



# **Accomplishments of the Partnership for Higher Education in Africa, 2000–2010**

Report on a decade of collaborative foundation investment



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# **Accomplishments of the PHEA, 2000–2010**

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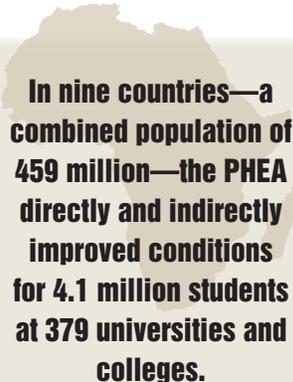


## Introduction

In 2000, Carnegie Corporation of New York, Ford Foundation, the John D. and Catherine T. MacArthur Foundation, and The Rockefeller Foundation launched the Partnership for Higher Education in Africa (PHEA) to coordinate their support for higher education in Africa.

The Partnership was a response to trends of democratization, public policy reform, and the increasing participation of civil society organizations in a growing number of African countries. Countering the conventional wisdom that prevailed among funding organizations and governments, the foundations argued that Africa's future rests with the development of its intellectual capital through strong higher education systems, not just with the development of basic education. The PHEA represents both a belief in the importance and viability of higher education to social and economic development in Africa and a mechanism to provide meaningful assistance to its renaissance. At its establishment, the PHEA foundations pledged \$100 million over five years. By the end of that period, in September 2005, the four partners had made grants totaling \$191 million.

The PHEA was re-launched for a second five year period in 2005, with the founding four joined by The Andrew W. Mellon Foundation and The William and Flora Hewlett Foundation. A renewed commitment was announced, along with a pledge to invest an additional \$200 million in African higher education. In 2007, The Kresge Foundation, the seventh foundation partner, joined the PHEA.



**In nine countries—a combined population of 459 million—the PHEA directly and indirectly improved conditions for 4.1 million students at 379 universities and colleges.**

The 2005 pledge was once again surpassed. Altogether, the PHEA grants totaled \$440 million over the ten years, \$140 million above the pledges. As projected, in January 2010 the PHEA concluded its work, but not before a decade of cooperative grantmaking and considerable accomplishments in African higher education. However, with all seven partner foundations having reaffirmed their ongoing commitment to African higher education, foundation program staff will continue to exchange information, learn from each other, and explore opportunities to move forward with the transformation process. Particular attention will focus on developing and retaining the next generation of African academics, an area that resonates with a critical mass of the PHEA foundations and forms the focus of several new individual foundation strategies.

The PHEA focused support in nine African countries: Egypt, Kenya, Uganda, Tanzania, Madagascar, Mozambique, South Africa, Nigeria, and Ghana. These countries have a combined population of 459 million. In a continent with a tertiary education enrollment ratio of only 3%, the PHEA has, directly and indirectly, improved conditions for 4.1 million African students enrolled at 379 universities and colleges.

This report from the PHEA Secretariat aims to capture the key accomplishments, summarize each foundation's investments, and convey a sense of the contributions each foundation made to the collective effort. The PHEA will publish two additional publications to commemorate ten years of support to African higher education. The first, a case study of the PHEA, will capture the lessons of this funder collaborative for the philanthropic community. The second publication is an anthology of stories from a wide range of people directly affected by PHEA grantmaking and will answer the question, "What has changed in African higher education in the last ten years as a result of PHEA support?"

It is hoped that documenting the PHEA's efforts will encourage other stakeholders, particularly funders, governments, and university partners, to actively engage in supporting the ongoing transformation of African higher education. While much has changed in the past ten years, many challenges remain.



## Overview of PHEA Investment

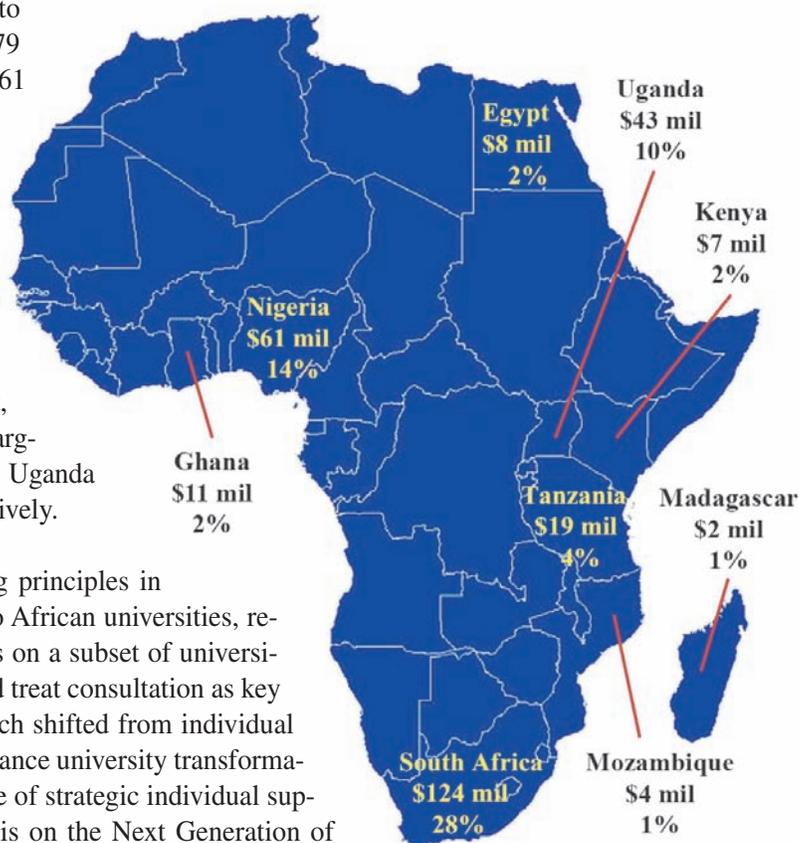
Figure 1 shows the distribution of PHEA grants across the nine countries intended to benefit. This map represents only 63% (\$279 million) of PHEA grants; another 37% (\$161 million) had “Multi-country” benefits,<sup>1</sup> most of which (\$114 million) were for “Africa-wide” initiatives or resources.

Overall, South Africa was the largest single-country beneficiary of PHEA grantmaking. This is largely because five of the seven PHEA foundations were active here. For Carnegie, Ford, Hewlett, Kresge, and Mellon, South Africa was the largest single-country recipient. Nigeria and Uganda followed, capturing 14% and 10%, respectively.

The PHEA worked with several operating principles in mind. It aimed to provide direct support to African universities, respond to African university demand, focus on a subset of universities (going deeper rather than broader), and treat consultation as key to effective support. PHEA priorities, which shifted from individual support to institutional development to advance university transformation, continues to recognize the importance of strategic individual support, as reflected in the renewed emphasis on the Next Generation of Academics.

The evidence suggests considerable, but not complete, success in staying true to these principles. \$370 million of support (84%) went directly to African grantees, including \$243 million in direct support to African universities and colleges (Figure 2). In responding to university demands, grants for institutional development usually supported priority areas identified by the universities themselves. Of the 65 African universities and colleges supported, a subset of 27 received \$1 million or more, with seven universities receiving over \$10

**Fig. 1 Countries Benefiting from PHEA Grants**



<sup>1</sup> “Multi-country” can include a group of countries, a region of Africa, or “Africa-wide” grants, a term which applies mainly to PHEA Joint Initiatives and to resources intended to serve the entire continent.

million each. African regional networks for postgraduate training and research were the second largest type of grantee, receiving \$60.5 million in total. Thirteen networks received over \$1 million each.<sup>2</sup>

These targeted investments in a subset of universities and networks demonstrate the PHEA principle of going deeper rather than broader. Two University Leaders’ Forums, numerous consultative meetings, and several task forces over the ten-year span highlight the PHEA’s commitment to consultation. Finally, the considerable support for individual fellowships, scholarships, and leadership training was generally administered by universities and their faculties, in line with their institutional and staff development plans. The vast majority of the PHEA investment sought university transformation via the development and improvement of academic programs, institutional systems, physical infrastructure, and university connectivity.

**Fig. 2 Grant Distribution by African Grantee Type**

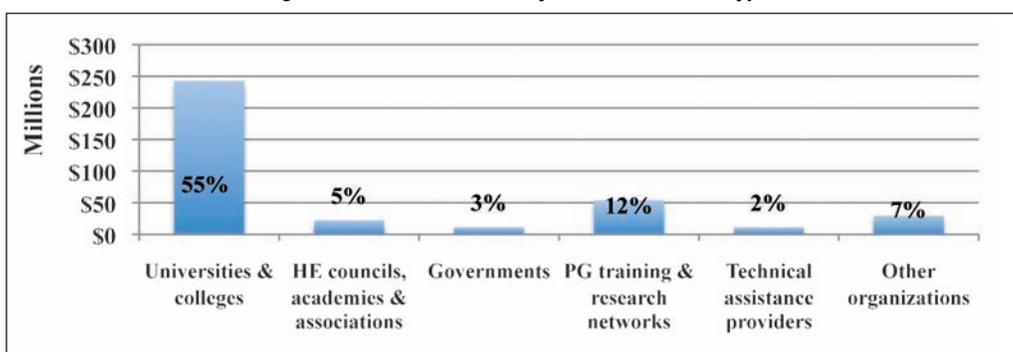
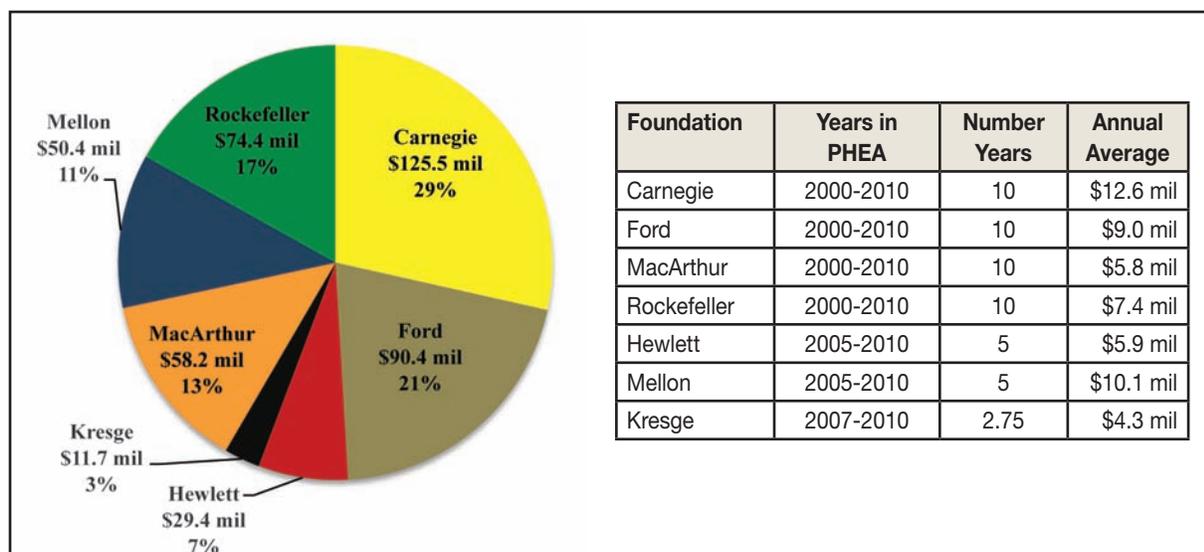


Figure 3 indicates the contributions of each foundation to the \$440 million investment total. Grantmaking by the four foundations that established the PHEA contributed 69% of the ten years’ support while Mellon had the second highest average annual contribution.

**Fig. 3 Investment by Foundation**



2 See Technical Annex 3 for major grantee lists of universities and postgraduate training and research networks.



# Accomplishments of the PHEA

The PHEA's main accomplishments are:

- I. Enduring improvements in African higher education
- II. Increased resources for African universities
- III. Collectively adding value beyond what individual foundations could do
- IV. Enhanced individual foundation efforts

The report finishes with suggestions for future directions in which it is hoped others will proceed.

## I. Enduring Improvements in African Higher Education

With an investment of \$440 million across 65 universities and 25 regional postgraduate training and research networks, there are too many enduring improvements to list, but the Secretariat has identified the PHEA's "Top 10" accomplishments as:

1. The **Bandwidth Consortium (BWC)**, a signature PHEA initiative, "saved" **universities \$19.7 million** in its first three years and laid the foundation upon which many other capacities could be built. This savings equals 3.5 times the PHEA investment of \$5.5 million for subsidized bandwidth and the administrative and technical support of the BWC unit. The lower cost afforded through the Bandwidth Consortium allowed universities to increase their purchase from an aggregated 12 to 72 Mbps, thus ensuring that African universities were not left behind by their peers overseas. Purchases increased further with the ending of the PHEA subsidy in 2008.
2. **Universities developed the capacity to manage their IT networks.** At 12 universities and research institutions, the Africa Network Operators' Group (AfNOG) assessed training needs and then helped 36 network engineers acquire specialized skills in bandwidth management, scalable networks, and services. A community of professionals across African campuses now exists, providing technical and other support for each other.
3. **Seven universities<sup>3</sup> are implementing action plans to use educational technology to improve teaching and learning,** through the PHEA Educational Technology Initiative (ETI). Projects include deploy-

**The Bandwidth Consortium helped African universities save millions of dollars in connectivity costs, allowing them to purchase six times the bandwidth they had been purchasing before for the same price.**

<sup>3</sup> The seven ETI university partners are University of Ibadan, University of Jos, Kenyatta University, Makerere University, Universidade Católica de Moçambique, University of Dar es Salaam, and University of Education, Winneba. They are working with the South African Institute for Distance Education (SAIDE) and the Centre for Educational Technology (CET) at the University of Cape Town.

ing learning management systems, developing digital content for health sciences, engineering, and other fields, creating multi-media “tele-classrooms,” exploring mobile phones and radios for distance learning, digitizing dissertations and past exams, developing student e-portfolios, and studying the effect of gender on educational technology use. The ETI has built a community of practice across seven universities that is advancing African knowledge creation and capturing lessons for other universities.

4. **Gender equity in enrollment and graduation rates improved.** On a continent where men overwhelmingly outnumber women in higher education, Makerere University and the University of Dar es Salaam developed selection systems to attract female students from secondary schools and remote regions. An on-campus counseling system was also created for women scholarship holders. The University of Dar es Salaam moved from 5% female enrollment in the early 1990s to 30% in 2009, with particular progress in the sciences, engineering and mathematics. Female undergraduate engineering students increased from 7% to 16% over the same time horizon.



**PHEA programs supported the enhancement of higher education opportunities for women and other marginalized groups across the nine partner countries.**

5. **Strategies to increase university access for marginalized groups are in place.** The first generation of certified black South African accountants was produced through a new degree program of Universities of Johannesburg (formerly Rand Afrikaans University) and Fort Hare. In Nigeria, the University of Ibadan is using distance learning programs to extend university access to marginalized groups, and in Egypt, Cairo University established a new Professional Training Program for Skills Development and a Career Advising Center.
6. **Policy research and advocacy for African higher education expanded.** The PHEA helped to build a stronger empirical base on African higher education to support effective advocacy and policy reform. Most significantly, the PHEA funded the establishment of the Higher Education Research and Advocacy Network (HERANA), now an active network of researchers in eight African countries conducting cross-national policy research on higher education. HERANA initiatives include:
  - a. *University World News (UWN) Africa*, which is now a premier media source with a network of 14 African journalists reaching 11,076 biweekly (6,000 in 34 African countries). The global *University World News*, including the Africa edition, has an average 86,431 website visitors per month and an average of 549,005 pages viewed per month.
  - b. The HERANA Gateway indexes 17 academic sites for research and data on African higher education. Two thousand unique visitors from 108 countries used the website in 2009 and 68% made return visits.
  - c. Cross-national higher education performance indicators were developed for South Africa’s 23 universities and for other major universities in the eight HERANA countries.
7. **University physical infrastructure was strengthened** through the modernization of equipment and the construction of laboratories and other facilities to help ensure high quality research. In Nigeria: the University of Ibadan built and equipped its Multidisciplinary Research Laboratory; Obafemi Awolowo University built its Central Science Laboratory to pool equipment and improve research production and postgraduate training; and the University of Port Harcourt’s new central administrative block serves as the campus’s nerve center. The University of Ghana developed a home for its Environmental Science

Program and its Learning Resource Center Facility. Moi and Egerton Universities in Kenya built biotechnology laboratories for work on food security, environmental conservation and health. In South Africa, a new Life Sciences Building was supported at the University of the Western Cape, and a new School of Public Health building was constructed at the University of the Witwatersrand.

8. **Universities established new and more efficient systems** for strategic planning, financial management, quality assurance, library automation, and resource mobilization. In Mozambique, the University of Eduardo Mondlane put into operation a new decentralized system of administration and finance. Six South African, one Ghanaian, and five Nigerian universities strengthened their fundraising capacities through new or expanded Advancement Offices. Eighteen partner universities, including all six Nigerian partners, developed automated library management systems and built digital holdings. Hundreds of women benefited from higher education leadership training at the HERS-SA Academy, and several model initiatives were created to strengthen gender equity by incorporating gender concerns into the university's curriculum, research, and administration.

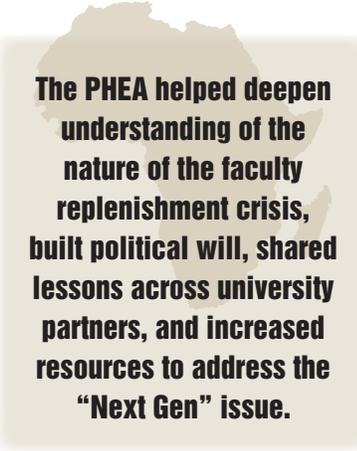
9. **African institutions were strengthened to respond to development needs and create high level talent.** PHEA universities created new or substantially revised programs to increase the relevance of university research, teaching, and learning to national problems. These efforts introduced new academic programs, modernized or developed new curricula, and led to pedagogical innovations such as courses involving community outreach and problem-focused, field-based learning. In Egypt, the Assiut University Faculty of Law established a training program to build a human rights culture and promote the concept of voluntary action among the university's students. In South Africa, the Universities of Pretoria and the Western Cape established a master's degree program in International Trade and Investment to develop sub-Saharan Africa's international negotiations capacity.



**African institutions such as the South African Institute for Distance Education (SAIDE), the Centre for Higher Education Transformation (CHET), South African Institute for Advancement (Inyathelo), and the Southern Africa Research and Innovation Management Association (SARIMA) were strengthened and will serve the continent for years to come with locally based knowledge and insights.**

10. **Stakeholders are beginning to address the crisis of the Next Generation of African Academics.** Following the November 2008 University Leaders' Forum in Accra, 23 university leaders committed themselves to addressing institutional and national policy constraints to faculty replenishment. South Africa's university leaders' organization (HESA) is developing a national strategic framework for NGA. Postgraduate training capacity is expanding at universities and through regional networks.<sup>4</sup> In Nigeria, the University of Ibadan

4 Regional networks with increased postgraduate training capacity include the African Economic Research Consortium (AERC), which trained 1,500 mid-level economic managers and policy analysts. 71% of the 53 PhD graduates have stayed in African universities, with another 123 in the pipeline. The Regional University Forum for Capacity Building in Agriculture (RUFORUM) has trained 300 MSc and 6 PhD graduates since 2004, strengthened members' postgraduate programs, and helped many universities engage in internationally competitive, cutting-edge agricultural research. The University Science, Humanities, and Engineering Partnerships in Africa (USHEPiA) has trained 38 graduates since 1996, with 33 currently pursuing graduate degrees, and 145 benefiting from academic staff exchanges. With lower unit costs than equivalent schemes in Europe or North America, 100% of USHEPiA's fellows have remained in Africa. The Regional Initiative in Science and Education (RISE) networks have 86 postgraduates and 6 postdocs, most of whom will remain in research and teaching positions in home universities.



**The PHEA helped deepen understanding of the nature of the faculty replenishment crisis, built political will, shared lessons across university partners, and increased resources to address the “Next Gen” issue.**

increased faculty with PhDs from 50% in 2001 to 62% by 2007. The university’s overseas training and re-entry grants for junior faculty has maintained a 100% return rate. Bayero University, Kano, supported 20 faculty members to pursue PhDs, while the University of Port Harcourt supported 63. The University of Antananarivo Staff Development and Academic Linkages program is improving the quality of teaching staff through support to junior faculty. The African Gender Institute’s Associate Program has provided up to three months of protected time for writing to approximately 100 scholars of women and gender studies and supported conceptual and methodological tools for African feminist writers and researchers.

## **II. Increased Resources for African Universities**

Through its advocacy and grantmaking, the PHEA influenced the work and priorities of other international funders, African governments, and private individual and corporate donors.

- The founding four foundations’ leadership attracted three additional foundations, which collectively invested \$91.5 million in the PHEA’s Phase 2.
- MacArthur’s support for strong universities and engagement with policymakers contributed to the Government of Nigeria’s increased financial support for higher education from \$105 million in 1999 to \$676 million in 2007, with a 439% increase in per capita student expenditure. The Government’s renewed commitment to strengthening leading higher education institutions is further demonstrated by a new \$235 million investment in six leading universities, announced in 2009.
- The PHEA case study of higher education in Mozambique was used by the government and the World Bank in designing a \$60 million loan, which has in turn enabled the Ministry to leverage major support from the EU, Sida/SAREC and the Dutch bilateral agency.
- The building of advancement and fundraising capacity in universities in Nigeria, Ghana, Uganda, Tanzania, and South Africa has led to substantial new resources from alumni, board members, staff, corporations, foundations, trusts, and bequests. In 2009, Kresge’s five South African partners raised \$50 million collectively, up from the \$8 million four of them collected in 2006. The University of Port Harcourt has raised \$27 million through its new University Advancement Center.
- Ford and Rockefeller’s support to Kenya Education Network Trust (KENET) for e-readiness assessments in 17 Kenyan higher education institutions helped KENET establish its reputation and secure a \$19 million grant from the Government of Kenya’s ICT Board for bandwidth expansion for its members. KENET used the e-readiness results to determine bandwidth requirements for its members.
- Rockefeller’s \$13 million investment in Innovations at Makerere (I@Mak) leveraged an additional \$5 million from the World Bank.
- PHEA grants of \$1.36 million for the establishment of the Higher Education Research and Advocacy Network in Africa (HERANA) leveraged an additional \$1 million from the Norwegian Agency for Development Cooperation (NORAD) for the Higher Education Masters in Africa program.

- The PHEA helped lay the groundwork for the development of the UbuntuNet Alliance, the regional tertiary education and research network promoting connectivity in eastern and southern Africa. A recent PHEA grant of \$140,000 leverages almost four times that amount of EU funding for Phase One of Africa Connect, an initiative to build a strong African terrestrial fiber backbone for research and education networking.
- With Carnegie support for its e-learning initiative in mathematics, the University of Jos leveraged additional funds from Hewlett-Packard and the World Bank STEP-B loan while being lauded as an “example of the best practice for scaling.”
- The PHEA has helped change the terms of the debate on educational investment in Africa. Through numerous forums, including PHEA-sponsored meetings, PHEA has engaged in exchanges with the World Bank and bilateral agencies. Through its active engagement in the Africa Grantmakers Affinity Group (AGAG), the PHEA has influenced the perspectives and priorities of many other philanthropic organizations.



**The PHEA's commitment to consultation with African grantees helped change the terms of the debate on educational investment in Africa.**

### **III. Collectively Adding Value Beyond What Individual Foundations Could Do**

One of the PHEA's goals was to add value beyond what foundations could do separately. This added value took the form of financial resources, influence, reach, and joint Africa-wide initiatives.

- Together the foundations had greater voice and convening power in advocating for African higher education issues, such as the importance of low cost connectivity, the need for new higher education financing models, and the crisis of faculty replenishment.
- The foundations tackled several large initiatives that individual foundations could not undertake alone. These included:
  - Bandwidth Consortium
  - The Educational Technology Initiative
  - The Higher Education Research and Advocacy Network in Africa
  - *The Journal of Higher Education in Africa*
  - The University Leaders' Forums
- Several of the foundations invested more resources than they would have if they had not been part of the PHEA. Most notably, the seven partners surpassed the \$300 million pledge by \$140 million. In addition, the Ford Foundation created an internal initiative, the African Higher Education Initiative, with a biennial allocation from the Board of Trustees and incentives for co-funding across Ford Africa offices. The level of Mellon Foundation grant making in South Africa has been consistent with the Foundation's long-term commitment to the country, independent of the PHEA.
- Joint grantmaking increased over time. Between 2000 and 2004, joint grants amounted to 10% of the grantmaking, ranging from 5-14% per annum. In the second five years, 18% of the grantmaking was made jointly, rising as high as 25% in 2008. The founding four increased their joint grantmaking but even more importantly, the new foundation partners constituted 29% of the joint grants in Phase 2 (\$19 million).

- Individual foundation programs were opened up to other foundations' grantees. For example, MacArthur funded science infrastructure audits at Carnegie and Rockefeller grantee-universities. In South Africa, the Kresge-funded 3rd Stream Income Conference included Kenyan, Ghanaian and Nigerian grantees of Carnegie, Ford, MacArthur, and Rockefeller.



**Together, the foundations tackled several large initiatives for university connectivity, e-learning, research, and advocacy on key African higher education issues.**

#### **IV. Enhanced Individual Foundation Efforts**

While partner foundations maintained autonomy to pursue their priorities,<sup>5</sup> being part of a collaborative helped improve foundation effectiveness in several ways:

- PHEA initiatives complemented individual foundation grants. For example, foundations' investments in campus ICT infrastructure allowed universities to use the faster and lower cost connectivity available through the Bandwidth Consortium. Together, students, faculty, and staff gained improved internet access.
- PHEA joint work contributed to the development of new foundation strategies. For example, the PHEA consultations on Next Generation of Academics (NGA) informed the development of new NGA strategies at Carnegie, Ford, and MacArthur, and reinforced existing strategies at Kresge and Mellon.
- Through the exchange of information, ideas, and contacts, foundations developed expertise in the PHEA focal areas. In particular, program staff developed expertise in Information and Communication Technologies (ICT), Higher Education Research and Advocacy, and Next Generation of African Academics, especially the potential of Regional Postgraduate Training and Research Networks.
- Small and large co-funding opportunities emerged outside of PHEA initiatives. For example, Hewlett and Rockefeller supported INDEPTH, the demographic research network; Carnegie and Ford supported the new postgraduate training network, the Consortium for Advanced Research Training in Africa (CARTA); and Kresge and Mellon supported the accelerated faculty development program at Rhodes University.

#### **V. Future Directions: Where Do We Hope Others Will Go?**

As this phase of PHEA ends, we encourage others to join the ongoing efforts of the seven foundations to support the strengthening of African higher education systems, particularly through direct assistance to African universities identifying and designing solutions to their own challenges and opportunities.

Top among these challenges is the recruitment, development, and retention of the Next Generation of African Academics. Solving the “Next Gen” problem requires highly trained academics working within functional universities and collaboration through networks and other kinds of academic communities. Efforts are needed to strengthen and expand postgraduate capacity, including research productivity, to create institutional policies and practices that nurture junior academics and to adopt national policy and regulatory environments that help build sustainable institutions that serve national development needs.

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<sup>5</sup> For more on individual foundation strategies and grantmaking, please see individual foundation investment reports.

Two policy issues impinging on Next Generation initiatives are the differentiation of higher education systems and the associated reform of higher education financing models. Both can contribute to strengthening the quality and relevance of university research, training, and service. These inter-related issues could be advanced through deeper and more frequent dialogue between government and higher education councils and universities.

Today, it is easier than ever to become familiar with the issues facing African higher education, through such sources as the *University World News: Africa Edition* and the HERANA Gateway.<sup>6</sup> We hope others will join Carnegie Corporation of New York, and the Ford, Hewlett, Kresge, MacArthur, Mellon and Rockefeller Foundations in supporting an Africa-led transformation of higher education systems so that universities might play their vital role in advancing the continent's civil society, economic development, and capacity to address local challenges and opportunities.

