. The senior high school system (which also includes Technical, Vocational, Agricultural and Training (TVET) schools) spans for 3 years now. The kindergarten or pre-school system takes children through the rudiments of education as they learn letters of the alphabets, numerals, rhymes and poetry and serves as a basis for primary school education which takes the children a little bit further to the application of the basics of what they are imparted with, in the pre-school level. After the sixth year of primary schooling, the pupil enters the junior high school which ideally is supposed to empower them with practical and vocational skills as well as general education. They write the Basic Education Certificate Examination (BECE) which covers 10 subjects and leads them to the senior high school, which in the past were analogous to the grammar schools of Britain. They choose a specialised field- Science or Business or General Arts or Technical programmes or Home Economics- and add core subjects – Mathematics, Integrated Science, Social Studies and English Language- and finally write the West African Secondary School Examinations (WASSCE). It is the WASSCE certificate that qualifies them (subject to the entrance requirements and demands of universities) to the university level.

Ghana's educational system is highly centralised. The Ministry of Education is the supreme body of the system. The overall goal of the ministry is to provide relevant and quality education for all Ghanaians especially the disadvantaged to enable them acquire skills which will make them functionally literate and productive to facilitate poverty alleviation and promote the rapid socio-economic growth of the country<sup>11</sup>. It has agencies which oversee the entire system. The Ghana Education Service (GES) is responsible for managing pre-tertiary level of education, the National Inspectorate Board which is not part of the GES but under the ministry is responsible for periodic inspection of basic and secondary schools to ensure quality education, the West African Examinations Council (WAEC) is a union of five Anglophone West African countries (Ghana, Nigeria, Sierra Leone, Gambia and Liberia)

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<sup>11</sup> <http://www.ghanaweb.com/GhanaHomePage/republish/ministry.profile.php?ID=39>

responsible for developing, administering and grading final examinations at senior secondary level. Hence WAEC administers the WASSCE examinations. The National Accreditation Board (NAB) and the National Council for Tertiary Education (NCTE) are the quality assurance and coordinating bodies or organisations respectively at the tertiary level. The National Board for Professional Technical Examinations (NABPTEX) assesses through examinations and award diplomas or certificates to technical and professional institutions.

The total adult literacy rate (percentage of people over 15 years who can read and write) from 2000 to 2007 was 65% and the primary school net enrolment/ attendance in the same period was 72% ,<sup>12</sup> the secondary school enrolment for male and female also in the same period was 47% and 43% respectively.<sup>13</sup> According to the UNESCO Institute of Statistics (2006) the net participation rate in Ghana's tertiary level school is 5%.

## **2.2.5 Higher Education System**

### **2.2.5.1 History**

Even though the very first higher education institution or university to be precise was established in 1948, the provenance of higher education predates the 1940s. In 1924, the foundation stone for Achimota School was laid by the colonial administration. The school started with full kindergarten and teacher training classes but at the outbreak of the Second World War, Achimota offered pre-university education, engineering and external degree courses of the University of London were established. In 1935, the first student obtained his degree.<sup>14</sup> Thus the secondary school offered higher education programmes even before institutions of higher learning were brought forth in Ghana (the then Gold Coast). The move towards institutionalising university education in the Gold Coast began with the establishment of two Commissions- the Asquith and Eliot Commissions by the colonial government. The former was tasked to investigate higher education and it recommended the setting of universities affiliated to the University of London<sup>15</sup> The latter was tasked to investigate the feasibility of higher education in British West Africa. In recommending to the British colonial authorities, the Eliot Commission produced two reports- the first, a majority

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<sup>12</sup> [http://www.unicef.org/infobycountry/ghana\\_statistics.html](http://www.unicef.org/infobycountry/ghana_statistics.html)

<sup>13</sup> [http://www.unicef.org/infobycountry/ghana\\_statistics.html#56](http://www.unicef.org/infobycountry/ghana_statistics.html#56)

<sup>14</sup> <http://www.achimota.edu.gh/history.htm>

<sup>15</sup> <http://www.ug.edu.gh/index1.php?linkid=243&sublinkid=72>

report which recommended the setting up of universities in the Gold Coast and Nigeria and a minority report which recommended the setting up of only one university in British West Africa specifically in the latter country. The colonial administration accepted the minority report. The people of the Gold Coast led by Dr. J.B. Danquah vehemently protested to the British government and clamoured for a university on their own land even if they were going to foot its establishment. The authorities heeded to the local pressures and in 1948, the University College of the Gold Coast was founded by Ordinance for the purpose of providing for and promoting university education, learning and research (Agbodeka 1998). The university college was initially sited on Achimota campus until some years later it relocated to the current location, Legon.<sup>16</sup>In 1961, by an Act of Parliament, the University College of the Gold Coast became autonomous from the University of London and was known as the University of Ghana.

Appreciating the importance and indispensability of science and technology to the socio-economic and national development, the CPP government set up the Kumasi College of Technology in 1952. A decade later, it was upgraded to university status and became known as University of Science and Technology (now Kwame Nkrumah University of Science and Technology) Based on the fact that the Ten Year Development Plan drawn in 1946 by the colonial administration, the Accelerated Development Plan of 1951 and subsequently, the Education Act of 1961 which made primary and middle school education free and compulsory provided for a wide expansion and improvement of primary, secondary and technical education and teacher training, all of which required a massive increase in the number of professional teachers, the University College of Cape Coast was established in 1962 an affiliated to the University of Ghana. (Effah 2003) In 1971, it became an autonomous university known as the University of Cape Coast. In 1992, the University of Development Studies and the University College of Education in Tamale and Winneba respectively were established.

The polytechnic sector in Ghana is relatively young. Polytechnics in Ghana were set up as technical institutes to respond to the industrial and technological policy of the 1960s by training manpower for national development. They were second cycle institutions under the supervision of the GES. They were upgraded to tertiary education institutions and thus integrated into the tertiary education sector with the ushering of the 1991 reforms in tertiary

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<sup>16</sup> A north-east suburb of Ghana's capital city, Accra

education. The earliest polytechnics (then technical institutes) were set up in Accra, Kumasi and Takoradi.

There are professional institutes in addition to the universities and polytechnics. The Institute of Professional Studies (IPS) which was established as a private institute to provide training in professional courses for persons desirous of taking the relevant examinations for professional institutes was subsumed under the government in 1978. Under the IPS Decree 1978 (SMCD200), provision was made for its management and operations under the public system (Effah et al. 2001). The Ghana Institute of Journalism (GIJ), the Ghana Institute of Languages (GIL) and the National Film and Television Institute (NAFTI) are also popular professional institutes in addition to the IPS.

#### ***2.2.5.2 Types of Tertiary Educational Institutions in Ghana***

One can infer from the preceding section that Ghana's higher education sector is a diversified and institutionally differentiated binary system. It has a university sector, made up of public universities, university colleges and a plethora of burgeoning private universities (religious-owned and offshore institutions); and the non-university sector comprising of regional polytechnics, professional institutes, seminaries, public and private teacher training and nursing training schools. The National Accreditation Board categorises the tertiary institutions in Ghana as 6 Public Universities, 7 State Owned Private Tertiary Institutions, 1 Public Agricultural College, 3 Chartered Private Institutions, 35 Degree Awarding Private Tertiary Institutions, 5 Private Distance Learning Institutions, 9 other Private Institutions, 2 Colleges of Education, 38 Colleges of Education (used to be Teacher Training Schools), 10 Polytechnics, 15 Public Nursing Training Colleges and 12 Private Nursing Training Colleges. (NAB 2009) That some of the polytechnics now offer degree awarding programmes may seem to be a gradual step towards de-binarising tertiary education or as Elzinga (2002) terms as "academic drift" but the system is virtually a binary one.

### ***2.2.5.3 Governance and Structure of Tertiary Education Institutions in Ghana***

At the system level (which is the focus of the study), the Tertiary Education Division of the Ministry of Education is responsible for tertiary education matters. The National Council for Tertiary Education, the buffer body between the ministry and tertiary education institutions like the defunct University Grants Commission (UGC) of the UK coordinates the sector -in terms of budgeting and finance, policy and information- into a unifying one. The National Accreditation Board (NAB) is the quality assurance body, thus it is responsible for ensuring that institutions and programmes are relevant to national development. The National Board for Professional and Technical Examinations (NABPTEX) assesses and/ or examines professional and technical schools and issues their students with certificates or diplomas.

The tertiary education institutions (TEIs) have a two-tier or bi-cameral system of governance. They have the Councils vested with overall responsibility for matters relating to finance, development, appointments and discipline. Thus they have law making functions, administrative functions and oversight functions. The membership of the Council is derived from the university bodies (faculty members, student union heads university workers union etc.), government industry and private sector. (Effah et al. 2001) The Senates or Academic Boards are responsible for academic matters and is made up of academic staff. Both Councils and Academic Boards or Senates serve as checks to each other. The titular head of the institutions is the Chancellor. Until the advent of the 1992 Constitution, the Chancellor of the public universities (which were the only TEIs then) was the Head of State. Chancellors take pre-eminent role in university matters and preside over matriculations, congregations and other functions of the universities. The Vice Chancellor or Principal is the administrative head and head of the institution. They chair the academic boards or senates and are subject to the guidance of the Council. The unit level in Ghanaian TEIs is the department. TEIs in Ghana operate on the departmental system at the unit level unlike the continental European chair holding systems. Heads of Departments, who lead the various units are elected for a fixed term and operate on a *primus inter pares* system. A group of heads of department in related disciplines form a faculty and their leader (which is one of them) is the dean.



#### ***2.2.5.4 Enrolment and Participation Rates***

As said earlier, the net participation rate of Ghana tertiary education system is 5% (UNESCO Institute of Statistics 2006) and a female ratio of 30%. (Japan's ODA 2004) There are more tertiary schools in the south than in the northern parts. Within a period of 13 years (1983-1996), total enrolments in universities and polytechnics increased by 102%. In the University of Ghana alone, student enrolments stood at 11637, about 30% of them were women. The enrolment for 2006/ 2007 academic year is compared to the 2007/ 2008 academic year. They are 121490 and 132604 respectively. (NCTE 2008)

#### ***2.2.5.5 Distance Education***

Ghana adopted a dual-mode approach in its higher education system which combines on-campus instruction to distance education. (Effah 2004) Distance Education (DE) as is known now is not a novelty. In the 1960s, when the Institute of Adult Education of the University of Ghana was established, it offered distance education programmes. It failed however because distance education was not a national strategy. (ibid) In the 1980s, various discussions about distance education started due to the inability of student- workers to upgrade themselves by virtue of financial and other practical constraints. In 1995, the National Council of Distance Education was set up to oversee the operation of distance education programmes in the universities. Currently, the University of Ghana, Kwame Nkrumah University of Science and Technology, the University of Cape Coast and the University of Education Winneba are the only universities running the distance education programmes. DE is considered as the key to the professionalization of the working class and a vital means of augmenting human resource development which is necessary for the growth of the national economy.

#### ***2.2.5.6 Profile of the National Council of Tertiary Education***

The National Council for Tertiary Education (NCTE) emanated from the PNDC Law 454 and was set up in 1993. Its predecessor the National Council for Higher Education (NCHE) was expunged in 1983. When the tertiary education reform came into being in 1991 after the issuing of the Government White Paper, the setting up of a buffer agency was strongly advocated. According to the Law 454, the NCTE plays an advisory role to government in

policy matters, has financial and budgetary roles, serves as an information and database about tertiary education in Ghana and plays a buffering role between government and TEIs in Ghana. The members of the organisation are drawn from government, TEIs and other external stakeholders of TEIs. The head of the organisation is the Executive Secretary and is aided by other technocrats who form the Secretariat. It is in discussions with the World Bank about strengthening the secretariat and the universities' management system. (Manuh et al. 2007)

#### ***2.2.5.7 Profile of the National Accreditation Board***

The National Accreditation Board (NAB), as said earlier was brought forth when the White Paper on Tertiary Education was issued. By the enactment of PNDC Law 317, 1993, The NAB was established. Among the many proposals made by the White Paper was the establishment of a Board of Accreditation to contribute to the “furtherance of better management of tertiary education” as the Quality Assurance body at the tertiary education level.<sup>17</sup> The functions of the NAB are to:

- accredit both public and private (tertiary) institutions with regard to the contents and standards of their programmes.
- determine in consultation with the appropriate institution or body, the programme and requirements for the proper operation of that institution and the maintenance of acceptable levels of academic or professional standards;
- determine the equivalences of diplomas, certificates and other qualifications awarded by institutions in Ghana or elsewhere.<sup>18</sup>

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<sup>17</sup> <http://nab.gov.gh/nabsite/>

<sup>18</sup> <http://nab.gov.gh/nabsite/pages/aboutus.php?catid=2>

## CHAPTER 3: THEORETICAL/ ANALYTICAL FRAMEWORK

*“Facts do not speak for themselves, they are read in the light of theory”...Stephen Jay Gould*

### 3.1 Introduction

In consonance with qualitative research, the development of a framework for the systematic explanation of a phenomenon or phenomena is imperative. This certainly includes the usage of theories as tools of analysis in the research work. A theory thus is the systematic explanation for observations that relate to a particular aspect of life. They explain observations by means of concepts. (Barbie 2007, p.43) Qualitative researchers either emphasise a preference for treating theory as something that emerges out of the collection and analysis of data or interested in the testing or application of theories in advance of data collection and analysis. (Bryman 2008, p.373) In this research work, the employment of theories as frameworks of analysis to serve as a guide for the collection of data and analysis to aid in interpretation of data would be adopted. Hence, the theoretical framework links the statement of problem, rationale for the study, research questions and choice of methods. Ultimately, findings would be discussed in terms of how they relate to the theories or line of enquiry that undergirds the study. (Pajares 2007) Having in mind system steering of higher education as my subject matter, the theoretical constructs of the Evaluative State, Models of Coordination would be employed as vessels of analysis in the research work.

The evaluative state theory is employed as an analytical tool as the way to inquire into and assess the evaluative roles of system level agencies (as to whether or not they have been strengthened and have been consequential to the purposes for which they were set up) of HE in Ghana such as the NAB and the NCTE and the institutions preceding them. Government-HE relationships are not effectively analysed without models of coordination. They do not relate in isolation. They exist in settings where all sorts of conditions influence their intercourse. There are several of them. In the research work, Clark’s triangle is chosen as one because it is the prototype of such models. It describes how universities are state directed, market governed and professionally steered; Olsen’s 4 steering models are adopted in the work because of the interaction of manifold stakeholders in HE -government, HEIs and its various constituent members and external entities to the HE sector like business, industry and so forth. The choice of this model is justified by the “opening up” of the HE sector in the 1980s and thus the “obsolescence” (albeit important) triangular continuum of coordination of

Clark on which it is based. The HE sector in Ghana underwent reforms as new steering arrangement partnered governmental steering efforts; the choice of governmental models of steering by van Vught is apt for the level of analysis of the research work -the system level- the dynamics of government actions to HE matters would be examined. van Vught's models are restricted to the state corner of Clark's and Olsen's models.

### **3.2 The Evaluative State**

The theory of the Evaluative State was first mooted by Guy Neave, a famous expert on higher education issues. Neave (1988, 1998) point out that evaluation (which derives from the concept) has long been a central feature of higher education. Universities evaluated students and governments have evaluated in various ways as part of the usual oversight they exercised on behalf of the general interest or the collectivity. Governments in Europe hitherto guaranteed the quality of teaching body, sometimes by direct nomination to senior academic posts and varied certainly by their distribution across national territory. It also exercised oversight in curricular domain either through the use of templates by broadly laying out guidelines for the content. Thus, the concept of the evaluative state is not new. Ever since governments assumed the role of creating financial, legal, regulatory and administrative framework governing higher educational institutions (HEIs), evaluation has been a tacit instrument of its responsibility. That is to say the latter had to achieve the targets of the framework of the former- assessing the financial efficiency of HE by the state. The idea that government did not indulge in the evaluation of HE in earlier days is an illusion. Evaluation, as it were, has always been an intrinsic part of policy making.

Neave (ibid) further assesses the historical context for the rise of the evaluative state two decades ago. Likening it metaphorically to the ecumenical councils in the history of Christianity, which delved into crisis of the church and came out with binding decisions that ensured the progress of the church at that time without necessarily pleasing God but have had long term effects on the religion, they were policies which were developed by governments on HEIs as an empirical short-term response to financial difficulties that have assumed long term strategic thrust. The rise of the evaluative state thus emanated from the relationship between government and HE. It arose both as a species of "crisis management" but also as a rather longer term outcome of a series of tensions embedded within the drive of Western

Europe towards mass higher education from that of elitism. It reflected an attempt to go beyond historic modes of evaluation, enforce more precise and more rapid response from institutions of higher education by devising a highly elaborate and more widely ranging instrumentality of judgement that existed earlier.

The definition of the concept is not single and is confusingly complex- there are many definitions not the least of which is ideological and subject to national variations. They cohabit, they exist and often they confuse. On one hand, the evaluative state is perceived as an alternative to regulation by bureaucratic fiat. By switching from evaluation to the output of HE systems, one may abandon detailed and close control over how individual institutions fulfil national policy. By shifting the emphasis to quality control at the output stage, a greater degree of institutional freedom is created. On the other hand, greater manoeuvre at the level of individual establishments does not necessarily entail any greater degree of decentralisation. (Neave cites examples from France, Sweden and Spain) Albeit all this, one may ask what the Evaluative State really entail in detail giving the clues that have been let out of the bag (quality control, output, and regulation)?

Neave (2004; 13) explains that before the advent of the concept, evaluation of higher education institutions existed in 2 features- “routine” evaluation which was governments’ traditional means of evaluating the institutions (see 1<sup>st</sup> paragraph of the preceding page); “strategic” or “exploratory” evaluation, which was the assessment of previous performance of a particular dimension of national policy with a view to carrying out major change in the light of what is found. It operated when there was crisis or “chaos” in the established order, hence, a “knee-jerk” or “fire-service” approach of evaluation, which was not preemptible. Both forms of evaluation rested on two fundamental features- first, the use of law to ensure that the use of resources was in consonance with legislation and second, *a priori* or input funding that is funding on the basis of inputs, determined largely by student numbers. The rise of the evaluative state is distinguished from the two evaluative models. It brought 2 radical shifts in the timing, process and location in terms of policy making and “policy adhesion” by blurring the distinction between the two evaluative models. So the first part of the evaluative state combines both the routine and strategic evaluations- legal instrumentality + *a priori* or input funding. The second part is *ex ante* or *a posteriori* funding which accompanied *a posteriori* evaluation, which sought to elicit how far goals had been met by ascertaining the extent to which overall targets had been reached through the evaluation of the product. (Neave 1988;

1998) The difference between *a priori* and *a posteriori* evaluation is that while in the former, results and objectives were linked (control of process), in the latter, results were subject to the degree of fulfilment of specified criteria (control of product)

The shift of focus in the Evaluative State illustrated above was prompted when issues of provision of access and equity (social justice) tended to be predominant when HEIs evolved from elite to mass structure of HE. It redefined the purpose of HEIs from individual demand characteristic of elite institutions to satisfying perceived market needs.

The impact and/ or consequence of the Evaluative State are discussed. It has become routine to regard the “State Control” as insensitive, inquisitorial, inefficient and a weak blanket upon the natural enterprise which individuals- and by extension, society- possess. “State Control” has been beset with bureaucratic heavy-handedness and globalization pressures. Also the discovery of the “market” has dampened the influence of state control but the idea that this has engendered flexibility and skills by binding university to the state in this “competitive” world is inadequate. (Neave 1998; 266) More so, the instrumentality of judgement required from HEIs which was brought forth by the rise of the Evaluative State (ES), if regularly applied, is dynamic and grounded upon a principle of contractualisation fundamentally different from the implicit ideas of contractualism which bound the State and university together in Europe for the best part of the 19<sup>th</sup> and 20<sup>th</sup> centuries. It is argued that the ES remains in the state of high uncertainty- remote steering, self regulation and a high degree of *a posteriori* control are not incompatible in the ES. The rationalisation and redistribution of these functions between administrative levels, agencies and bodies do not dampen further revision, but what form the revision will take depends on how governments assess the way the ES has fulfilled its task. (Neave 1998; 282)

Being an old concept before the 1980s, the rapid emergence of the ES in the 1980s is explained to be due to 2 factors- first, structural change affecting both economy and demographics and second, an equally significant drift in social ethic . The first factor was occasioned by the vocationalisation of HE as a narrow definition of met employment and training needs and general economic needs. The government used its ideological lever to favour courses which had relevance for national development. Also the massive demand for HE by students who hitherto would not qualify to enrol in HEIs is worth mentioning. The second one was occasioned by the fact that societies had social disparities which could get worse by market tendencies which placed premium on individual initiatives, choices and

enterprise. (Neave 1988) Worth noting also is the fact that the concept was not exclusive to higher education but transcended to the health and social security sectors. It has also been used to apply to current and recurring issues in higher education. Musselin (2004) describes evaluation in the light of new Managerialism. Henkel (2004) discusses impacts of evaluation and its links with Managerialism, Neave (2004) discusses the ES in the light of the Bologna Process; and so forth.

Although the ES has been discussed thoroughly in the European setting in historical and contemporary milieu, it is appropriately suited for the research study, since it is concerned with the “contractual” relationship between government and HE in Ghana.

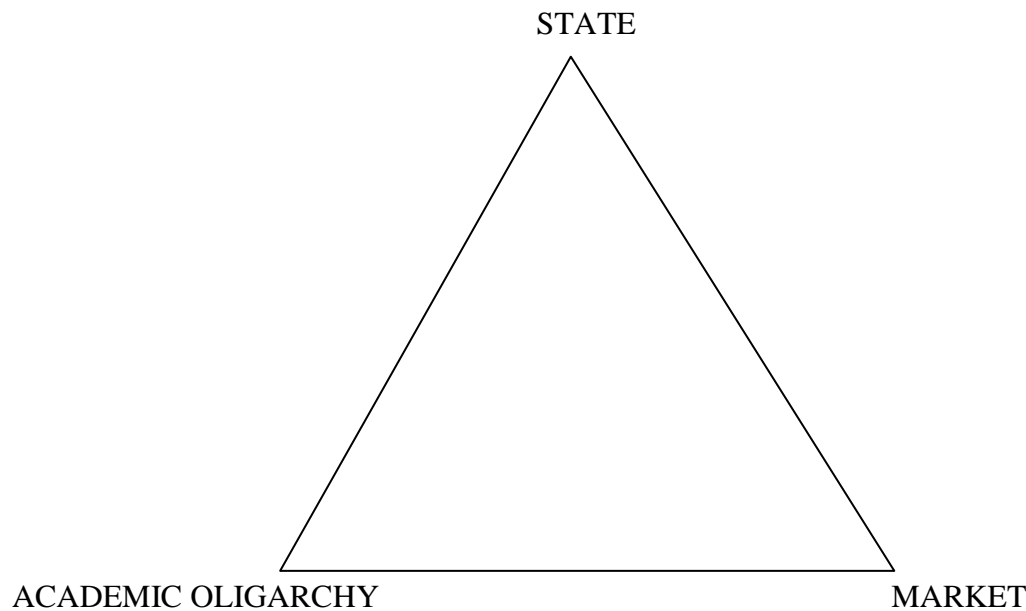
### **3.3 Models of Coordination**

In the realm of higher education, there have been several models of coordination used as analytical tools to explain government-higher education relationships. Some of these models are employed in the research study to serve as a basis for the analysis of data in subsequent chapters.

#### **3.3.1 Clark's Triangle**

Clark's (1983) three-dimensional continuum also known as Clark's triangle links the state authority, academic oligarchy and the market. He justifies the need for integration in HE, in the sense that “tasks proliferate, beliefs multiply and authority shifts in different directions.” (ibid) His triangular model is developed from an ideal two-end continuum- state administration and market within which various national systems of HE are placed and changed subject to different eras. The clout of academic professionals in HEIs, state departments and advisory and administrative councils broadens the continuum into a triangular coordinating model- state market and academic oligarchy. With each end of the triangle being an extremity, various national systems of HE are placed and they change subject to different eras. Some countries are closer to one or two ends than the other end(s). The defunct Soviet Union, Italy and the United States represent the extreme end of the state, academic oligarchy and market respectively.

Figure 1 Clark's Triangle of Coordination



Source: Clark (1983)

With regards to authority of the state, the apparatus of governments that is the ministries and agencies domineer in the coordination of HE. A distinction is made between political coordination and bureaucratic coordination. In the latter, bureaucratic officials of government ministries and agencies use their administrative powers to integrate the HE sector in 5 different forms, *layering*, which emphasises vertical linkages in complex systems; *personal enlargement* which adds more to the number of bureaucrats; *jurisdictional expansion*, which deals with horizontal expansions of state departments and ministries to augment public accountability; *administrative specialization*, which relies on administrative expertise; and *rule expansion*, which places premium in the increase of rules ensure coherence and consistency in actions at system level. With respect to political coordination, political actors and institutions like the legislature, judiciary, buffer bodies and pressure groups exhibit their interest in HE by using their influence through legislation and rulings and resolutions and so forth. Thus the state exerts its authority on HE using its bureaucratic and political powers of integration.



The usage of academic professional expertise is the legitimacy of the academic oligarchy. Academic professionals get appointed to state governing boards, councils and advisory boards. They sometimes head ministries and departments. Also faculty associations and collegial bodies become powerful when they strike alliance with bodies. UK universities historically known for their collegial traditions together with Italy exemplify this end of the triangle.

The market is a distinct segment unlike the ends discussed above because it is not structured characterized by unregulated exchanges linking people and parts. It is typified into 3 parts. First, the consumer market is a market where exchange is tuition. Government awards scholarships and vouchers to students to choose the institutions they prefer and is stifled by declining or zero budgeting by government. The second part, labour market deals with academic employees when there is academic mobility as intellectual resources and administrative human resources are traded to institutions. In the final part -the institutional market, HEIs compete with one another for prestige and reputation. The rankings of university are an example. All the 3 forms of market are implicitly or explicitly influenced by the powers of the state regardless of national system in different degrees. In communist and leftist countries, the state's shaping of market is high unlike in liberal and right nations where state's influence on markets are low based on the basic view that the market is an indispensable tool for achieving quality, efficient and effective HE systems provided they are not highly regulated.

Clark's model is criticised for being outmoded because there is a strong presence of new actors and/ or forces which influences the state, academic oligarchy and market. He of course came out with the triangular model in the early 1980s when the phenomenon such as globalisation of HE sector was scarcely felt, if not non-existent. Nonetheless, his model is a prototype and a guide to integration in HE as other models developed later built upon his model.

### ***3.3.2 Governmental Steering Models***

Restricting his typology to governmental level, van Vught (1989) distinguished between 2 modes of government strategies towards HEIs- state control and state supervision models.

In the former model, the rationality of government to steer HEIs is unquestionable. It is characterised by tight controls and mechanisms in order to achieve national objectives set by the government. The rationality of government to steer HEIs is put “under siege” in the latter model following years of inefficiencies, lack of quality and the trend towards massification. Government roll back (though not completely) to allow HEIs to regulate themselves to a large extent. It only intervenes when there is systemic failure. The power of the state is minimal but active and the autonomy of the institutions is enhanced. Monitoring and feedback are features of the state supervision model. (Gornitzka et al. 2004)

### ***3.3.3 Olsen’s Four Steering Models***

Writing in the period of change with respect to the relationship between state and HE in Western democracies, Olsen (1988) transcended Clark’s (1983) triangular model and van Vught’s (1989) state steering models to four steering models- the *sovereign, rationally-bounded state model*; the *institutional model*; the *corporate-pluralist model* and the *supermarket model*.

The sovereign rationally-bounded state model is synonymous to the state control and rational planning and control models. HE is directly subject to the whims of the state. The state of course utilises its power to exert accountability from HEIs. Assessment of HE is based on their political effectiveness defined by the state. Decision making is confined to the top that is the top-down approach by the state. It is set in government institutions like Parliament as well as the politically loyal civil service. All domain of government inference is in principle all conceivable domains and goals are decided by majority rule. The autonomy of organisation is based on the idea that government is overloaded and technical decisions can therefore be left to social institutions and organisations themselves. Change in HE follows changes in the political leadership either via elections or via changes in political coalitions.

In the institutional model, HEIs protect their traditions histories and heritage of upholding academic freedom to store and transmit knowledge. *Ivory-towerism* of HEIs (they are set apart from the rest of society) is the order of the day. Shifting political regimes and coalitions are aware of the “sanctity” and distinctiveness of the institutions. This model is analogous to the relationship between the state and old elitist universities. No state interference is seen in

this model. Universities are disseminators of cultural values and nation-building like the Humboldtian model of universities. The criteria for assessing HE are its effects on the structure of meanings and norms. HEIs are under the hegemony of academic professionals and institutional leaders who historically were organised in guilds. (Clark 1983) It is similar to the academic oligarchic end of the Clark's triangular model (ibid)

The corporate-pluralist model is antithetical to the sovereign state model which heralds the state as a unitary actor having domineering influence and control over HEIs. It rather evokes the proliferation of shades of interests represented by various stakeholders like student unions, staff unions, industry, trade unions and so forth. The Ministry of Education is one of the stakeholders of HE and together with other groups like the ones mentioned above are equally legitimate in the affairs of HEIs. The state's influence is minimal here than in the sovereign model. To this extent, it is like the state supervision model. It may also a consequence of the self regulation model. Autonomy is negotiated and change in HE depends on changes in power interests and alliances.

The supermarket model virtually diminishes the steering role of the state. The power of the state is less here than in the corporate-pluralist model. It is simply the market that rules. The market has no superstructure and is unregulated (Neave, van Vught 1994) and is due to individual efforts and enterprise to evoke quality, efficiency and effectiveness. The role of HEIs is to deliver services such as teaching. The role of the state is "bookkeeper of the great necessities", amongst other things, to make sure that market mechanisms in higher education run smoothly. It is marked by extreme decentralisation and devolution. HEIs act as markets for students, academic staff and ideas. This model is similar to the market end of Clark's (1983) three dimensional continuum, state supervision and a consequence of the self regulation model. The supermarket model is replete in most Western states and other non-Western states which adopted neo-liberal policies in their HE sector and public sector in general.

### 3.4 Reflections on Theoretical/ Analytical Framework

In casting of one's mind on the theoretical and analytical basis of the research work, it becomes an imperative to synthesise them. The synthesis or hotchpotch of the theories as envisaged would be a vital way of linking the research problem to the analysis and interpretation of data, thus keeping the writer in focus.

In the work, the interplay, intersection and dynamics of the models of coordination are related to the evaluative state. Indeed, the Evaluative State exemplifies the trajectory of state-HE relationship in the models of by virtue of the fact that it occurs when the state uses market instruments like performance indicators to measure outcomes and accountability to assess HE, making it effective and efficient and relevant albeit the fact that evaluation has been in prior existence. In other words, it is representative of the state-market axis of the triangle of coordination. The diagram below is a reinterpretation of Clark's (1983) tri-polar system and the other models and/ or theories. The models of coordination from the diagram are ubiquitous, impinging on the other theories.

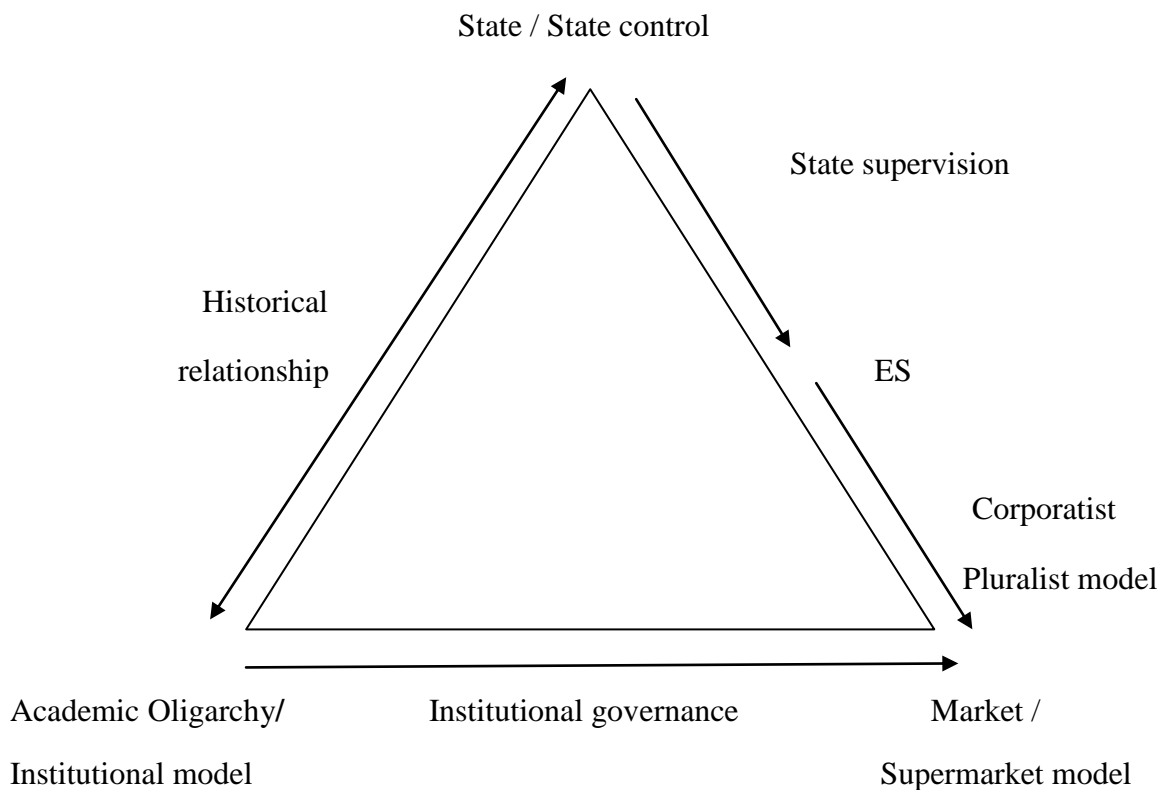


Figure 2 Diagrammatic Illustration of Synthesis of Theories and Analytical Tools

From the diagram, the ES closely entwined to the state supervision and corporatist models (although there may be nuances in their conceptions) illustrates the affinity of state to market instruments. This development generally sprang up in the 1980s and is still in vogue in contemporary times. The relationship between the state and the academic oligarchs or academic professional is reminiscent of the historical pact between them in Europe and UK in particular, where the sovereignty of the latter were acknowledged and respected by the former. Thus the blend of theories fit within the gamut of the research study.

The synthesis of theories reflected by the writer would be used to answer the following question similar and complementary to the research questions:

- What has been the dynamics of government's relations with HEIs and markets in Ghana's HE system?
- How evaluative has the evaluative state been in Ghana's HE?

## **CHAPTER 4: LITERATURE REVIEW**

*“For Africa to me...is more than a glamorous fact. It is a historical truth. No man can know where he is going unless he knows where he has been and exactly how he arrived at his present place”...Maya Angelou*

### **4.1 Introduction**

The indispensability of reviewing literature thoughtfully and insightfully in research works is not doubted. Marshall, Rossman (2006) argue that literature review serves four broad functions: “First, it demonstrates the underlying assumptions behind the general research questions...second, it demonstrates that the researcher is knowledgeable about related research and the scholarly traditions that surround and support the study. Third, it shows that the researcher has identified some gaps in previous research and that the proposed study would fill a demonstrated need. Finally, the review refines and redefines the research questions by embedding them in larger traditions of inquiry.” (Marshall, Rossman 2006; 43) The review of related literature in this work is modelled on periodic themes concerning the historical evolution of African HE. The writer is influenced by the hackneyed phrase, “stand on the shoulders of giants” as previous related works on the phenomenon under investigation are reviewed.

### **4.2 Evolution of African Higher Education/ University**

With respect to the historical development of African higher education or university, four epochs or eras come to mind. These eras are the pre-colonial era, the colonial era and immediate decolonized eras, the post colonial era to the 1980s and the era of crisis and reforms.