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6 Visit *University World News: Africa Edition* at [www.universityworldnews.com/index.php?page=Africa\\_Edition](http://www.universityworldnews.com/index.php?page=Africa_Edition) and HERANA Gateway at [www.herana-gateway.org/](http://www.herana-gateway.org/). Numerous resources on the Next Generation of Academics are also available on the PHEA website, [www.foundation-partnership.org/index.php](http://www.foundation-partnership.org/index.php).



PHEA FOUNDATION INVESTMENT REPORT

# Carnegie Corporation of New York







# Carnegie Corporation of New York

*This report profiles the investments of Carnegie Corporation of New York in African higher education over the ten-year span of the PHEA, from January 2000–January 2010.*

## Carnegie Grantmaking and the PHEA

Carnegie Corporation of New York is one of the four founding members of the PHEA, along with Ford Foundation, the John D. and Catherine T. MacArthur Foundation, and The Rockefeller Foundation. The William & Flora Hewlett Foundation and The Andrew W. Mellon Foundation joined the PHEA in 2005, while The Kresge Foundation joined in 2007.

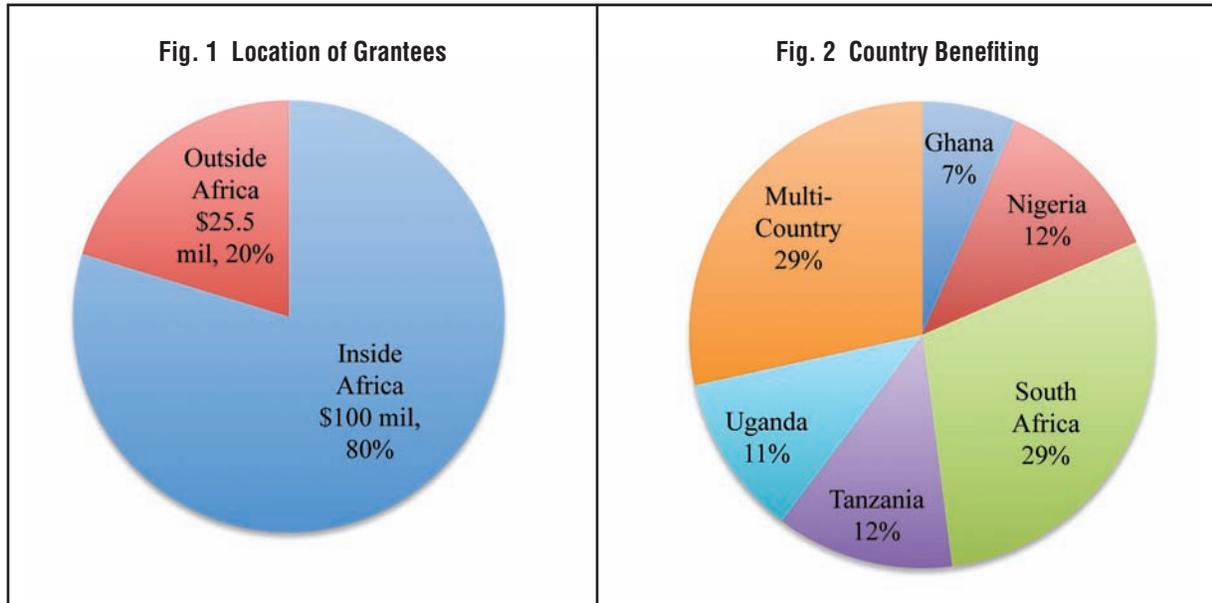
Over the last decade, Carnegie’s grantmaking strategy in African higher education was to support university revitalization and transformation. At each university, a strategic planning process led to the identification of priorities and proposals for the use of Carnegie support. A series of large institutional grants were given to eight major university grantees. A particularly strong focus was on enhancing women’s opportunities in nine universities.

Carnegie was the largest contributor to the PHEA, with 29%, although it was below the average 15% joint grantmaking. The Corporation provided leadership in the areas of Next Generation of Academics, Improving Undergraduate Access, and Information and Communications Technology, including the PHEA Joint Initiatives of the Bandwidth Consortium, Bandwidth Management Training, and the Educational Technology Initiative.

## Snapshot of Carnegie Investment

Total Carnegie PHEA Investment	\$125,509,354	% Carnegie Grants
% of Total PHEA	29%	
Individual foundation grantmaking	\$113.5 mil	90%
Joint PHEA grantmaking	\$12.0 mil	10%
Direct investment in African grantees	\$100.0 mil	80%
Direct investment in 19 African universities and colleges:	\$77.1 mil	61%
• University of Dar es Salaam	\$14.1 mil	11%
• Makerere University	\$13.5 mil	11%
• University of Cape Town	\$10.3 mil	8%
Major countries benefiting:		
• South Africa	\$37.0 mil	29%
• Tanzania	\$15.5 mil	12%
• Nigeria	\$15.0 mil	12%
• Uganda	\$14.1 mil	11%
Investment in enhancing women’s opportunities in African higher education	\$27.7 mil	22%

**What Was the Geographic Distribution of the Investment?<sup>1</sup>**



The graphs above show the geographic distribution of Carnegie’s \$125.5 million in PHEA grants.

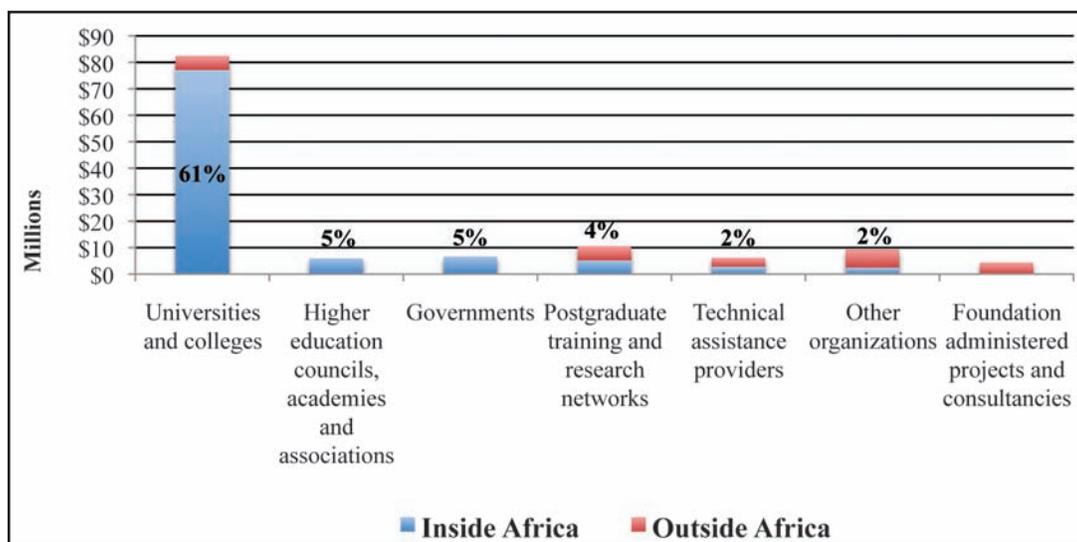
- 80% of Carnegie’s grantees were located inside Africa (Figure 1).
- 13% of Carnegie’s grants had “Africa-wide” benefits (\$16.9 million), represented as part of the “Multi-country” grouping (Figure 2).<sup>2</sup>
- Among the nine PHEA partner countries, South Africa was the largest “single-country” beneficiary of Carnegie support, receiving investments totaling \$37.0 million. This is similar to the PHEA overall, as South Africa received 28% (\$123.9 million) of all PHEA support (Figure 2).
- Tanzania and Nigeria each benefited from 12% of Carnegie investment, while Uganda received 11% (Figure 2).

<sup>1</sup> Geographic distribution of PHEA grants is tracked by the location of the grantee inside or outside Africa and by the country in Africa intended to benefit from the grant.

<sup>2</sup> “Multi-country” can include a group of countries, a region of Africa, or “Africa-wide” grants, a term which applies mainly to PHEA Joint Initiatives and to resources intended to serve the entire continent.

## In What Types of Grantees Did the Foundation Invest?

Fig. 3 Investment by Type of Grantee<sup>3</sup>



At \$77.1 million, universities and colleges inside Africa were Carnegie’s largest type of grantee. An additional \$3.1 million invested in postgraduate training and research networks were based at African universities. Carnegie supported 19 different institutions, fourteen of which received over \$1 million (Figure 4).

Fig. 4 Major University Grantees<sup>4</sup>

	University Grantee	Country	Total	% of Overall Carnegie Investment
1.	University of Dar es Salaam	Tanzania	\$14,065,655	11%
2.	Makerere University	Uganda	\$13,536,500	11%
3.	University of Cape Town (UCT)	South Africa	\$10,283,062	8%
4.	Obafemi Awolowo University	Nigeria	\$7,049,800	6%
5.	University of Jos	Nigeria	\$6,350,000	5%
6.	University of KwaZulu-Natal	South Africa	\$6,313,173	5%
7.	University of the Witwatersrand	South Africa	\$6,268,599	5%
8.	University of Education, Winneba	Ghana	\$5,335,900	4%
9.	University of Ghana	Ghana	\$2,564,300	2%
10.	University of the Western Cape	South Africa	\$1,272,700	1%
11.	Stellenbosch University	South Africa	\$1,200,000	1%
12.	University of Pretoria	South Africa	\$1,150,000	1%
13.	University of South Africa	South Africa	\$1,086,100	1%
14.	University of Johannesburg	South Africa	\$1,000,000	1%

3 Percentages in Figure 3 refer only to Inside Africa grantees as percentages of Carnegie’s overall investment. Another 4% of support to postgraduate training and research networks was for science networks in Africa, although the grantee was US-based.  
 4 Figure 4 totals include support to postgraduate training and research networks based at these universities. For comparative lists of university and network support by foundation, see Technical Annex 3.

Regional postgraduate training and research networks formed Carnegie’s second highest type of grantee, receiving over \$10.6 million, 8% of Carnegie’s investment overall.<sup>5</sup> Carnegie supported nine networks, six of which received over \$500,000 (Figure 5).

**Fig. 5 Main Postgraduate Training and Research Network Grantees**

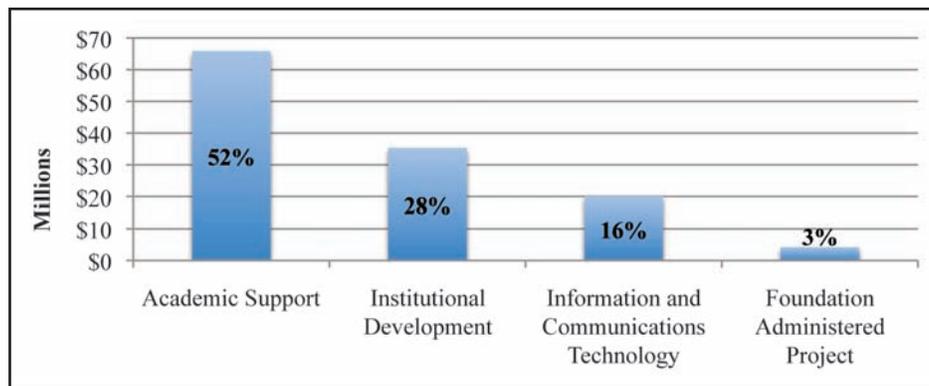
Regional Initiative in Science and Education (RISE Networks) <i>Institute for Advanced Study</i>	\$5,461,200
South African Structural Biology Initiative <i>University of Cape Town</i>	\$1,293,900
Consortium for Advanced Research Training in Africa (CARTA) <i>African Population and Health Research Center (APHRC)</i>	\$1,000,000
Centre for Human Rights <i>University of Pretoria</i>	\$1,000,000
University Science, Humanities and Engineering Partnerships in Africa (USHEPiA) <i>University of Cape Town</i>	\$788,744
African Technology Policy Studies Network (ATPS)	\$500,000
Higher Education Research and Advocacy Expertise Network in Africa (HERANA)	\$500,000

34% of network support was funded jointly with other foundations, including support to CARTA and the South African Structural Biology Initiative with Ford Foundation, and support to USHEPiA and HERANA with many of the PHEA foundations.

**In What Areas Did the Foundation Invest?**

Carnegie’s grants are categorized into four main Areas of Support as shown in Figure 6, below.

**Fig. 6 Investment by Area of Support**



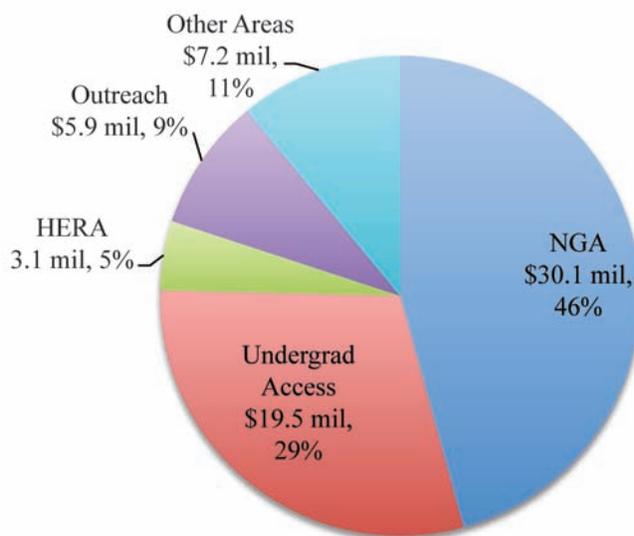
5 Training networks were supported 50% via grantees inside Africa and 50% via grantees outside Africa.

Carnegie invested primarily in the area of Academic Support (\$65.9 million) with another \$35.4 million to Institutional Development. Investments in Information and Communication Technology came to \$20.1 million. Foundation Administered Projects consisted of \$3.5 million invested in Technical Assistance & Evaluation, and \$713,000 in support of the administrative and programmatic activities of the PHEA Secretariat.

## Academic Support

Academic Support made up 52% of Carnegie’s PHEA grantmaking. \$65.9 million was invested in this area, which was divided among five Sub-areas (Figure 7). Of these, Next Generation of Academics (NGA) was the highest, receiving \$30.1. Improving Undergraduate Access was second highest, receiving \$19.5 million. Outreach (university efforts to serve civil society and national social and economic needs) received \$5.9 million, and Higher Education Research and Advocacy (HERA), one of the PHEA focal areas, received \$3.1 million. All but one of these Sub-areas is discussed below. Carnegie’s effort to improve undergraduate access was through women’s scholarships and this is discussed below as part of special section on Enhancing Women’s Opportunities in African Higher Education.

Fig. 7 Academic Support by Sub-areas



### Next Generation of Academics (NGA)

Carnegie’s NGA-grantmaking centered on supporting postgraduate training and faculty retention at universities (\$14.2 million) and postgraduate training networks (\$8.5 million). Nine universities received support for postgraduate program development, postgraduate scholarships, professional development of junior faculty, and postgraduate research and training. Carnegie also invested \$12.4 million in programs to advance gender and racial equity in faculty training at three South African institutions: the Universities of Cape Town, KwaZulu-Natal, and Witwatersrand. Regional networks were supported for postgraduate program development and training, particularly in scientific disciplines. These included USHEPiA, the South African Structural Biology Initiative, and the five RISE Networks for material science and engineering, natural products, water resources, coastal and marine resources, and biochemistry and informatics for natural products. An additional \$7.4 million in support was channeled through universities and organizations outside Africa, the largest grants being to the American Council for Learned Societies for dissertation and postdoctoral fellowships for humanities scholars in five African countries, and Kings College, University of London to work with African universities to build the next generation of scholars in peace, security and development. Carnegie’s \$30.1 million NGA investments made up 31% of the overall PHEA investment in this Sub-area.

## Outreach

As part of its \$5.9 million in Outreach grants, Carnegie supported a number of universities' efforts to improve schools. In South Africa, support included \$1.3 million to a Rhodes University public-private partnership to improve the quality of South African schools by training school leaders and teachers in evaluation, management, and curriculum development. It also included a University of KwaZulu-Natal program (\$507,000) to train science and mathematics teachers. In Ghana, the University of Education, Winneba received \$862,000 in support for its student internship program to train future teachers.

Other Carnegie support for university outreach included \$1 million to Stellenbosch University and the Medical University of Southern Africa for a collaborative program for the management of HIV/AIDS in the workplace, a technology incubation program at the University of Dar es Salaam, and a national tour guide training program at the same university.

## Higher Education Research and Advocacy (HERA)

Carnegie's \$3.1 million invested in HERA amounted to 18% of the overall PHEA investment in this Sub-area. \$1.5 million (49%) of this investment was jointly programmed with other PHEA foundations, including the PHEA case study series, the *Journal of Higher Education in Africa*, policy dialogues in South Africa, and support to the Higher Education Research and Advocacy Network (HERANA). HERANA is now a network of over 20 researchers in eight countries engaged in comparative policy research on higher education in Africa.

Another \$1.6 million of individual funding by Carnegie supported a range of African higher education research and dissemination efforts, including studies of factors that affect the production and utilization of scientific knowledge in higher education in South Africa, consequences of university expansion for Makerere students, and the sustainability of interventions to improve gender equity at Ugandan and Tanzanian universities.

## Other Areas of Academic Support

Grants captured under this Sub-area varied by grantee, discipline, and focus, but all contributed to academic support. Totalling \$7.2 million, the most significant investments included:

- At the University of Pretoria, development and implementation of advanced training programs in international trade and investment, in cooperation with the University of the Western Cape—\$1.15 million, 2002-2008
- At the University of Natal, establishment of the KwaZulu-Natal Centre for HIV/AIDS Networking—\$1.1 million, 2001-2004 (now the University of Kwa-Zulu-Natal)
- At the University of South Africa, founding of the Centre for the Improvement of Mathematics, Science, and Technology Education—\$1.1 million, 2001-2004
- At the University of Fort Hare, introduction of a four year degree in accounting, in partnership with Rand Afrikaans University (now University of Johannesburg)—\$1 million, 2002-2005
- At the University of the Witwatersrand, establishment of the AIDS Research Institute—\$0.5 million, 2001-2003

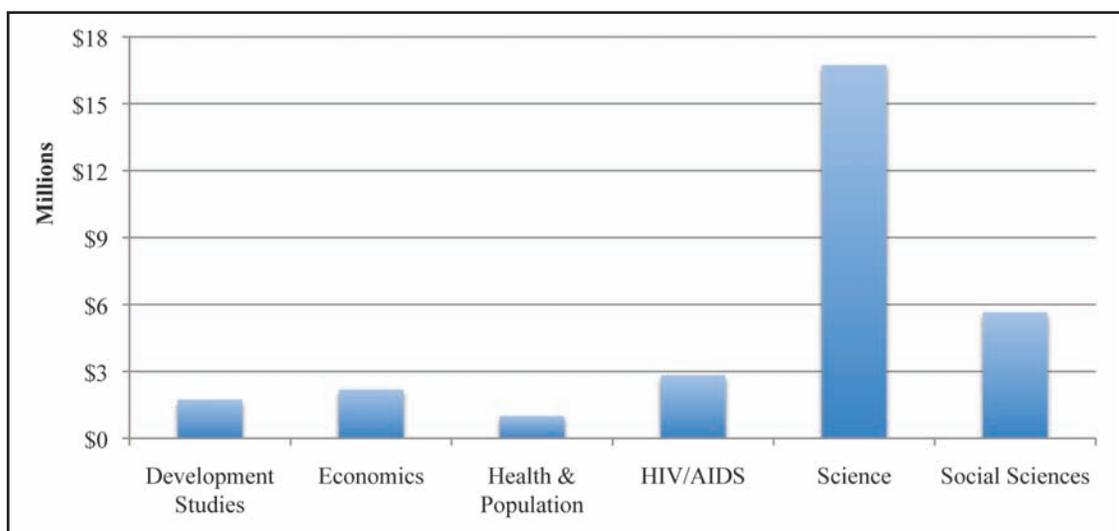
### Investment in Academic Disciplines

\$30.7 million (24.5%) of Carnegie’s grantmaking can be attributed to academic disciplines. Figure 8 shows the amounts contributed to various fields that totaled over \$1 million each.<sup>6</sup> 50% went to scientific disciplines, including engineering, environmental science, and structural biology. Within this, \$2.4 million was invested in undergraduate scholarships to promote black women in science and engineering at the Universities of Cape Town and the Witwatersrand in South Africa. Figure 9 provides a comparative picture of the main disciplines Carnegie has supported.

**Fig. 8 Investment by Academic Disciplines**

Discipline	Total
Development Studies	\$1,730,500
Economics	\$2,180,000
Health & Population	\$1,000,000
HIV/AIDS	\$2,820,700
Sciences	\$16,732,862
Social Sciences	\$5,649,300

**Fig. 9 Investment by Main Academic Disciplines**



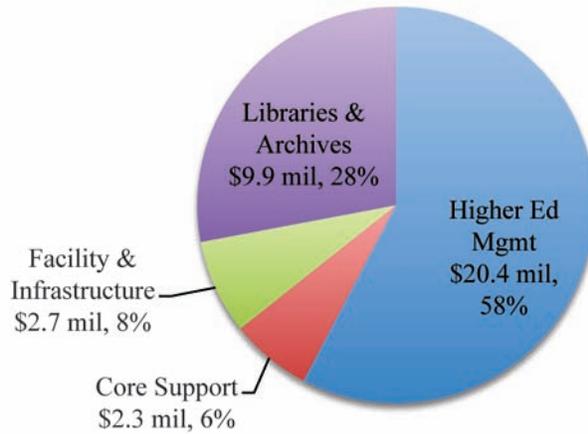
<sup>6</sup> Data on academic disciplines includes grants categorized in all Areas of Support. Hence, a grant for the digitization of a law library is counted toward “law”, just as a grant to support a science laboratory facility would be counted toward “science.” These figures double-count grants that include multiple disciplines. A grant supporting gender, HIV/AIDS, and human rights is counted toward all three disciplinary totals.

## Support for Institutional Development

Carnegie invested \$35.4 million in institutional development, representing 28% of its overall PHEA grantmaking. This investment is broken down into four Sub-areas (Figure 10). The largest Sub-area is Higher Education Management, which received over \$20.5 million. Library & Archival Support is the second largest, at \$9.9 million. Facility & Infrastructure Development received \$2.7 million, and Core Institutional Support totaled \$2.3 million.

Eight university partners received \$25.2 million (71%) of Carnegie’s institutional development grantmaking (Figure 11). Carnegie’s grantmaking strategy required that these university grantees designed their own development projects, and consequently the focus varied across universities. Figure 12 highlights the most common areas of Carnegie’s institutional development investment, across the four Sub-areas.

**Fig. 10 Institutional Development by Sub-areas**



**Fig. 11 Direct Institutional Development Investment in Major University Grantees**

University	Institutional Development Total
Makerere University	\$6,073,473
University of Dar es Salaam (UDSM)	\$6,031,985
University of Jos	\$3,317,700
Obafemi Awolowo University (OAU)	\$3,104,600
University of Cape Town (UCT)	\$2,783,018
University of Education, Winneba (UEW)	\$2,019,900
University of Ghana (UG)	\$1,187,200
Ahmadu Bello University (ABU)	\$594,500

**Fig. 12 Direct Institutional Development Investment in Major University Grantees by Sub-Area**

PHEA Sub-Area	Higher Education Management					Libraries & Archives	Facility & Infrastructure	Core Support
	Advancement Office	Research Capacity & Management	Gender Main-streaming	Strategic Planning	Quality Assurance			
						Library Automation	Science Laboratories	Electronic Management Information Systems
Makerere University		✓	✓	✓	✓	✓		
University of Dar es Salaam			✓	✓	✓	✓		✓
University of Jos	✓	✓	✓	✓		✓		✓
Obafemi Awolowo University		✓	✓	✓		✓	✓	
University of Cape Town						✓		
University of Education Winneba	✓		✓	✓		✓		
University of Ghana						✓	✓	✓
Ahmadu Bello University			✓	✓			✓	

**Other Support for Institutional Development**

Apart from the direct investment in universities detailed above, Carnegie supported several technical assistance providers. These included developing research management capacity, through the Association of Commonwealth Universities, Society of Research Administrators International Inc., and the Southern African Research and Innovation Management Association, and advancement work through the Council for Advancement and Support of Education, South African Institute for Advancement (Inyathelo), and Pamoja. Gender equity initiatives were strengthened at five universities with Simmons College assistance and evaluation and research capacity was built through support from the Evaluation Research Agency in Stellenbosch. University library planning and automation efforts received technical assistance from the Mortenson Centre at the University of Illinois.

The national tertiary councils of Ghana, Tanzania, and Uganda were supported for \$2 million to provide leadership training and capacity-building for senior academics and vice chancellors. Carnegie also invested in higher education management training for women, discussed in a section below.

## Support for Information and Communications Technology

Information and Communications Technology (ICT) represented 16% of Carnegie’s overall PHEA investment, divided across the Sub-areas of Connectivity (\$8.4 million) and E-learning (\$11.7 million). 27% (\$5.4 million) of this \$20.1 million investment was for PHEA Joint Initiatives.

Looking at the PHEA Joint Initiatives (Figure 13), Carnegie support was significant. For the largest initiative, the Bandwidth Consortium, Carnegie provided 28% of the funding. The second largest Joint Initiative is the Education Technology or “E-learning” Initiative. With support from six foundations, Carnegie provided 23% of the funding. Overall, Carnegie made up 25% of the PHEA’s \$5.2 million Joint ICT investment. Carnegie was the largest donor for three of the five Joint ICT Initiatives.

**Fig. 13 Carnegie Contributions to Information and Communications Technology Initiatives**

ICT Initiative	PHEA Total	Carnegie Support	Carnegie as % of PHEA Total
Bandwidth Consortium (BWC)	\$8,610,562	\$2,392,808	28%
Bandwidth Management Training	\$661,383	\$156,100	24%
AAU Regional Education & Research Unit (supporting NRENS)	\$727,900	\$474,400	65%
Individual NRENS	\$3,940,000	\$650,000	16%
Educational Technology Initiative	\$6,726,500	\$1,550,000	23%
<b>Total</b>	<b>\$20,666,345</b>	<b>\$5,223,308</b>	<b>25%</b>

Carnegie’s individual ICT grantmaking consisted mainly of \$10.7 million in direct investment for the development of ICT connectivity and e-learning programs at six of its eight major university grantees.<sup>7</sup> \$2.9 million to the Massachusetts Institute of Technology for its ilabs project provided faculty and students at Makerere University, the University of Jos, and the University of Dar es Salaam with access to online laboratories for research and teaching.

## Enhancing Women’s Opportunities in African Higher Education

In the PHEA’s work to advance women’s opportunities in higher education, Carnegie’s investment was the most significant, at over \$27.7 million. While this investment made up 22% of Carnegie’s total PHEA grantmaking, it was 82% of the total PHEA investment in this area, which totaled \$33.6 million over the ten years.

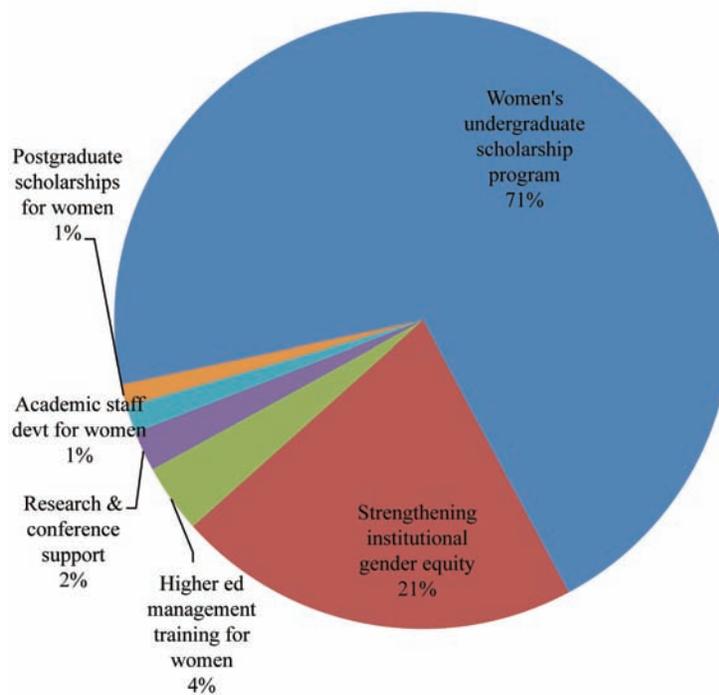
As Figure 14 indicates, Carnegie’s support took six forms, with women’s undergraduate scholarships the dominant mechanism, followed by institutional efforts to strengthen gender equity. Figure 15 indicates the relative percentages for each mechanism.