#### **4.2.1 Pre- Colonial Era**

Long before Western colonial hegemony, the African university as an assembly of scholars was in place in the third century AD when monasticism emerged as a phenomenon in Christianity with St. Anthony and other hermit monks. The dominance of Islam in the Africa, especially in the northern and western parts resulted in among other things, the establishment of Islamic universities, notably Karawiyyinn in Fez (Morocco) in 859 AD, Al-Azhar (Cairo) in 970 as well as others (Arab Information Service, 1966 Assie Lumumba 2006), the popular

university at Sankore in Timbuktu, Mali and the university education provided by the Ethiopian Orthodox Church as early as 304 AD (Saint 2004). By virtue of the fact that the university was then defined in terms of physical infrastructure with learning spaces analogous to European universities, African centres of higher learning before the advent of colonialism were relegated to oblivion. Taking the argument of the university as a physical structure with learning space, it is interesting to know that in ancient Egypt around 2000 B.C.E “per-ankh” (House of Life) located within the Egyptian temples had large campuses and buildings and thousands of employees. (Lulat 2005, p. 44) Against the background that many literatures including those written by African authors<sup>19</sup> trace the origin of modern higher education institutions with physical structures like campuses, faculties and so forth to the medieval and the Middle Ages era when European universities like the Bologna School of Jurisprudence, the Sorbonne University, Oxford and Cambridge Universities were established, it is apt that the pre-colonial origin of African universities determined even in terms of physical structures are brought to light. This kind of heritage predated the era of colonial hegemony albeit Altbach et al. (2003) mentioned that in West Africa, the traditional learning centres had been destroyed by colonialism.

#### ***4.2.2 The Colonial Era and Immediate Decolonized Eras***

By the end of 1885 after the Berlin Conference on the Partition of Africa, virtually all the nook and cranny of the African continent were under the gyve of European colonial hegemony. By the early 20<sup>th</sup> century, all forms of basic and secondary or high schools had been set up by the various colonial administrations and higher education was not on their drawing board. Even the pre-higher education systems were highly elitist except for the Belgian colonies which recorded relatively high pre-HE enrolment rates. (Assie Lumumba 2006) By 1945, a few higher education institutions had sprung up. Some of them were offshoots of high schools or teacher training colleges already set up. In British colonies they were set up by recommendations of commissions after the Second World War (Asquith, Phelp-Stokes and other commissions) triggered by heated local pressures (Mazrui 1992; Sherman 1990), in French colonies, locals had to access HE in France as part of the

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<sup>19</sup> Introduction in handbook “Governance of Tertiary Education Institutions in Ghana” Effah et al. (2001)

assimilation policy of France, (Assie 1982) in Portuguese Africa, no regard was given to HE until the mid-70s.

The mentality of the states which were the colonial powers at the time of the pre-independence period of African universities (and indeed they were when they were formed) was that the latter were “characterised by structural dependence, and submission to the academic models and specific institutions of the former. In contrast to the assumed and expected role of the post-colonial role of the pre-colonial university in Africa has as an institution with a social mission in economic development and nation building, the type of university that prevails in Africa between actualisation of its European medieval roots and colonial foundations and the African history and contemporary social structure.” (Assie Lumumba 2006; p.31) Ajayi et al. (1996 p.53, 67) similarly share the above position in the sense that the period from 1945 to 1960 popularly regarded to be a period of decolonisation was instead marked by a shift from colonialism to neo-colonialism. During the colonial era, Africans had been deprived of higher education but by the end of the Second World War, the colonial powers provided colonial universities to the former. Though the major impetus towards the reform was the reaffirmation of peoples’ right to self determination, the establishment of university colleges in Africa was sparked off not only by African demand but also by European settlers in Eastern and Southern Africa. These institutions thus became annexes of the metropolitan universities in their “parent” countries.

After independence, newly indigenous African governments grappled with the Euro-centric nature of university colleges. National governments emphasised the role of universities in facilitating the transition to independence to speed up socio-economic independence. (AAU 2004) Hoffman (2006) similarly states that “in the immediate afterglow of newly found independence, many countries in sub-Saharan Africa looked at higher education as one of the essential elements of economic and political revitalization and in the cornerstone of a new society”. Problems about unbridled challenges to access marked by elitism of enrolments of students ultimately to serve colonial bureaucratic institutions and the liberal and non-vocational nature of university curricula had to be tackled with vigour by the new governments. Legacies from the pre-independence era still shaped the structure and substance of African universities. (Saint 2004) In the British colonies for instance where the institutions were set up like the collegial metropolitan universities in Britain armed with institutional autonomy and academic freedom, there was bound to be a collision course



between the nationalist governments and the institutions. Ajayi et al. (1996) outlines the criticisms of colonial education by African leaders and governments as one that trained local elites (aforementioned) that succeeded the colonisers to exploit their own people, narrow nature of the curricula replete with liberal education (also aforementioned), the nature of the degree structure of the universities and the ivory tower or isolated nature of the universities separated from the wider community. They decoupled the link of these universities to the metropolitan universities and made the former fully fledged institutions.

Generally in Africa in the immediate post-independent era the new governments decided to take direct interest in HEIs in order to make them relevant to their local environments: “higher education became a protégé of the newly established state which adopted the state control model characterised by the latter as nearly if not fully the sole agent of subsidy of the former, full scholarships including travelling expenses, local transportation, health care, boarding, lodging and monthly stipends and living expenses to all students, who in theory, were “qualified” or those who had family or personal connections to attend universities. In most cases this was done within a broad sentiment of nationalism and was accompanied in some cases by if not a sense of unlimited resources, at least no limit to the efforts to be made for investment that were assumed to bring the highest possible returns to the struggle for socio-economic development.” (Assie Lumumba 2006 p.68) The paradigm shift from universities being vestiges of colonialism to institutions of African identity was going to be a very difficult task giving the orientation of the universities and other institutions set up and modelled by the colonial powers. In short, the gamut of this period covered the time the colonial forces put in place universities as installations of their keen interest in their dominance of Africa even after independence to the time that new African governments led by nationalists tried to delink the institutions from their colonial crutches.

#### ***4.2.3 Post Colonial Era to the 1980s***

Most universities were created in the 1960s. (Assie Lumumba 2006) Grappling with the universities and other HEIs with colonial ties, the governments decided to establish their own institutions markedly different from the older universities to be agents of national integration and institutions for manpower and the servicing and generation of national policies. They were set up on the US land grants philosophy- being relevant to local needs. They were set up

to fulfil the twin task of nation building and national development. Some of these universities were Ahmadu Bello University in Nigeria, University of Science and Technology in Ghana, University of Dares Salaam and Nairobi in Tanzania and Kenya respectively and so forth. (Akin Aina 1994) These universities were specialized institutions focusing a lot on professional and technological programmes and also they were described as multi-lateral corporations. (Mazrui 1978) They were also established to deal with access with respect to elitism characterised by the enrolment situation as at independence. In the nutshell, they were set up to become relevant to African needs. (Nyerere 1972)

Akin Aina (1994) describes this period of the African university as the era of “independence and development universities.” During this period however the growth of the African university was impaired by factors such as the emergence and domination of military dictatorships which openly disregarded the autonomy of the universities by interfering in appointments and admissions and occasionally used violent tactics to deal with them; the rise of student activism, that is students involved themselves in politics battling constitutional and unconstitutional governments and were major forces to reckon with in the African society. Their protests led to political instability and they played different roles in political power shifts. (Teferra et al. 2003) In Ghana for example, the students played a leading role in bringing the Acheampong/ Akuffo military regime to its demise. (Ocquaye 1979) Other factors that weakened African universities were economic decline catalysed by the OPEC Oil crisis and mismanagement by governments and institutions; and debt crisis as well as political instability and social upheavals that had plagued various parts of the continent. (Ajayi et al 1996; Altbach et al 2003)

In sum, this period was the time that African governments made further attempts to insulate and extricate colonial vestiges represented by the universities set up by the former colonial powers by setting up their own institutions relevant to their societies. These were geared toward carving a new African identity. However, no matter how beneficial these institutions were to their societies, they were bedevilled with overwhelming challenges in the 1970s.

#### ***4.2.4 Era of Crisis and Reforms***

By the tottering years of the 1970s, African HE was in dire straits. By far, contemporary African universities were a result of a complex mix of past experiences and influences, from their European colonial origins and their continued dependence on the ideas and practices higher education in Europe and North America in the post independence era to the ravaging effects of economic recession, structural adjustment programmes, wars, social upheavals, the debt crisis and the HIV/ AIDS pandemic in recent times. (AAU 2004 p.10; Akin Aina 1994) It looked like they had failed to achieve the purposes set for them- cultural identity and responsiveness to the African society. It was this period that the Africa was feeling the effects of its economy which was structurally the same as it was at the time of independence (raw material based economy) incorporated into the global capitalist markets. By the 1980s, there were shortfalls in the prices of the commodities that were replete in Africa. These conditions were exacerbated by the pressures of expansion and “massification” that added large numbers of students to African academic institutions and systems, changed fiscal climate induced by multilateral lending agencies and so forth. (Teferra et al. 2003) These state of affairs prompted the International Financial Institutions (IFIs) namely the World Bank and the IMF to “intrude” into African setting with policy panacea and strategies like the Structural Adjustment Programmes. In the 1980s and 1990s, various Structural Adjustment Programmes (SAPs) were introduced with the stated aim of resolving these economic and social crises. However SAPs also called for downsizing of the state and reductions in spending and the introduction of cost- recovery mechanisms in education (Sawyerr 2002). It is important to note that these reforms were packaged in the neo liberal framework which was in vogue from the 1980s. The justification of the IFI policy reforms is divergently opined. Two perspectives need to be juxtaposed here. The first perspective is that of the IFIs notably the World Bank. They advocated cost recovery mechanisms aimed at limiting public funding of HE, diversification of financing of HE, privatization and decentralization. (World Bank 1986 1988; Johnson 2002) It was believed that HE in Africa had been overly dependent on government funding and a compression of HE budgets interspersed with sourcing for extra funding sources outside government was imperative. (World Bank 1994) The second perspective is that the reforms of the IFIs were needless with respect to how they were conceived and implemented. Over the past 2 decades, their focus on HE has been inconsistent. Manuh et al. (2007) are of the view that “the old zero sum game between basic

and higher education persists at the same time as the government (of Ghana) is eager to reduce poverty and achieve higher human resource development. Basic education is increasingly pitched against supposedly ineffective and unnecessary higher education.” (Manuh et al. p.28) The international donor agencies used their financial clout to woo the developing nations to initiate on the premise that in Africa HE is a luxury. Their policies have been beneficial to themselves and not to the latter. (Utne-Brock 2003) The market driven policy reform of the World Bank and other international financial institutions redefined the state in that the predominant role was given to the market in relation to the state ignoring the fact that in the African context, there was not and there still is no local industrial dominance and powerful private sector with which the state has the responsibility for HE. Like Manuh et al., Utne-Brock explains that the policy of privileging expenditure on basic education at the expense of higher education reflected the policy positions of the World Bank and leading donor agencies as well as the argument that the social rate of return on investments in the former are higher than those in the latter. What corroborates the stance of the second perspective is that in the 1990s, the World Bank emphasised the important role of HE in socio-economic development in Africa (Taskforce 2000) - a big U-turn and departure from the status quo of the 1980s, when “rate of return” argument debasing HE was strongly pressed on African governments both as policy advice and as conditionalities for funding. (Sawyerr 2002)

The effects of the reforms to some extent are evident in the state of African HE in contemporary times because the reforms like every reform sought to correct the ailment of African HE. As a result of the propagation of the World Bank “gospel” of the 1980s coupled with the reality of limited resource allocation of government, Ethiopia’s spending on education and HE is 17% and 17.5% respectively of GDP, for Kenya and Uganda, it was 17.9% and 16% and 18.3% and 12% respectively (World Bank 2002; Mohamedbhai 2007). “The consequent contraction of resources to the universities, coupled with the increasing demand, constitute the most critical and greatest challenge facing African HE today” (Ajayi et al. 1996 p.145) There was and still is a mismatch between ebbing public financial resources and increasing enrolments and demand for HE. This has led to overcrowding in lecture halls, physical, managerial and intellectual dilapidation, (UNESCO BERDA 1992) brain drain of African academic professional and non-academic staff, massive slump in research and publishing outputs, (Teferra et al. 2003) and so forth. In terms of access, even

though the enrolment numbers in many African HEIs has doubled and tripled, Africa has the lowest enrolment rate in the world. (Mohamedbhai 2007; World Bank 2002; UNESCO 2008) The country with the highest enrolment ratio is Egypt with 22% for the ages between 18-22 years. The average participation rate in Africa is less than 5%. (UNESCO 2006)

African HEIs and governments beyond blaming their woes on foreign institutions and influence should put in place mechanisms to carve their own image, making the former really relevant and responsive to their needs. Governments can do that by increasing their bargaining rights with the IFIs whiles structurally transforming their economies and HEIs should define themselves to the challenges of the societies in which they are, whiles maintaining their institutional psyche.

All the various literatures on the evolution of African HE bring to the fore insights about its vicissitudes through various epochs- pre-colonial, colonial and immediate decolonized eras and post colonial era and crisis and reform era. They shed light on how far the HE sector in Africa has come and the arduous challenges it is grappling with. They also touch on the trajectory of government-HE relations in Africa. They are so general albeit useful on African HE. There are a few literatures that focus in detail on governmental actions on HE in Africa. The aim of the research work is to focus on system steering of HEIs in Ghana from independence to contemporary times. Governments are palpably one of the indispensable and pivotal brokers of the HE sector. Various African authors wrote about the Government-HE relations in their countries. Sawyerr (1994) wrote about Ghana using the two governmental steering approaches.<sup>20</sup> The writer intends focusing on the system level actions on HE in Ghana, transcending the usage of one theory and going beyond the time<sup>21</sup> Sawyerr left off. The African literatures are not underestimated though they are general in painting the picture of how HE has developed over the years in the continent of Africa. You get the sense of how the institutions and its external constituents, government and other external constituents of the institutions have managed their intercourse which of course have produced trade-offs, reprisals and consensus. The writer thus takes the level of intercourse with respect to (quasi-) governmental agencies in relation to the HEIs in the Ghanaian setting.

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<sup>20</sup> State Control and State Supervision Models

<sup>21</sup> Sawyerr focused his work from independence to the early 1990s

## CHAPTER 5: RESEARCH METHODOLOGY

*“If we knew what it was we were doing, it would not be called research, would it?”...Albert Einstein*

### 5.1 Research Strategy

Research is a very intensive undertaking or process. Metaphorically likened to a journey, there are a lot of perils and challenges in it. If the researcher takes precaution very seriously, they succeed in the end. It can however be an exciting process. It is common knowledge that there are two methods or approaches of research methodology- qualitative and quantitative. The status of the distinction between them is equivocal as researchers and writers simultaneously regard their strident divergence while others see them as having blurred distinction. (Bryman 2008 21) Whiles they seemingly complement each other, they per se conflict in terms of how they come out with an outcome and how they explain them. They also differ fundamentally in terms of principal orientation to the role of theory in relation to research, epistemological orientation and ontological orientation. (ibid 22) Whiles it is believed that in quantitative research the emphasis is on deductive orientation (testing of theories) and in qualitative research the focus is on the generation of theories from data, (inductive orientation) Silverman (1993) particularly has argued that in more recent times, qualitative researchers have become increasingly interested in the testing of theories and that is a reflection of growing maturity of the qualitative strategy. This hinges on the collection of further data to test theories or a particular theory.

The qualitative research approach was adopted for the research study because the aim of the writer is to explore over time since independence in Ghana trends and patterns of (quasi) governmental influence or steering to be precise in HE. Quite apart from the fact that qualitative research is well suited for exploratory studies, it is appropriate to use it to study human and/ or institutional behaviour, behavioural changes and variations of complex human/ institutional behaviour in context. Governments and HEIs are of course institutions made up of humans so their relationship incorporating their behaviour would be of utmost interest arousing one to employ qualitative research to satisfy one's curiosity. Through qualitative research one can understand the feeling, values and perceptions that underlie and influence the behaviour of the two parties. System level steering of HE in Ghana in historical and contemporary contexts would be inquired from and about national governance structures of HE in Ghana as units of analysis and explained using the theories and reviewed literature

in line with the research questions stated analogous to Silverman's argument above and to "the preference for an emphasis on the ways in which individuals interpret their social world" (Bryman 2008) It would be interesting researching about governmental and system actions, which have gone through vicissitudes on the HE sector. It was appropriate to rely on qualitative interview precisely a interview with the NCTE and subsequently supplemented with telephone interview on the same unit of analysis; a questionnaire was constructed and sent via fax to the NAB and finally, documentary analysis- of commissioned reports, organisational handbooks, other literature of higher education governance, some of them sourced on the internet -which was the main data collection method adopted. The use of several different research methods to test the same findings is sometimes called *triangulation*. (Babbie 2007 113) Of the various types of triangulation, the use of a variety of data sources in a study called *data triangulation* (Denzin 1987 cited in Patton 2004, p.247) is or was the type specifically employed for the study. It is worthy of mention that to restrict the collection and analysis of data to only system level of HE would make the work lopsided, isolated and insulated from the realities of HE. System level of course operates in relation to the institutional level (and the unit level as well) so it is apt that institutional reactions and/ or responses are covered though it would be borne in mind that they are not the main focus of the work.

In terms of time dimension, the scope of the research study makes it a quasi-longitudinal study because it is designed to permit observations (or examination) of a phenomenon or phenomena over a long period. (Babbie 2007, 102) The writer did not personally experience the time scope of the research covering over 5 decades that is from independence but would rely mainly on unobtrusive and non-reactive methods in the exploration of outcomes from the phenomenon under investigation. It is set in both contemporary and historical milieu in Ghana -from the birth of HE to current times.

## **5.2 Data Collection Methods**

As was said earlier, the adoption of a blend of methods under the qualitative research approach was focused on national governance structures of HE -the NCTE, NAB and the MOE- as the units of analysis as well as on institutional responses and/ or reactions from institutional leaders or governance structures such as Councils and Senates or Academic

Boards of public universities<sup>22</sup> relative to governmental steering in Ghana. Hence triangulation fits into the diversity of focus of the research work though emphasis is placed on system level. Very conscious of the reality of that the writing of the thesis and collection of data usually takes about four months for master programmes, (from January to early May) there was the need for prompt actions to be taken to ensure the thesis would be submitted on or in time. Data collection started in summer 2009, when the interim proposal was approved. One chose to undertake a field trip among others around that time of the year because one was sure one would gain access to one's sources at the units of analysis. The ideal times to collect data that is from December to January are "holiday" months because most officials embark on vacations or holidays and are usually absent around that time. The data collection methods employed were qualitative interview; documentary analysis, which was the main method chosen; and open-ended questionnaire.

### *5.2.1 Qualitative Interview*

Qualitative interview was initially planned for all the units of analysis. Babbie (2007, p.306) defines qualitative interview as an interaction between an interviewer and a respondent in which the former has a general plan of inquiry including the topics to be covered, but not a set of questions that must be asked with particular words and in a particular order. It is essentially a conversation in which the interviewer establishes a general direction for the conversation and pursues specific topics raised by the respondent. Based in Takoradi,<sup>23</sup> one had to relocate to Accra the capital city, which was a surmountable challenge for data collection. Though June and July are especially peak rainy months in Ghana, one managed to conduct an interview at the NCTE. Access was an arduous challenge and the Planning Officer who was the only top official available at the time was involved in an important project. He granted audience to me in spite of his busy schedule. An interview basically an open-ended one (to ensure flexibility being a not-so-formal conversation between the interviewer and respondent and also to allow the latter to give long answers to elicit more dimensions of the phenomenon under investigation and probing them further) was granted at the NCTE albeit the tight schedule of the Planning Officer. A list of questions covering some

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<sup>22</sup> They are chosen because they fit especially into the historical purview as well as the current purview of the research work. Private universities and the non- university sector in Ghana originated in the 1990s

<sup>23</sup> A port city and a twin capital of the Western Region of Ghana



topics was posed to the NCTE official and he had a great deal of leeway to answer them. The questions hovered on issues like the institutional world of the NCTE- its historical background and functions in detail, buffering relationships between it and government on one hand and between it and HEIs on the other hand and operational challenges. The questions on the interview guide were not strictly adhered to. New questions, follow-up questions and probes emanated from some of his answers. Questions were structured into main questions, follow-up questions and probes, geared towards eliciting from the respondent depth and detail that is providing solidity, clarity as well as adding layers of meaning, different angles of the subject and understanding. (Rubin, Rubin 1995) The interview although brief was very helpful. He really answered almost all the questions posed to him except that as was expected, there were reluctance and uneasiness on his part in answering some questions (such as divulging aspects of current annual reports of universities and questions of political nature). Overall, the interview was held in a friendly ambience and the conversation was not-so-formal as mentioned earlier. There were occasional humorous exchanges but the focus of the interview was not lost. After the interview, one sent him a copy of the transcribed interview for him to peruse through and if possible correct any “mischievous” content. He gave me documents as well as allowed me to phone him to ask him about any issue that needed to be clarified. This gave me an opportunity to scrutinise what had already been done and review them if necessary. Telephone interview as compared to face-to-face qualitative interview is less costly, useful for reaching hard to reach groups (access) and is more effective when it is used by the interviewer to ask sensitive questions. (Bryman 2008) Within the context of the study, it was a very useful way of supporting the interview. However the defects of the technique such as impossibility to observe the body language of the respondent so as to discern such things as comfort, confusion and excitement and so forth and the fact that the conversations are usually shorter than expected slightly impaired the data collection. Given that the telephone interview supported the interview, the defects were effectively minimised.

The Tertiary Education Division of the Ministry of Education was the next point of interview. One got access but had to be told to my astonishment to rely on the NCTE for all the information I needed for the study. I then had to rely on policy documents as a substitute for the interview intended for the ministry. Some of the questions meant for the ministry were

posed to the NCTE via telephone, some of which were answered, the others could not be responded to.

### ***5.2.2 Documentary Analysis***

By virtue of the fact that the interview was conducted only at the NCTE, there was a need to supplement and partner it with other qualitative research methods. The research method that was mainly utilised in the research study was documentary analysis. The inadequacy of the interview as a sole methodology for the study gave way for the analysis of documents. First, the NCTE official gave the writer his outfit's handbook and policy documents. Other documents such as one about an assessment of Tertiary Education Reforms commissioned by the World Bank, one about government- university relationship in Ghana, one about buffer organisations in British West Africa modelled along the erstwhile University Grants Commission (UGC) of the UK a book about governance of tertiary institutions in Ghana and speeches made by past Vice Chancellor's during congregations of universities reflecting the institutional responses to government steering of higher education in Ghana. The historical part of the research work covering system or governmental actions and institutional behaviours and patterns of state steering was inquired from the documents.

Bryman (2008, p.526) explains the use of documents as sources of data and does this by citing other authors on documentary sources and explains further that "it is clearly tempting to assume that documents reveal something about an underlying reality, so that the documents that an organisation generates...are viewed as representations of reality of that organisation...Rather than viewed as ways of gaining access, writers like Atkinson and Coffey (2004) argue that documents should be viewed as distinct level of reality in their own right" (Bryman 2008 p.526) Atkinson and Coffey argue further that documents should be examined in terms of on the one hand, the context in which they are produced and on the other hand, their implied readership, that is they are written to convey an impression favourable to the authors and those they represent. (ibid p.527) These statements raise issues about the manner in which documents to be used for research should be viewed. Whiles not prejudicing documents to be analysed, the above statements serve as guidelines in the analysis of documents for research. What makes documentary analysis an important method in the research study is that it links tacitly and explicitly reviewed literature in the previous

chapter and it is believed (by the writer) that literature and documents are replete with the themes that would be useful for the study. Indeed a few of the reviewed literature are data sources in the research study. The interconnectedness of documents is known as *inter-textuality*. (Atkinson, Coffey 2004 cited in Bryman 2008) Reliance on documents about institutional reactions to system steering was necessitated by the fact that the choice of summer 2009 as the time for the field trip was inconvenient for interviewing institutional leaders. TEIs break for the summer and finding leaders like Vice Chancellors, Chairpersons of Boards or Senates and Councils was an illusory. Also the issue of access was a factor since one has to go through uncertain bureaucratic procedures before being granted audience to them. This takes time and one cannot guarantee when to get them prompted the “luxury of an alternative.” The historical purview of the research work which was an important part of the work required one to search for documents about the history of HE with respect to government-university relationship in Ghana. Speeches in the form of texts made by past Vice Chancellors and a handbook on governance of TEIs in Ghana were helpful. Interestingly, the former were found on Springer (based in the Netherlands) website. It was not difficult finding documents on the internet but care had to be taken to check whether they were authentic and all the pages intact and whether they had been peer reviewed. One accessed these documents online through the usage of the Google search engine (using keywords like “Congregation Address by Vice Chancellors in Ghana” and so on), through personal purchase and by borrowing some of them from the university library.

### ***5.2.3 Open- Ended Questionnaire***

The inability to conduct an interview at and the scanty literature about the NAB necessitated the need to rely on another research method. Constrained by time and a new broadening of horizon, one resolved to construct an open-ended questionnaire and send it to the respondent by fax. In the research study, a questionnaire was constructed and faxed to the Executive Secretary of the NAB. Initially the NAB was not factored as a unit of analysis because the writer as at the time of collecting data for the work planned to write only about the buffer organisation of HE in Ghana, the NCTE. Upon return, the research proposal was broadened to cover all system level governance structures of HE in Ghana. The aim now with respect to the NAB was to inquire into the operations, standards and criteria of evaluations and accreditation

under quality assurance. The respondent allowed the writer to send follow-up set of questions based on the feedback for the previous questionnaire. The guidelines in questionnaire construction such as avoiding negative items, (being normative) avoiding biased items and terms and becoming clear, concise and precise in the questions being asked were born in mind. The fax system as a conduit of the questionnaire was innovative but risky (the respondent could ignore it or it could be misplaced) given the fact it was the last resort circumstantially. Though the website of the NAB was reliable, it was scanty relative to the focus of the research study as mentioned earlier. Having in mind that the fax system as way of sending the questionnaire is a relatively a new technological avenue for conducting research and coupled with the fact that its usage is quite unreliable in the developing world, I was sceptical as to whether I would get feedback from the NAB. I first had to contact the outfit and I was told to send a fax to them. This was done and surprisingly in a fortnight's time, I got a feedback from an official of the NAB who sent it to my electronic mail address. My questions were answered. I was entreated to send another list of questions as follow-up if I wanted to. I did so and again, I got a prompt response.

### **5.3 Issues about Ethics, Validity and Reliability**

#### **5.3.1 Ethics**

In the course of collecting data for research, one needed to be guided by the ethics that are associated with it. Ethical obligations of course bind every interviewer to come out with a very professional and accurate interview in consonance with the norms that govern interviewing. The writer was thus obliged to the respondent- not to be deceptive, not to be pretentious and misleading in identity, be polite and inform the respondent that the notes and/ or sound recordings (if made and used respectively) would be used for the research study. (Rubin, Rubin 1995) Care had be taken in the transcription of the interview data having in mind the sensitive nature of some of the questions (political questions) asked and position of the respondent. That did not however mean issues to be discussed were going to be compromised. With regards to documentary analysis, extracts and statements or texts chosen for data analysis were not to be misrepresented and misinterpreted. In the choice of text or extracts, one was not to be selective in order to not to achieve a preconceived position but strove to be holistic and expose any ambiguities and/ or discrepancies found. Also, the

appropriate citing of authors using the relevant punctuations, thus the avoidance of plagiarism was done well. For the open-ended questionnaire, it was imperative that the identity of the respondent was well protected even though the unit of analysis, the NAB was known. By identity, one meant the name and specific designation of the respondent. Like the ethical obligations for the interview, one ought not to misrepresent but be fair to the respondent.

### **5.3.2 Validity**

Validity is a term describing a measure that accurately reflects the concept it is intended to measure. (Barbie 2007 p.146) In other words, it is the degree to which a test measures what it is supposed to measure that is to confirm how plausible the data collected is. With respect to the research work, face validity had to be distinguished from content validity. That quality of an indicator that makes it seem a reasonable measure of some variable is face validity. (ibid) The interview of professional in the NCTE, reliance on documents written by and speeches made by experts on HE and academic leaders respectively as well as dependence on open-ended answers from the NAB professional made the criteria of measure valid “on its face.” Face validity being a superficial measurement, was not sufficient to rely on. Beyond it, a very important type of validity, content validity was adopted. It refers to the extent that a test measures the nuances of a concept. Although the research work was focused on system level governance of higher education, other levels of governance precisely institutional governance and stakeholder or external governance emanating from the data were covered. Thus system level actions are not in isolation, they are impinged institutionally and externally.

### **5.3.3 Reliability**

This is the quality of measurement method that suggests that the same data would have been collected each time in repeated observations or applications of the same phenomenon. (Barbie 2007) Hence, it denotes consistency of measurement. The definition of categories into themes from the various methods were not ambiguous but applicable to what they were supposed to describe. It is for this reason that only three themes were sifted out from the data collected. Governance of HE entails a whole lot of interrelated and interlinked themes, so making a few broad ones to curb ambiguities was done. Reading and rereading of documents thoroughly,

following up face to face interview with telephone interview and going through the open-ended answers from the questionnaire were ways of checking the reliability of data. Some questions were asked repeatedly and in other ways in all 3 methods too, thus triangulation is a means of achieving reliability of data.

#### **5.4 Data Analysis**

The next important step after the collection of data was to manage the data gathered from the blend of qualitative research methods for the analysis of data. The plan for the data analysis was to be based on thematic analysis. Themes (or sub-themes) created would be a product of a thorough reading and rereading of the transcripts and field notes and extracts from documents that make up the data. (Bryman 2008 p.554) With respect to the transcripts from the qualitative interview, one had to begin analysing by classifying, comparing, weighing and combining material from the interview to extract the meaning and implications of data collected.

Extracts from documents classified into the themes of documents selected for data analysis were similarly done. Most of the ideas of the data collection of this research work were tapped from documents. Themes were discussed from the answers given in response to the questionnaire sent via fax. The main challenge in the first section of next chapter on data analysis would be to cluster all the similar themes from the research methods and integrate them into bigger themes which will serve as a basis for data interpretation. Making sense out of the interview transcripts and notes, from books and articles as well as from the open-ended answers however was a surmountable challenge.

In choosing the themes, one ensured that there was an alignment between them and the research questions and analytical/ theoretical framework. This would foreshadow a focused analysis and interpretation of data. Reflecting on the phenomenon under investigation- system level governance or steering- and looking at the OECD's (2003) discussion of governance: "Governance comprises a complex web including the legislative framework, the characteristics of the institutions and how they relate to the system, how money is allocated to the institutions and how they are accountable for the way it is spent, as well as less formal structures and relationships which steer and influence behaviour." (OECD 2003 P.61), 3

broad themes -*System Governance of Universities, Funding and Budgetary Mechanisms and Quality Assurance* were chosen.

The next chapter discusses the themes gathered from the qualitative interview, documentary analysis and open-ended questionnaire in graphic detail.

## CHAPTER 6: DATA ANALYSIS, INTERPRETATION AND DISCUSSION

*“If you are out to describe the truth, leave elegance to the tailor”...Albert Einstein*

### 6.1 Data Analysis

The first section of this chapter is used to analyse and interpret the data gathered from the various research methods and crystallized into broad themes based on theoretical framework, literature review and research questions. It forms the basis for the next section that discusses and further interprets the analysed data. Thus interpretation is a common denominator of the data analysis and discussion sections in this chapter. By highlighting sifted statements or texts from data sources as basis for analysis, the writer aims to identify patterns, anomalies if any and demonstrate logic in this section to pave the way for the discussion of the data.

#### 6.1.1 System Governance of HEIs

That the governance of HEIs (more emphasis is placed on the three traditional universities<sup>24</sup> by government being traced to the colonial era where HE in the then Gold Coast originated and then to the independence era is appropriate in order to understand the dynamics of system governance of HE in Ghana. It is also important to note two conflicting issues as to the position the universities should hold in the Ghanaian society: the universities as autonomous arenas insulated and isolated from its external environment respected by the colonial administration and the need for universities to be catalysts for national development, thus being relevant to the society within which they are located -the institutional and instrumental views of the university respectively. (Olsen 2005) One documentary source quotes:

*Ghana inherited the English university tradition, with its formal limitations on the power of the state to interfere in the management and academic programs of universities...This has posed difficult problems for successive governments anxious to bend all national resources to the urgent task of national development. This alone would put universities autonomy under constant pressure...each college had an independent Council and a Principal answerable to it and full autonomy to determine academic matters...thus at independence in 1957, Ghana had 2 university*

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<sup>24</sup> UG,UST and UCC



*colleges<sup>25</sup> ...enjoyed the large measure of institutional autonomy and academic freedom characteristic of the traditional English universities. Neither the government in London nor the Local Administration had direct control over their academic programs. Indeed, one effect of the oversight of the University of London was to insulate the colleges even further from direct bureaucratic intervention*

Sawyer 1994, pp. 25, 26

Another source quotes, *The University College (it was not self-validating until 1961 after independence) made most excessive use of its autonomy in colonial times* (Eustace 1984, p.598) The 2 texts amplify the collegially governed universities characteristic of British universities which were self governed institutions. Government's quest to achieve national development which meant intrusion conflicted with the universities run on such governance system. Viewed against the background that the University College of the Gold Coast (UCGC) particularly was affiliated to the University of London, there was bound to be a collision course between it and the indigenous Ghanaian government, the CPP that took over from the colonial administration. The perception the government had about the university is highlighted below:

*It was said by the critics of this university that academic freedom was a luxury which Ghana in its bid for rapid development could ill afford. Academic freedom was held up to be a shibboleth behind which imperialist, colonialist and neo-colonialist agents and their stooges sheltered, and in the rapid march towards the new socialist paradise and African unity, there was no place for this outworn bourgeois concept*

Kwapong 1966 p.112

Academic freedom was seen by the government as vitiating the university to achieve its meaningful purpose of national development. The status of the university as an autonomous entity was seen to be a vestige of colonialism aimed at entrenching the hegemony of the former colonisers which to it was senseless to the Ghanaian setting. The statement reveals how the government situated the institution of the university within Marxist conception of a bourgeois institution. Attempts were thus made to strip the university college off its colonial apparel by an Act of Parliament by changing the governance system of the university in 1961:

*The University of Ghana Act 1961 (Act 79) and the university statutes enacted under it constitute the formal framework within which the University had operated for the past three decades. The Act established the University as a body corporate with power to award its own degrees and set out the main features of its internal structures. The Chancellor, the*

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<sup>25</sup> University College of the Gold Coast and the University College of Technology

*Chairman of the University Council and the Vice Chancellor were listed as the principal officers of the University. The President of the Republic was declared Chancellor and Head of the University, with power to appoint the Chairman of the University Council. The Vice Chancellor, whose appointment was to be made by the University Council and approved by the Chancellor, was, under the Council, the academic and administrative head of the University and its chief financial and disciplinary officer. The University Council, the governing body of the University had 16 members, the Principal Officers and two other persons ex officio; four appointed by the Chancellor; and 7 elected...*

Sawyerr 1994, pp 28, 29

Hence, there was an overhaul of the collegially governed institution into one strongly controlled by the government symbolised by the President to whom the institutional governance structures were amenable and one who had appointive and dismissive powers over the Councils and Boards. Also by courtesy of UG Act 1961 (Act 79) the UCGC was decoupled from its metropolitan parent, the University of London and became known as the University of Ghana (UG) From this one can infer that the quest for national development and African identity was duly on course. This was a marked departure from the preceding state of affairs of oligarchic rule of the academics and their councils approved and respected by government. The interference of government in the modus operandi of the university materialised with the former's removal of the Institute of Adult Education to another university<sup>26</sup> without substantial consultation with the latter, with which vehement opposition was exhibited, the deportation of 6 senior expatriate members and the detention of one Ghanaian member, making appointments to the membership of Departments (Kwapong 1966, Dodoo 1984) are worth mentioning. Indeed there was an imposition of a Soviet legally-made document to the UG's law faculty by the President (which sought to effect changes in the structure of the syllabi and curricula, the aim of which was to introduce indoctrination of Party education as was replete in Communist countries to the university. (Kwapong 1966 545) This assertion implicitly rebuts the statement: *Notwithstanding the severe pressure to which it subjected universities particularly the University of Ghana and despite its subordination, the CPP government never completely broke the fundamental autonomy of the university as an institution (Sawyerr 1994, p.31)*

To the extent that despite the direct intrusion of the government into university governance attempts were made to cushion the stormy relationship between the 2 entities -if nothing at all the setting up of a body in 1960 by the dirigiste government to advise it on the university

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<sup>26</sup> The University of Cape Coast

constitution and on resource allocation and on whose recommendation a coordinating body of universities, the National Council of Higher Education and Research (NCHER) was set up, (even though it had no statutory backing) -the above extract seems to be apt.