<sup>7</sup> Makerere University, Obafemi Awolowo University, the Universities of Dar es Salaam, Jos, Ghana, and the University of Education, Winneba, each received between \$1.3 million and \$2.6 million for ICT improvements.

**Fig. 14 Enhancing Women’s Opportunities by Mechanism**

Sub-Area	Total
Women’s undergraduate scholarship program	\$19,507,814
Strengthening institutional gender equity	\$5,868,064
Higher education management training for women	\$1,000,838
Research and conference/workshop support	\$576,700
Academic staff development for women	\$400,000
Postgraduate scholarships for women	\$315,700
<b>Total</b>	<b>\$27,669,116</b>

**Fig. 15 Distribution of Support to Enhancing Women’s Opportunities by Mechanism**



**Women’s Undergraduate Scholarship Program**

Carnegie invested foremost in undergraduate scholarships for women in South Africa, Tanzania, Uganda, Nigeria and Ghana. This initiative made up 71% of the foundation’s Enhancing Women’s Opportunities portfolio. Figure 16 shows the distribution of scholarships between the five countries, highlighting that almost half of the funding went to South Africa.

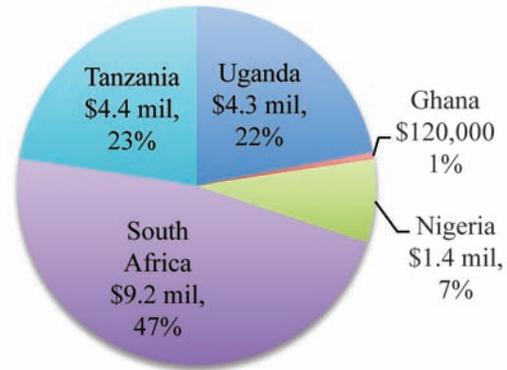
**Strengthening Institutional Gender Equity**

This area was made up of support for *gender mainstreaming* programs at the following six Carnegie-supported universities: the University of Education, Winneba; Ahmadu Bello University<sup>8</sup>, Obafemi Awolowo University, and the University of Jos; the University of Dar es Salaam; and Makerere University. These universities were also supported by grants to the Center for Gender in Organizations at Simmons College in the US, which received over \$838,000, or 14% of the investment in this category.

**Higher Education Management Training for Women**

There was also significant investment (over \$1 million) in training workshops and seminars in higher education management and leadership for women conducted by HERS-SA Academy (at the University of Cape Town), the South African Institute for Advancement (Inyathelo), the International women’s Forum Leadership Foundation in Washington, D.C., and the Association of Commonwealth Universities (ACU) in the U.K.

**Fig. 16 Undergraduate Scholarships by Country**



8 Ahmadu Bello University was only supported from 2002 to 2007 and did not benefit from grants to Simmons College.

## Appendix 1.

**Carnegie Investment by Area of Support and Sub-area\***

Area of Support	Total	% Total	Sub-area	Sub-area %
<b>Academic Support</b>	<b>\$65,883,332</b>	<b>52%</b>		
Higher Education Research and Advocacy			\$3,089,430	5%
Next Generation of Academics			\$30,138,922	46%
Improving Undergraduate Access			\$19,507,814	30%
Outreach			\$5,897,371	9%
Other Areas			\$7,249,795	11%
<b>Institutional Development</b>	<b>\$35,357,063</b>	<b>28%</b>		
Core Institutional Support			\$2,289,600	6%
Higher Education Management			\$20,453,664	58%
Facility/Infrastructure Development			\$2,722,750	8%
Library & Archival Support			\$9,891,049	28%
<b>Information &amp; Communications Tech</b>	<b>\$20,095,589</b>	<b>16%</b>		
Connectivity			\$8,431,658	42%
E-learning			\$11,663,931	58%
<b>Foundation Administered Project</b>	<b>\$4,173,370</b>	<b>3%</b>		
Technical Assistance & Evaluation			\$3,460,170	83%
PHEA Secretariat**			\$713,200	17%
<b>TOTAL</b>	<b>\$125,509,354</b>	<b>100%</b>	<b>\$125,509,354</b>	<b>100%</b>

\* Definitions for all terms are provided in Technical Annex 1.

\*\* Carnegie support to the PHEA Secretariat made up 0.6% of its overall PHEA grantmaking.



PHEA FOUNDATION INVESTMENT REPORT

# Ford Foundation







# Ford Foundation

*This report profiles the investments of Ford Foundation in African higher education over the ten-year span of the PHEA, from January 2000–January 2010.*

## Ford Grantmaking and the PHEA

Ford Foundation is one of the four founding members of the PHEA, along with Carnegie Corporation of New York, the John D. and Catherine T. MacArthur Foundation, and The Rockefeller Foundation. The William & Flora Hewlett Foundation and The Andrew W. Mellon Foundation joined the PHEA in 2005, while The Kresge Foundation joined in 2007.

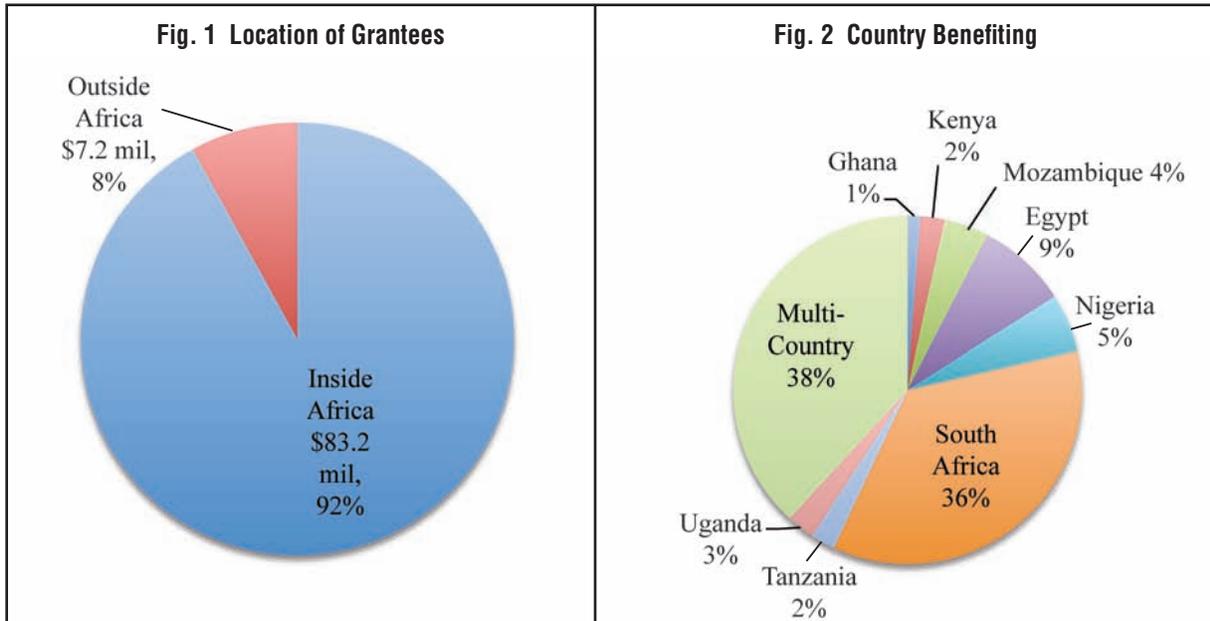
The foundation’s grantmaking strategy in African higher education is driven by its interest in investing on the ground to advance the work of visionaries on the frontlines of social change. Consequently, 92% of Ford’s grants went directly to African institutions, above the average for the PHEA (84%). Ford’s African Higher Education Initiative (AHEI) reinforced its PHEA commitment and garnered significant additional resources.

Ford’s leadership in the PHEA was evident in making the *Next Generation of Academics (NGA)* a focal area and providing initial support for HERANA and its University World News Africa edition, which later became a Joint PHEA Initiative. Ford invested more than its share in higher education policy research initiatives (49% of PHEA joint grants). It covered 24% of the Bandwidth Consortium investment since 2004 and accounted for 25% of the support for university bandwidth management training.

## Snapshot of Ford Investment

Total Ford PHEA Investment	\$90,424,051	% Ford Grants
% of Total PHEA	21%	
Individual foundation grantmaking	\$77.0 mil	85%
Joint PHEA grantmaking	\$13.4 mil	15%
Direct investment in African grantees	\$83.2 mil	92%
Direct investment in 45 African universities and colleges:	\$53.6 mil	59%
• University of Cape Town	\$7.7 mil	8%
• University of the Witwatersrand	\$7.0 mil	8%
• University of the Western Cape	\$5.2 mil	6%
Major countries benefiting:		
• South Africa	\$32.1 mil	36%
• Egypt	\$7.6 mil	9%

**What Was the Geographic Distribution of the Investment?<sup>1</sup>**



The graphs above show the geographic distribution of Ford’s \$90.4 million in PHEA grants.

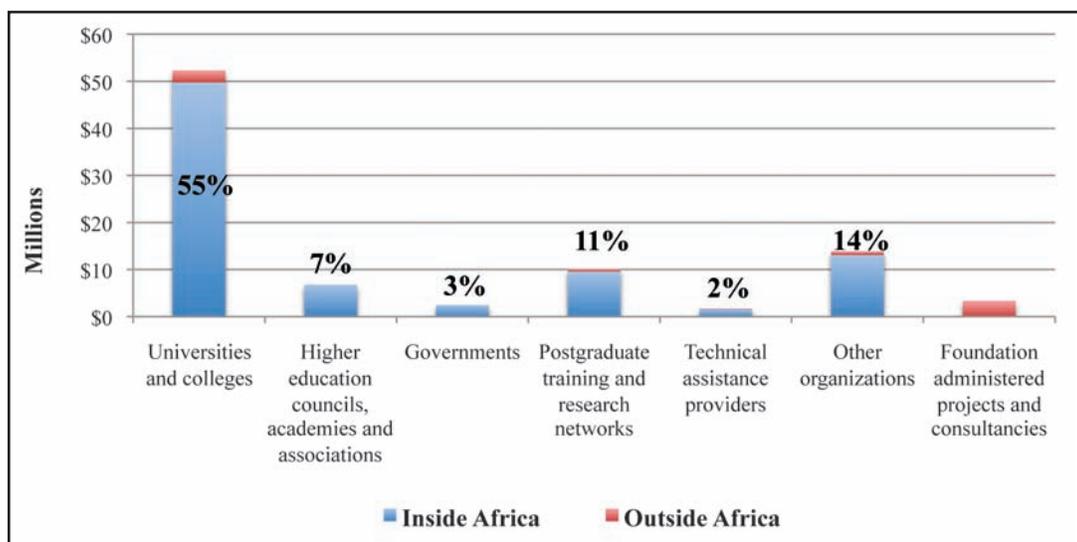
- 92% of Ford’s grantees were located within Africa. Most of the support to grantees outside of Africa (65%) was for ‘Africa-Wide’ initiatives (Figure 1).
- 28% of Ford’s grants had “Africa-wide” benefits (\$25.7 mil), reflected in the large percentage of “Multi-country” grants above (Figure 2).<sup>2</sup>
- Among the nine PHEA partner countries, South Africa was the largest “single-country” beneficiary of Ford, receiving investments totaling \$32.1 million or 36%. This is similar to the PHEA overall support, as South Africa received 28.2% of all PHEA support (Figure 2).
- Egypt was the next highest recipient of Ford support, receiving \$7.6 million (9%). Ford support represented 94% of PHEA support to Egypt (Figure 2).

1 Geographic distribution of PHEA grants is tracked by the location of the grantee inside or outside Africa and by the country in Africa intended to benefit from the grant.

2 “Multi-country” can include a group of countries, a region of Africa, or “Africa-wide” grants, a term which applies mainly to PHEA Joint Initiatives and to resources intended to serve the entire continent.

## In What Types of Grantees Did the Foundation Invest?

Fig. 3 Investment by Type of Grantee<sup>3</sup>



At \$49.8 million, universities and colleges inside Africa were Ford’s largest type of grantee. An additional \$3.8 million invested in postgraduate training and research networks were based at African universities. Ford supported 45 African universities and colleges, 13 of which received over \$1 million (Figure 4).

Fig. 4 Major University Grantees<sup>4</sup>

	University Grantee	Country	Total	% of Overall Ford Investment
1.	University of Cape Town	South Africa	\$7,682,790	8%
2.	University of the Witwatersrand	South Africa	\$6,953,589	8%
3.	University of the Western Cape	South Africa	\$5,220,949	6%
4.	University of KwaZulu-Natal	South Africa	\$3,824,490	4%
5.	University of Pretoria	South Africa	\$3,349,810	4%
6.	Makerere University	Uganda	\$2,926,000	3%
7.	University of Dar es Salaam	Tanzania	\$2,775,000	3%
8.	Cairo University	Egypt	\$2,540,000	3%
9.	American University in Cairo	Egypt	\$2,474,000	3%
10.	Rhodes University	South Africa	\$1,780,073	2%
11.	University of Ghana	Ghana	\$1,713,500	2%
12.	Eduardo Mondlane University	Mozambique	\$1,696,466	2%
13.	Stellenbosch University	South Africa	\$1,262,000	1%

3 Percentages in Figure 3 refer only to Inside Africa grantees as percentages of Ford’s total investment.

4 Totals in Figure 4 include support to postgraduate training and research networks based at these universities. For comparative lists of university and network support by foundation, see Technical Annex 3.

African regional postgraduate and training networks formed Ford’s second largest type of grantee, receiving over \$10.1 million (11% overall). Ford supported 14 networks, six of which received over \$500,000 (Figure 5).

**Fig. 5 Main Postgraduate Training and Research Network Grantees**

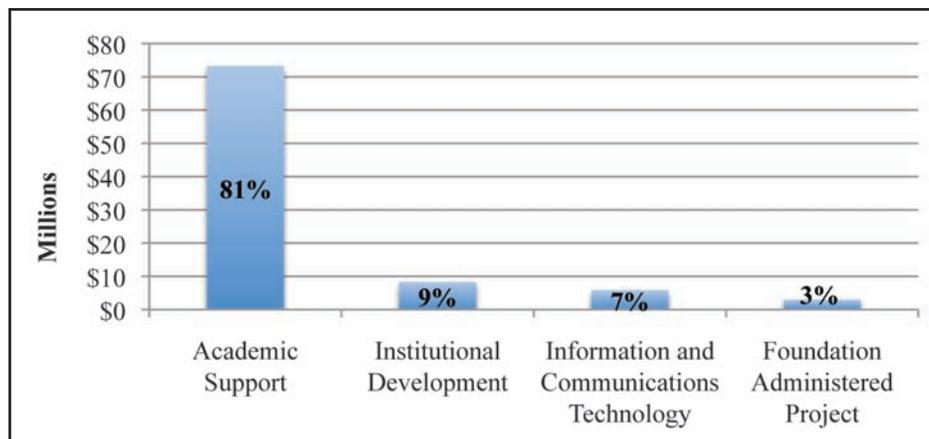
African Economic Research Consortium (AERC)	\$1,850,000
Council for the Development of Social Science Research in Africa (CODESRIA)	\$1,845,000
African Gender Institute (AGI), <i>University of Cape Town</i>	\$1,321,015
Higher Education Research and Advocacy Expertise Network in Africa (HERANA)	\$1,200,000
Centre for the Study of AIDS, <i>University of Pretoria</i>	\$855,000
African Institute for Mathematical Sciences (AIMS), <i>Stellenbosch University</i>	\$750,000

43% of Ford’s network support was funded jointly with other foundations, including support to the African Economic Research Consortium (AERC), the South African Structural Biology Institute, HERANA, the Consortium for Advanced Research Training in Africa (CARTA), and the University Science, Humanities and Engineering Partnerships in Africa (USHEPiA).

**In What Areas Did the Foundation Invest?**

PHEA grants are categorized into four main **Areas of Support** as shown in Figure 6, below.

**Fig. 6 Investment by Area of Support**

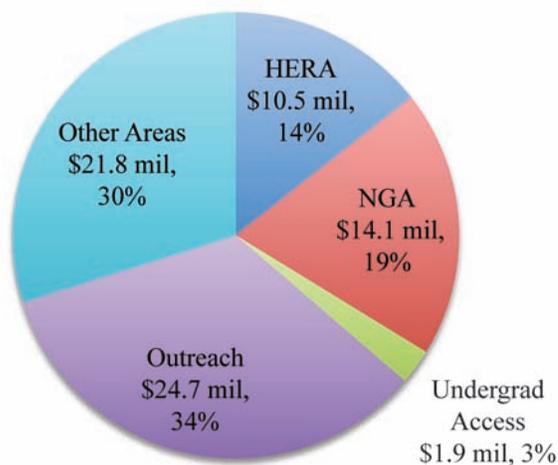


Ford invested primarily in the area of Academic Support (\$73.0 million), with another \$8.4 million to Institutional Development. Information and Communications Technology grants totaled \$6.0 million. Foundation Administered Projects consisted of \$2.2 million in Technical Assistance & Evaluation, and \$759,000 in support for the programmatic and administrative duties of the PHEA Secretariat.

## Academic Support

Academic Support is divided among five Sub-areas (Figure 7). Of these, Outreach (university efforts to serve civil society and national social and economic needs) was the highest. Investment of \$14.1 million in Next Generation of Academics (NGA) included postgraduate training and academic staff development in 16 universities across Egypt, Mozambique, South Africa, and Tanzania. Investment in policy research totaling \$10.5 million made up the Higher Education Research and Advocacy (HERA) Sub-area. Finally, efforts to improve undergraduate access for underserved groups, including women, were supported at eight South African universities and colleges.

Fig. 7 Academic Support by Sub-areas



### Higher Education Research and Advocacy (HERA)

Ford played a leadership role among the PHEA foundations in advancing policy research and advocacy under the umbrella of Higher Education Research and Advocacy.

- Ford invested more than any other foundation: \$10.5 million, or 61% of the total \$17.2 million
- 49% of Ford’s HERA grants were jointly supported with other foundations, including the PHEA case study series, the East African pipeline study, and the establishment of the *Journal of Higher Education in Africa*
- Ford funded the early stages of several HERA initiatives that later attracted support from other foundations. Examples:
  1. Ford funded the planning and design stages of HERANA, which later became a \$2.2 million PHEA Joint Initiative supported by Carnegie, Ford, Kresge, and Rockefeller. HERANA is now a network of over 20 researchers in eight countries engaged in comparative policy research on higher education in Africa.
  2. Ford’s support was pivotal in the establishment of HERANA’s University World News Africa edition, the world’s premier news source on African higher education with a global readership.
  3. Ford’s initial support for analyses of higher education financing models in nine countries led to PHEA support to expand the analyses to West Africa and fund a continent-wide policy dialogue effort.

Within its individual foundation portfolio, Ford grants to the Centre for Higher Education Transformation supported policy dialogue on higher education issues and seminal work on cross-national higher education performance indicators. To advance its work on access and success in higher education, Ford funded the Africa Higher Education Collaborative (AHEC), a network of scholars from Egypt, Kenya, Nigeria, and South Africa identifying strategies for increasing equity and access to higher education in Africa. Several recent grants to the Population Council in Egypt, Cairo University, and South Africa’s Foundation of Tertiary Institutions of the Northern Metropolis (FOTIM) further strengthened this focus.

At the national level, Ford aimed to strengthen the analytic work on higher education through support to Makerere University (Uganda), the Committee of Vice-Chancellors of Nigerian Federal Universities (Nigeria), and South Africa’s Council on Higher Education, the Centre for Education Policy Development, and the University of the Western Cape’s Centre for the Study of Higher Education.

**Next Generation of Academics (NGA)**

Captured under this heading are grants that contribute to the training and retention of young academic staff. Ford first drew the attention of the PHEA foundations to the issue of the Next Generation of Academics at the AHEI/PHEA October 2006 meeting in Johannesburg. At this meeting Johann Mouton spoke on South Africa’s faculty regeneration problem and Luci Abrahams spoke of the challenges women face in the research system. Starting in FY 2007 Ford AHEI committed to NGA as one of three focus areas and that focus continues.

Ford’s \$14.1 million investment in this Sub-area made up 14% of the PHEA investment in NGA overall. Ford’s grants in this Sub-area were primarily to African universities (\$8.3 million) and African regional postgraduate training and research networks (\$3.7 million). Figure 8 below lists the main universities and networks in which Ford made NGA investments.

**Fig. 8 Major Next Generation of Academics Grantees**

University or Network	Ford Support
African Gender Institute (AGI) at University of Cape Town	\$1,321,015
University of Witwatersrand	\$1,073,600
University of Pretoria	\$953,407
University of Cape Town	\$940,300
Eduardo Mondlane University	\$824,040
African Institute for Mathematical Sciences (AIMS) at Stellenbosch University	\$750,000
University of KwaZulu-Natal	\$726,342
University of the Western Cape	\$702,220

Ford support utilized a range of approaches in its NGA funding. \$3 million involved fellowships to train the next generation of academics in a variety of disciplinary fields, including astrophysics, economics and management, gender studies, human rights, rural sociology, sexuality, and social sciences. Overall, \$3.3 million of the NGA Sub-area grants had equity goals, usually supporting women and black scholars, including 47% of the fellowship support. Research support and postgraduate program and curriculum development were also significant mechanisms within Ford’s NGA grantmaking.

**Outreach**

Ford’s investment in university-community outreach programs totaled \$24.7 million, and made up 31% of the overall PHEA investment in this Sub-area. 24 African universities and colleges and three postgraduate training and research networks received direct funding from Ford in this Sub-area, as did the Ministry of Higher Education in the Republic of Mozambique and the Higher Education Loans Board in Kenya. 51% (\$12.5 million) of Ford’s Outreach investment benefitted South Africa, with Kenya and Egypt benefitting from

6% (\$1.4 million), each. The remainder of Ford’s investment benefitted other PHEA countries and African regional groupings. Outreach activities can also be broken down by academic discipline, and in Ford’s case the largest investments were in governance and democracy (\$4.6 million), human rights (\$3.9 million), and HIV/AIDS (\$3.8 million).<sup>5</sup>

**Other Areas of Academic Support**

Grants in this category totaled \$21.8 million and varied by discipline, grantee, and focus. Although Ford’s grants in this Sub-area varied significantly, \$15.2 million (70%) was invested directly in 24 African universities and colleges. The University of the Witwatersrand was the largest grantee, receiving \$2.4 million for a variety of academic activities, including those of the Institute of Human Evolution and Center for Applied Legal Studies. \$2.4 million was also invested in the leadership training and research program for undergraduate students by the East African Uongozi Institute at the University of Dar es Salaam. Cairo University received almost \$2 million, supporting a Professional Training Program for Skills Development and a Career Advising Center. Overall, investments in this Sub-area included support for: program and curriculum development (\$9.1million); research (\$7.5 million); academic conferences and workshops (\$1.9 million); publishing and dissemination (\$1.5 million); and research and training fellowships (\$1.1 million).<sup>6</sup>

**Investment in Academic Disciplines**

Overall, \$54 million (60%) of Ford’s grantmaking can be attributed to particular academic disciplines. Figure 9 at right shows the amounts contributed to various fields that totaled over \$3 million.<sup>7</sup>

Of the disciplinary support shown, the highest amounts went to social sciences and humanities, governance and democracy, and gender studies.

Figure 10 below provides a comparative picture of the main disciplines Ford has supported.

**Fig. 9 Investment by Academic Disciplines**

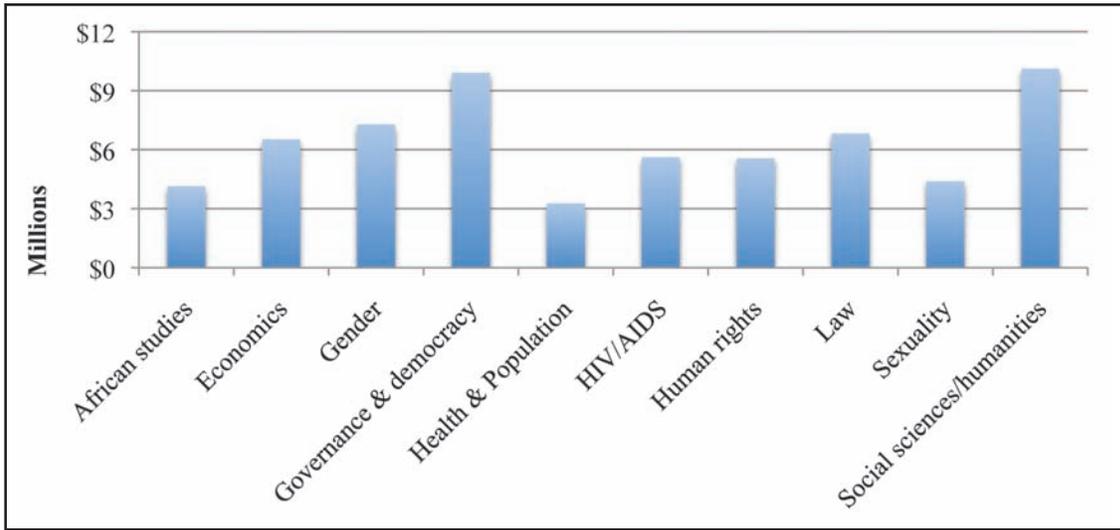
Discipline	Total
African studies	\$4,140,167
Economics	\$6,525,582
Gender	\$7,289,443
Governance & democracy	\$9,907,644
Health & Population	\$3,267,192
HIV/AIDS	\$5,614,894
Human rights	\$5,556,250
Law	\$6,819,123
Sexuality	\$4,387,340
Social sciences/humanities	\$10,117,569

5 Some of the \$ amounts listed here include grants counted for more than one of these disciplines.

6 Some of the \$ amounts listed here include grants counted for more than one of these mechanisms.

7 Data on academic disciplines includes grants categorized in all Areas of Support. Hence, a grant for the digitization of a law library is counted toward “law”, just as a grant to support a science laboratory facility is counted toward “sciences.” These figures double-count grants that include multiple disciplines. A grant supporting gender, HIV/AIDS, and human rights is counted toward all three disciplinary totals.

Fig. 10 Investment by Main Academic Discipline



## Support for Institutional Development

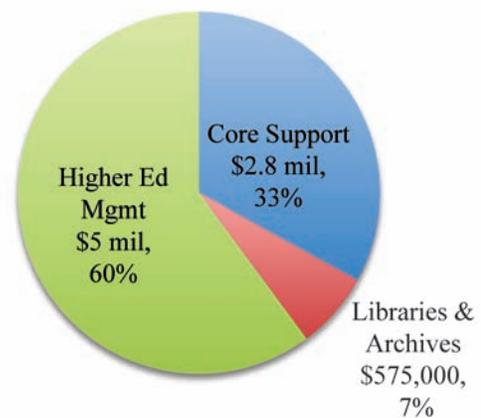
Ford invested \$8.4 million in institutional development, representing 9% of its PHEA grantmaking. This investment is broken down into three Sub-areas represented in Figure 11 at right: Higher Education Management, Core Institutional Support, and Library/Archival Support. The largest Sub-area (\$5 million) was Higher Education Management, which included strategic planning, university governance and leadership, financial management, and advancement in seven universities. Core Institutional Support was the second largest Sub-area, at \$2.8 million, received by ten universities.

The countries that received the greatest investment were South Africa (\$3 million) and Mozambique (\$1.6 million). Africa-wide institutions, such as the Association of African Universities (AAU) and CODESRIA, received \$1.8 million in institutional support.