The UG's opposition to the CPP government because of the latter's interference of its institutional autonomy was manifested when it was toppled in 1966 -it applauded the coup unlike the University of Cape Coast (UCC) and the University of Science and Technology (UST) with their focus on science and technology and teacher training respectively necessary for training manpower and for socio-economic development making them more in line with the government's emphasis on accelerated development. Indeed, they were perceived as less political and did not experience any serious conflict with government authorities. It is in this vein that the removal of the Institute of Adult Education from the UG to the UCC as stated above appears to be understandable.

The demise of the first post independent government ushered in other regimes (up to 1981) which had liberal orientations. They acknowledged the collegial sovereignty of the universities. Governmental control and influence were loosened considerably. To this effect, the NCHER which was abolished after the coup (and its Secretariat was the HE Division of the MOE) because it had no influence on the universities because of the powerful President was resuscitated in 1969 NLC Decree 401, known as the NCHE and headed by a former Registrar of the UG who had been axed by the President a few years earlier. It however was for its first 3 years crippled by opposition by the decree by certain portions of the decree with regards to its membership. Until 1972 when it was formally inaugurated, it was run only by the Chairman under the Prime Minister who did not seek to control the universities directly. (Eustace 1984) Its membership was constituted by the Chairman, 3 persons with extensive experience of university work, the 3 Vice Chancellors, a representative each from the Council for Scientific and Industrial Research and Ghana Academy of Arts and Sciences, 2 representatives from industry and commerce, one person with experience in schools in Ghana, 4 distinguished citizens and 3 assessors from the ministries (ibid) Despite all these changes, it took some time for the government to wean the Council off from the reliance on civil servants by setting an autonomous Secretariat in 1974 and also it was not able to accept a 3-year planning and budgeting system by the NCHE. (NCHE 1975) Even under the era of government's rolling back, there were instances of interference and lopsidedness. In 1975, the government hurriedly announced its decision to set up a Medical School in Kumasi (the NCHE considered proposals

for it and planned coordinating it together with the one in UG when it became obvious the University Councils opposed the NCHE's stance. The universities reacted to it sharply and demonstrated that the mere inclusions of VCs did not translate into an omnibus representation of academic interests. In an address to Ghana Academy, one prominent academic leader focusing on the NCHE stated: *I suggest that the guiding principle...should be to secure...confidence of both Government and the Universities, but to be independent of both* (NCHE 1975) He was sceptical about the inclusion of VCs in the Councils because he thought the NCHE was trying to convey the idea that their inclusion was wholly representative of universities to government.

One can shudder to say that in the era of institutional space, (post 1966 to the early 1980s) there were incidents of collision courses between the government/ NCHE and the universities. Government and/ or the NCHE somehow interfered and ignored respectively the views of the universities and the buffer body's execution of duties was hampered by the government as its 3-year budgeting and planning system was not accepted. The NCHE's influence on government on universities however was better than its predecessor although it ended up pleasing neither the government nor the universities. (Sawyer 1994) The NCHE's abilities to coordinate and influence the universities were stifled by the economic crises of the 1970s -OPEC Oil shocks and the decline in the prices of cocoa, Ghana's major foreign exchange earner. Grants or funds that it received from governments to be channelled to the institutions ebbed. Seville (1981) remarked that the NCHE *controlled overlapping provision though on politically charged issues, its influence became limited, and it appears that the universities began to look, as the system contracted, more directly to the Ministry of Finance and to politicians.* So the clout and power of the government over universities increased, while the propensity of the autonomy of universities from the former to be enhanced by the latter plummeted. Incidentally, the era of economic downturn saw the government exploiting the weakness of the NCHE until it was expunged in 1983. Economic downturn hence was a decoy which drew the universities closer to their benefactor both of which ironically had rancorous relationships in the immediate past, thereby incapacitating the NCHE.

The task of coordinating HE in Ghana was taken over by the Ministry of Education and Culture. Universities once again were directly under the behest of government. The period from the early 1980s to the early 1990s was described as one of confrontation and directed change. (Manuh et al. 2007) The initially Marxist oriented government ushered in grassroots participation in all

societal institutions including universities to their delight. The relationship later got severed. The relationship initially between them is delineated below:

*Initially students, workers and some lecturers supported the regime while the universities were closed for a year to allow students to help with the evacuation of cocoa from the countryside to the ports. Furthermore, the composition of university councils was amended by decree during this period to allow for student and worker participation as Sawyerr 1994 recounts. The National Council on Higher Education was abolished in 1983 and replaced by the Higher Education Division of the Ministry of Education which was set up to coordinate higher education under the advice of a newly established Commission. It was also during this period that the Committee of Vice Chancellors (CVC) began to play an increasingly important role in government-university relationship. This committee also allowed the heads of public universities to develop a unified position with government.*

Manuh et al. 2007, p.41

The extract above illustrates a blend of different styles of governmental influences on HE in Ghana. Whiles the participatory initiative involving students and workers as well as the emergence of the CVC as a very important institutional governance structure recognised by government were indicative of the recognition that universities ought to be democratised in addition to them being autonomous institutions, the abrogation of the NCHE and the subjugation of the universities to the HED of the MOE was a return to the *ancien regime* of government intrusion of HEIs to satisfy its national objectives- a contradiction of practice.

In the 1980s, the PNDC adopted the ERP/ SAP engineered by the World Bank and IMF which called for restructuring of public institutions in the face of harsh financial crisis to augment efficiency. The shortage of funds to run the universities owing to the collapse of the economy (Ajayi et al. 1996) as well as the fecklessness of universities necessitated the adoption of the reforms. The effect of the reforms on HE in Ghana was phenomenal. It marked a watershed in the HE system in Ghana. The government sought to redefine the HE sector by appointing a Committee, the University Rationalisation Committee (URC) to look into ways that could render HE efficient, effective and of high quality. This effort was part of the Tertiary Education Project (TEP). The recommendations of the URC followed by a White Paper issue on them redefined the HE and of particular interest governance roles of the state. The HE sector was expanded to include all postsecondary institutions unified and coordinated by oversight bodies. In this effect, HE was changed to become Tertiary Education. According to Girdwood, (1998):

*One of the Report's (URC) primary recommendations was that all post-secondary education brought into a single, unified and coordinated system characterised by greater public accountability. Specific recommendations included regrouping, rationalisation and upgrading of existing institutions and the establishment of the new ones: the transfer of oversight of the polytechnics from the control of the Ghana Education Service to the tertiary education sector; and the establishment of various regulatory bodies to coordinate and provide policy oversight (firstly, the establishment of the Planning, Budgeting, Monitoring and Evaluation Unit in the Ministry of Education and Culture; and secondly, a Joint Admission and Monitoring Board, an Accreditation Board and a Technical and Professional Examination Board)*

Girdwood 1998, p.5

Viewed against the background of the abolition of the NCHE and the fact that universities resented their loss particularly as concern increased at the level of control taken by the ministry, the establishment of regulatory bodies to coordinate them seemed to assuage them. The NCHE had formerly represented universities only and reported to the Office of the President and became a source of great opportunity for them to exert influence over decision-making, for informal negotiation and for channelling requests for supplementary budgetary resources directly to the President and/ or his Office. (ibid) The expansion of the HE sector to include all postsecondary institutions -Tertiary Education- required broad oversight bodies to ensure their being characterised with efficiency, effectiveness and quality.

In the context of Ghana HE sector, where governments and universities in the past had wrangled over the direction the latter should tread, the reform was expected to compromise their stance so as to achieve a win-win case for both parties and in logical extension, Ghana. There were signs that government or the ministry was willing to engage the universities and accommodate their concerns and reactions in its attempt to steer the latter and vice versa:

*...several aspects of the reform programme had to be negotiated between the Ministry of Education and the university authorities, and the implementation of these reforms proceeded slowly in some cases, while other provisions were refined. On the other hand, where the reform proposals coincided with measures sought by the universities, they were more readily embraced and implemented. However, there were some instances of resistance and phasing-in of some proposals resulting in an improvement of the tertiary education programme*

(Sawyer 1994 cited in Manuh et al. 2007)

Thus we find the ministry willing to yield to the self-interest of the universities in addition to those ones which happened to be parallel with its vision. However there were also signs that reflected the days of the ancien regime of strong governmental hegemony over them. Foremost, the URC was headed by a Deputy Secretary of Education responsible for HE, who of course represented government's interests albeit there were representatives of the universities on the Committee. More so, the recommendations were perceived to mostly herald government's dominance. The proposed Joint Matriculation and Admissions Board was perceived by others as a potential tool for control by government rather than a mechanism for ensuring efficiency in the admission process- a move which was fiercely resisted and eventually obliterated.(Girdwood 1998, p.16) The White Paper which confirmed the URC report stated that tertiary education was required to conform to the administrative, financial and staffing norms which would be laid down from time to time by the MOE (ibid 25) This amply shows that the supremacy of the government or ministry was subtly different from how it was (uncompromisingly direct) at the time of independence. Sawyerr<sup>27</sup> comments that the reform took an instrumental conception of universities -which in candid terms made them necessarily pawns to national goals disregarding that they are institutions with a different cultures and heritage. That "the White Paper emphasised strongly the need for links between academic processes and national development priorities" (ibid 24) is indicative of the dominance of government even though a level of institutional input or space was accommodated.

The advent of the 1992 Constitution saw government loosening its grip on HE. Under article 195 (3), the Chancellor was no more the Head of State or President of the Republic. Also the President was stripped off their appointive powers of the Councils. Government through the White Paper started to create institutions to coordinate tertiary educational institutions (TEIs) to ensure that TE met national standards. The NCTE was set up in 1993 to perform monitoring, information repository, fiscal and budgetary roles on TEIs and policy advisory roles for government. The NAB was set also in the same year to assure quality in TE through accreditation of programmes and institutions. NABPTEX was set up to assess professional and technical schools offering non-degree programmes.

The NCTE was and still is expected to be independent of ministerial control (Effah et al. 2001) judging from its history in varying degrees of subservience to governments. In coordinating TEIs, it has been beset with a lot of challenges. When asked of the relationship between the NCTE and government on one hand and TEIs on the other hand, the interviewee said:

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<sup>27</sup> A former Vice Chancellor of the University of Ghana

*Well, since the membership of the NCTE has some representatives of government and tertiary educational institutions, I can say it is cordial. There has not been any sharp conflict between them because of the buffering role of the NCTE. However, there are times, when there is divergence of direction in policy. Government is not bound to take the NCTE's position. Also, the institutions sometimes perceive the NCTE to be part of the ministry and are suspicious when my outfit gives directives as mandated by law*

NCTE Interviewee

The mutual suspicion about the NCTE from both entities from the above text affects the duties and to some extent its legitimacy to buffer between them. Effah et al. (2001) similarly mentioned that:

*There are some matters that occasionally cause difficulties for the NCTE in its relationship with the Ministry of Education and Government. One of these is the status of the NCTE as an independent body, although operating under the Ministry of Education, The uneasiness in the relationship is occasioned by the fact that there is a tendency to regard the NCTE as part of the Ministry rather than an advisory body which is independent of it. Consequently, the unwillingness on the part of the NCTE to function as an integral part of the Ministry is viewed with suspicion...The other difficulty is the status of the advice which the body gives when its assistance is sought. There is no obligation to heed such advice...*

Effah et al. 2001, p.33

There is insufficient legitimacy in the eyes of both MOE and institutions to undertake functions assigned to it. (Girdwood 1998) One can glean from this that government yearns to have control over TEIs but because the current dispensation does not permit, it takes recourse to the clause of the law that it is not obliged to take the advice of the NCTE. The TEIs' perception of the NCTE as part of government portrays their fear that the body kowtows to the government and do not have their interests -as autonomous institutions- at heart. These perceptions about the buffer body dilute its usefulness as a means to ensure that the TE sector is organised and managed well to produce the desired ends.

One issue that has affected government steering of TEIs has been the kaleidoscopic changes in the structure of the MOE structure concerning HE. The musical chairs played by the ministry by virtue of change in governments- the type of government in power determine the HE structure in the MOE or the outfit responsible for HE -and inconsistencies in governments. During the reform period to the late 1990s, the HE Division of the MOE was in charge, later a Deputy Minister in charge of TE was appointed. In 2003, a substantive Minister in charge of TE was appointed. In 2009, that office



was scrapped by the new government and TE was placed under the TE Division of the MOE under the Minister.

### **6.1.2 Funding and Budgetary Mechanisms**

Government-university relations are moulded in the distribution of pecuniary resources. Indeed, it is within the realm of funding that government wields power over TEIs. The issue about funding and budgetary mechanisms involves how HE is and was funded, the amount of public funds is and was allocated to the HE sector, based on what factors and the kind of budgetary system that guided and guides allocated funds. Before the reforms on TE, the sector was funded solely by government through block grants via line item budgeting. The process of fund allocation is described below:

*...funding of universities was effected through public budgetary system as done by other departments and agencies of the state. At the beginning of every fiscal year, tertiary educational institutions submitted their budgetary estimates to the then Higher Education Secretariat outlining their recurrent and capital expenditure for on-ward submission to the then Higher Division of the Ministry of Education which in turn submitted and defended the budget of the sub-sector at the Ministry of Finance and Economic Planning.*

NCTE Interviewee, NCTE 2008

Indeed, Sawyerr (1994) mentions that the capital and recurrent expenditure estimates were justified to the MOE on line-by-line basis by university representatives after which they were sent to the MOFEP which determined the approved budget for the year. Block grants system which has general (not categorical) provisions that go with them was adopted even in the pre-reform period in which there were some authoritarian regimes. It shows that these regimes were not necessarily straight jacket when it came to funding. The line item budgeting which does provide any information regarding activities and functions of a programme, department or faculty and thrives on the philosophy that follows the line of reasoning that there is a place for everything (Business and Financial Times 2009) and influenced by previous budgets suggests that the primary goal of such a budget is to provide a general vehicle of controlling what is spent by a department or organisation and who is accountable for the expenditure system. This system of funding and budgeting was defective. By the end of the 1980s, there were difficulties with it:

- the emphasis of budgeting and distributing of public funds was on the object of expenditure and so focused on activities in terms of their input costs largely unrelated to their outputs or outcomes of tertiary education*
- the preparation of budgetary estimates was unrelated to the volume of activities undertaken by the institutions*
- the budgetary process could not be used as instruments for public policy implementation since the funding process was not focused on providing incentives for public policy implementation*
- attention was focused on demands for extra resources to cover enrolments and administrative expenses*
- there was no model to justify the staffing structure of public universities. Funding was neither focused on the student as the unit of production nor the objectives of academic programmes*

NCTE 2008

The “focus on the “object of expenditure” and the emphasis on “demand for extra resources to cover enrolments and administrative expenses” is indicative of the preoccupation of governments to satisfy their trustee obligation to the universities which was in vogue over 2 decades ago. So long as governments provided funds to satisfy student enrolment, administrative and staffing costs, it had done its part of the financial aspect of the Social Contract between the 2 entities. The deficiencies of the funding system prompted changes through tertiary education reforms. The line item budgeting system with the block grants were scrapped and a new mechanism, norm-based funding which calculated the unit cost per student per discipline as the basis for determining the funding requirements for TEIs was adopted. The norms were quantified objectives for the TE sector to facilitate efficiency in the operations of TEIs and meant to provide a framework for monitoring the performance of TEIs to ensure that standards were implemented for achieved for the achievement of efficiency. Thus, this funding regime was output oriented and drifted from the input oriented regime which was determined by the financial capacity of government. The norm-based planning/ budgeting offered:

*a useful way of moving away from a previous historically-based incremental and inefficient pattern of expenditure. But it can be problematic in many ways, particularly if used in an environment where the level of funding available is lower than would be required to find the established norms or as in Ghana’s case as well, when it has been rapid than expenditure levels can sustain*

Eisemon 1992 cited by Girdwood 1998, p.26

The mismatch between the amount of funds disbursed and the required amount based on norms stifled the potential of the norm- based funding system to yield the desired ends. The inability of the state to provide funds to meet the norm-based costs of TE and the surge in student enrolments led to the breakdown of norm-based budgeting. Government spending on TE slumped by a fifth of former proportion of educational expenditure, dropping from 15% of educational expenditure to 12% while student enrolment increased by 80%. (Girdwood 1998) One of the greatest challenges of this funding regime as experienced by the NCTE (2008) was the lack of a mechanism for periodic review of the national standards and norms, accordingly as funds provided by government did not inure to the use of norms in funding and performance monitoring, the indicators in the in the funding formula remained fixed consequently, the norms lost their relevance as tools for budgeting, funds allocation and monitoring and evaluation. Financial accountability did not operate to ensure maximum value for money and intricacies of decentralisation and flexibility of expenditure were not unable to be dealt by the existing systems. TEIs are routinely in substantial deficit and must make private and commercial arrangements to cover their liquidity. (Girdwood 1998) Both the line-item and norm-based systems which were applied in different periods failed to achieve their desired outcomes. The NCTE as a result of this development has come out with a new funding framework for TE- a hybrid framework synchronising both erstwhile systems. It has taken into consideration the flaws of the 2 systems. When probed into the mechanisms of the new funding regime the NCTE interviewee said:

*...to ensure the enhancement of tertiary education institutions, the NCTE has devised what I would call a mixed bag of funding mechanisms. The first one is regular-based funding, that is block grants which will be based on the standard cost per student per discipline calculated on the norms delineated for stakeholders in tertiary education. These norms will be reviewed periodically in order for them to be in tertiary education; the second one is earmarked funding will be limited to special programmes. The NCTE will set aside funds to be allocated to the institutions for projects pivotal for national development, funds which will cater for the inadequacy of the block funding scheme. The policy area will determined annually by my outfit. The third mechanism is the performance-funding scheme which is made up of extra funding to the institutions to undertake activities which result in outputs or outcomes as defined by performance indicators. The NCTE will again determine the funding available for performance, the weighting factors to be assigned to the performance indicators and the funding to be allocated each indicator. There is also a research grants scheme. The only difference is that the distribution of funds for research*

*will be done by the GET Fund<sup>28</sup> based on research outputs, publication units and doctoral and research master programmes. Another scheme earmarked by the GET Fund is grants for infrastructure and staff development based on student enrolments and level of development of the institutions to be determined by it.*

NCTE Interviewee.

From the statement above, one shudders to say that the latest funding system is heavily tied with the instrumental conception of HE. The catchwords or phrases, “policy areas” and “national development” linked to funds corroborate the point. The delineation of norms by stakeholders - which of course includes government, TEIs, industry, business and so on- of the block grants system is suggestive of the active engagement if not subjugation of HE to the wider society and the ever increasing public interest and expectation of TE to be relevant to the Ghanaian society. TEIs are expected to augment their performance as defined by society in the form of indicators so as to get incentives, which everyone of them needs to survive and to make them competitive, in other words they are supposed to be responsive to market demands.

The success and/or failure of the new funding regime is so premature to assess because it is yet to stand the test of time but the NCTE has a vital role to play together with the TEIs and government if it will succeed. Girdwood’s explanation of the failure of the NCTE to enforce past frameworks based on norms and the non-adherence of the TEIs must be taken seriously: “...there had been little incentive for them to do so. Additionally, the NCTE appeared to lack the authority it needs to enforce the adherence of norms” (Girdwood 1998 p.48)

One important restructuring of government funding of TE is the cost sharing policy. Indeed the White Paper supported the need for the cost sharing policy to be put in place. The policy was not exclusive to the reform. The provenance of the policy in Ghana predates the 1990s. In the early 1970s, cost sharing was introduced and supplemented with a student loan system but was unpopular then because students were used to free fee system involving tuition, lodging and meals of the 1960s. The policy was scrapped by another government which only reintroduced it 3 years later. Thus cost sharing is a very sensitive issue. In consonance with the White Paper of the reform, cost sharing policy was introduced in 1997 by the government as a result of the “Akosombo Accord” in order to solve the financial crisis in TE and also as part of the SAP that was adopted. The ideal distribution of contributions by government, student/ parents, private sector and TEIs was determined in percentage to be 70, 10, 10 and 10 respectively. (Effah 2003)

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<sup>28</sup> The Ghana Education Trust Fund

The policy initially sparked off disturbances in the universities in the 1998/9 academic year but has ever since witnessed low resistance. From the aforementioned distribution of contributions, one can say that government still predominantly funds TE in Ghana. It provides funds for recurrent expenditure, research and infrastructural development and gives out scholarships and grants covering full or part cost tuition or need and merit-based at national and local government level. (ibid) Cost sharing as a means of revenue diversification has introduced co-responsibility of funding even though the government has the largest share. In an expanded TE system of massive enrolments of students and proliferation of TEIs even in the public sector, the financial burden of government on TE is daunting. Though it can attest or justify government's keen interest and influence in TE, it also puts a strain on the government, which also focuses not only on important sectors of the economy like health, agriculture and so forth, but also on the burgeoning sub-sectors of education -basic, primary and secondary education. The implication of the cost sharing policy on TEIs was that they had to contribute to the funding of TE and thus they were prompted to augment their internally revenue capacities. One important institutional policy which of course involved government was the dual track policy. This policy allowed students with relatively low grades but can pay extra tuition fees to access TE. The threshold that government/ NCTE placed on the rate of admission of such students was 5%. The ability of the NCTE to enforce compliance on trespassing institutions has been non-existent. Anyan (2009) in his research study about the University of Ghana dual track policy, states that the university still trespasses the 5% threshold of admitting fee paying students and the NCTE/ government has not cracked its whip on the institution. Perhaps, they are reluctant to penalise the traditional universities apparently because of their history or they implicitly accept the institutions going extra miles to augment their financial base as this would relieve government burden a bit. In both cases, the propensity to cling to enforcing laws that govern institutional behaviour is lost and can and will if sustained engender sub-cultures of national governance institutions lacking the political will and empowerment to enforce law and of impunity on the part of TEIs.

### ***6.1.3 Quality Assurance***

This section involves finding out how the system governance structures or government evaluates TE, what approaches or methodologies it utilises in doing so, the specific organisation (s) that

accredit (s) or evaluate (s) TEIs and their programmes, when they were established and their roles and responsibilities.

Before 1993, issues of quality assurance about universities were handled at the ministerial level. The NCHE set up in 1969 was mandated to and indeed reviewed proposals for new academic programmes before submission to governments for their approval. (Sawyer 1994, NCHE 1975) The NAB respondent mentioned that: *issues being handled now by the NAB were under the Ministry of Education: there was a Tertiary Education Directorate. All tertiary education issues were handled by a scheduled officer/Director in this regards.* (NAB respondent) The reconciliation of the statements is that the NCHE until its demise in 1983 was the quality assurance body (and buffer body as well) but afterwards to 1993, the Tertiary Education Directorate under the Ministry of Education (and Culture) took over. The National Accreditation Board was set up in 1993 by NAB Law (PNDC Law 317) in consonance to the White Paper: *the Government of Ghana White Paper on tertiary education published in 1991 made several proposals including among several others, the establishment of a Board of Accreditation to contribute to the “furtherance of better management of tertiary education”<sup>29</sup> as a Quality Assurance Body* (NAB respondent) It was necessary for government to move away from dealing with TEIs directly, in this case assuring quality and leaving it to regulatory bodies with statutory backing. It was appropriate for the NAB to be set up because of the expanded new TE sector which now incorporated all postsecondary institutions in addition to the universities which only composed HE, hence the need to check the quality of the expansive sector. Also, government as a result loosening its control of the sector liberalised it paving way for private HE providers of HE to set up institutions to meet the massification of HE. The tendency for proliferation of institutions and their programmes to compromise on quality was anticipated. Finally, it was a means to respond to the pressures for accountability and transparency of TEIs to the populace because their taxes were and still are used to fund the former.

The NAB has since its inception in 1993 undergone legal strengthening which recommended to government: apart from the PNDC Law 317, Regulation 2002, L.I. 1700 was passed by the Parliament of Ghana and was replaced with NAB Act 2007, Act 744.

The NAB runs external quality assessments on TEIs in 2 forms:

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<sup>29</sup> <http://nab.gov.gh/nabsite/>

*The two types of accreditation that are run on TEIs are programme accreditation which takes into consideration the philosophy and objectives of the programmes, programme mission and outcomes, curriculum design and organisation, laboratories and computing facilities, student support and guidance, degree to be awarded, etc. and institutional accreditation which includes physical facilities like lecture rooms, library, staff offices, serene environment, ownership of land or renting, financial standing, human resource, business plan, and strategic plan which should be physically challenged friendly; sources of funding, board of governors, etc*

NAB respondent

It is imperative to enquire into the methodologies that the NAB has employed in its quality assessment exercises on TEIs. The background to this enquiry that is the context of the organisation with respect to TEIs has to be mentioned. 6 universities predate the NAB (Adei 2006) and their “treatment” in terms of accreditation as distinguished from the other TEIs- universities and non-universities of public or private ownership- was always going to be an issue. With regards to most of these “new” institutions, new methodologies were developed to assess their fitness for the programmes they offered and their qualifications:

*The NAB has thus far worked only with the polytechnics and the University of Development Studies. The methodology is currently uses was established primarily as a threshold model- ie. to identify the minimum inputs (or threshold standards) required to offer a particular disciplinary programme, and then to accredit/ or not the provision offered, following an assessment visit to the institutions conducted by a panel of subject experts (generally from the universities)*

Girdwood 1998, p.41

The emphasis on accreditation of the institutions’ programmes was on inputs determined by NAB visitors based on the expertise from universities. It is argued that these institutions were accredited on interim basis as well by virtue of the fact that the organisation was under resourced considering the expensive nature of accreditation. It was a fact that the number of interim accreditations far exceeded full accreditation. (ibid) One may glean from the extract that the older universities were accorded (and perhaps they still are) some respect for their prestige in relative terms and their history which made them difficult to evaluate- to put more candidly, they were untouchable. As at 2006, full accreditation was yet to be applied to the six older

universities that predated the NAB. (Adei 2006) The discrepancy between the older universities and the other TEIs are obvious here.

Normally before a programme of an institution or an institution is accredited, questionnaire forms have to be purchased from the NAB, be filled and then an institutional visit is conducted by a (sub-) Committee to assess the programme being offered or inspect facilities respectively and 60 days afterwards, communication is sent to the institution and is subject to review. The contents of questionnaire forms<sup>30</sup> have indicators suggestive of a conflation of the threshold input monitoring system and a performance monitoring system- number of undergraduate and postgraduate students enrolments and their gender and percentage out of the total enrolment, contribution of the institution to knowledge for the past 3 years, list of publications for the past 3 years including articles in refereed journals, Journals, inventions and innovation, etc. citations of their staff, relevance of programmes to national development, number of graduate output, major research projects undertaken by school/ faculty/ college/ institute of the Institution in the last 5 years, the quality of facility of institutions, funds of institutions and a whole lot more indicators. It seems that the NAB has incorporated broader perspectives covering the institutions like graduate output, structural issues, academic and non-academic staff issues, etc. when one peruse through the questionnaires. However, certain institutional and systemic developments have called into question the efficacy and effectiveness of the capacity of the NAB to assure quality of the institutions. One of such developments was the examination scandal -in which examination questions were leaked and results sold to students- that rocked the premier university, the UG did not tarnish the image of the university but also the NAB and its evaluative functions. It is indicative of the point raised about the respect for older universities and thus the reluctance to subject them to scrutiny. Unlike in South Africa, where the national quality assurance body, the Higher Education Quality Committee (HEQC) has audited University of South Africa and other universities, (Commonwealth of Learning 2007<sup>31</sup>) the NAB is yet to do that. The UG had to invite an international panel to look for a holistic panacea to the deterioration of the university in terms of teaching and learning processes, quality assurance, governance structures, etc.

Conflicts between the QA and some TEIs also affect the functioning of the former to carry out its duties as mandated by law. Some of these conflicts arise because some TEIs which are often

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<sup>30</sup> [http://nab.gov.gh/nabsite/pages/online\\_forms.php](http://nab.gov.gh/nabsite/pages/online_forms.php)

<sup>31</sup> <http://www.col.org/RESOURCES/SPEECHES/2008PRESENTATIONS/2008-01-31/Pages/default.aspx>



offshoots of other campuses or institutions abroad or affiliates or which easily adopt foreign academic cultures and incorporate them in their internal academic practices often clash with national standards set up by the NAB. An example is when Ashesi university adopted “no invigilators”<sup>32</sup> system practised in Princeton university and Dartmouth college- a system in which students write their examinations without any invigilators after signing a code of conduct- but the NAB suspended it stating that the practice was not compatible to the Ghanaian environment and that the university which was accredited by it, did not inform it. The university has declined to suspend the practice. The authority of the NAB has to be taken seriously and its punitive powers must be exercised. It looks as if it does not have the authority to necessary enough to enforce its mandate.

One cannot fault the NAB wholly for its inadequacies. Indeed, one major factor impairing its duties is the under resourcing by government. Accreditation exercises like visits are expensive but the little budgeting it receives from government compromises the functions of the Board. It is also seriously understaffed and this does not match the increasing number of institutions.

The Board in spite of all its challenges undertakes some of its evaluative tasks. It has regularly been accrediting institutions and their programmes and qualifications periodically and regularly pastes the list of updated accredited institutions on its website, newspapers and other media. It always invites all stakeholders of TE to always call on them to verify the authenticity of institutions, their programmes and qualifications. To this extent, the NAB has done well to ensure that TEIs’ quality is assured.

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## **6.2 DISCUSSION**

This section sheds light on the analysed data relative to theoretical constructs and reviewed literatures while taking note of the research questions devised for the study. The writer in doing this aims to make meanings out of the analysed data via interpretation -highlighting areas of strengths and anomalies if any- and state the implications of such meanings to serve as a springboard for a good conclusion.

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<sup>32</sup> <http://news.myjoyonline.com/education/201003/43302.asp>

### ***6.2.1 Reflections on Analysed Data***

From the foregoing section, it appears there is a congruence (though not perfect) between periodic contexts and governance styles of the state or government in Ghana HE. Thus a governance arrangement mooted by the state in every respect was an exigency of the periodic context it found itself in. In the colonial era, the state respected and acknowledged the rights of the Principal Officers of the UCGC to govern their institution akin to the institutional and academic oligarchic model quintessential of collegially governed British universities before the Thatcher era and did not interfere in their internal affairs whatsoever. The independence era brought to the fore an indigenous government preoccupied with carving out a locally, meaningful and independent HE system totally incompatible with the colonial system of university governance. It thus utilised state control mechanisms (directly by changing the governance structure of the UG making the President more powerful with unlimited powers, insistence on what were to be the contents of the syllabi and curriculum of some faculties, dismissal of academic staff mostly expatriates and so forth and in a more subtle and locally sensible way focusing a lot more on the UCC and UST, which had more practical orientations in terms of courses and programmes) which were vehemently resisted by the UG, accustomed to state non-interference academic governance system. There was in other words conflicts in the goals of the universities marked by the state's insistence that universities should be relevant and tied to the needs of the Ghanaian society and within the context of Ghana a beacon of African sovereignty and identity as against the latter's will to maintain the status quo at that time, that is maintaining their status as self-governed and autonomous systems armed with institutional autonomy and academic freedom, insulated and isolated from the society in which they were located. The university like almost all pre colonial African universities (if not all) thus was torn between the actualisation of its European medieval roots and the contemporary social structure it found itself after independence. (Assie Lumumba 2006; Saint 2004) One can infer that the operative goals which are less conspicuous but suit individual academic and institutional self interest was grossly affected because they ran contrary to government's expectations. For example, they were directed to teach communist ideals and values, a directive which was fiercely resisted. Albeit this situation, a foundation was laid for the coordination of universities which were the only HEIs then by the setting up of the NCHER, (with academic professionals as part of its membership) though eclipsed

under the Ministry and Presidency. This illustrates that the state control era was not an absolute era of direct and tight controls but was characterised by smacks of institutional space. More so, that the UCC and UST did not have any collision course with the state bears testimony to the fact that the latter was not always drawn into conflicts with the universities composing the HE system at that time. They were apparently set up to deal with the twin task of nation building and national development. (Akin Aina 1994)

The setting of the NCHE as a buffer and coordinating body for the HEIs seemed to ebb the severed relationship between government and itself. Indeed the law from which it emanated, NLC401, 1969 stipulated to the effect that the government was not to deal directly with the HEIs but was mandated to allocate resources based on their own budgetary calculations and mechanisms just as the UGC was doing in the UK. The Prime Minister (being a university Professor of the UG and Oxford-trained) was not politically orientated to direct interference and control of universities. However the developments that arose in the span of the NCHE appeared to debase the paradigm shift of governmental steering of Ghana's HE system. The reliance of the organizations on civil servants from the ministries -its Secretariat was in the HE Division of the MOE- until 1974 and the fact that the NCHE was put under the office of the Head of State (Sawyer 1994) and the operations of it only by the Chairman<sup>33</sup>, a close ally of the Prime Minister without the appointment of members of the Council until 1972 discoloured its neutrality despite the fact that in the first few years under the reign of the Chairman, a fair believer of the tradition of institutional autonomy, there was no tussle between the government and the universities. What was worse was the failure of the government to accept the budgeting and planning blueprint the NCHE which was meant to set in motion in ideal terms, a regime of effective monitoring and accountability of funds allocated to HEIs and act as a guide to the modus operandi of the buffer body and institutions. The rejection meant the truncation of the functions of the NCHE. The line item budgeting associated with block grants of capital and recurrent expenditure which had been the order of the day previously was still maintained analogous to the evaluation system in vogue in which governments generally were preoccupied with resourcing universities with funds without any (pre) conditions in order to satisfy their fiduciary obligations to them. It is important to note that there was more emphasis in the Ghanaian case on system maintenance than on evaluation for strategic change. Neave (1998) mentions that before the rise of the ES, governments and

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<sup>33</sup> Modjben Duwona was a former Registrar of the UG

national governance structures of HE usually relied on *apriori* methods of evaluation meant to keep the system going and to serve as a basis of their changing of strategy in terms of input actions. The incapacitation of the buffer body exacerbated in the 1970s as the universities developed mistrust in the NCHE and government as well. The inclusion of the VCs (who essentially were appointed by Heads of State) as sole representatives of academic interests in the NCHE aroused the suspicion of the universities of the government and the buffer body as bedfellows who did demonstrate subtly their intrusive and non biased way of controlling them. The issue of the Medical School's of UST already mentioned in the data analysis section is a further corroboration. The concomitant of these developments was the closer links of the universities not only to the MOE but more deeply to the MOFEP sparked off by harsh global economic crisis of the 1970s which affected the NCHE's role in resource allocation to the universities. They saw it as expedient to draw closer to the custodian of the national purse. The government apparently received this development with gusto- indicative of the hegemony it had over the universities. The idea that governmental steering of HE had taken a new turn to the state supervisory role was at best nominal. The setting up of the NCHE to coordinate, buffer and monitor HEIs which of course is a characteristic of the state supervisory model (Taylor 1999) was greatly hampered. It was symbolic of government's change in actions but later developments were suggestive of its reluctance to loosen its grip on the institutions. The buffer body was neutralized by government on one hand and HEIs on the other hand. The complexity of conflicts and mistrust of it by the 2 parties as well as the inconsistencies on its part and that of the government dwarfed the direction of HE system in Ghana was to head toward. The crippling of the NCHE seemed to be analogous to government's nostalgia of power wielding and authority. Ironically, the actions of the institutions with regards to the NCHE resulting in their bypassing it to relate to government directly ironically increased the influence of their "benefactor".