### South Africa and Mozambique

In South Africa, grantees included universities, higher education councils and policy research institutions. Nine universities shared \$1.2 million in institutional development support. Grants to promote inter-institutional cooperation were given to higher education associations such as Higher Education South Africa (HESA), and the Cape Higher Education Consortium (CHEC). The Council on Higher Education (CHE) was the single largest recipient, receiving \$585,000 to build a national higher education quality assurance program with a monitoring and evaluation system.

Fig. 11 Institutional Development by Sub-areas



In Mozambique, Ford provided institutional development support to three grantees, including Eduardo Mondlane University, the Catholic University of Mozambique and the Mozambique Ministry of Higher Education, Science and Technology.

## Support for Information and Communications Technology

Support to the area of Information and Communications Technology (ICT) represents 7% of Ford’s overall PHEA investment, split almost evenly across Connectivity (\$2.95 million) and E-learning (\$3.1 million). Ford’s ICT investment is primarily via Joint grantmaking initiatives (73%).

Ford’s individual grantmaking in this area (\$1.6 million) supported various institutions in South Africa, Nigeria, and East Africa in their implementation of ICT-based teaching and research practices. Grantees included AfriHub Nigeria Limited, Foundation of Tertiary Institutions of the Northern Metropolis (FOTIM), the United Nations Economic Commission for Africa, and the Inter-University Council for East Africa.

Looking at the PHEA Joint ICT Initiatives, we see that Ford support was significant. For the largest PHEA Initiative, the Bandwidth Consortium, Ford provided 24% of the funding. The second largest Joint Initiative is the Education Technology Initiative, or the “E-learning” initiative, for which Ford had provided 13% of the funding by January 2010, although funds are committed for additional support through 2012 when the initiative will end.

**Fig. 12 Ford Contributions to Information and Communications Technology Initiatives**

ICT Initiative	PHEA Total	Ford Support	Ford as % of PHEA Total
Bandwidth Consortium (BWC)	\$8,610,562	\$2,037,808	24%
Bandwidth Management Training	\$661,383	\$167,000	25%
AAU Regional Education & Research Unit (supporting NRENS)	\$727,900	\$120,000	17%
Individual NRENS	\$3,940,000	\$355,000	9%
Educational Technology Initiative	\$6,726,500	\$876,500	13%
<b>Total</b>	<b>\$20,666,345</b>	<b>\$3,556,308</b>	<b>17%</b>

## Appendix 1.

**Ford Investment by Area of Support and Sub-area\***

Area of Support	Total	% Total	Sub-area	Sub-area %
<b>Academic Support</b>	<b>\$73,012,310</b>	<b>81%</b>		
Higher Education Research and Advocacy			\$10,504,922	14%
Next Generation of Academics			\$14,144,796	19%
Improving Undergraduate Access			\$1,871,500	3%
Outreach			\$24,683,172	34%
Other Areas			\$21,807,920	30%
<b>Institutional Development</b>	<b>\$8,366,635</b>	<b>9%</b>		
Core Institutional Support			\$2,760,268	33%
Higher Education Management			\$5,026,367	60%
Library & Archival Support			\$575,000	7%
<b>Information &amp; Communications Tech</b>	<b>\$6,039,018</b>	<b>7%</b>		
Connectivity			\$2,954,974	49%
E-learning			\$3,084,044	51%
<b>Foundation Administered Project</b>	<b>\$3,011,088</b>	<b>3%</b>		
Technical Assistance & Evaluation			\$2,251,679	75%
PHEA Secretariat**			\$759,409	25%
<b>TOTAL</b>	<b>\$90,424,051</b>	<b>100%</b>	<b>\$90,424,051</b>	<b>100%</b>

\* Definitions for all terms are provided in Technical Annex 1.

\*\* Ford support to the PHEA Secretariat made up 0.8% of its overall PHEA grantmaking.

PHEA FOUNDATION INVESTMENT REPORT

# The William and Flora Hewlett Foundation







# The William and Flora Hewlett Foundation

*This report profiles the investments of the William and Flora Hewlett Foundation in African higher education over the five-year span of its membership in the PHEA, from January 2005–January 2010.*

## Hewlett Grantmaking and the PHEA

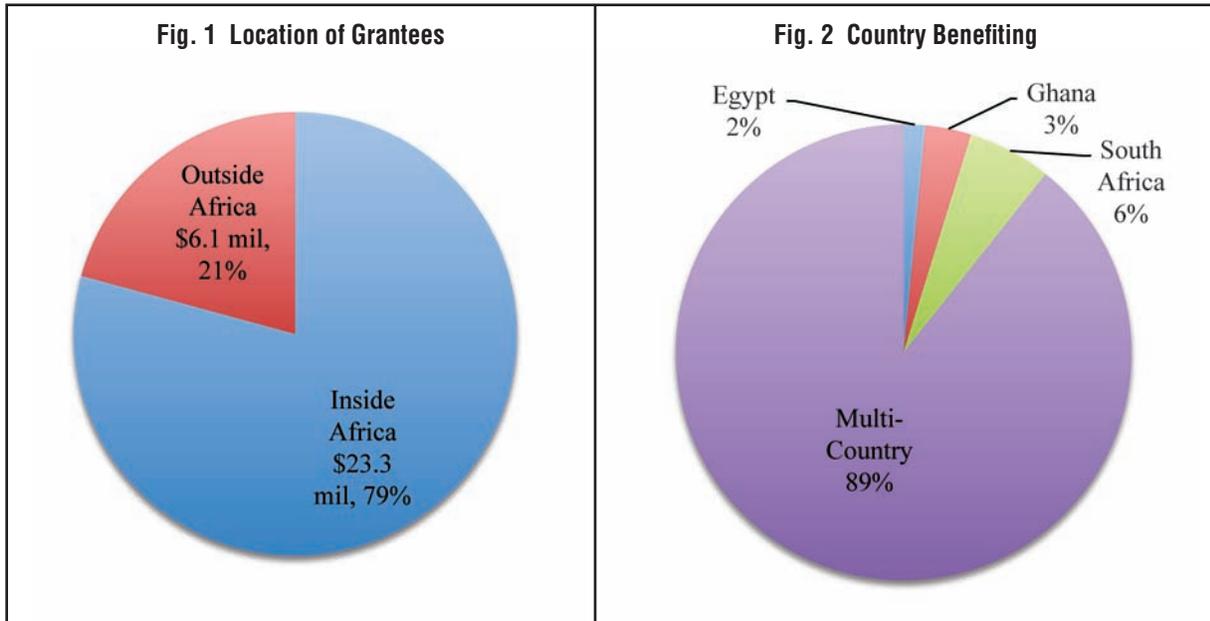
The PHEA was formed in 2000 by Carnegie Corporation of New York, Ford Foundation, the John D. and Catherine T. MacArthur Foundation, and The Rockefeller Foundation. The William and Flora Hewlett Foundation joined the PHEA in 2005 along with The Andrew W. Mellon Foundation, just before the PHEA’s Re-launch for a 2nd phase, from 2005-2010. The Kresge Foundation joined in 2007.

Hewlett’s grantmaking with the PHEA came from four of its programs: Population, Education, Global Development, and Philanthropy. As part of these larger global programs, Hewlett’s African higher education investments fit in with the foundation’s mandate to solve social and environmental problems. During its five-year membership in the PHEA, Hewlett invested primarily in training the next generation of African population scientists, supporting individuals’ reproductive health rights, and developing open educational resources. Hewlett’s Joint grantmaking made up 35%, the highest of the seven partner foundations. Overall, 15% of the PHEA grantmaking was Joint.

## Snapshot of Hewlett Investment

Total Hewlett PHEA Investment	\$29,415,894	% Hewlett Grants
% of Total PHEA	7%	
Individual foundation grantmaking	\$19.3 mil	65%
Joint PHEA grantmaking	\$10.2 mil	35%
Direct investment in African grantees	\$23.3 mil	79%
Direct investment in 7 African universities and colleges:	\$5.9 mil	20%
• African Virtual University	\$2.1 mil	7%
• University of the Witwatersrand	\$2.0 mil	7%
Direct investment in 4 African regional postgraduate training and research networks. Major grantees:		
• African Population and Health Research Center (APHRC)	\$7.1 mil	24%
• INDEPTH Network	\$4.7 mil	16%
• African Economic Research Consortium (AERC)	\$2.5 mil	8%
• Grantmaking with Africa-wide benefits	\$25.2 mil	86%

**What Was the Geographic Distribution of the Investment?<sup>1</sup>**



The graphs above show the geographic distribution of Hewlett’s \$29.4 million in PHEA grants.

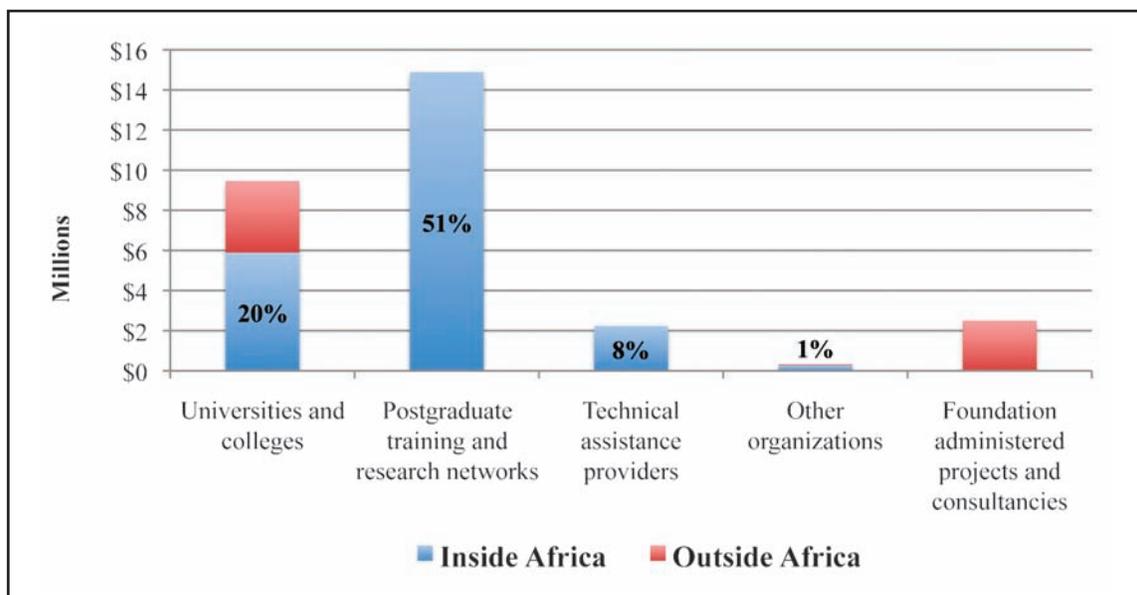
- 79% of Hewlett’s grantees were located inside Africa (Figure 1).
- 86% of Hewlett’s grants had “Africa-wide” benefits (\$25.2 million), represented as part of the “Multi-country” grouping (Figure 2).<sup>2</sup>
- Ghana, Egypt, and South Africa benefited from the remaining 11% of Hewlett’s investment (Figure 2).

<sup>1</sup> Geographic distribution of PHEA grants is tracked by the location of the grantee inside or outside Africa and by the country in Africa intended to benefit from the grant.

<sup>2</sup> “Multi-country” can include a group of countries, a region of Africa, or “Africa-wide” grants, a term which applies mainly to PHEA Joint Initiatives and to resources intended to serve the entire continent.

### In What Types of Grantees Did the Foundation Invest?

Fig. 3 Investment by Type of Grantee<sup>3</sup>



At \$14.9 million, regional postgraduate training and research networks were Hewlett’s largest type of grantee. Hewlett supported four such networks (Figure 4).

Fig. 4 Major Postgraduate Training and Research Network Grantees

African Population and Health Research Center (APHRC)	\$7,064,451
INDEPTH Network	\$4,652,000
African Economic Research Consortium (AERC)	\$2,494,000
Union for African Population Studies (UAPS)	\$685,000

Overall, 26% of Hewlett’s network support was jointly funded, made up of joint support for INDEPTH with Rockefeller, and joint support for AERC with Ford, MacArthur, and Rockefeller.

African universities made up Hewlett’s second highest type of grantee, with the investment totaling \$5.9 million to seven institutions. This was made up primarily of support to the African Virtual University (\$2.1 million) and the University of the Witwatersrand (\$2 million).<sup>4</sup>

<sup>3</sup> Percentages in Figure 3 refer only to Inside Africa grantees as percentages of Hewlett’s overall investment.

<sup>4</sup> For comparative lists of university and network support by foundation, see Technical Annex 3.

**In What Areas Did the Foundation Invest?**

Hewlett PHEA grantmaking came from four of the foundation’s programs, as shown in Figures 5 and 6.

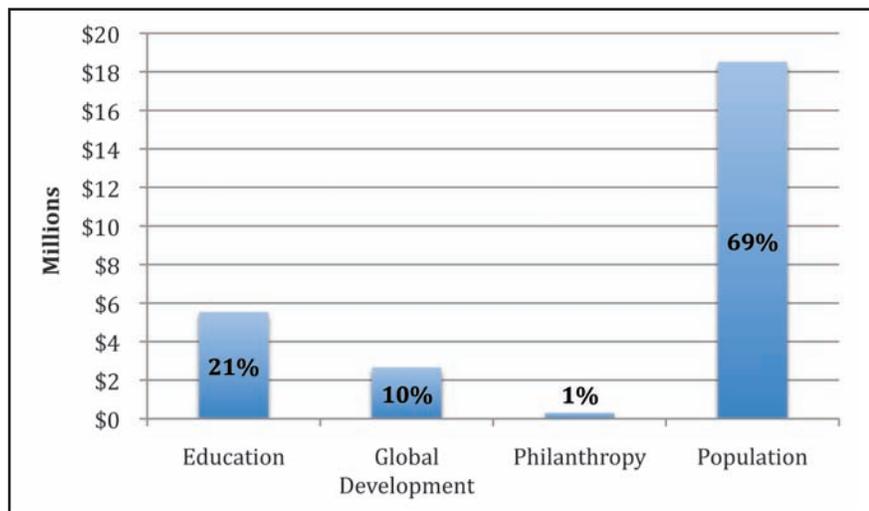
The Population Program made up the largest component of Hewlett’s PHEA grantmaking (69%). This program aims to enhance reproductive health rights of individuals and to stabilize global populations. The \$18.5 million counted toward the PHEA represents Hewlett’s investment in this global program in Africa.

This investment included support to six African universities and four postgraduate training and research networks for improving training, research and advocacy for the creation of sound population policy.

**Fig. 5 Investment by Hewlett Program<sup>5</sup>**

Programs	Total
Education	\$5,538,099
Global Development	\$2,662,000
Philanthropy	\$300,000
Population	\$18,514,451

**Fig. 6 Investment by Hewlett Program**



Hewlett’s Education Program was the next largest component of its PHEA grantmaking, totaling \$5.5 million (21%). Hewlett invested in the development of open educational resources (OER) in Africa, primarily through grants to African institutions such as African Virtual University (\$2 million) and the South African Institute for Distance Education (SAIDE) for \$2.2 million.

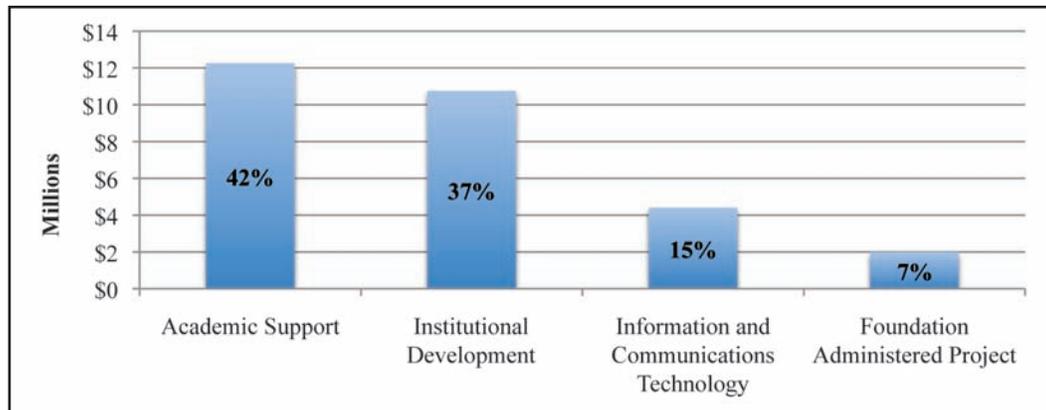
Totaling over \$2.7 million, grants by Hewlett’s Global Development program made up 10% of its PHEA investment. Investments of \$2.5 million supported agricultural economics training at the African Economic Research Consortium (AERC) and attention to quality of health education through the African Population Health Research Center (APHRC).

<sup>5</sup> The figures and totals in this section do not include \$2.4 million invested by Hewlett in the PHEA secretariat and the Joint PHEA ICT Initiative, the Bandwidth Consortium.

## How Are Hewlett Grants Categorized in the PHEA?

Hewlett’s grants are categorized into four main Areas of Support as shown in Figure 7, below.

**Fig. 7 Academic Support by Sub-areas**



Hewlett invested primarily in the areas of Academic Support (\$12.3 million) and Institutional Development (\$10.8 million). Investments in Information and Communication Technology totaled \$4.4 million. Foundation Administered Projects consisted of \$2 million in support of the administrative and programmatic activities of the PHEA Secretariat. This support, which covered all five years of Hewlett’s \$400,000 of annual PHEA membership dues, provided the funding collaborative with great flexibility in developing joint areas of funding, convening university leaders, and conducting mid-term and final evaluation activities.

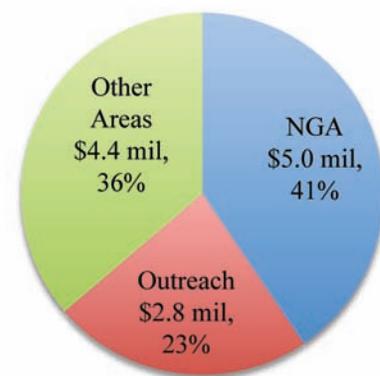
## Academic Support

Academic Support made up 42% of Hewlett’s PHEA grantmaking. \$12.3 million was invested in this area, which was divided among three Sub-areas (Figure 8). Investments in Next Generation of Academics (NGA) totaled \$5 million, while support for Outreach (university efforts to serve civil society and national social and economic needs) came to \$2.8 million. Investments in other Areas of Academic Support totaled \$4.4 million.

### Next Generation of Academics (NGA)

Hewlett’s \$5 million investment in NGA was made up primarily of its program to train the next generation of African population scientists. Hewlett invested \$2.4 million in graduate programs in population science at universities in Ghana, Kenya, and South Africa: the University of Cape Coast, the University of Ghana, the University of Nairobi, the University of Cape Town and the University of Witwatersrand. \$1.2 million in support also went to the African Population Studies Research and Training Program (APS) at the University of Colorado at Boulder, which has partnered with the University of the Witwatersrand and the APHRC. Other investments in this Sub-area included support for the research and training operations of APHRC (\$685,000), AERC (\$565,000) and UAPS (\$125,000).

**Fig. 8 Academic Support by Sub-areas**



**Outreach**

Hewlett’s grantmaking in this Sub-area totaled \$2.8 million. The largest investment was \$1.3 million in support for the Teacher Education in Sub-Saharan Africa program (TESSA), via grants to the African Virtual University (AVU) and Open University in the UK. Other outreach projects included an evaluation of reproductive health interventions by INDEPTH (\$1 million), and the development of indices to measure the quality of service delivery by AERC (\$379,000).

**Other Areas of Academic Support**

Grants in this catchall Sub-area vary by academic focus but are linked by the grantee’s relation to the main academic disciplines that Hewlett supported, including health, population, economics and HIV/AIDS. Totaling \$4.4 million, support included efforts to improve access to demographic data and data management in Sub-Saharan Africa by INDEPTH (\$1.3 million). Other network support included \$622,000 for INDEPTH’s academic training partnerships, and research and conferences by AERC (\$150,000) on economic development, reproductive health and population dynamics. The Reproductive Health & HIV Research Unit at the University of the Witwatersrand was also a recipient of Hewlett support in this Sub-area (\$700,000), as were Columbia University, Ohio State University, and the London School of Hygiene and Tropical Medicine for research on African fertility rates.

**Support for Institutional Development**

Hewlett invested \$10.8 million in institutional development, representing 37% of its overall PHEA grantmaking. This investment is broken down into three Sub-areas (Figure 9). The main Sub-area is Core Institutional Support, which refers to budgetary support with no programmatically defined purpose. Hewlett also invested in Higher Education Management and Library Support.

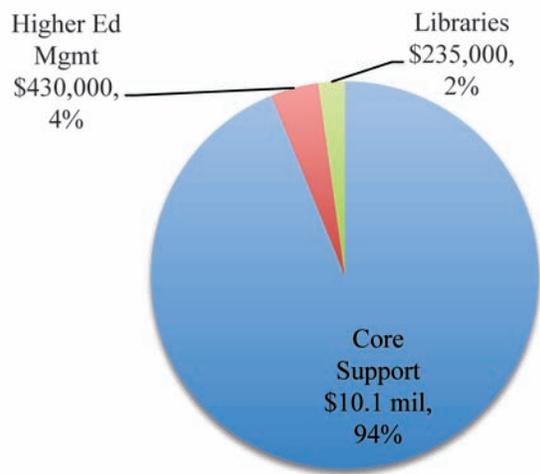
**Core Institutional Support**

Hewlett’s investments in this Sub-area consisted of general operating support for four training and research networks engaged in training future economists and population scientists. This Sub-area includes support to the APHRC (\$6.1 million), INDEPTH (\$1.5 million), AERC (\$1.4 million) and UAPS (\$560,000).

**Other Institutional Development**

Hewlett’s other investments included support for the development and implementation of monitoring and evaluation framework systems at INDEPTH and APHRC (\$200,000 each), categorized in the Sub-area of Higher Education Management. Under Library Support, Hewlett funded a leadership development institute for leaders of Sub-Saharan African libraries at Stanford University (\$235,000).

**Fig. 9 Institutional Development by Sub-areas**



## Support for Information and Communications Technology

Information and Communications Technology (ICT) represented 15% of Hewlett's overall PHEA investment and is broken down into \$4 million invested in the E-learning Sub-area and \$401,000 invested in the Connectivity Sub-area. Hewlett's Connectivity grantmaking consisted of support for the PHEA Joint Initiative, the Bandwidth Consortium. Hewlett made up 5% of the overall support for this initiative.

In E-learning, Hewlett invested primarily in Open Educational Resources projects, which made up \$3.95 of the \$4 million Sub-area total. Grantees included the African Virtual University (AVU), the South African Institute for Distance Education (SAIDE), the University of Iowa (Widernet), and the University of Michigan. \$876,000 was invested specifically in open resources to aid health education in Africa. The only other support in this Sub-area was for the AVU to build capacity at 17 African universities to develop content for its e-learning initiative.

## Appendix 1.

Hewlett Investment by Area of Support and Sub-area\*

Area of Support	Total	% Total	Sub-area	Sub-area %
<b>Academic Support</b>	<b>\$12,257,000</b>	<b>42%</b>		
Next Generation of Academics			\$4,970,000	41%
Outreach			\$2,844,000	23%
Other Areas			\$4,443,000	36%
<b>Institutional Development</b>	<b>\$10,754,451</b>	<b>37%</b>		
Core Institutional Support			\$10,089,451	94%
Higher Education Management			\$430,000	4%
Library & Archival Support			\$235,000	2%
<b>Information &amp; Communications Tech</b>	<b>\$4,404,443</b>	<b>15%</b>		
Connectivity			\$401,344	9%
E-learning			\$4,003,099	91%
<b>Foundation Administered Project</b>	<b>\$2,000,000</b>	<b>7%</b>		
PHEA Secretariat**			\$2,000,000	100%
<b>TOTAL</b>	<b>\$29,415,894</b>	<b>100%</b>	<b>\$29,415,894</b>	<b>100%</b>

\* Definitions for all terms are provided in Technical Annex 1.

\*\* Hewlett support to the PHEA Secretariat made up 7% of its overall PHEA grantmaking.



PHEA FOUNDATION INVESTMENT REPORT

# The Kresge Foundation







# The Kresge Foundation

*This report profiles the investments of the Kresge Foundation in African higher education over the three-year span of its membership in the PHEA, from April 2007–January 2010.*

## Kresge Grantmaking and the PHEA

The Kresge Foundation was the seventh partner-foundation to join the PHEA, formed in 2000 by Carnegie Corporation of New York, Ford Foundation, the John D. and Catherine T. MacArthur Foundation, and The Rockefeller Foundation. The William and Flora Hewlett Foundation and the Andrew W. Mellon Foundation joined in 2005.

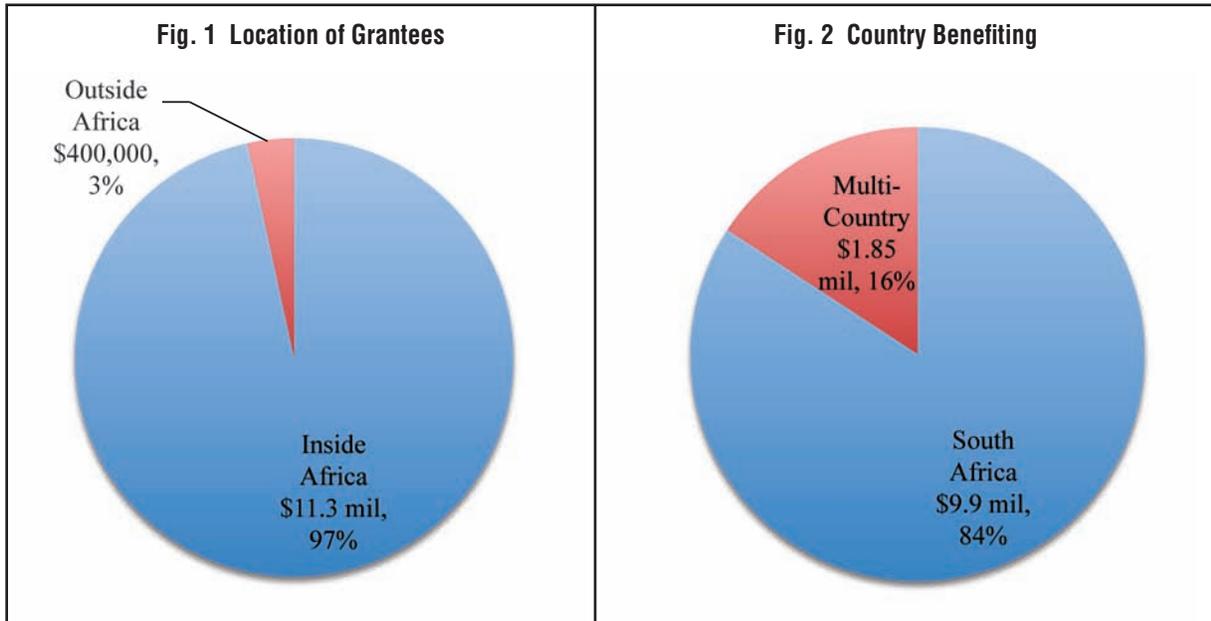
Kresge’s focus in supporting African higher education has been in the areas of strategic planning, advancement/fundraising, and infrastructure development through matching grants. Its five-year “South Africa Initiative” has developed the capacity of the foundation’s five South African university partners in strategic planning and advancement.

Kresge’s percentage of joint grantmaking was second highest among PHEA partner-foundations, with 28% of its overall grantmaking jointly programmed. It made significant contributions to the PHEA’s joint support for the Educational Technology Initiative (ETI) and the Higher Education Research and Advocacy Network (HERANA). Kresge’s support for university advancement complemented the efforts of Carnegie and MacArthur foundations.