The abrogation of the NCHE and the performance of its functions by the HED of the MOEC<sup>34</sup> was an affirmation of the state control of HEIs in Ghana. The presupposition of this situation at that period and even before was in line with the rationale that HE was regarded as a homogeneous enterprise which necessitated state regulation in almost all (if not all) of its aspects like appointments, remuneration of academic staff and so forth. (Goedegebuure et al 1997) It seems justifiable in the context that at that period, HE in Ghana was made up of

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<sup>34</sup> Higher Education Division of the Ministry of Education and Culture

three public universities and one public institute so the state found it convenient to homogenise HE amidst the NCHE's failure which it partly orchestrated. However that HE as a multi dimensional, institutionally differentiated, diverse and loosely-coupled sector (Clark 1983) was ignored in order to respond to national priorities at least in ideal terms. Monitoring in HE was virtually absent because there was governmental control. Taylor (2009) draws a distinction between control and monitoring by saying that in countries with traditions of strong state controls led by totalitarian and military regimes (Ghana by inference being an example), there was little tradition of monitoring and assessment; in essence, in such places, it was not needed.

Subsequently in the latter part of the 1980s, the state was compelled to redefine and restructure the HE sector. In broad perspective, traditional governance arrangements as well as collegial governance models in the eyes of the public had become feckless. HEIs had lost public confidence and trust. Government's rationality to steer HE was not unquestionable either. In effect, both could not relate in a way to yield to demands for being efficient, effective and of high quality. In addition, social demands in the face of the enormous rise in student numbers, dwindling public resources on HE had heightened the need for HE to yield to public expectations. The duality of state-professional interests has been focused for most part of the 20<sup>th</sup> century. (Neave, van Vught 1991) Governments generally had in different degrees endeavoured to engender change to respond to the enormous challenges it faced in governing public institutions. Definitions of the boundaries and relationships between the state and market had begun to alter. (Henkel, Little 1999) These had to be done through reforms. The situation in Ghana was not different. In sub-Saharan Africa and Ghana for that matter, in addition to social demands mentioned above, UNESCO-BREDA (1992) reports of an all pervading state of physical, managerial and intellectual dilapidation in the universities including those in Ghana caused by economic uncertainty, political and social upheavals and other contortions. (Ajayi et al. 1996) Indeed the inconsistencies in government- HE relations warranted change in the existing state of affairs at that time. One can glean that the need to reform was a way governments or states yearned to satisfy the quest for restoring ebbing public legitimacy. Governance through market mechanisms was envisaged. In Ghana like other African countries, reforms on the public sector and HE sector in particular was engineered by World Bank and other IFIs under a neoliberal framework (which championed market regulation) which was in vogue worldwide at least in general terms at that time. The

reforms which reflected the views of the WB on the desired direction of HE Reform in sub-Saharan Africa emphasised cost recovery, income generation, equity and vocationalisation (World Bank 1988 cited by Sawyerr 1994) as well as privatisation, devolution, deregulation and New Public Managerialism (NPM). The adoption of the WB's ERP/ SAP by government which in HE led to the setting up of the URC whose recommendations (though not all of them) formed the basis of the White Paper on Tertiary Education Reform, marking a watershed in Ghana HE system. While government was resolved to implementing the reform at the behest of the IFIs, sceptics doubted the propensity of it to turn HE around. On one hand it was a means to solve the fiscal and quality debacles of the HE sector, on another hand, it was a means to use HEIs and indeed the public sector to yield the insatiable lust of the IFIs' self-centred neoliberal market tendencies. (Utne-Brock 2003) It is not surprising that the reform was believed to have tilted HEIs towards the instrumental conception of HE (Sawyerr 1994) which made subservient to societal goals, eclipsing their institutional essence. The IFIs especially the WB had prior to the reform advocated the superimposition of basic education to HE but made a U- turn emphasising the relevance of HE to the socio-economic development of Africa (Taskforce 2000) and Ghana for that matter. You get the sense that that the zero sum game of HE to basic education played by the IFIs outweighed their justification for the reform to solve its setbacks. The susceptibility of vulnerable governments to the IFIs which used their guidelines as conditionalities for funding and as policy advice (Sawyerr 2002) resulted in the adoption of the latter's framework.

The state resolved to act on White Paper which indicated its intention to liberalise the HE sector to allow private providers of HE to set up institutions to help checkmate access problems, set up evaluative agencies at system level to monitor, assess, and coordinate the expansive HE sector which now became known as TE incorporating all the postsecondary institutions in addition to the universities that hitherto composed the HE sector. The usage of law and statutes by the state to an appreciable extent to roll back from steering TE directly – removing the Chancellorship, appointive and dismissive powers of the Head of State; the setting up of regulatory bodies to monitor and assure quality of TEIs- was suggestive of the adoption of state supervision model in which it was to play an active watchdog role, allowing the bodies to do the steering.

It is appropriate to inquire into how different the system agencies have steered HE from the *status quo ante*. The emphasis on new governance arrangements premised on the efficacy of

market instruments meant that exercises of accreditation and resource allocation were tied to standards developed and devised by the system agencies and stakeholders of HE. The NCTE's devising of norm-based budgetary and funding system and then the current multi-faceted funding framework was indicative of the fact that it had transcended the incremental line-by-line budgetary and funding system, that was employed by governments historically that had implied detailed regulation. Even though the norm-based funding provided a basis for monitoring the performance of TEIs, its success wholly dependent on required amounts demanded by norms from the state's inputs made it together with line item budgeting reminiscent of the predominance of routine evaluation system prior to the rise of the ES. (Neave 1988, 1998) The inadequate funds made it impossible for the norms to determine the performance of TEIs. The new multi-faceted funding and budgetary framework with its components appear to be a manifestation of not only the ES combining *apriori* and *aposteriori* evaluation funding but also an attestation to the fact that national objectives symbolic of public expectations are tied to resources. (Maassen, Stensaker 2003; Neave 1988, 1998) The delineation of norms by regular based funding module in particular illustrates that the state is clearly neither a unitary actor nor the TEIs but other stakeholders constitute the moulding powers of the HE sector. This is so by virtue of the fact that "mass higher education inevitably has to provide for a variety of interests, abilities and qualification objectives." (Gareth 1999, p.159) Whiles this can be said to be in conformity with the corporatist pluralist model, the emphasis on performance indicators and benchmarks by the stakeholders and NCTE on regular based funding and the other funding modules respectively making up the new framework allude to monitoring which is a key aspect of state supervision bearing semblances of market domination. These indicators and benchmarks imply that TEIs should be focused on tackling societal challenges. Though research grants scheme's research outputs is based on the number of publications in foreign and reputable journals cover basic disciplines, the regular based, earmarked and performance funding schemes are focused on applied disciplines because apparently the stakeholders including the NCTE are interested in societal development. In as much as this is a reflection of how urgent the task of national development is and a stimulus for TEIs to compete among themselves to bring out the best in them, it may be an affront to institutional interests and autonomy. These acts of monitoring the TEIs and making rewarding them with incentives have become the order of the day. "Monitoring is now a feature of higher education throughout the world. For some, it will always be seen as an intrusion, an infringement of academic freedom or of institutional

autonomy. For others, it has become an essential part of the ongoing improvement and development, and for some either a necessary instrument for control and direction or an essential part of competition within higher education. Such diversity of views and attitudes will probably never be reconciled.” (Taylor 1999, p. 240) The TER had an instrumental conception of HE (Sawyer 2004) because for the state and the public, TEIs should be active in satisfying the purpose for which money is expended on them. The incorporation of institutional interests to some extent by system governance structures as actualised in the funding mechanisms and in their membership is appropriate in order to eschew from the conflicts in the operative and official goals of TEIs.

The NAB’s application of the threshold methodology in the polytechnics and the UDS in the 1990s seems to have changed to performance oriented monitoring looking at the contents of the questionnaire forms of on accreditation and authorisation of TEIs and their programmes and physical facilities. The criteria for evaluation on the forms<sup>35</sup> combine both *apriori* and *aposteriori* evaluations. This notwithstanding the disparity in the treatment of some TEIs especially the older universities as distinguished from the other TEIs defeats the course and essence of evaluation of TEIs which are supposed to be coordinated in holistic terms. Formal accreditation of equal magnitudes ought to be applied to all TEIs taking into account their types. The lack of auditing of the NAB of the well established universities in particular has undermined the quality of the TE system. The regular monitoring of activities within such TEIs is not so well established in these universities as no kind of formal accreditation and auditing at the system level which are supposed to spur effective institutional evaluations are done there. The internal evaluation appears to be superficial in the face of these circumstances.

The paradigm shifts in the methodologies of the NAB and the NCTE presuppose that their evaluative roles have been hampered by their own misdeeds and/ or those of government and TEIs and/ or the nature of the system as a whole. The NAB’s unequal treatment of TEIs may be as result of the systemic recognition for the immunity of “prestigious universities” from sanctions. Government’s inability to substantially support (especially in funding and cooperation) the institutions and agencies may be genuine looking at the scarce resources at its disposal and the burgeoning sectors of the economy and the subsectors of the education

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<sup>35</sup> [http://nab.gov.gh/nabsite/pages/online\\_forms.php](http://nab.gov.gh/nabsite/pages/online_forms.php)



sector but effective steering of TE sector through the evaluative agencies hinges upon the support that both government and TEIs give to them. The tacit “lack of recognition” of their legitimacy by government may be due to nostalgia, and/ or the fear that their heeding of the NCTE’s advice in policy may result in unpopular austere measures such as implementing realistic tuition fees for students and investing money in HE matters at the expense of other sector exigencies can create a high propensity of debilitating electoral consequences (an example is the acceptance; and finally, the tendency for government to incur the displeasure of the older universities. It is within this vein that both the government and NCTE have not been able to sanction trespassing institutions (the UG in particular) on the threshold of the dual track policy. The NCTE lacks the power to ensure compliance far beyond the use of incentives to reward performing institutions. The NAB also faces the same challenge of laxity in enforcing sanctions. This situation neutralises the gains that the new governance system brings on board. Accountability becomes superficial if these agencies do not axe down TEIs which flout laws with impunity knowing that there is actually “no day of reckoning”. Mechanisms for periodic review from the agencies have not been consistent and may partly be a concomitant of under-resourcing from government but also lack of capacity-building on effect them. The conflicts between the TEIs and the regulatory agencies can be interpreted as a manifestation of the former to work directly with the MOE without the instrumentality of the latter. Effah et al. (2001) portray this idea implicitly when they exhort the Committee of Vice Chancellors and Principals (CVCP) and Conference of Polytechnic Principals (COPP) to channel their submissions to the MOE via the NCTE in order for their proposals to be expedited. The regulatory bodies in turn are expected to treat such matters involving the TEIs promptly to win their confidence whiles not compromising on their mandate of making the institutions relevant to national development. Although national development is important, the operative and official goals of TEIs which per se make them look egoistic and may expose their detestation for public accountability cannot be debased completely.

Whiles the state’s resort to market-led steering arrangement had been scuttled to some extent by the agencies, TEIs and itself, it may also a confirmation of the widely held belief that the competitive markets do not necessarily lead academic quality (Dill 2007) which would satiate societal demands for efficiency and effectiveness. The market has winners and losers as well and the responsibility of the state and national agencies so to say to check market failures such as problems of access due to cost sharing, lack of informed choices by consumers like

students due to nominally competitive institutions and so forth is imperative. Perhaps, the aptness of the Utne-Brock's (2003) assertion about Africa (Ghana in this context) must be a guide to the state in its current steering efforts: "a predominant role is given to the market in relation to the state. This ignores the fact that there is no industrial dominance and no powerful private sector with which the state can share responsibility for higher education." This is however not to prejudice the current methodologies and mechanisms employed by the state and its agencies in steering TEIs but to give them the realities of the excesses of the markets and their roles in checkmating them.

### ***6.2.2 Evaluating Theoretical/ Analytical Framework***

At this point, it is important to evaluate the theoretical and analytical constructs devised for the study. The analysis, interpretation and discussion of data testify to the changing dynamics of state, academic professionals and market forces. Historically, the state and academic leaders in the Social Contract based on the acknowledgement of the rationality of the latter to steer HEIs. The post independent era which brought to the fore new state actors crippled the old order and was characterised by running power battles which necessitated a bureaucratic set up (NCHE) to buffer between the poles. Matters exacerbated and in line with the factors that compelled changes in the HE in the 1980s rendering the 2 poles inadequate of steering in sole terms to determine the destiny of the sector. The resort to market mechanisms warranted the state to roll back or cede its powers to regulatory bodies to put in motion evaluative schemes based on market- accreditation and funding tied to objectives set by them based on performance and on which incentives are given.

Whiles the shift of state-academic oligarchs to the state-market configuration has been undermined by the inadequacy of resource allocation by the state and (in) actions of the bodies and TEIs to stick to the letter of the status quo, it must be said the market mechanisms (Evaluative State) is not an end in itself. Without totally revising a model, the evaluative systems should be clung to those linked to accreditation, funding and budgeting to whiles the market-like traits of the state tending to go haywire should be regulated subject to local (Ghanaian) context. Academic standards due to evaluation results from competition of TEIs tend to go high, the cost of HE becomes highly symptomatic of unregulated market. (Teixeira et al. 2004) Competitive markets do not necessarily assure academic quality and standards. (Dill 2007) When the market goes haywire, it may deepen the chasm among TEIs. Drawing

the line between which part of market to regulate and vice versa is very essential. The usage of funds in this direction beyond the current system can be used to bridge the gap among TEIs –targeting those financially handicapped but worthy of performance.

With HE being a corporatist sector of diverse stakeholders characteristic of a supervisory state with evaluative regulatory bodies, institutional governance has shifted from era of institutional autonomy to an era of managerial autonomy (Herbst 2007) which in fact is .paradoxical. HEIs still have autonomy but they account for their autonomy. The capacity of the system agencies to hold their autonomy to account has been superficial.

The slightly revised theoretical construct only paradoxically requires the system agencies and the state to regulate potentially dangerous market mechanisms and cracking the whip on violating TEIs whilst not curtailing their autonomy.

### ***6.2.3 Drawing a Big Picture***

Based on the finds of the work, there is a need to cluster all of them and resort to a quest for an insight. The finds of the work are encapsulated and couched as follows: inconsistencies of practice, lack of political will, power struggles and institutional inertia, lacklustre and superficial if not nominal commitment to policy implementation as well as conflicting roles that HEIs were to play. This notwithstanding, the minimal gains of system institutions are not underestimated. The lacklustre efforts of the state, system agencies and institutions deflate their reaching of the outcomes of HE blueprints.

The compromise of the state and institutions relative to HE as well as the apt positioning of system agencies must be a stark reality. This should be as a result of policy. Indeed, there is already a policy in the HE sector, the TER. Without necessarily changing the policy wholly, aspects of it that hinder success of the parties relative to it can be modified. Thus flexibility of the reform should be the name of the game.

#### ***6.2.4 Implications for Policy, Practice and Research***

The existing state of affairs gives rise to implications for policy, practice and research. Policy making appears to be the litmus test of how far the state and its agencies have satisfied its obligations to the HE sector. There is the need to transcend policy making to effective implementation. This requires commitment and political will. In order to achieve their outcomes substantially, the system institutions should act without laxity.

Policy and practice seem to be separable from the status quo. They can be bridged or aligned by virtue of what has been stated above. For instance, practice should incorporate conventions and/ or precepts not stated in policy –reporting and negotiations of TEIs as done in Scandinavian countries (Gornitzka 2004) to state agencies can be adopted but not necessarily follow the same style. Practice of system agencies is hindered when financial resources are not substantially allocated in full. It stifles the work of the agencies and TEIs and makes the reform a haphazard blueprint. One cannot rule out the indispensability of the purse as one of the vital factors for successful policy and practice. Inasmuch as the NAB and NCTE and TEIs as well need resources to operate, it is incumbent on the agencies to ensure their judicious utilisation. This hinges on an effective accountability system put in place and clung to the brim by the agencies.

In terms of research, the need to enquire into the operational, legal and financial consequence of HEIs, hence the ES (Neave 1988) must be obligatory.

#### ***6.2.5 Shortcomings of Study***

The research study was hampered initially in the data collection period when the TED of MOE directed the writer to rely on the NCTE on data concerning steering and policy. Likewise, information concerning financing and power roles of system agencies were scanty. One could understand to some extent but there was an imperative to avoid allowing these challenges to scuttle the progress of work. The recourse was the adoption of triangulation of research methods. Online sources and documents helped a lot to supplement the interview and open-ended questionnaire. The work was constrained by time. One had to nonetheless weather the storm by working in haste but not losing focus.

### **6.2.6 Conclusion**

The trend of governmental steering of HE in Ghana has been tortuous and filled with vicissitudes. It started with collegial governance in the colonial era with the acknowledgement of the state, then to state control characterised by direct state intervention, then to the era of bureaucratic governance symbolised by the NCHE which was eventually scuttled by the acts of the state and HEIs, then to the reversion of state control followed by the drift to market governance adopted by the state in steering TEIs. While this may be symptomatic of inconsistencies on the part of the state, it shows how dynamic the HE sector was and still is. For the new methodologies employed by the regulatory bodies to succeed or fail, only time will tell. Having in mind the history of system steering including the immediate past, one envisages flexibility of mechanisms by the agencies to allow for periodic review and readjustments when needed, well thought-out definition of roles of stakeholders, and cooperation of all stakeholders of HE. Such actions have high likelihood nipping the bottlenecks that have bedevilled HE in Ghana in the bud.

## CHAPTER 7: CONCLUSION

*“It always seems impossible until it’s done”...Nelson Mandela*

This chapter comprises of a synopsis of all the preceding chapters, a brief look at the findings of the research work, the writer’s inputs in the form of recommendations for effective system governance of HE in Ghana and some suggestions for future research based on the research study. The research study as a whole has sought to examine the trends of system governance relative to Ghana’s HE from its provenance to contemporary times.

### 7.1 Synopsis of Preceding Chapters

The first chapter served as a prelude to the research study highlighting the research problem from which the research questions were based, the significance and purpose, (de) limitations and a general outline of the work. Chapter Two described the setting or context of the study that is Ghana: its history, economy, people and culture, geography, educational and HE system were described in brevity. Chapter Three elucidated theoretical and analytical constructs adopted for the study based on conceptual and/ or analytical literature authored by European and American writers. A reflection of the hotchpotch of theories via synthesis was carried out. The fourth chapter discussed and reviewed related literature to the study. Unlike the preceding chapter, it was based on African literatures on the historical evolution of HE in Africa (of which Ghana is a part), showing a fair balance between theoretical models and empirical data. Chapter Five discussed in detail the methodologies adopted for the research and issues associated to it. A conflation of qualitative methods namely, thematic interviewing; documentary sources and open-ended questionnaire were adopted. Issues such as credibility, reliability and ethics as well as what transpired in the data collection process were examined. Chapter Six thoroughly analysed, interpreted and discussed data collected via the aforementioned research methods based on themes from which sifted extracts were chosen. The research questions, literature review and theoretical/ analytical framework were guides in the discussion and analysis.