## Snapshot of Kresge Investment

Total Kresge PHEA Investment	\$11,714,461	% Kresge Grants
% of Total PHEA	3%	
	7% for 2007–‘10	
Individual foundation grantmaking	\$8.4 mil	72%
Joint PHEA grantmaking	\$3.3 mil	28%
Direct investment in African grantees	\$11.3 mil	97%
Direct investment in seven African universities:	\$8.2 mil	70%
• University of the Western Cape	\$3.4 mil	29%
• University of the Witwatersrand	\$1.6 mil	13%
• University of the Cape Town	\$1.3 mil	29%
Major countries benefiting:		
• South Africa	\$9.9 mil	84%
Investment in “South Africa Initiative”—strategic planning and advancement at five South African universities	\$2.8 mil	23%

**What Was the Geographic Distribution of the Investment?<sup>1</sup>**



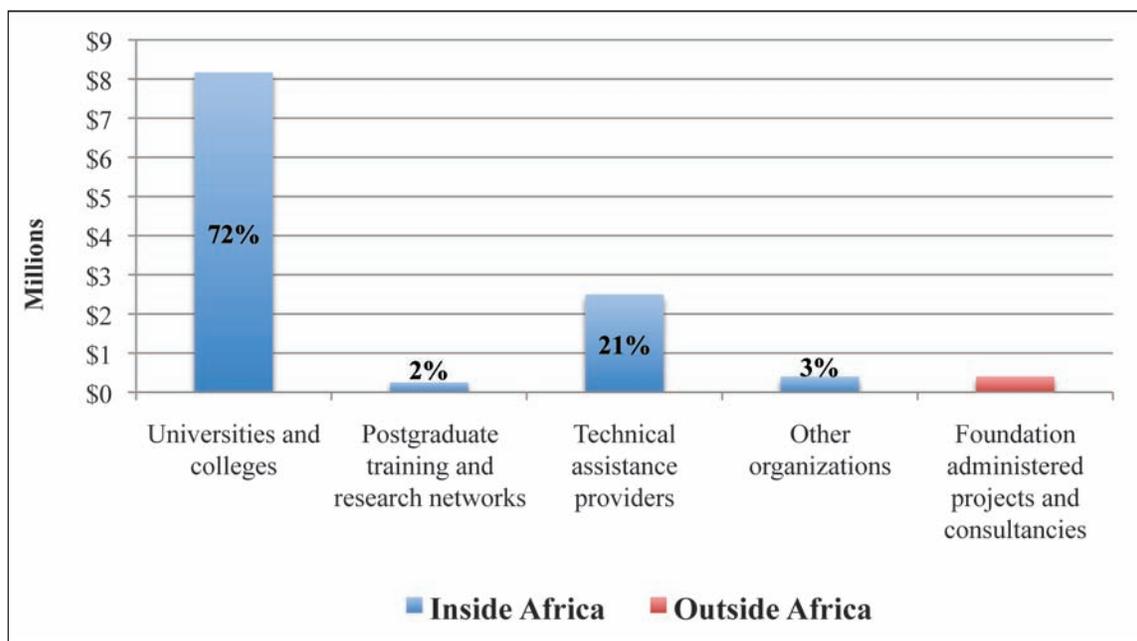
The graphs above show the geographic distribution of Kresge’s \$11.7 million in PHEA grants.

- 97% of Kresge’s grantees were located inside Africa (Figure 1). This was higher than every other foundation. The only grantee located outside Africa was Kresge’s membership support of the PHEA Secretariat.
- 16% of Kresge’s grants had “Africa-wide” benefits (\$1.85 million), represented as the “Multi-country” grouping (Figure 2).
- South Africa was the only “single-country” beneficiary of Kresge support, receiving investments totaling \$9.9 million. In the PHEA overall South Africa received 28% (\$123.9 million) of all support (Figure 2).

1 Geographic distribution of PHEA grants is tracked by the location of the grantee inside or outside Africa and by the country in Africa intended to benefit from the grant.  
 2 “Multi-country” can include a group of countries, a region of Africa, or “Africa-wide” grants, a term which applies mainly to PHEA Joint Initiatives and to resources intended to serve the entire continent.

## In What Types of Grantees Did the Foundation Invest?

Fig. 3 Investment by Type of Grantee<sup>3</sup>



At \$8.2 million, universities and colleges inside Africa were Kresge’s largest type of grantee. Kresge directly supported seven institutions, all located in South Africa (Figure 4).

Fig. 4 South African University Grantees

	University Grantee	Total	% of Overall Kresge Investment
1.	University of the Western Cape	\$3,366,972	29%
2.	University of the Witwatersrand	\$1,574,397	13%
3.	University of Cape Town (UCT)*	\$1,292,546	11%
4.	Rhodes University	\$950,000	8%
5.	University of Pretoria	\$567,088	5%
6.	Cape Peninsula University of Technology	\$314,162	3%
7.	Stellenbosch University	\$100,000	1%

\* Includes support to the UCT training hospital, The Children’s Hospital Trust (Red Cross)

Technical assistance providers, the South African Institute for Advancement (Inyathelo) and the South African Institute for Distance Education (SAIDE), formed Kresge’s second highest type of grantee, totaling \$2.5 million or 21% of Kresge’s investment overall.<sup>4</sup>

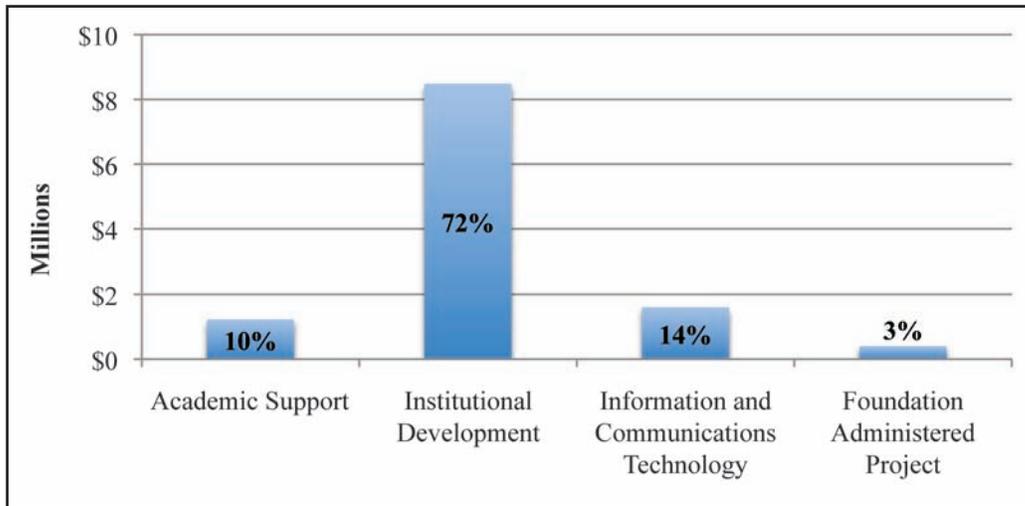
3 Percentages in Figure 3 refer only to Inside Africa grantees as percentages of Kresge’s overall grantmaking.

4 For comparative lists of university and network support by foundation, see Technical Annex 3.

### In What Areas Did the Foundation Invest?

Kresge’s grants are categorized into four main **Areas of Support** as shown in Figure 5, below.

**Fig. 5 Investment by Area of Support**



Kresge invested primarily in the area of Institutional Development (\$8.5 million). Investments in Information and Communication Technology and Academic Support came to \$1.6 million and \$1.2 million, respectively. Foundation Administered Projects was made up of \$400,000 in support of the administrative and programmatic activities of the PHEA Secretariat.

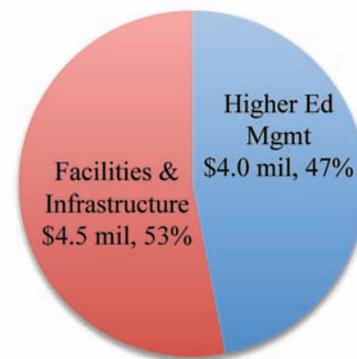
## Support for Institutional Development

Kresge invested \$8.5 million in institutional development, representing 72% of its overall PHEA grantmaking. This investment is broken down into two Sub-areas, Higher Education Management, and Facility & Infrastructure Development (Figure 6).

### Higher Education Management

Kresge’s higher education management support in South Africa has focused on developing the capacity of universities to develop third stream income, especially from advancement/fundraising. In addition, much of Kresge’s grantmaking, even when it has not focused explicitly on advancement, has included a matching or challenge component to develop long-term program sustainability and to reinforce the strategies it has supported through its advancement initiatives. Kresge’s support has helped professionalize the advancement field and introduce ethical standards, developed a community of practice, and raised the profile of local philanthropic support for higher education. South African higher education now boasts considerable local fundraising expertise, and university leaders now have more discretionary income with which to set and implement their own institutional priorities.

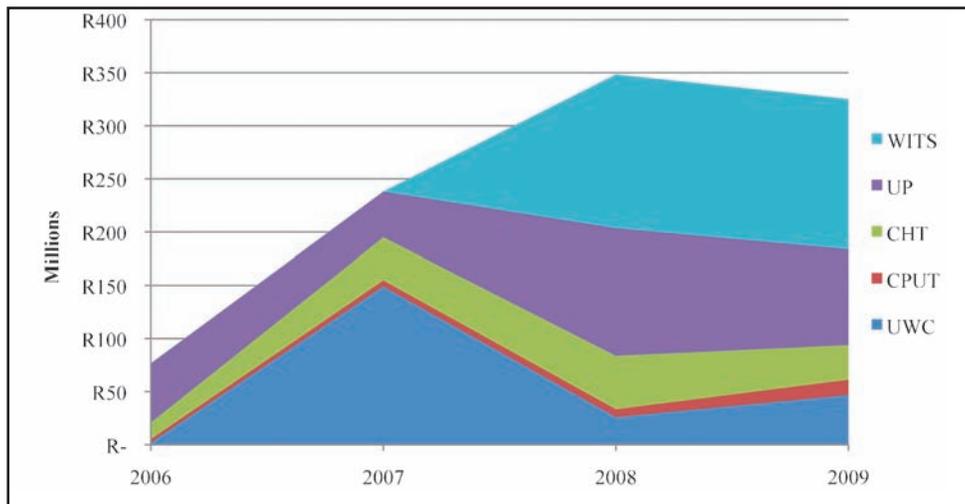
**Fig. 6 Institutional Development by Sub-areas**



### *South Africa Initiative—Strategic Planning and Advancement*

Kresge’s main thrust in this Sub-area involved its five-year “South Africa Initiative” to support strategic advancement at five of South Africa’s 23 universities. These are the Cape Peninsula University of Technology, University of Pretoria, University of the Western Cape, University of the Witwatersrand, and the Children’s Hospital Trust (the training hospital affiliated with the University of Cape Town). Working with its local partner, the South African Institute for Advancement (Inyathelo), Kresge provided wrap-around training, salary support, international staff exchanges, retreats, conferences, and institutional assessments to build advancement capacity at these partner universities. During Kresge’s membership in the PHEA, contributions toward this \$10.5 million initiative totaled \$2.8 million, but those funds have leveraged considerably more for its university partners. In 2006 the original four partners collectively raised \$8 million per annum. By 2009, the five institutions (with the addition of the University of Witwatersrand in 2007), raised \$50 million collectively per annum (Figure 7). Meanwhile, Inyathelo has become a trusted regional leader in advancement training and consulting.

**Fig. 7 Growth in Grantee Fundraising Income**



The University of Cape Town’s Southern Africa Labour and Development Research Unit’s (SALDRU) supports a quantitative methods training course for young economists, sociologists, and public health researchers that is unique on the continent. To ensure that SALDRU’s training of young academics will continue into the future, Kresge provided both multi-year program support and an endowment match. In 2010, Ford and Mellon joined Kresge in funding SALDRU and its endowment, buttressing the program’s long-term sustainability as well as the three foundations’ existing collaborative support of South African higher education and the training of the next generation of African academics.

### *Third Stream Income Conference*

In March 2009, Kresge sponsored a “Third Stream Income” conference in South Africa, organized by Inyathelo and the vice chancellors’ association, Higher Education South Africa (HESA). The program covered several third stream income issues: commercialization/sponsored research; endowment and reserves management; public-private partnerships; short and long term financing; and the role of the vice chancellor in fundraising. All 23 South African universities had representatives in attendance, including seven vice chancellors. Kresge commissioned Rhodes University to produce a pathbreaking background paper for the conference,

as well as the dissemination of conference reports. PHEA partner foundations supported the participation of university leaders from Kenya, Ghana, and Nigeria, helping to extend the community of practice.

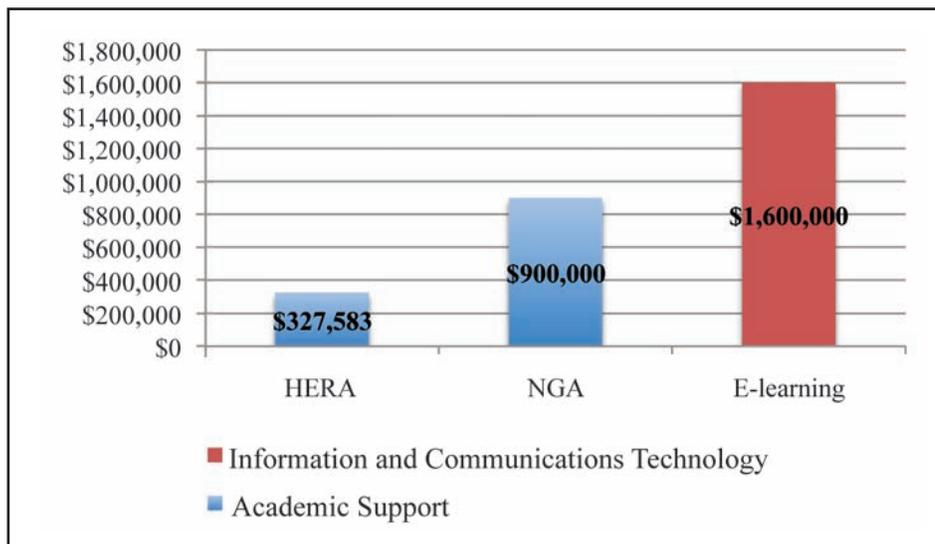
**Facility & Infrastructure Development through Matching Grants**

Kresge’s \$4.5 million investment in this Sub-area included \$3 million in support for a new Life Sciences Building at the University of the Western Cape, which was the first purpose-built science facility constructed at this historically disadvantaged institution. Another \$1.5 million supported a new School of Public Health building at the University of the Witwatersrand, housing the most research-productive academic unit at the university, and possibly the most research-productive academic program in Africa. These investments were consistent with Kresge’s strategy of investing in essential infrastructure for the development of African higher education.

Interestingly, the grant to the University of the Witwatersrand involved a challenge to secure personal donations for the new building from all of the university’s board members. When this was accomplished in 2009, the university became the first in South Africa to achieve this milestone of international fundraising best practice. As a result, Kresge paid a bonus grant of \$100,000, bringing its total support for the new School of Public Health to \$1.5 million.

**Other Areas of Support**

**Fig. 8 Other Areas of Support by Sub-areas**



**Academic Support**

Academic Support made up 10% of Kresge’s PHEA grantmaking. \$1.2 million was invested in this area, divided between Next Generation of Academics (NGA) and Higher Education Research and Advocacy (HERA). Kresge’s investment in NGA totaled \$900,000 and was made up of support to a faculty development program at Rhodes University in South Africa, programmed jointly with Mellon. Kresge’s investment in HERA totaled \$328,000 and was mainly joint support for the Higher Education Research and Advocacy Network (HERANA) also funded by Ford, Carnegie, and Rockefeller.

### Support for Information and Communications Technology

Kresge's ICT investments were in the Sub-area of E-learning, and were entirely joint grants. Kresge's \$1.2 million investment in the PHEA's Education Technology Initiative (ETI) was significant, making up 18% of all support for the initiative. An additional \$400,000 was invested jointly with Ford in the International Association for Digital Publications (IADP), for its South Africa e-learning pilot program. IADP is expanding access to textbooks by negotiating discounts with publishers and making them available as e-books on campus networks. ICT investments made up 14% of Kresge's overall PHEA grantmaking.

## Appendix 1.

**Kresge Investment by Area of Support and Sub-area\***

Area of Support	Total	% Total	Sub-area	Sub-area %
<b>Academic Support</b>	<b>\$1,227,583</b>	<b>10%</b>		
Higher Education Research and Advocacy			\$327,583	27%
Next Generation of Academics			\$900,000	73%
<b>Institutional Development</b>	<b>\$8,486,878</b>	<b>72%</b>		
Higher Education Management			\$3,986,878	47%
Facility/Infrastructure Development			\$4,500,000	53%
<b>Information &amp; Communications Tech</b>	<b>\$1,600,000</b>	<b>14%</b>		
E-learning			\$1,600,000	100%
<b>Foundation Administered Project</b>	<b>\$400,000</b>	<b>3%</b>		
PHEA Secretariat**			\$400,000	100%
<b>TOTAL</b>	<b>\$11,714,461</b>	<b>100%</b>	<b>\$11,714,461</b>	<b>100%</b>

\* Definitions for all terms are provided in Technical Annex 1.

\*\* Kresge support to the PHEA Secretariat made up 3% of its overall PHEA grantmaking.



PHEA FOUNDATION INVESTMENT REPORT

# The John D. and Catherine T. MacArthur Foundation







# The John D. and Catherine T. MacArthur Foundation

*This report profiles the investments of the John D. and Catherine T. MacArthur Foundation in African higher education over the ten-year span of the PHEA, from January 2000–January 2010.*

## MacArthur Grantmaking and the PHEA

The John D. and Catherine T. MacArthur Foundation is one of the four founding members of the PHEA, along with Carnegie Corporation of New York, Ford Foundation, and The Rockefeller Foundation. The William & Flora Hewlett Foundation and The Andrew W. Mellon Foundation joined the PHEA in 2005, while The Kresge Foundation joined in 2007.

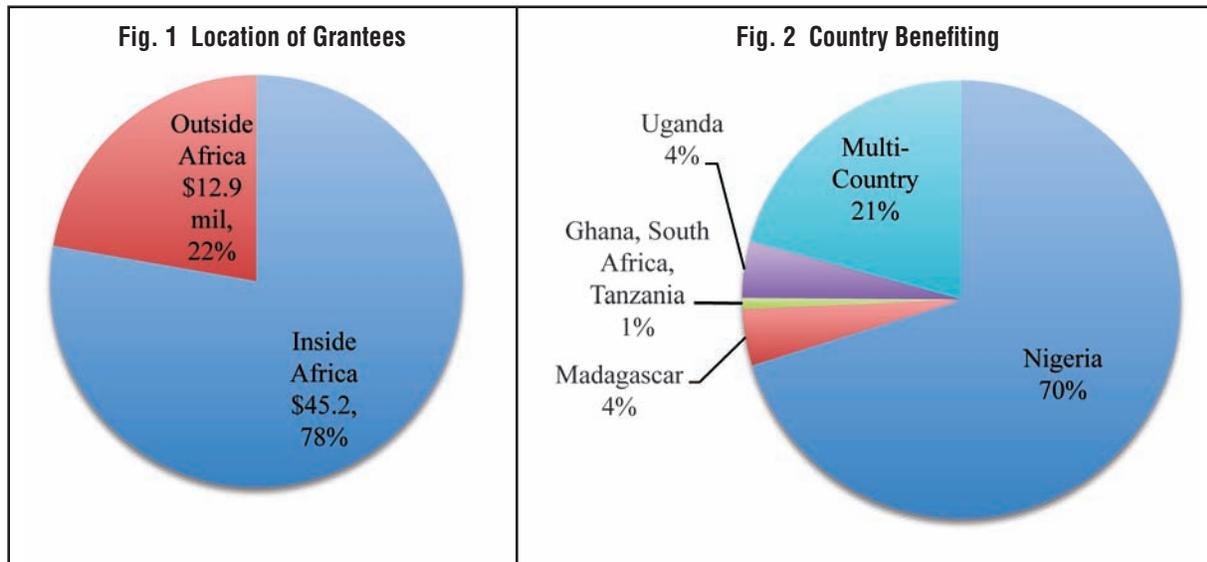
Over the last decade, MacArthur’s grantmaking strategy in African higher education was focused on the institutional strengthening of four universities in Nigeria and one in Madagascar. Over 56% of MacArthur’s grantmaking went directly to these five universities. This includes higher education grants awarded not only through the MacArthur Africa Higher Education area, but also through the Foundation’s Conservation and Sustainable Development, Human Rights, and Population and Reproductive Health areas.

MacArthur played a key role in the PHEA’s joint grantmaking, contributing to joint initiatives in information and communication technologies, educational technology, and higher education research and advocacy.

## Snapshot of MacArthur Investment

Total MacArthur PHEA Investment	\$58,164,472	% MacArthur Grants
% of Total PHEA	13%	
Individual foundation grantmaking	\$51.0 mil	88%
Joint PHEA grantmaking	\$7.2 mil	12%
Direct investment in African grantees	\$45.2 mil	78%
Direct investment in 18 African universities and colleges:	\$36.7 mil	63%
• University of Ibadan	\$11.5 mil	20%
• Bayero University, Kano	\$8.6 mil	15%
• Ahmadu Bello University	\$5.9 mil	10%
• University of Port Harcourt	\$4.7 mil	8%
• University of Antananarivo	\$1.9 mil	3%
Major country benefiting:		
• Nigeria	\$40.8 mil	70%

**What Was the Geographic Distribution of the Investment?<sup>1</sup>**



The graphs above show the geographic distribution of MacArthur’s \$58.2 million in PHEA grants.

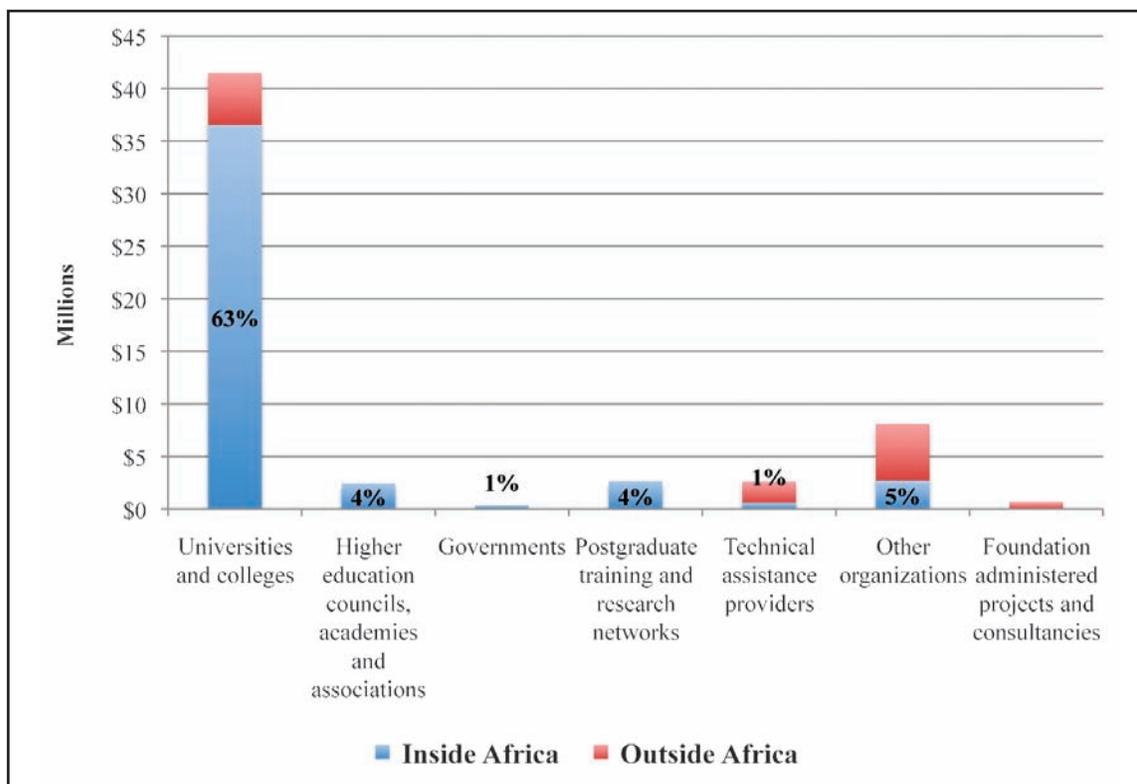
- 78% of MacArthur’s grantees were located inside Africa (Figure 1).
- 12% of MacArthur’s grants had “Africa-wide” benefits (\$7.3 million), represented as part of the “Multi-country” grouping (Figure 2).<sup>2</sup>
- Among the nine PHEA partner countries, Nigeria was the largest “single-country” beneficiary of MacArthur support, receiving investments totaling \$40.8 million. In the PHEA overall, Nigeria benefited from \$61 million, making it the second largest “single country” beneficiary behind South Africa. MacArthur’s investment made up 67% of that Nigeria PHEA total (Figure 2).
- Madagascar and Uganda each benefited from 4% of MacArthur’s investment (\$2.4 million), while Ghana, South Africa and Tanzania combined benefitted from 1% (Figure 2).

<sup>1</sup> Geographic distribution of PHEA grants is tracked by the location of the grantee inside or outside Africa and by the country in Africa intended to benefit from the grant.

<sup>2</sup> “Multi-country” can include a group of countries, a region of Africa, or “Africa-wide” grants, a term which applies mainly to PHEA Joint Initiatives and to resources intended to serve the entire continent.

### In What types of Grantees Did the Foundation Invest?

Fig. 3 Investment by Type of Grantee<sup>3</sup>



At \$36.5 million, universities and colleges inside Africa were MacArthur’s largest type of grantee. MacArthur supported 18 different institutions, six of which received over \$1 million (Figure 4).<sup>4</sup>

Fig. 4 Major University Grantees

	University Grantee	Country	Total	% of Overall MacArthur Investment
1.	University of Ibadan	Nigeria	\$11,492,000	20%
2.	Bayero University, Kano	Nigeria	\$8,620,000	15%
3.	Ahmadu Bello University	Nigeria	\$5,860,000	10%
4.	University of Port Harcourt	Nigeria	\$4,725,000	8%
5.	University of Antananarivo	Madagascar	\$1,977,000	3%
6.	Makerere University	Uganda	\$1,060,000	2%

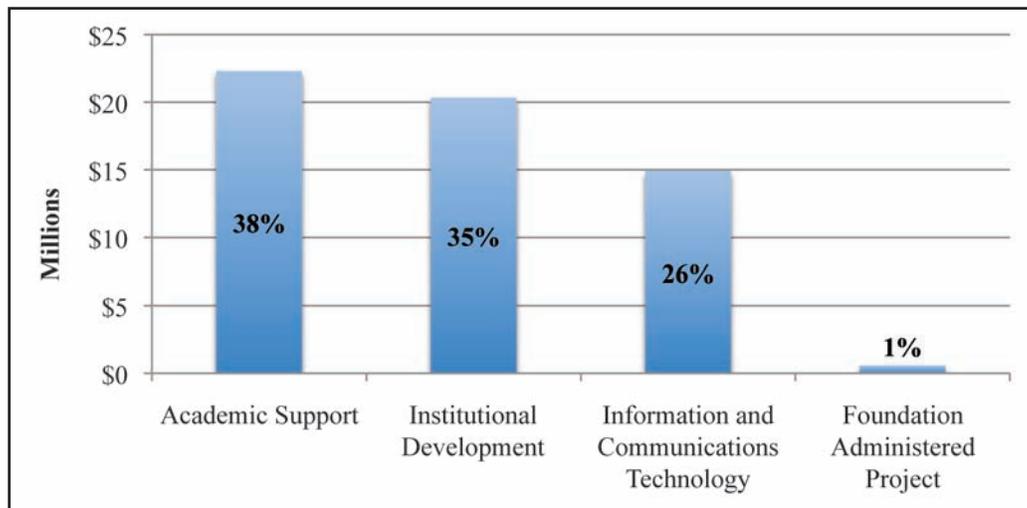
3 Percentages in Figure 3 refer only to Inside Africa grantees as percentages of MacArthur’s overall investment.

4 For comparative lists of university and network support by foundation, see Technical Annex 3.

### In What Areas Did the Foundation Invest?

MacArthur’s grants are categorized into four main **Areas of Support** as shown in Figure 5, below.

**Fig. 5 Investment by Area of Support**



MacArthur invested primarily in the areas of Academic Support (\$22.3 million) and Institutional Development (\$20.3 million). Investments in Information and Communication Technology totaled \$14.9 million. Foundation Administered Projects consisted of \$574,500 in support of the administrative and programmatic activities of the PHEA Secretariat.

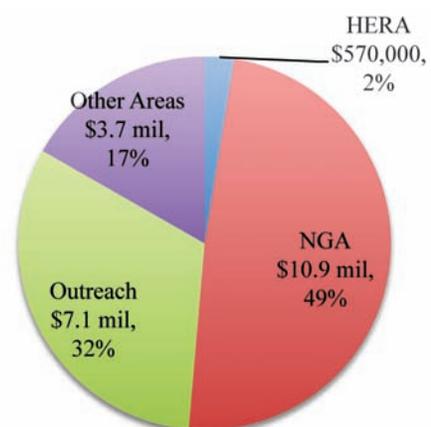
### Academic Support

Academic Support made up 38% of MacArthur’s PHEA grantmaking. \$22.3 million was invested in this area, which was divided among four Sub-areas (Figure 6). Of these, Next Generation of Academics (NGA) was the highest, receiving \$10.9 million. Outreach (university efforts to serve civil society and national social and economic needs) received 7.1 million, and Higher Education Research and Advocacy (HERA), one of the PHEA focal areas, received \$570,000. Support to Other Areas of Academic Support totaled \$3.7 million.

#### Next Generation of Academics (NGA)

MacArthur’s NGA-grantmaking focused on improving the quality of teaching staff at its partner universities in Nigeria and Madagascar. Of the \$10.9 million invested in this Sub-area, \$7.9 million (73%) supported the pursuit of PhD’s, advanced training, and international exposure of young academic faculty at five institutions, including the universities of Ahmadu Bello, Bayero Kano, Ibadan, Port Harcourt, and Antananarivo. The bulk of this investment went to the four Nigerian universities, as only \$270,000 went to the University of Antananarivo in Madagascar. In addition, a portion of

**Fig. 6 Academic Support by Sub-areas**



this investment (\$244,000) was reserved for female academic staff improvement at the University of Ibadan and Bayero University, Kano. MacArthur also invested \$2.5 million in graduate programs in economics by postgraduate training and research networks, with \$2.4 million funding AERC, supported jointly with other partner-foundations.

**Higher Education Research and Advocacy (HERA)**

MacArthur’s \$570,000 invested in HERA consisted entirely of participation in Joint PHEA Initiatives. These included a monograph series of case studies on African higher education, the launching of the *Journal for Higher Education in Africa (JHEA)*, and convening of the PHEA-sponsored *University Leaders’ Forum* in 2006 and 2008.

**Outreach**

As part of its \$7.1 million in Outreach grants, MacArthur supported a range of programs related to rural communities, HIV/AIDS education, health care delivery, reproductive health and rights, and natural resource conservation. \$2.8 million was invested in curriculum development, training, and research projects in conservation sciences at six universities and colleges in Uganda, Tanzania and Madagascar, including \$875,000 at Makerere University. An additional set of grants (\$1.1 million) sought to strengthen legal and medical school education in Nigeria. Various outreach programs were also supported at the University of Ibadan (\$920,000), including the provision of mental and dental care, private sector partnerships, and monitoring and evaluation capacity building for sexuality education programs.

**Other Areas of Academic Support**

MacArthur’s grants in this Sub-area varied by grantee, academic discipline, and focus. Overall, MacArthur invested \$1.4 million in strengthening research capacity, including the development of research linkages offices at the University of Ibadan, Ahmadu Bello University, and Bayero University, Kano and the development of linkages with Nigerian academics in the Diaspora via the Nigeria Higher Education Foundation in the U.S. The University of Ibadan benefitted from a number of programs in this Sub-area, totaling \$1.3 million. These included the strengthening of its Africa Regional Centre for Information Science, support to its human rights and rule of law program, and support to its university heritage preservation program.

**Investment in Academic Disciplines**

\$23.7 million (41%) of MacArthur’s grantmaking can be attributed to academic disciplines. Figure 7 shows the amounts contributed to various fields that totaled over \$1 million each.<sup>5</sup> The largest discipline was “General Sciences,” made up primarily of MacArthur’s investment in building science infrastructure at its partner universities. Reproductive health and rights, a focus of some of MacArthur’s grantmaking, are categorized in some cases as both Human Rights & International Justice and Population & Reproductive Health.

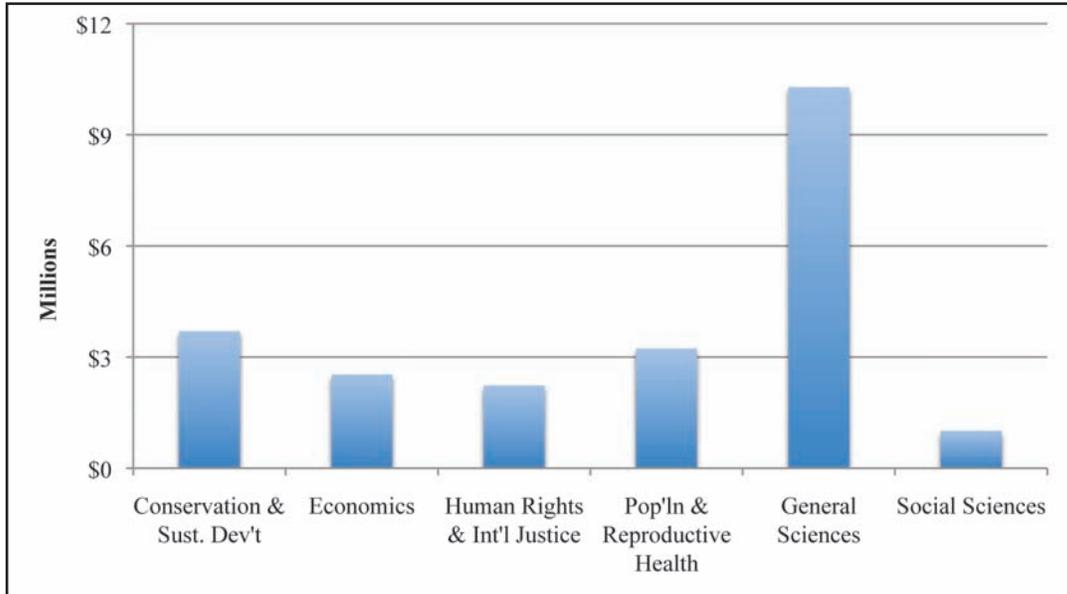
**Fig. 7 Investment by Academic Disciplines**

Discipline	Total
Conservation & Sustainable Development	\$3,692,000
Economics	\$2,527,500
Human Rights & International Justice	\$2,231,144
Population & Reproductive Health	\$3,328,500
General Sciences	\$10,281,197
Social Sciences	\$1,008,000

<sup>5</sup> Data on academic disciplines includes grants categorized in all Areas of Support. Hence, a grant for the digitization of a law library is counted toward “law”, just as a grant to support a science laboratory facility would be counted toward “sciences.” These figures double-count grants that include multiple disciplines. A grant supporting health, human rights and law is counted toward all three disciplinary totals. In MacArthur’s case, the disciplines of “conservation & sustainable development” and “general sciences” are mutually exclusive.

Figure 8 provides a comparative picture of the main disciplines MacArthur supported.

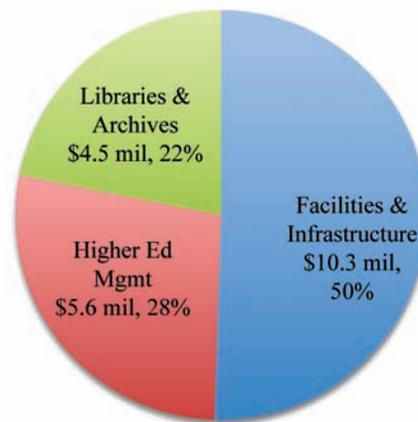
**Fig. 8 Investment by Main Academic Disciplines**



## Support for Institutional Development

MacArthur invested \$20.3 million in institutional development, representing 35% of its overall PHEA grantmaking. This investment is broken down into three sub-areas (Figure 9). The largest sub-area is Facility/Infrastructure Development, which received \$10.3 million. Higher Education Management is the second largest, receiving \$5.6 million. Library & Archival Support received \$4.5 million.

**Fig. 9 Institutional Development by Sub-areas**



Five university partners received \$11.5 million (57%) of MacArthur’s institutional development grantmaking (Figure 10).

**Fig. 10 Direct Institutional Development Investment in Major University Grantees**

University	Institutional Development Total
Bayero University, Kano	\$3,526,900
Ahmadu Bello University	\$3,175,000
University of Port Harcourt	\$2,302,878
University of Ibadan	\$2,080,000
University of Antananarivo	\$425,694

Figure 11 highlights the most common areas of MacArthur’s institutional development investment at these institutions across three Sub-areas.<sup>6</sup> In addition to these common areas of investment, MacArthur supported additional projects in individual universities. For example, at the University of Ibadan, MacArthur supported:

- The building renovation and equipment for a Multi-Disciplinary Research Laboratory;
- An HIV/AIDS peer education program, and the development of university HIV/AIDS policies;
- Gender mainstreaming activities and the development of university policies on gender issues.

At the University of Port Harcourt, MacArthur also helped fund:

- Clerking Laboratories;
- Construction of a new central administrative block;
- The development of internal audit and bursary systems.

**Fig. 11 Direct Institutional Development Investment in Major University Grantees by Sub-Area**

University Grantee	Higher Education Management		Facilities & Infrastructure	Libraries & Archives
	Fundraising and Advancement*	Administrative Staff Development	Science Laboratories	Library Development/ Automation
Bayero University, Kano	✓	✓	✓	✓
Ahmadu Bello University	✓		✓	✓
University of Port Harcourt	✓	✓	✓	✓
University of Ibadan	✓	✓	✓	✓
University of Antananarivo			✓	✓

\* Fundraising and Advancement includes fundraising from alumni as well as support for advancement offices.

6 MacArthur also supported the development of information technology and distance learning programs at these universities; however this is discussed under the Information and Communications Technology Area of Support section.

An additional \$7.6 million supported various organizations outside Africa engaged directly with MacArthur’s university partners in four areas: building fundraising and advancement capacity, improving science infrastructure, supplying educational materials, and supporting library development (Figure 12). MacArthur support for the Nigeria Higher Education Foundation (NHEF) was foundational, helping it to generate funding from the Diaspora for its partner institutions. Meanwhile, MacArthur’s work in advancement involved some collaboration with Carnegie and Kresge, with MacArthur partner universities attending training seminars and conferences organized and funded by other foundations. MacArthur and Carnegie both supported capacity building programs in advancement and library management run by Pamoja, CASE, and the University of Illinois at Urbana-Champaign’s Mortenson Centre.

**Fig. 12 Investment in Grantees Assisting Major University Grantees**

Area of Assistance	Grantee	Amount Invested	Universities Benefitting
Fundraising and Advancement Capacity	Nigeria Higher Education Foundation	\$785,000	Nigeria
	Mac Services	\$433,000	
	Pamoja, Inc.	\$250,000	
	Council for Advancement and Support of Education (CASE)	\$198,000	
Science Infrastructure	International Foundation for Science	\$3,500,000	Nigeria and Madagascar
Educational Materials	Various grantees <sup>7</sup>	\$305,500	Nigeria
Library Development*	New School University, New York	\$1,423,000	Nigeria
	University of Illinois at Urbana-Champaign (Mortenson Center)	\$549,000	
	JSTOR**	\$122,000	

\* Library Support includes journal subscriptions and improving user access to research and information materials

\*\* Grant resulted in JSTOR making its archive available free of charge to all sub-Saharan Africa.

Investments in institutional development at MacArthur’s five university partners thus totaled \$19.1 million, 94% of the Institutional Development Area of Support. Other investments in this Sub-area aided the institutional capacity building activities of the Committee of Vice-Chancellors of Nigerian Federal Universities, the Nigerian National Universities Commission, and the Nigerian Federal Ministry of Education. MacArthur also aided the Olusegun Obasanjo Research Library at the Shehu Musa Yar’Adua Foundation in library strengthening and purchasing materials.

## Support for Information and Communications Technology

Information and Communications Technology (ICT) represented 26% of MacArthur’s overall PHEA investment, divided across the sub-areas of Connectivity (\$13 million) and E-learning (\$1.9 million). 20% (\$3 million) of this \$14.9 million investment was for PHEA Joint Initiatives.

7 Grantees include Sabre Foundation (\$260,000), United States Embassy Abuja (\$29,000), University of Iowa, Widernet (\$12,000), and Nduaka Education Foundation (\$4,500).

Looking at the PHEA Joint Initiatives (Figure 13), MacArthur support was significant. For the largest initiative, the Bandwidth Consortium, MacArthur provided 18% of the funding. For the Bandwidth Management Training Initiative, MacArthur was the largest supporter, making up 28% of the total. MacArthur support was also essential for the work of individual NREN’s, and the Educational Technology or “E-learning” Initiative. Overall, MacArthur made up 14% of the PHEA’s \$20.6 million Joint ICT investment.

**Fig. 13 MacArthur Contributions to Information and Communications Technology Initiatives**

ICT Initiative	PHEA Total	MacArthur Support	MacArthur as % of PHEA Total
Bandwidth Consortium (BWC)	\$8,610,562	\$1,587,808	18%
Bandwidth Management Training	\$661,383	\$182,183	28%
Individual NRENs	\$3,940,000	\$600,000	15%
Educational Technology Initiative	\$6,726,500	\$600,000	9%
<b>Total</b>	<b>\$20,666,345</b>	<b>\$2,969,991</b>	<b>14%</b>

MacArthur’s individual ICT grantmaking consisted mainly of \$10.5 million in direct investment for the development of ICT connectivity and e-learning in its five major university grantees. Connectivity support (\$9.3 million) included for campus networks, and loans to assist faculty members to acquire computers. E-learning support (\$1.2 million) included support for distance learning programs and efforts to improve staff use of ICT in research and teaching. MacArthur support also funded the Nigerian Universities Information and Communication Technologies Project at the University of Iowa (Widernet) (\$470,000), as well as ICT enhancements at four other African universities (\$950,000).<sup>8</sup>

<sup>8</sup> These include Gulu University in Uganda (\$747,000), and in Nigeria, ABTI-American University of Nigeria (\$100,000), Federal University of Technology, Minna (\$50,000) and the University of Benin (\$50,000).

## Appendix 1.

MacArthur Investment by Area of Support and Sub-area\*

Area of Support	Total	% Total	Sub-area	Sub-area %
<b>Academic Support</b>	<b>\$22,309,256</b>	<b>38%</b>		
Higher Education Research and Advocacy			\$570,037	2%
Next Generation of Academics			\$10,891,809	49%
Outreach			\$7,109,500	32%
Other Areas			\$3,737,910	17%
<b>Institutional Development</b>	<b>\$20,338,639</b>	<b>35%</b>		
Higher Education Management			\$5,616,001	28%
Facility/Infrastructure Development			\$10,271,904	51%
Library & Archival Support			\$4,450,734	22%
<b>Information &amp; Communications Tech</b>	<b>\$14,942,077</b>	<b>26%</b>		
Connectivity			\$8,431,658	42%
E-learning			\$11,663,931	58%
<b>Foundation Administered Project</b>	<b>\$574,500</b>	<b>1%</b>		
PHEA Secretariat**			\$574,500	100%
<b>TOTAL</b>	<b>\$58,164,472</b>	<b>100%</b>	<b>\$58,164,472</b>	<b>100%</b>

\* Definitions for all terms are provided in Technical Annex 1.

\*\* MacArthur support to the PHEA Secretariat made up less than 1% of its overall PHEA grantmaking.

PHEA FOUNDATION INVESTMENT REPORT

# The Andrew W. Mellon Foundation







# The Andrew W. Mellon Foundation

*This report profiles the investments of The Andrew W. Mellon Foundation in African higher education over the five-year span of its membership in the PHEA, from January 2005–January 2010.*

## Mellon Grantmaking and the PHEA

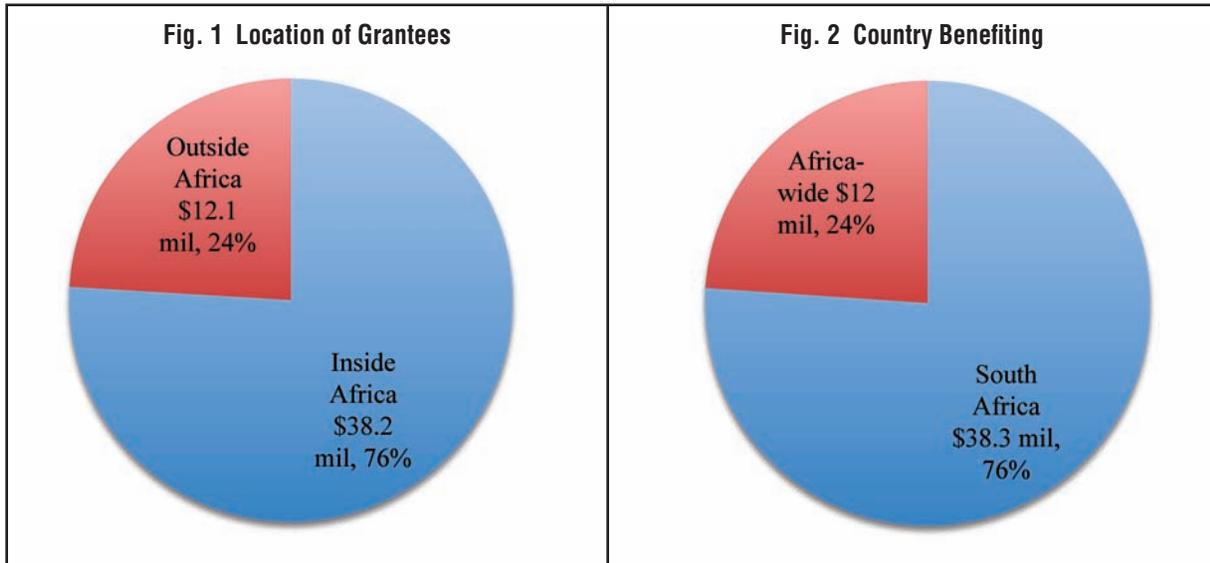
The PHEA was formed in 2000 by Carnegie Corporation of New York, Ford Foundation, the John D. and Catherine T. MacArthur Foundation, and The Rockefeller Foundation. The Andrew W. Mellon Foundation joined the PHEA in 2005 along with The William and Flora Hewlett Foundation, just before the PHEA’s Re-launch for a 2nd phase, from 2005-2010. The Kresge Foundation joined in 2007.

Mellon’s support for African higher education has focused on strengthening South African universities and the production of excellent scholars. Support was directed to academic and research program development, postgraduate training, faculty development, and the development of archival collections. Mellon contributed 16% of the overall investment in training the next generation of African academics, as well as 17% of the Joint PHEA investment in ICT initiatives. In addition Mellon supported the development of digital academic resources, including the ALUKA collections on African plants, Cultural Heritage Sites and Landscapes, and Struggles for Freedom in Southern Africa.

## Snapshot of Mellon Investment

Total Mellon PHEA Investment	\$50,351,200	% Mellon Grants
% of Total PHEA	11%	
Individual foundation grantmaking	\$44.8 mil	89%
Joint PHEA grantmaking	\$5.6 mil	11%
Direct investment in African grantees	\$38.2 mil	76%
Direct investment in 10 African universities and colleges:	\$28.7 mil	57%
• University of Cape Town	\$12.4 mil	25%
• University of the Witwatersrand	\$9.6 mil	19%
Major country benefiting:		
• South Africa	\$38.3 mil	76%

**What Was the Geographic Distribution of the Investment?<sup>1</sup>**



The graphs above show the geographic distribution of Mellon’s \$50.4 million in grants.

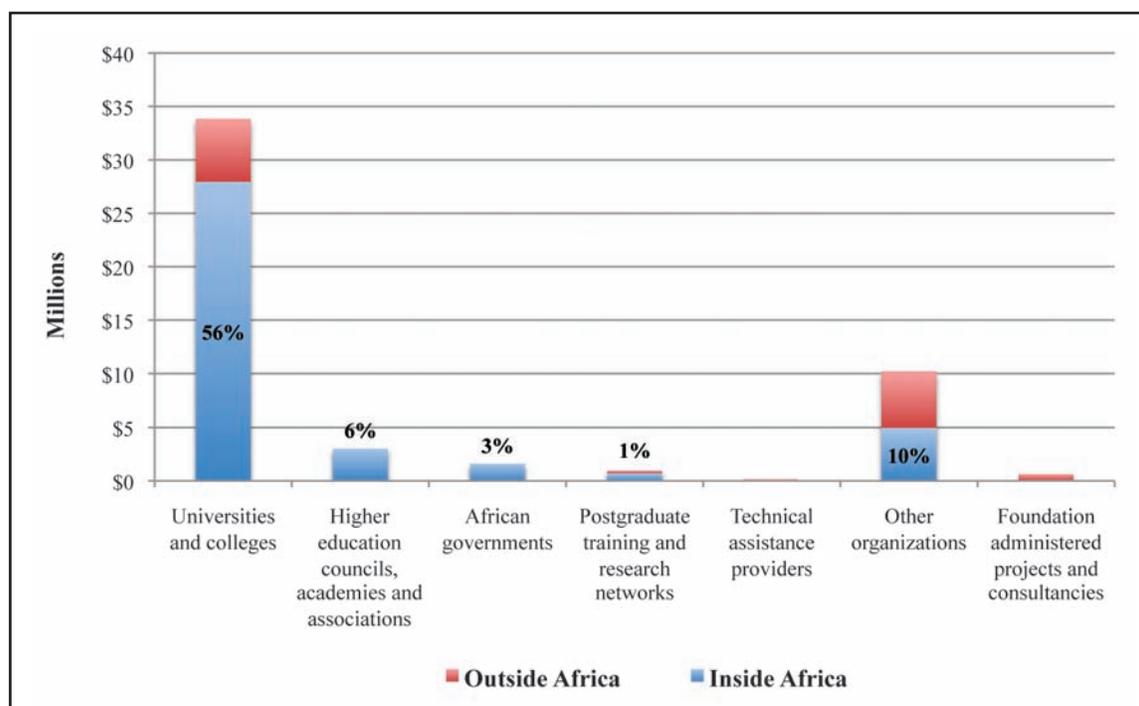
- 76% of Mellon’s grantees were located inside Africa (Figure 1).
- 24% of Mellon’s grants (\$12 million) had “Africa-wide” benefits (Figure 2).<sup>2</sup>
- South Africa was the largest “single-country” beneficiary of Mellon support, receiving investments totaling \$38.3 million. In the PHEA overall, South Africa received 28% (\$123.9 million) of all PHEA support (Figure 2).
- It is worth explaining that Mellon’s \$12.1 million invested in grantees outside Africa does not correspond to the \$12 million in Mellon grants with “Africa-wide” benefits. Over half of the Outside Africa grant-making (52%) was targeted to benefit South Africa.

1 Geographic distribution of PHEA grants is tracked by the location of the grantee inside or outside Africa and by the country in Africa intended to benefit from the grant.

2 The term “Africa-wide” applies mainly to PHEA Joint Initiatives and to resources intended to serve the entire continent. In the case of Mellon, the \$5.85 million investment in the ALUKA collections is considered to have “Africa-wide” benefits.

## In What Types of Grantees Did the Foundation Invest?

Fig. 3 Investment by Type of Grantee<sup>3</sup>



At \$28 million, universities and colleges inside Africa were Mellon’s largest type of grantee. An additional \$710,00 invested in postgraduate training and research networks were based at African universities. Mellon supported ten different institutions, six of which received over \$500,000 (Figure 4).

Fig. 4 Major University Grantees<sup>4</sup>

	University Grantee	Country	Total	% of Overall Mellon Investment
1.	University of Cape Town (UCT)	South Africa	\$12,373,900	25%
2.	University of the Witwatersrand	South Africa	\$9,576,600	19%
3.	Rhodes University	South Africa	\$3,596,500	7%
4.	University of the Western Cape	South Africa	\$1,232,400	2%
5.	Stellenbosch University	South Africa	\$1,005,000	2%
6.	University of KwaZulu-Natal	South Africa	\$752,620	1%

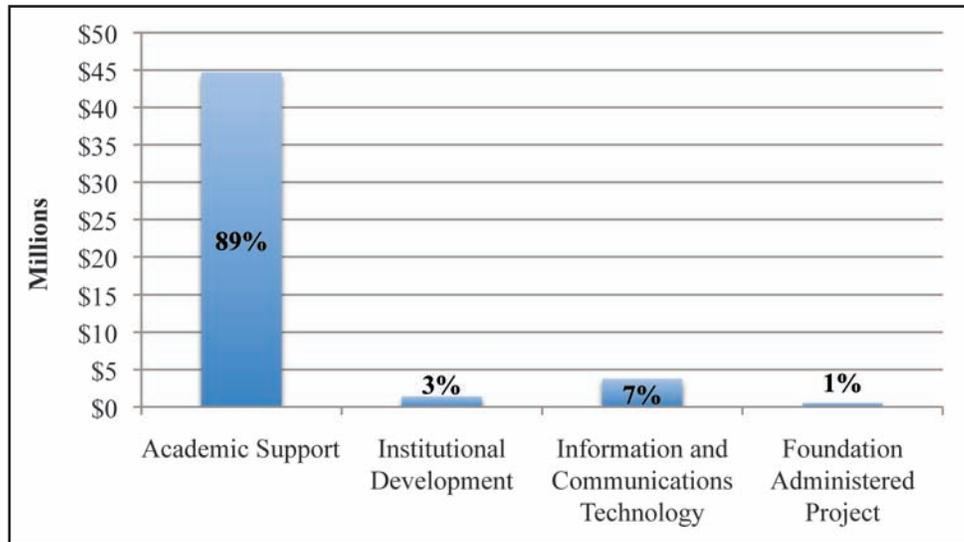
3 Percentages in Figure 3 refer only to Inside Africa grantees as percentages of Mellon’s overall investment.

4 Figure 4 totals include support to postgraduate training and research networks based at these universities. For comparative lists of university and network support by foundation, see Technical Annex 3.

**In What Areas Did the Foundation Invest?**

Mellon’s grants are categorized into four main **Areas of Support** as shown in Figure 5, below.

**Fig. 5 Investment by Area of Support**

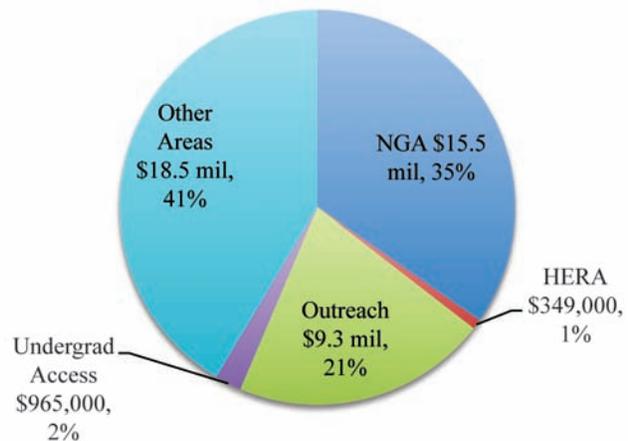


Mellon invested primarily in the area of Academic Support (\$44.7 million). Investments in Institutional Development and Information and Communication Technology came to \$1.4 million and \$3.8 million, respectively. Foundation Administered Projects consisted of \$535,000 in support of the administrative and programmatic activities of the PHEA Secretariat.

**Academic Support**

Academic Support was divided among five Sub-areas (Figure 6). Next Generation of Academics (NGA), a PHEA focal area, totaled \$15.5 million. Outreach (university efforts to serve civil society and national social and economic needs) received \$9.3 million. Improving Undergraduate Access received \$965,000 while a second PHEA focal area, Higher Education Research and Advocacy (HERA), had contributions totaling \$349,000. Other Areas of Academic Support received \$18.5 million and included support of academic posts to increase faculty diversity, research institutes, fellowships, and the digitization of African plants, liberation struggles, rock art, and other cultural artifacts.