As this work totters to an end, it is imperative that recommendations for effective governance with particular emphasis at the system level are given based on the findings of the study as well as suggestions for future research hopefully by the writer himself. One’s contribution (s)

to knowledge thus is vital for every researcher and the academic world and in the area of policy making.

## **7.2 Summary of Findings**

The shifts of steering modes at the system level in Ghana from collegial to state to bureaucratic systems largely hampered, then a reversion to state control and then to the status quo of market governance of system agencies with implications for institutional governance guided by market principles, exemplifies the changing dynamics of state-HE relationship in Clark's tri-polar model of integration in HE. It also reflects the findings about the relationship between the two poles – inconsistencies of practice, lack of political will, power struggles, institutional inertia, superficial if not nominal commitment in large terms to policy reforms and lack of unison in the direction to which HE should head towards. In the current state of affairs, HE is characterised and influenced by the proliferation of diverse stakeholders suggestive of the model of corporate pluralism as well as the institution of evaluative mechanisms which tie resources to objectives put in place by system agencies whose membership is made up of various stakeholders. This state-market axis has had implications for governance within the TEIs. Institutional leaders influenced by the (quasi-) market regime are influenced by the mechanisms of the system agencies and indeed utilise market mechanisms in response. A paradoxical situation arises in the sense that the autonomy they enjoy is not the one they use to be armed with in the past but one with responsibility–managerial autonomy– they are free to operate but accountable at the same time to system agencies for funds that are allocated to them and the quality of their institutions and programmes.

Though the crave for the “newly found love” –the market- has not been put to use effectively, it is appropriate for the system agencies and even the institutions to be wary about the tendency for it not to necessarily fulfil desired ends; a look within the context of Ghana should determine which part of the market has to be regulated by the state and the agencies.

### 7.3 Recommendations

The analysis and discussion of data has brought to the fore certain lapses and challenges in system governance of HE in Ghana which need to be tackled urgently and tactfully. Recommendations are given as to the roles the state or government, system agencies and TEIs should play in ameliorating the state of affairs in Ghana HE system. To make system governance meaningful and not merely a nominal and perfunctory exercise, the measures below have to be assiduously taken:

-Government through an L.I. should concretise the power of compliance for the system agencies (the NCTE and the NAB) so that they sanction violating TEIs.

-Regardless of how scanty resources are, government should rise to the occasion to its pursuing responsibilities to TEIs and leave the system agencies to use its funding and budgetary mechanisms to steer the behaviour of the TEIs.

-There should not only be deeper coordination between the TED of the MOE and both the NAB and the NCTE but also between the MOE and MOFEP so that the issues about TE policies match and end up augmenting the efforts of the agencies and TEIs and funding obligations are met timely and in substantially met respectively.

-System agencies especially the NCTE should continue to factor institutional plans in their budgetary and funding methodologies as way of defusing tensions between them and the institutions

-The NCTE can follow the relatively successful efforts of other agencies abroad. They should in particular follow the Research Assessment Exercise's (RAE) basis of funding on rankings of universities on disciplinary research and so forth and do respective rankings on universities, polytechnics, teacher training colleges, etc. One has to add that rankings of TEIs per se do not automatically guarantee efficiency and effectiveness but they stimulate competition among them in order to attract funding and students. Competition to do what is in the public interest is highly desirable and the NCTE together with the TEIs should liaise into coming out with what is in the public interest. However



the NCTE and the TED of the MOE should ensure that in their coordination, the winner-take-all situation should not be a defining characteristic of the TE system where TEIs with large endowments get the lion's share of funds. While not compromising on non-performing TEIs, fiscal provisions should be made for TEIs which perform relatively better with the little funding that they have. Accountability of inputs manifested in outputs should be the name of the game.

-The NAB should conduct regular audits and accreditations of TEIs in parity. Thorough scrutiny of all programmes existing or new and physical facilities of institutions should be done. Ghana's discovery of oil and gas in commercial quantities should arouse the anticipation of the NAB that most TEIs would introduce new programmes about the energy sector (indeed some have already done so). The quality of these programmes whether new or existing, should not be compromised. The rigorous undertaking of audit and accreditation of TEIs by the NAB and their programmes would stimulate them to conduct effective institutional evaluations (peer review assessments). Thus effective institutional evaluations hinge upon effective modus operandi of the NAB at the system level.

-The collaboration of TEIs to the system agencies is vital for a relevant TE system. Autonomy is no doubt important but more important is autonomy that is not insulated and isolated from the public.

-Finally the governance arrangement at the system level, imperfect as it is, should be characterised by dialogue. Areas of divergence between the system agencies and the TEIs on one hand and between the TED of the MOE and system agencies on the other hand can be resolved through dialogue which produces consensus and compromises.

The HE sector is not a monolithic constituency but has diverse stakeholders both from within and without, diverse impacts on participants. Issues of conflict of TEIs' autonomy and the urgency for meeting societal development do occur but can be bridged if the sector is comprehended well. Gumport (2000) is of the view that HE is both a social institution and an

industry. The sector's success hinges on how far the various stakeholders seek a *modus vivendi*.

#### **7.4 Suggestions for Further Research**

The study provides a rostrum for the undertaking of research in dimensions of governance in TE in Ghana. The following suggestions in the form of questions are worth considering:

- How institutional governance structures like the Councils, Senates or Academic Boards or executive leadership have steered TEIs after the tertiary education reforms?
- What have been the institutional responses to redefined system governance in Ghana's TE following the reform?
- How have TEIs played their societal roles after the tertiary education reforms?
- What have been the effects of New Managerialism or NPM (if any) in Ghana's TEIs?

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## APPENDICES

### APPENDIX A: OPEN-ENDED QUESTIONNAIRE TO THE NAB SENT VIA FAX

SENDER: FRED BOATENG

ADDRESS: OLAV M TROVIKS VEI 48 H0203

0864, OSLO, NORWAY

INSTITUTION: UNIVERSITY OF OSLO

MOBILE. +4745062393

EMAIL (S). [kofibee27@gmail.com](mailto:kofibee27@gmail.com)

[fredboateng24@yahoo.com](mailto:fredboateng24@yahoo.com)

RECIPIENT: THE EXECUTIVE SECRETARY

THE NATIONAL ACCREDIATATION BOARD

No. 6 BAMAKO STREET, EAST LEGON

P. O. BOX CT 3256

CANTONMENTS, ACCRA

GHANA

FAX No. +233-21-518629

Dear Sir,

I am Fred Boateng, a student of the University of Oslo working on a thesis with the topic:

“STATE-HIGHER EDUCATION DYNAMICS IN GHANA IN HISTORICAL AND CONTEPORARY PERSPECTIVES”

I was in Ghana late last year to collect data for a topic concerning the National Council for Tertiary Education but my supervisor was replaced with a new one who suggested that I write a thesis on national governance structures of Higher Education, hence the topic above. Due to financial constraints, I am not able to come to your organisation for an interview. I have



resorted to use questioning through fax system, which I acknowledge not to be the most appropriate way of contacting you. To this, I apologise and state that it is due to factors beyond my ability. I respectfully count on your cooperation. Below are the questions.

1. What necessitated the setting up of the National Accreditation Board (NAB)?
2. Which organisation(s) preceded the NAB?
3. Which law brought forth the NAB as a statutory organisation?
4. The word “accreditation” from the NAB gives a hint about the functions of the NAB. Can you describe the functions of your outfit?
5. How many institutions has the NAB accredited as at now?
6. How are they categorised?
7. Are there standard criteria for the accreditation of institutions and their programmes? If yes explain your answer.
8. How do you ensure compliance to your regulations from the institutions?
9. Have there been occasions where there have been problems between NAB and institutions over your functions of assuring quality? If yes, please explain.
10. What is the level of coordination between the NAB and other national governance bodies of higher education?
11. Is there a national policy that you look up to when accrediting programmes of the institutions? If yes, explain answer.
12. The discovery of oil and gas in commercial quantities in Ghana has prompted a lot of institutions to come out with programmes related to the energy industry. How are you ensuring that these programmes are of high quality?
13. Do you face any interference in your functions from any bodies? If yes, which bodies and on what issue?
14. You can make additional information concerning my topic if any.

THANK YOU!

## APPENDIX B

NAME: FRED BOATENG

INSTITUTION: UNIVERSITY OF OSLO

DEGREE: M. PHIL, HIGHER EDUCATION

EMAIL: kofibee27@gmail.com

Dear Emmanuel,

Thank you for giving me the feedback concerning my request. I am most grateful. I studied the answers you gave and I have some follow-up questions to ask you concerning the operations of the NAB. They are seen below.

1. What authority does recommendations made by NAB to institutions and/ or government carry?
- 2 How seriously are the recommendations made by the NAB taken?
- 3 Does the NAB have power of compliance to enforcing it functions?
- 4 Has there been an occasion when you have sanctioned any institutions for non-compliance or low standards? If yes which institution(s) and on what issue?
- 5 Distinguish between internal quality assessment and external quality assessment
- 6 What are the methodologies and models that the NAB uses the 2 quality assessments?
- 7 Is the application of the models uniformly used to all tertiary institutions? If not explain the disparity.

8 How does the NAB monitor performance indicators?

9 What is done if anomalies are detected in monitoring performance indicators?

THANK YOU.

## **APPENDIX C: NCTE INTERVIEW GUIDE**

1. What prompted the setting up of the NCTE?
2. Which organisation (s) preceded the NCTE?
3. Which law brought forth the NCTE as a statutory body?
4. Please explain in details the functions of the NCTE as stipulated by law?
5. What process goes into the allocation of funds to TEIs by government and your outfit?
6. What have been the budgetary and funding mechanisms and their components that guide the allocation of funds?
7. What are the methodological bases of these mechanisms?
8. How different are these mechanisms from past buffering organisations?
9. What framework is in place to ensure that the TEIs account for the funds in line with the mechanisms devised by your outfit?
  - i. How deterring is sanctions meted out to violating TEIs?
  - ii. What are the rewards or incentives given to TEIs which meet performance indicators?
10. Describe in detail your relationship with the government or MOE?
  - i. In what areas are there conflicts, compromises and/ or consensus?
11. Describe in detail your relationship with TEIs?
  - i. In what area are there conflicts, compromises and/ or consensus?
12. How would you assess your buffering role?
13. What are the challenges you face in undertaking your functions?
14. You can make any additional submissions concerning the topic.

## **APPENDIX D: THE NEW CHARTER**

### **NATIONAL COUNCIL FOR TERTIARY EDUCATION**

#### **INTRODUCTION**

We are the National Council for Tertiary Education, established by Act 454, 1993 as a supervisory body of Tertiary Education in Ghana.

#### **VISION**

Leading Tertiary Education to New Heights.

#### **MISSION STATEMENT**

The NCTE is devoted to providing leadership in the direction, functions, role and relevance of tertiary education in Ghana.

#### **FUNCTIONS**

The functions of Council as contained in Section 2(1) of Act 454 are:

- (a) to advise the Minister on the development of institutions of tertiary education in Ghana;
- (b) to enquire into the financial needs of the institutions of tertiary education and advise the Minister accordingly;
- (c) to recommend to the Minister for the purpose of the preparation of annual national education budget;
  - (i) block allocations of funds toward running costs; and
  - (ii) grants towards capital expenditureOf each institution of tertiary education, indicating how the allocations are to be disbursed;

- (d) to recommend national standards and norms, including standards and norms on staff, costs, accommodation and time utilization for the approval of the Minister and to monitor the implementation of any approved national standards and norms by the institutions;
- (e) to advise governing councils of institutions of tertiary education on suitable measures for generating additional funds for their institutions;
- (f) to advise the institutions of tertiary education on the applications for and acceptance of external assistance in accordance with government policy;
- (g) to advise the Minister generally on rates of remuneration and other conditions of service of staff of the institutions;
- (h) to publish information on tertiary education in Ghana; and
- (i) To perform any other functions relating to tertiary education as are incidental to the functions specified in this Act.

**WE ARE RESPONSIBLE FOR:**

- Considering applications for the introduction of new programmes in tertiary institutions and advising on their relevance for national development;
- Advising on the establishment of norms for effective management of tertiary institutions and monitoring their performance;
- Preparation of composite budgets for the tertiary sector;
- Presentation of the tertiary sector budget to the Ministry of Finance and Economic Planning and to the Parliamentary Select Committee on Education;
- Processing inputs for the release of subventions;
- Disbursement of approved subventions to tertiary institutions;

- Collection of and submitting monthly returns on subvention and internally generated funds from the institutions to Ministry of Finance and Economic Planning and the Controller and Accountant Generals Department;
- Preparation of Annual budget reports of the tertiary sector;
- Collection of data from tertiary institutions and publishing annual statistical digest;
- Facilitation of negotiations for salaries and Conditions of Service for staff of Universities and Polytechnics;
- Providing information on tertiary education to local and international stakeholders;
- Coordination of donor projects involving the entire tertiary sector such as Teaching and Learning Innovation Fund (TALIF) with the World Bank support;
- Liaison between tertiary institutions, government and other stakeholders on tertiary education issues;
- Publishing information on tertiary education in Ghana; and
- Organization of orientation workshops on leadership development for newly appointed heads of institutions and in governance for newly appointed Council members.

## **OUR SERVICE STANDARDS**

### **We shall render the following services within time- frame**

<ul style="list-style-type: none"> <li>• Submit composite budget to Ministry of Education Science and Sports</li> </ul>	<ul style="list-style-type: none"> <li>• Within four (4) working days of submission by the institutions</li> </ul>
<ul style="list-style-type: none"> <li>• Issue subvention cheques.</li> </ul>	<ul style="list-style-type: none"> <li>• Within four (4) working days of release of subventions by the Controller and Accountant General Department</li> </ul>
<ul style="list-style-type: none"> <li>• Submit monthly returns to Ministries of Education Science and Sports/Finance and Economic Planning and Controller and Accountant General Department</li> </ul>	<ul style="list-style-type: none"> <li>• By 15<sup>th</sup> of each month</li> </ul>

<ul style="list-style-type: none"> <li>• Process certificates to GETfund</li> </ul>	<ul style="list-style-type: none"> <li>• Within seven (7) working days of receipt</li> </ul>
<ul style="list-style-type: none"> <li>• Convene meetings of Standing Joint Negotiation Committees.</li> </ul>	<ul style="list-style-type: none"> <li>• Within fourteen (14) working days of receipt of mandate</li> </ul>
<ul style="list-style-type: none"> <li>• Respond to requests for information</li> </ul>	<ul style="list-style-type: none"> <li>• Local- Within (5) working days</li> <li>• International – Within (7) working days</li> </ul>
<ul style="list-style-type: none"> <li>• Respond to submission of articles for publication</li> </ul>	<ul style="list-style-type: none"> <li>• Within five (5) working days after reviewers comments.</li> </ul>
<ul style="list-style-type: none"> <li>• Payment for completed TALIF projects</li> </ul>	<ul style="list-style-type: none"> <li>• Within five (5) working days of approval</li> </ul>
<ul style="list-style-type: none"> <li>• Annual Report</li> </ul>	<ul style="list-style-type: none"> <li>• By April each year</li> </ul>
<ul style="list-style-type: none"> <li>• Publication of Statistical Digest</li> </ul>	<ul style="list-style-type: none"> <li>• By July of each year</li> </ul>

**WE STRIVE TO:**

- Promote attractive options within tertiary education.
- Facilitate the development of a clear and widely acceptable definition of tertiary education.
- Provide professional advice and policy inputs based on sound information and reliable data.
- Exploit the full potential of linkages with industry/business and other stakeholders
- Establish mechanism for monitoring , evaluation and review of standards and norms
- Promote effective advocacy on the role of tertiary education in socio-economic development



- Provide strong resource mobilization drive
- Build expertise in tertiary education planning and management
- Build capacity of Council and Secretariat for continued improvement in our service delivery.

### **COURTESY AND COOPERATION**

- Our reception is friendly and cordial with mutual respect.
- We maintain intercom services that link one staff to the other to promote efficient service delivery.
- Our telephone reception is available throughout working hours.
- One is sure to receive prompt attention without having to wait for more than ten minutes.
- You can have printed materials/ data on a number of tertiary education issues.
- One may visit our Publications Centre and read materials on tertiary education
- One needs not necessarily visit our office for all information. One may fax or ring for the information or visit our website.

### **INFORMATION, TRANSPARENCY AND CONVENIENCE**

- We provide reliable information and publish up-to-date data on the sub-sector to all stakeholders at no cost.
- We engage in dialogue to solve problems.
- We will establish a client service unit as front desk to facilitate client's requests.
- We will put in place a suggestion box to improve on our services
- We will provide an effective website and place a number of information on tertiary education for ease of access.
- We will provide an effective website and place a number of information on tertiary education for ease of access.

## **WHAT WE EXPECT FROM THE PUBLIC**

We expect the public to:

- Ensure that they deal with staff mandated by Council by asking of identity.
- Route requests through appropriate channels.
- Be precise with requests for information and for the purpose for which it will be used.
- Ensure that official written communication is lodge at the Registry in the first instance.
- Be candid in dealing with Management or staff.

## **OTHER COLLABORATING AGENCIES**

We collaborate with:

- National Accreditation Board
- National Board for Technician and Professional Examinations.

## **COMPLAINTS AND COMMENTS**

If you have a complaint or a comment, you may submit it to:

The Executive Secretary

## **OUR CONTACTS**

Address

P.O. Box MB 28

Accra

Office location: 1<sup>ST</sup> Roman Ridge Road,

Bungalow No, 27

Tel. 233 (21) 770195/96/97/98

770173/74/75

Fax: 233 (21) 770194

Website: [ncte.ug.edu.org](http://ncte.ug.edu.org)

As a final resort you may appeal to

The Charter Office

C/o Office of the President

Ministry of Public Sector Reform

Accra

Tel 021684086/671359/Fax: 671358