**Fig. 6 Academic Support by Sub-areas**



### **Next Generation of Academics (NGA)**

Mellon's NGA grantmaking focused on the production of good scholars. Investments included support for research programs, academic program development, faculty development, and postgraduate training at six South African partner universities. Over \$6.8 million supported fellowships for masters, doctoral, and post-doctoral students, and academic staff development programs at all six institutions. Investments in faculty development supported a range of strategies. An accelerated faculty development program at Rhodes University was jointly supported with Kresge. \$2.25 million was invested in a postgraduate mentoring program at the University of the Witwatersrand. Grants totaling \$1 million supported the strengthening of research culture at the Universities of Cape Town and the Witwatersrand by engaging senior research scholars in support of young faculty. Overall, Mellon contributed 16% of all PHEA investments in the NGA Sub-area.

### **Outreach**

Of the \$9 million invested by Mellon in this Sub-area, \$8.3 million (89%) supported a program for research bridges in ecological research and training among US and South African universities, South African National Parks, and the South African National Biodiversity Institute. Grantees included South African National Parks (\$1.6 million), the University of Cape Town (\$960,000) and the University of the Witwatersrand (\$650,000) in South Africa, and the Carnegie Institution of Washington (\$1.3 million), the University of California at Santa Barbara (\$970,000), and Princeton University (\$600,000) in the US. UCT's Center for Popular Memory received \$510,000 for its oral history work.

### **Improving Undergraduate Access**

This Sub-area consisted of grants for two Mellon Mays Undergraduate Fellowship Programs at the Universities of Cape Town and the Witwatersrand (totaling \$620,000). Mellon also supported the Organization for Tropical Studies to enhance student diversity in its Environmental Studies program.

### **Higher Education Research and Advocacy (HERA)**

Grants in this Sub-area included support for research on higher education in South Africa at the University of Cape Town and joint funding for the PHEA-sponsored University Leaders' Forums in 2006 and 2008.

### **Other Areas of Academic Support**

The largest amount of Mellon's academic support fell into this catchall Sub-area. Mellon's most significant investment here was in the ALUKA digital collections, with grants of \$5.85 million to 34 different universities, research institutes, botanical gardens, and herbariums worldwide. Mellon also supported the University of Witwatersrand's South African Rock Art Digital Archive (SARADA) and, at the University of Cape Town, an archival collection on the San peoples. Mellon underwrote academic positions to increase faculty diversity (\$3 million), supported the creation of a humanities institute at the University of Cape Town (\$1.3 million), and supported the Wits Institute for Social and Economic Research (\$1.2 million). Another \$2.9 million was invested in fellowships for student training in public sector leadership, UCT's opera program, and research fellowships in law.

### Investment in Academic Disciplines

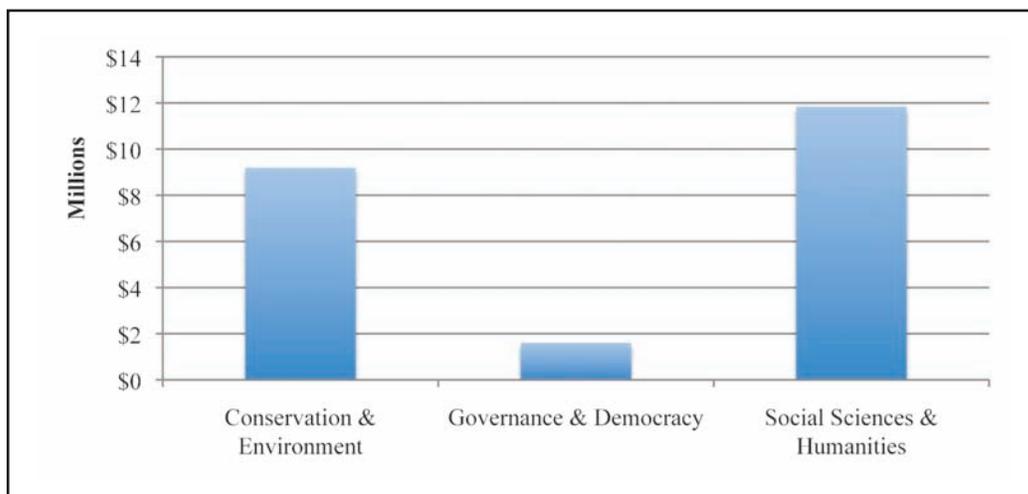
\$27.5 million (55%) of Mellon’s grantmaking can be attributed to academic disciplines. Figure 7 shows the disciplinary investments totaling over \$1 million each.<sup>5</sup>

Mellon’s investments in humanities and social sciences was highest. Investments included \$5.9 million for research and training and over \$4.6 million in masters, doctoral, and postdoctoral fellowships. \$8 million was invested in programs for ecological research and training, as part of Mellon’s Conservation and the Environment program.

**Fig. 7 Investment by Academic Disciplines**

Discipline	Total
Conservation & Environment	\$9,187,500
Governance & Democracy	\$1,600,000
Humanities & Social Sciences	\$11,835,200

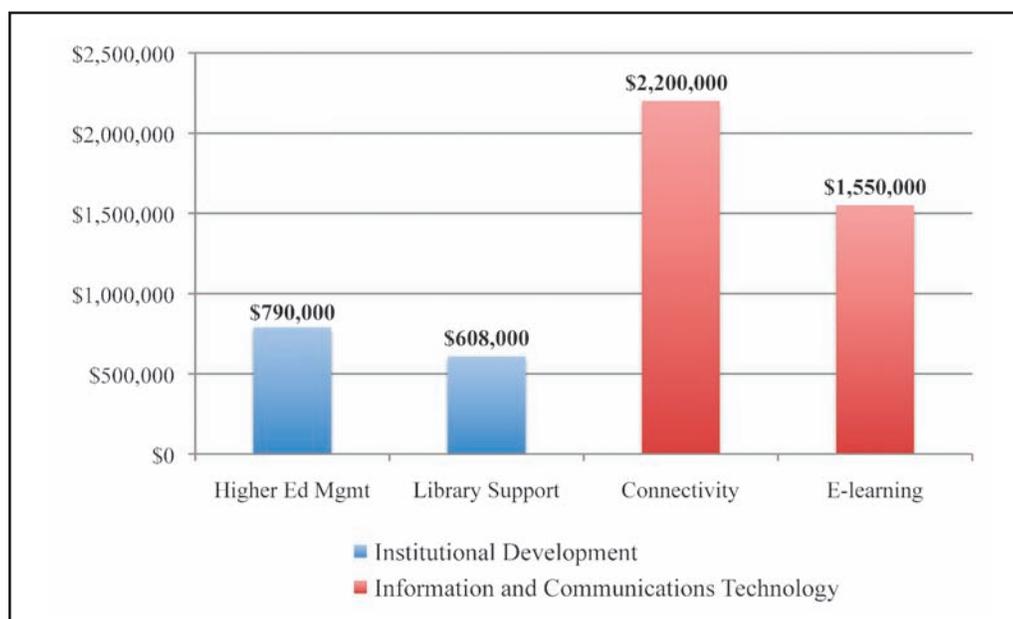
**Fig. 8 Investment by Main Academic Disciplines**



<sup>5</sup> Data on academic disciplines includes grants categorized in all Areas of Support. Hence, a grant for the digitization of a law library is counted toward “law” just as a grant to support a science laboratory facility would be counted toward “science.” In Mellon’s case, no grants are double-counted in the three disciplinary categories.

## Other Areas of Support

Fig. 9 Other Areas of Support by Sub-areas



### Support for Institutional Development

#### Higher Education Management

The main grant in this Sub-area was to Higher Education South Africa (HESA) to support a program on the management of higher education institutions for potential leaders of South African universities (\$230,000). Other grants captured here are discretionary support grants for the Vice Chancellors of Rhodes and Stellenbosch Universities and the University of Cape Town (totaling \$400,000).

#### Library Support

Mellon’s \$608,000 investment in this Sub-area supported a variety of grantees in the development of library systems and the digitization of library holdings, including the International Library of African Music at Rhodes University. At the University of Fort Hare, Mellon invested in strengthening library resources specifically in the humanities and social sciences. As previously noted, however, grants for the development of digital collections fall under Academic Support rather than Institutional Development.

### Support for Information and Communications Technology (ICT)

Fig. 10 Mellon Contributions to Information and Communications Technology Initiatives

ICT Initiative	PHEA Total	Mellon Support	Mellon as % of PHEA Total
Individual NRENs	\$3,940,000	\$2,200,000	56%
Educational Technology Initiative	\$6,726,500	\$1,300,000	19%
<b>Total</b>	<b>\$20,666,345</b>	<b>\$3,500,000</b>	<b>17%</b>

Mellon’s ICT grantmaking was almost entirely Joint (93%) with other PHEA foundations. The foundation’s main investment was in the Connectivity Sub-area, supporting South Africa’s Tertiary Education Network (TENET) in two related areas. The first was to build the ICT capacity of higher education institutions in southern Africa (\$1.2 million). The second was to help develop national research and education networks (NRENs) that advance the connectivity needs of higher education throughout Africa (\$1 million). Mellon’s support represented the largest investment among PHEA foundations in the Joint ICT Initiative supporting NRENs.

In the E-learning Sub-area, Mellon supported the establishment of a master’s program in ICT in Education at UCT’s Centre for Educational Technology. This \$1.3 million was complemented by Carnegie’s support to the same program for fellowships. Overall, Mellon contributed 17% of the PHEA’s joint ICT work.

## Appendix 1.

**Mellon Investment by Area of Support and Sub-area\***

Area of Support	Total	% Total	Sub-area	Sub-area %
<b>Academic Support</b>	<b>\$44,668,200</b>	<b>89%</b>		
Higher Education Research and Advocacy			\$348,800	1%
Next Generation of Academics			\$15,506,000	35%
Improving Undergraduate Access			\$965,000	2%
Outreach			\$9,328,100	21%
Other Areas			\$18,520,300	41%
<b>Institutional Development</b>	<b>\$1,398,000</b>	<b>3%</b>		
Higher Education Management			\$790,000	57%
Library Support			\$608,000	43%
<b>Information &amp; Communications Tech</b>	<b>\$3,750,000</b>	<b>7%</b>		
Connectivity			\$2,200,000	59%
E-learning			\$1,550,000	41%
<b>Foundation Administered Project</b>	<b>\$535,000</b>	<b>1%</b>		
PHEA Secretariat**			\$535,000	100%
<b>TOTAL</b>	<b>\$50,351,200</b>	<b>100%</b>	<b>\$50,351,200</b>	<b>100%</b>

\* Definitions for all terms are provided in Technical Annex 1.

\*\* Mellon contributions to the PHEA Secretariat comprised 1.1% of its overall PHEA grantmaking.



# Technical Annex 1

## Guidelines for Coding PHEA Grants by Areas of Support and Sub-Areas

PHEA grants are categorized into four main **Areas of Support**: (1) Academic Support; (2) Institutional Development; (3) Information & Communications Technology; and (4) Foundation Administered Projects. Within each Area, grants are then categorized into **Sub-areas**. Definitions of Areas of Support and Sub-areas are provided below.

While most grants fit clearly into only one of the five Areas of Support, there are many that could be interpreted as fitting more than one. However, all grants are categorized into one Area of Support, and then one Sub-area. It is important to note that **PHEA grants are categorized based on their primary aim as expressed in the grant purpose statement.**

### 1. Academic Support

Applied to all academic support for faculty, students, or disciplinary fields. Includes support for research, program or curriculum development, academic conferences and workshops, and academic publishing. Sub-areas include:

Higher Education Research and Advocacy	Support for any research, dissemination, workshop, or networking effort to advocate for higher education in Africa, or its emergence as an academic field.
Next Generation of Academics	Support for the development of the Next generation of academics, including fellowships, development of young faculty, and strengthening postgraduate programs and training networks. Does NOT include undergraduate support.
Improving Undergraduate Access	Any initiative aimed at improving access to higher education, often with gender or racial equity as a target. Primarily undergraduate scholarships.
Outreach	Support for university efforts to serve civil society and national social and economic needs. Activities include: teacher-training and primary school literacy, HIV-awareness, rural community development, and private sector partnerships.
Other Areas	Captures academic support not covered in other Sub-areas. Includes support for academic linkages offices and building research capacity. Includes program development when not considered NGA or Outreach, and support for the development of academic databases.

## 2. Institutional Development

Support for institutional advancement and strengthening, to aid in the transformation of the delivery of tertiary education. Sub-areas include:

Core Institutional Support	General operating support with no program specified. Includes core support for universities, postgraduate training networks, and other organizations that impact African higher education.
Higher Education Management	Support for improving the management of higher education institutions and councils, often via support for institution-based management offices. Includes support for administration, advancement and fundraising, research management, strategic planning, gender mainstreaming, human resources, and implementation of management-information systems (MIS). Also includes support for leadership training workshops and administrative staff development.
Facility/Infrastructure Development	Support for the development of infrastructure, such as the construction of new buildings, laboratories, and the supply of educational materials. Does NOT include support for computers and computer-related facilities.
Library & Archival Support	Support for the development of libraries in higher education institutions, including automation of library systems, the supply and/or digitization of library collections, training workshops for librarians, and access to journal subscriptions.

## 3. Information & Communications Technology (ICT)

Support related to the development of ICT's on campuses and their use in teaching, learning, and research. Sub-areas include:

Connectivity	Support for all hardware, software, and Internet connectivity in higher education institutions. Support for training to manage ICT in universities, including issues of operation and repairs. Includes support for national research education networks (NREN's), such as RENU, KENET, and TENET, as well as the Bandwidth Consortium.
E-learning	Support for any ICT-based education program, including distance learning. Includes building staff capacity with ICT for research and teaching purposes and the development of open educational resources (OER).

## 4. Foundation Administered Projects

Support for foundation-sponsored consultancies and support for the PHEA secretariat. Sub-areas include:

Technical Assistance and Evaluation	Includes any internal grant given by a foundation, usually consultancies, for evaluation and advisement purposes.
PHEA Secretariat	Includes all support to the pooled funds for the PHEA secretariat at NYU or IIE, to support its programmatic and administrative duties.



## Technical Annex 2

### PHEA Country Data<sup>1</sup>

#### TA-2.1 General Data

	Population (Million)	Adult Population (15 Years and Above)	Adult Literacy Rate	GDP (\$ Million)
Egypt	82	68%	66%	162,818
Ghana	23	61%	65%	16,123
Kenya	39	57%	85%*	34,507
Madagascar	19	57%	69%*	8,970
Mozambique	22	56%	44%	9,735
Nigeria	151	57%	72%	212,080
South Africa	49	69%	88%	276,764
Tanzania	42	55%	72%	20,490
Uganda	32	51%	74%	14,529
<b>TOTAL</b>	<b>459</b>			

Source: World Bank's World Development Report (data as of 2008), except where noted.

\* Kenya and Madagascar data: CIA World Factbook; data as of 2003.

#### TA-2.2 Number of Universities by Country

	# of Public Universities and University Colleges	# of Private Universities and University Colleges	Total Universities and University Colleges	# of Universities Receiving PHEA Grants
Egypt	18	17	35	3
Ghana	6	22	28	4
Kenya	7	11	18	7
Madagascar	6	0	6	2
Mozambique	17	21	38	2
Nigeria	63	41	104	12
South Africa	23	49	72	17
Tanzania	13	49	33	4
Uganda	5	11	16	3
<b>TOTAL</b>	<b>158</b>	<b>221</b>	<b>379</b>	<b>54</b>

<sup>1</sup> The authors thank Naomi Moland for her assistance in gathering some of the data presented in this Annex.

## Table 2 Sources:

**Egypt**—18 public, 17 private universities

Ashraf Khaled (March 2010) “More funding needed to raise quality”  
[www.universityworldnews.com/article.php?story=20100312111716504](http://www.universityworldnews.com/article.php?story=20100312111716504)

**Ghana**—6 public, 22 private universities

National Council for Tertiary Education ■ <http://ncte-ghana.org/downloads.php>

**Kenya**—7 public, 11 private universities

Commission for Higher Education ■ [www.che.or.ke/index.html](http://www.che.or.ke/index.html)

**Madagascar**—6 public universities

Ministry of Higher Education ■ [www.refer.mg/edu/minesup/](http://www.refer.mg/edu/minesup/)

**Mozambique**—17 public, 21 private

Arlindo Chilundo, Ministry of Education, May 2010

**Nigeria**—27 Federal, 36 State, 41 Private

NUC ■ [www.nuc.edu.ng/pages/universities.asp](http://www.nuc.edu.ng/pages/universities.asp)

**South Africa**—23 public, 49 private universities and colleges (registered offering degree)

Department of Higher Education and Training, Register of Private HEI (May 2010)

[www.education.gov.za/dynamic/dynamic.aspx?pageid=326&dirid=47](http://www.education.gov.za/dynamic/dynamic.aspx?pageid=326&dirid=47)

**Tanzania**—13 public, 21 private universities and university colleges

Tanzania Commission for Universities ■ [www.tcu.go.tz/about.html](http://www.tcu.go.tz/about.html)

**Uganda**—5 public universities, 11 private universities

NCHE ■ [www.unche.or.ug/institutions.php](http://www.unche.or.ug/institutions.php)

**TA-2.3 Tertiary Enrollment by Country**

	Tertiary Ed Enrollment	Tertiary Ed Enrollment Rate	Female Tertiary Enrollment Rate*
Egypt (2006)	1,420,053	30.0%	
Ghana	140,017	6.20%	4.33%
Kenya (2009)	167,983	4.05%	3.34%
Madagascar (2008)	62,069	3.40%	3.21%
Mozambique	28,000	1.50%	
Nigeria	1,392,000	10.20%	
South Africa (2009)	741,000	15.40%	
Tanzania	55,134	1.48%	0.96%
Uganda	107,728	3.69%	3.27%
<b>Total</b>	<b>4,113,984</b>		

Source: UNESCO Institute for Statistics except for Egypt. UNESCO data as of 2007, except where noted.

Egypt data: Arab Republic of Egypt Ministry of Higher Education, *Information Unit Periodical* 2006/2007. First degree only.

\* Female Tertiary Enrollment Rate: Total enrolment in a specific level of education, regardless of age, expressed as a percentage of the eligible official school-age population corresponding to the same level of education in a given school year. For the tertiary level, the population used is that of the five-year age group following on from the secondary school leaving.



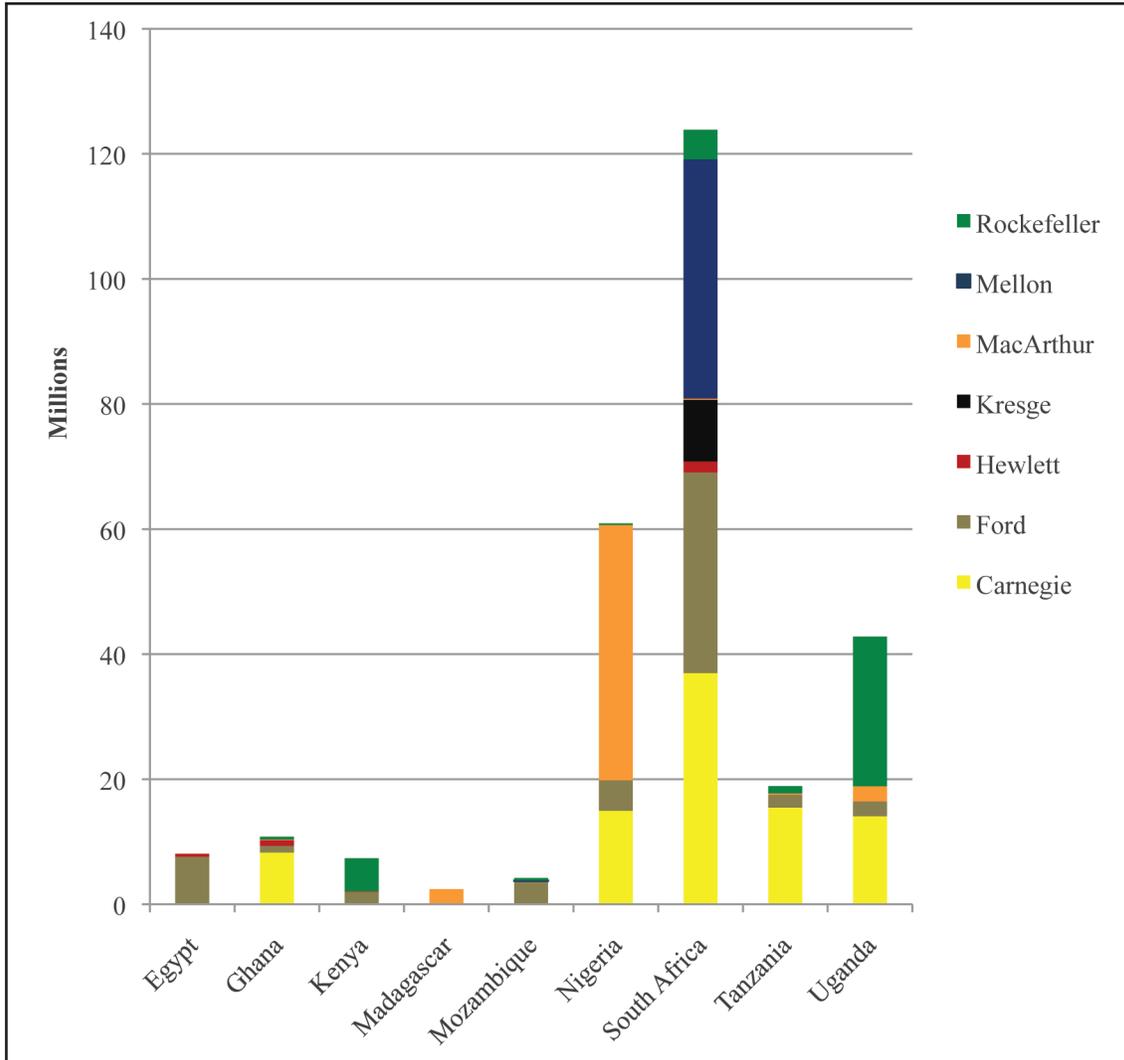
## Technical Annex 3

### Grantmaking Tables for All PHEA Foundations

TA-3.1 PHEA Investment by Foundation (Millions)

	Carnegie	Ford	Hewlett	Kresge	MacArthur	Mellon	Rockefeller
<b>Total Investment</b>	<b>\$125.5</b>	<b>\$90.4</b>	<b>\$29.4</b>	<b>\$11.7</b>	<b>\$58.2</b>	<b>\$50.4</b>	<b>\$74.4</b>
% of Total PHEA	29%	21%	7%	3%	13%	11%	17%
<b>Joint PHEA grantmaking</b>	<b>\$12.0 mil</b>	<b>\$13.4 mil</b>	<b>\$10.2 mil</b>	<b>\$3.3 mil</b>	<b>\$7.2 mil</b>	<b>\$5.6 mil</b>	<b>\$14.8 mil</b>
As a % of foundation investment	10%	15%	35%	28%	12%	11%	20%
<b>Direct investment in African grantees</b>	<b>\$100.0</b>	<b>\$83.2</b>	<b>\$23.3</b>	<b>\$11.3</b>	<b>\$45.2</b>	<b>\$38.2</b>	<b>\$68.3</b>
As a % of foundation investment	80%	92%	79%	97%	78%	76%	92%
<b>Direct investment in African universities and colleges</b>	<b>\$77.1</b>	<b>\$53.6</b>	<b>\$5.9</b>	<b>\$8.2</b>	<b>\$36.7</b>	<b>\$28.7</b>	<b>\$46.1</b>
As a % of foundation investment	61%	59%	20%	70%	63%	57%	62%

TA-3.2 Countries Benefiting by Foundation\*



\* This graph represents only 63% (\$279 million) of PHEA grants; another 37% (\$161 million) had "Multi-country" or Africa-wide benefits.

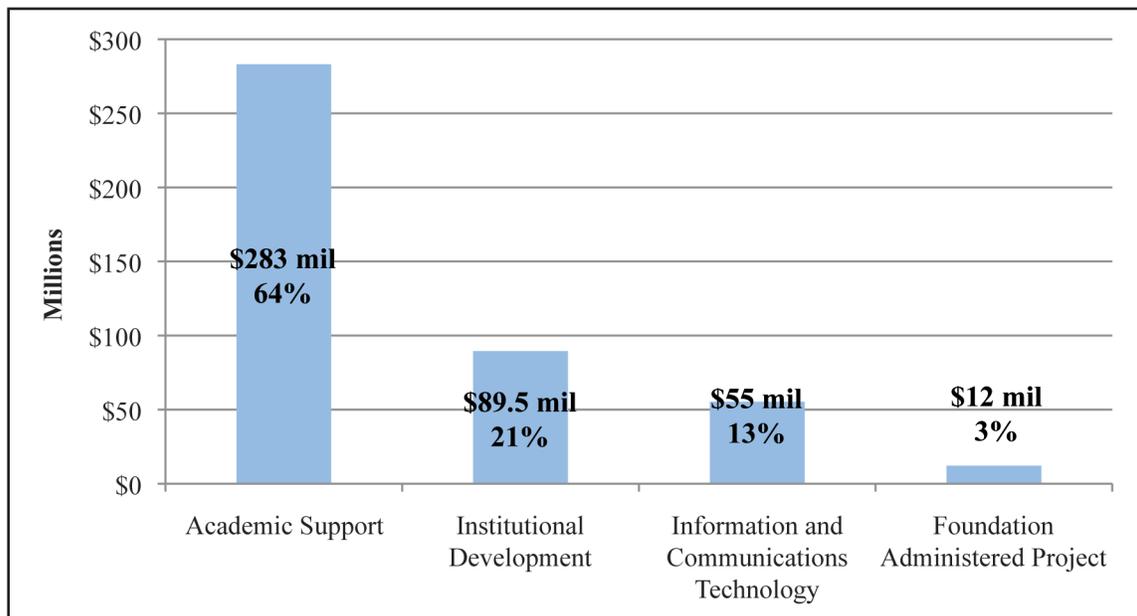
**TA-3.3 PHEA Investment by Area of Support and Sub-area\***

Area of Support	Total	% Total	Sub-area	Sub-area %
<b>Academic Support</b>	\$283,052,707	<b>64%</b>		
Higher Education Research and Advocacy			\$17,187,440	6%
Next Generation of Academics			\$98,639,024	35%
Improving Undergraduate Access			\$22,344,314	8%
Outreach			\$79,596,364	28%
Other Areas			\$65,285,565	23%
<b>Institutional Development</b>	\$89,452,027	<b>20%</b>		
Core Institutional Support			\$18,195,546	20%
Higher Education Management			\$36,302,910	41%
Facility/Infrastructure Development			\$18,500,561	21%
Library & Archival Support			\$16,453,010	18%
<b>Information &amp; Communications Tech</b>	\$55,299,969	<b>13%</b>		
Connectivity			\$29,676,595	54%
E-learning			\$25,623,374	46%
<b>Foundation Administered Project</b>	\$12,134,921	<b>3%</b>		
Technical Assistance & Evaluation			\$6,149,547	51%
PHEA Secretariat**			\$5,985,374	49%
<b>TOTAL</b>	<b>\$439,939,624</b>	<b>100%</b>	<b>\$439,939,624</b>	<b>100%</b>

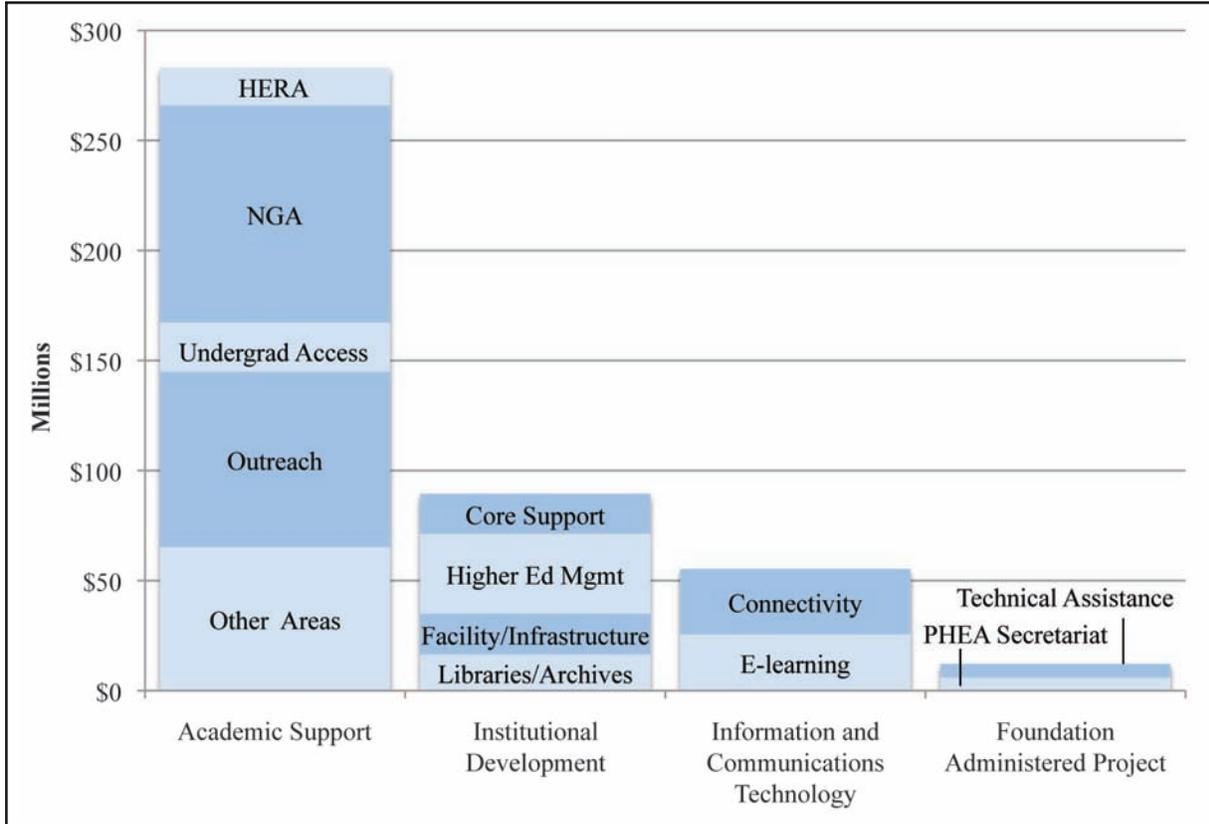
\* Definitions for Area and Sub-area terms are provided in Technical Annex 1.

\*\* Overall support to the PHEA Secretariat made up 1% of overall PHEA grantmaking.

**TA-3.4 PHEA Investment by Area of Support**



**TA-3.5 PHEA Investment by Sub-Area**



Funding for the administrative and programmatic duties of the PHEA secretariat was divided between the Institute of International Education (IIE) and New York University (NYU), as outlined in the table below.

**TA-3.6 PHEA Secretariat by Programming and Administrative Costs**

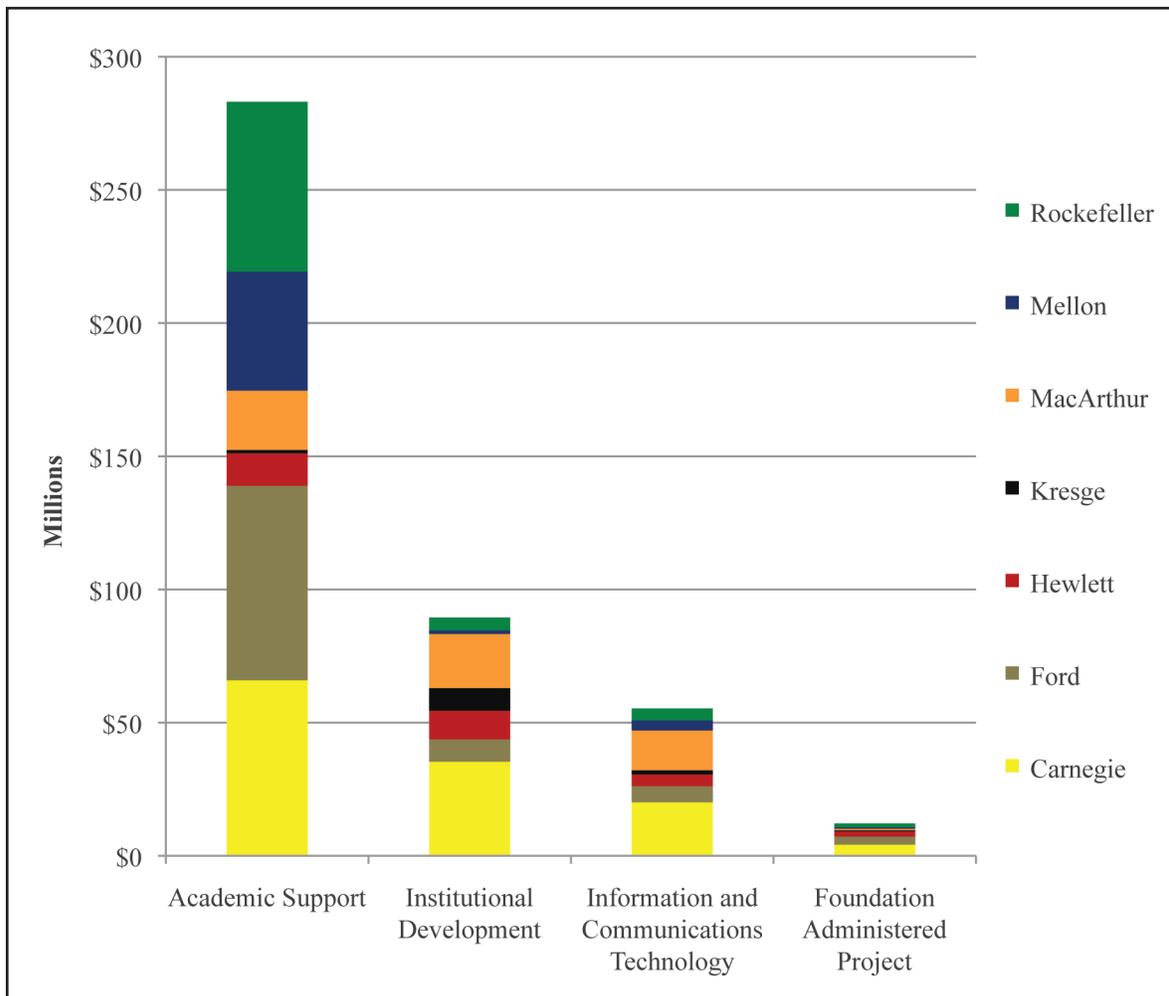
	IIE*	%	NYU	%	Total	%	As % Total Grants \$440 mil	As % Joint Grants \$66.6 mil
Programming expenses	\$2,528,016	82%	\$1,530,407	53%	\$4,058,423	68%		
Administrative expenses	\$554,009	18%	\$1,372,942	47%	\$1,926,951	32%	0.4%	2.9%
<b>TOTAL</b>	<b>\$3,082,025</b>		<b>\$2,903,349</b>		<b>\$5,985,374</b>			

\* IIE Administrative costs include the PHEA Mid-term Review and the ten year commemoration publications: PHEA Accomplishments report, PHEA Case Study, and Voices book.

**TA-3.7 Individual Foundation Investment by Area of Support**

Foundation	Academic Support	Institutional Development	Information and Communications Technology	Foundation Administered Project	Foundation Total
Carnegie	\$65,883,332	\$35,357,063	\$20,095,589	\$4,173,370	\$125,509,354
Ford	\$73,012,310	\$8,361,635	\$6,039,018	\$3,011,088	\$90,424,051
Hewlett	\$12,257,000	\$10,754,451	\$4,404,443	\$2,000,000	\$29,415,894
Kresge	\$1,227,583	\$8,486,878	\$1,600,000	\$400,000	\$11,714,461
MacArthur	\$22,309,256	\$20,338,639	\$14,942,077	\$574,500	\$58,164,472
Mellon	\$44,668,200	\$1,398,000	\$3,750,000	\$535,000	\$50,351,200
Rockefeller	\$63,695,026	\$4,755,361	\$4,468,842	\$1,440,963	\$74,360,192
<b>Area of Support Total</b>	<b>\$283,052,707</b>	<b>\$89,452,027</b>	<b>\$55,299,969</b>	<b>\$12,134,921</b>	<b>\$439,939,624</b>

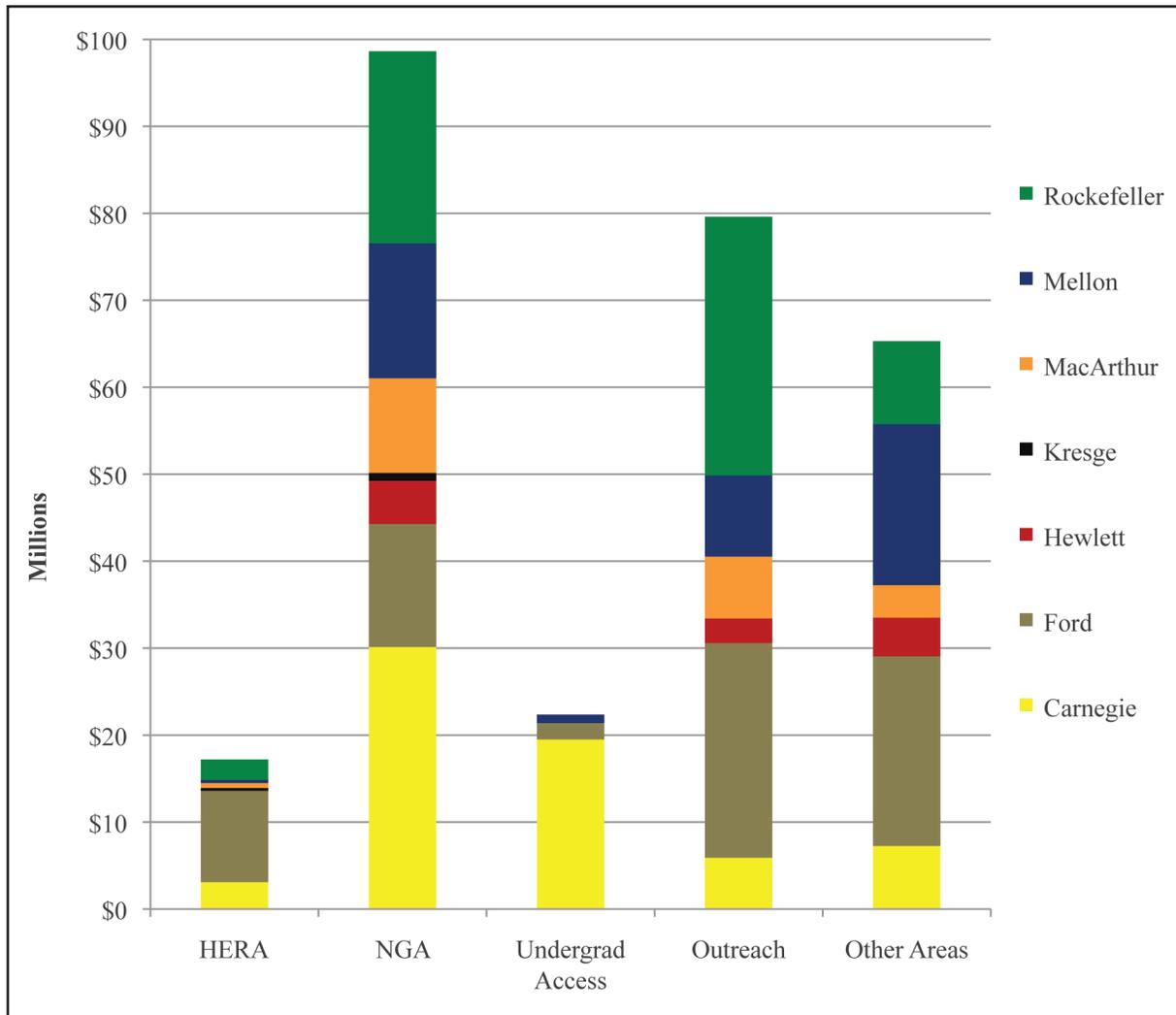
**TA-3.8 Individual Foundation Investment by Area of Support, Combined**



**TA-3.9 Individual Foundation Investment by Academic Support Sub-Area**

Foundation	HERA	NGA	Undergrad Access	Outreach	Other Areas	Foundation Total
Carnegie	\$3,089,430	\$30,138,922	\$19,507,814	\$5,897,371	\$7,249,795	\$65,883,332
Ford	\$10,504,922	\$14,144,796	\$1,871,500	\$24,683,172	\$21,807,920	\$73,012,310
Hewlett		\$4,970,000		\$2,844,000	\$4,443,000	\$12,257,000
Kresge	\$327,583	\$900,000				\$1,227,583
MacArthur	\$570,037	\$10,891,809		\$7,109,500	\$3,737,910	\$22,309,256
Mellon	\$348,800	\$15,506,000	\$965,000	\$9,328,100	\$18,520,300	\$44,668,200
Rockefeller	\$2,346,668	\$22,087,497		\$29,734,221	\$9,526,640	\$63,695,026
<b>Sub-Area Total</b>	<b>\$17,187,440</b>	<b>\$98,639,024</b>	<b>\$22,344,314</b>	<b>\$79,596,364</b>	<b>\$65,285,565</b>	<b>\$283,052,707</b>

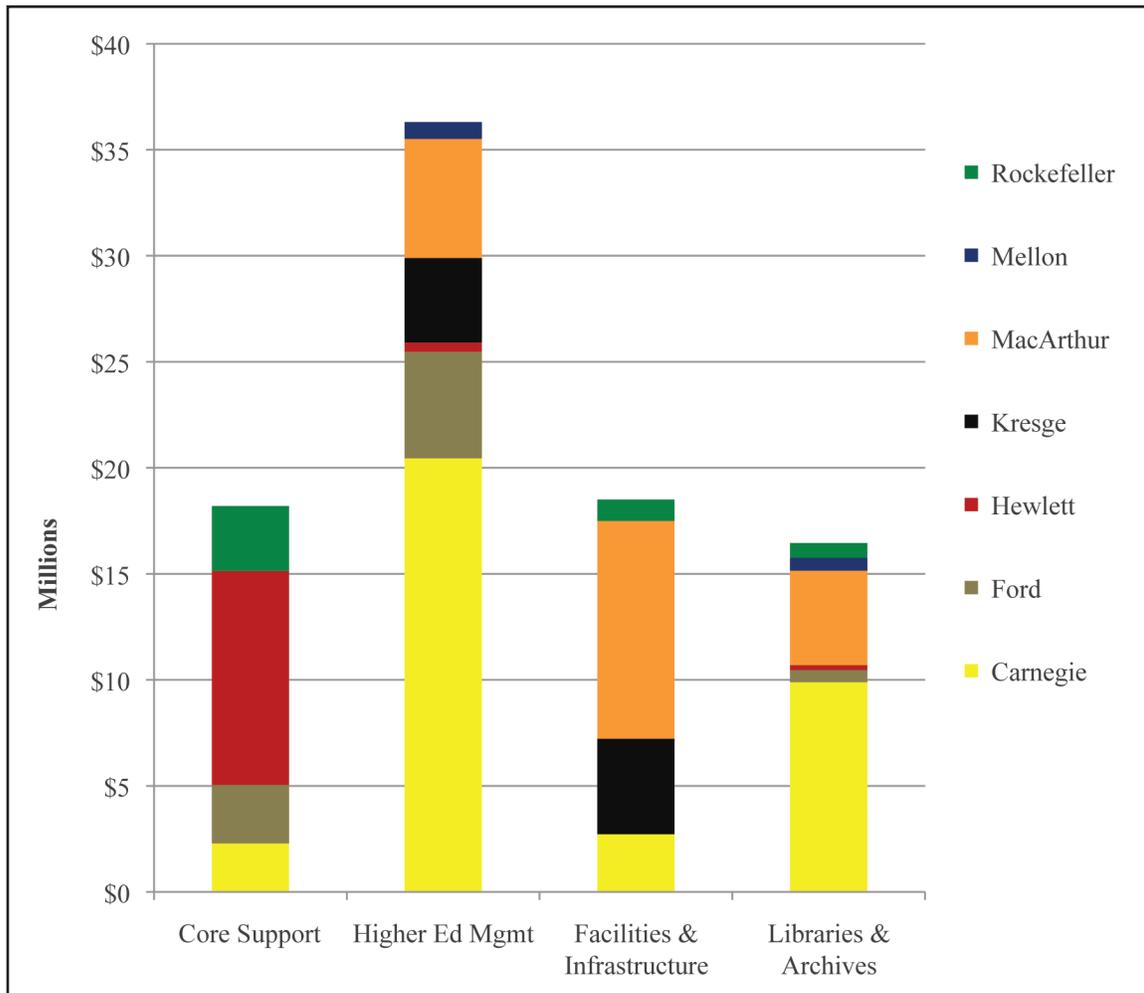
**TA-3.10 Individual Foundation Investment by Academic Support Sub-Area, Combined**



**TA-3.11 Individual Foundation Investment by Institutional Development Sub-Area**

Foundation	Core Institutional Support	Higher Education Management	Facility/ Infrastructure Development	Library & Archival Support	Foundation Total
Carnegie	\$2,289,600	\$20,453,664	\$2,722,750	\$9,891,049	\$35,357,063
Ford	\$2,760,268	\$5,026,367		\$575,000	\$8,361,635
Hewlett	\$10,089,451	\$430,000		\$235,000	\$10,754,451
Kresge		\$3,986,878	\$4,500,000		\$8,486,878
MacArthur		\$5,616,001	\$10,271,904	\$4,450,734	\$20,338,639
Mellon		\$790,000		\$608,000	\$1,398,000
Rockefeller	\$3,056,227		\$1,005,907	\$693,227	\$4,755,361
<b>Sub-Area Total</b>	<b>\$18,195,546</b>	<b>\$36,302,910</b>	<b>\$18,500,561</b>	<b>\$16,453,010</b>	<b>\$89,452,027</b>

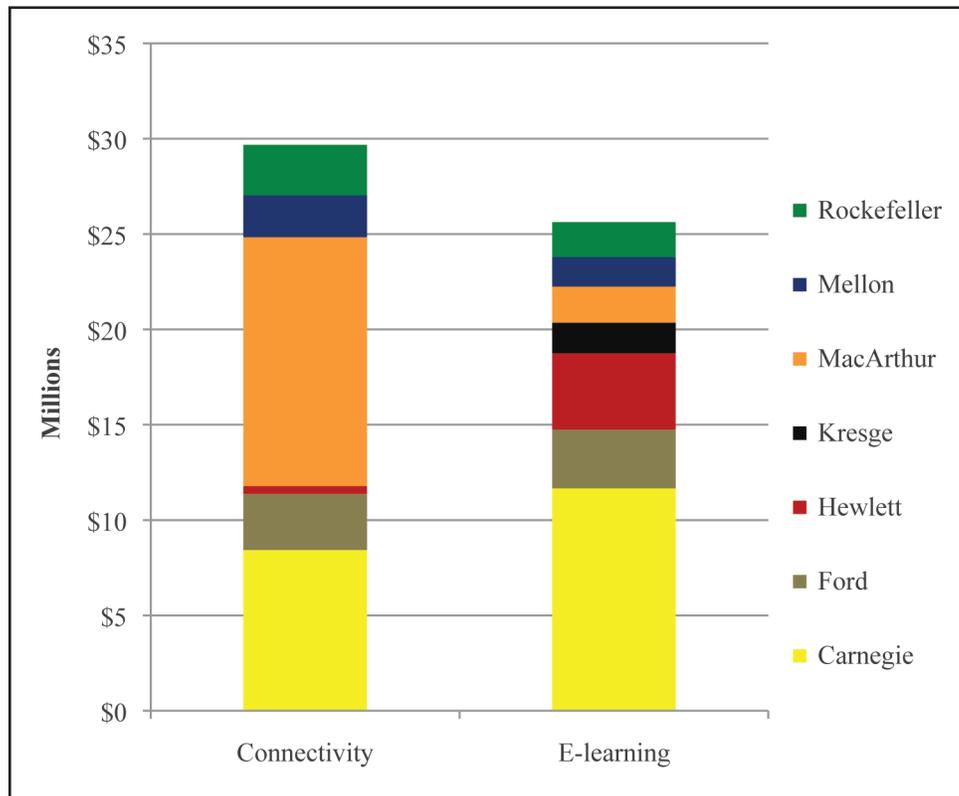
**TA-3.12 Individual Foundation Investment by Institutional Development Sub-Area, Combined**



**TA-3.13 Individual Foundation Investment by Information and Communications Technology Sub-Area**

Foundation	Connectivity (millions)	Connectivity as % of ICT Total by Foundation	E-learning (millions)	E-learning as % of ICT Total by Foundation
Carnegie	\$8,431,658	50%	\$11,663,931	50%
Ford	\$2,954,974	49%	\$3,084,044	51%
Hewlett	\$401,344	9%	\$4,003,099	91%
Kresge	\$0	-	\$1,600,000	100%
MacArthur	\$13,049,777	87%	\$1,892,300	13%
Mellon	\$2,200,000	59%	\$1,550,000	41%
Rockefeller	\$2,638,842	59%	\$1,830,000	41%
<b>Total/Overall % Distribution</b>	<b>\$29,676,595</b>	<b>57%</b>	<b>\$25,623,374</b>	<b>43%</b>

**TA-3.14 Individual Foundation Investment by Information and Communications Technology Sub-Area, Combined**



**TA-3.15 PHEA Investment in Main Academic Disciplines\***

<b>Discipline</b>	<b>Total (millions)</b>
African Studies	\$6,682,763
Agriculture	\$21,905,498
Agricultural Economics	\$3,091,294
Conservation and the Environment	\$13,329,603
Development Studies	\$3,744,766
Economics	\$23,785,233
Gender Studies	\$8,371,937
Governance & Democracy	\$25,237,044
Health & Population	\$16,234,826
Other Health	\$15,134,183
Other Population	\$6,110,000
HIV/AIDS	\$11,928,578
Human Rights	\$7,501,750
Law	\$11,699,767
Sciences	\$34,942,768
Sexuality	\$6,626,412
Social Sciences	\$36,819,946

\* Data on academic disciplines includes grants categorized in all Areas of Support. Hence, a grant for the digitization of a law library is counted toward "law", just as a grant to support a science laboratory facility would be counted toward "science." These figures double-count grants that include multiple disciplines. A grant supporting gender, HIV/AIDS, and human rights is counted toward all three disciplinary totals.

**TA-3.16 Individual Foundation Direct Investment in Major University Grantees (over \$1 million)**

University Grantee	Carnegie	Ford	Hewlett	Kresge	MacArthur	Mellon	Rockefeller	University Total
1. Makerere University*	\$13,536,500	\$2,926,000			\$1,060,000	\$19,300	\$25,117,524	\$42,659,324
2. University of Cape Town* <sup>1</sup>	\$10,618,592	\$7,682,790	\$635,000	\$1,292,546	\$100,000	\$12,373,900	\$2,937,597	\$35,640,425
3. University of the Witwatersrand	\$6,268,599	\$6,953,589	\$1,991,000	\$1,574,397	\$200,000	\$9,576,600	\$125,000	\$26,689,185
4. University of Dar es Salaam	\$14,065,655	\$2,775,000					\$469,006	\$17,309,661
5. University of KwaZulu-Natal*	\$6,313,173	\$3,824,490				\$752,620	\$5,950,373	\$16,840,656
6. University of the Western Cape	\$1,272,700	\$5,220,949		\$3,366,972		\$1,232,400	\$1,262,440	\$12,355,461
7. University of Ibadan		\$463,500			\$11,492,000		\$170,000	\$12,125,500
8. Bayero University, Kano					\$8,620,000			\$8,620,000
9. Obafemi Awolowo University	\$7,049,800	\$67,850					\$45,000	\$7,162,650
10. Rhodes University	\$817,500	\$1,780,073		\$950,000		\$3,596,500		\$7,144,073
11. Ahmadu Bello University	\$850,000				\$5,860,000			\$6,710,000
12. University of Pretoria*	\$1,150,000	\$3,349,810		\$567,088	\$149,000		\$1,421,631	\$6,637,529
13. University of Jos	\$6,350,000				\$72,000			\$6,422,000
14. African Virtual University <sup>2</sup>	\$867,808	\$867,808	\$2,110,844		\$867,808		\$779,564	\$5,493,832
15. University of Education, Winneba	\$5,335,900							\$5,335,900
16. University of Ghana	\$2,564,300	\$1,713,500	\$560,000			\$6,400	\$320,000	\$5,164,200
17. Stellenbosch University*	\$1,200,000	\$1,262,000		\$100,000		\$1,005,000	\$1,478,471	\$5,045,471
18. University of Port Harcourt		\$150,000			\$4,725,000			\$4,875,000
19. American University in Cairo*		\$2,474,000	\$450,000				\$10,000	\$2,934,000
20. Kenyatta University		\$147,000					\$2,449,999	\$2,596,999
21. Cairo University		\$2,540,000						\$2,540,000
22. Eduardo Mondlane University		\$1,696,466					\$315,000	\$2,011,466
23. University of Antananarivo					\$1,977,000			\$1,977,000
24. Sokoine University of Agriculture		\$550,000					\$976,424	\$1,526,424
25. University of Johannesburg	\$1,000,000	\$450,000						\$1,450,000
26. University of South Africa	\$1,086,100	\$196,750						\$1,282,850
27. University of Fort Hare	\$150,000	\$785,900				\$100,000		\$1,035,900

\* Includes PHEA support for postgraduate training and research networks based at these universities.

<sup>1</sup> This includes support to HERS-SA Academy and the UCT medical training hospital, the Children's Hospital Trust.

<sup>2</sup> 64% (\$3.5 million) in PHEA funding to African Virtual University was in support of the joint ICT initiative, the Bandwidth Consortium.

**TA-3.17 Individual Foundation Direct Investment in Major Postgraduate Training and Research Networks (over \$1 million)\***

	Network Grantee	Carnegie	Ford	Hewlett	Kresge	MacArthur	Mellon	Rockefeller	Network Total
1.	African Economic Research Consortium (AERC)		\$1,850,000	\$2,494,000		\$2,447,500		\$5,816,168	\$12,607,668
2.	African Population and Health Research Center (APHRC)			\$7,064,451				\$2,238,910	\$9,303,361
3.	African Centre for Crop Improvement (ACC), University of KwaZulu-Natal							\$6,587,075	
4.	RISE Networks, Institute for Advanced Study (IAS)	\$5,461,200							\$5,461,200
5.	INDEPTH Network			\$4,652,000				\$400,000	\$5,052,000
6.	Regional Universities Forum for Capacity Building in Agriculture (RUFORUM) <sup>§</sup>							\$3,493,378	\$3,493,378
7.	University Science, Humanities and Engineering Partnerships in Africa (USHEPIA), University of Cape Town	\$788,744	\$270,380				\$710,000	\$1,004,763	\$2,773,887
8.	Higher Education Research and Advocacy Expertise Network in Africa (HERANA)	\$500,000	\$1,200,000		\$250,000			\$250,000	\$2,200,000
9.	Council for the Development of Social Science Research in Africa (CODESRIA)	\$50,000	\$1,845,000					\$10,437	\$1,905,437
10.	African Gender Institute (AGI), University of Cape Town		\$1,321,015					\$448,000	\$1,769,015
11.	Consortium for Advanced Research Training in Africa (CARTA), African Population and Health Research Center (APHRC)	\$1,000,000	\$397,000						\$1,397,000
12.	South African Structural Biology Initiative (SASBI), Universities of Cape Town & the Western Cape	\$1,293,900	\$100,000						\$1,393,900
13.	Centre for Human Rights, University of Pretoria	\$1,000,000	\$150,000			\$69,000			\$1,219,000

\* Grant recipient for network support is listed, where applicable.

\*\* This total includes early seed grants to support RUFORUM that went to Makerere University in Uganda.

