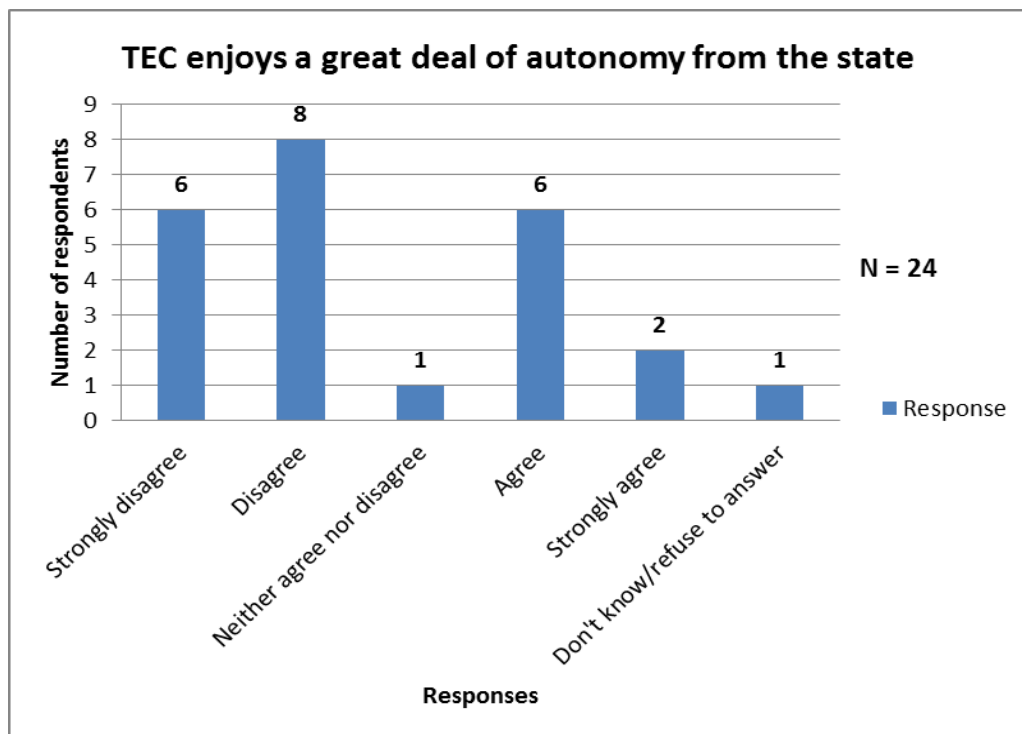


deal of autonomy and consider it therefore an autonomous organisation. This was mainly blamed on the Tertiary Education Act of 1999 that gives the government more control on the operations of the TEC. An additional issue was raised regarding accountability procedures. Instead of accounting to the Minister, the respondents felt that the TEC should account directly to Parliament to avoid any political interference from the Minister of Education.

Figure 9: The respondents' views on the autonomy of the TEC



Source: Institutional head questionnaire data.

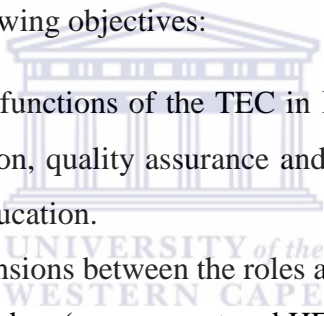
The need for highly autonomous buffer bodies is emphasised in a document prepared by ENQA whose recommendation was that buffer bodies should be accorded some independence from the government, HEIs and other stakeholders (ENQA, 2005). According to this document, buffer bodies should be independent to the extent that they have control over their operations. This is meant to empower them enabling impartial execution of their duties. In addition, at least in the context of the US, HEIs were found to be responsive to quality assurance control measures in contexts where highly autonomous bodies were in charge as compared to where the government was in charge (Ewell, 2008). Consequently, this emphasises the need for buffer bodies to be accorded greater autonomy to allow them to operate freely so that they can deliver on their mandate. This means that a situation where the TEC naturally leans towards the government with the interference of the government, the TEC's autonomy is likely to be affected.

Reports that the TEC's autonomy is under serious threat need to be placed in context. The Tertiary Education Act of 1999 clarifies some of the misconceptions around the TEC's autonomy. The Act never refers to the TEC as a buffer body and instead defines the TEC as a "council tasked with the responsibility of promotion and coordination of tertiary education and for the determination and maintenance of standards of teaching, examination and research in tertiary institutions" (Government of Botswana, 1999:3-15). In effect, the Act describes the TEC as more of government agent than buffer body. It is not surprising therefore that the findings of the study indicate that the TEC enjoys limited autonomy from government.

4.6 Summary of the key findings

Before highlighting the key findings of the study, it is important to first reflect on the objectives of the study as stated in the introduction. The study set out to examine the roles and functions of the TEC in higher education governance in Botswana.

The study was guided by the following objectives:

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- a) To examine the roles and functions of the TEC in Botswana's higher education with regard to policy formulation, quality assurance and coordination in the planning and development of tertiary education.
 - b) To explore the potential tensions between the roles and functions of the TEC and those of some of its key stakeholders (government and HEIs).
 - c) To establish the perceived performance of the TEC in relation to three functions of policy formulation, quality assurance and coordination in the planning and development of tertiary education.

First of all, the study attempted to establish whether the TEC was acting as a buffer or an agency in terms of three selected functions. In terms of the function of quality assurance it has found that the TEC acts both as government agent and buffer body regarding the accreditation and registration of institutions respectively. The registration process where TEC acts as a buffer involves five stages and starts with the initial screening of the application, followed by an evaluation of the application by assessors, verification by the inspection committee, processing of reports from the management by APDC and, finally, the approval or non-approval of the application by the TEC with the awarding of a certificate of approval. The accreditation process follows the registration process and only institutions with registration certificates are eligible to apply. This process starts with the preparation of self-study portfolios by HEIs and this is

followed by a peer-review exercise by academics and professionals, site visits, response from institutions, recommendation by the APDC to the council, which then makes a recommendation to the minister on whether to accredit an institution or not. An important distinction under the quality assurance function is that the TEC registers both public and private institutions, but when it comes to the accreditation function only private institutions are subjected to this exercise. This finding is consistent with observations made in the literature where buffer bodies could either be responsible for regulating either private institutions only, or public institutions only, or a combination of both (Nkunya, 2012). The second function that was assessed relates to the formulation of policy. In this respect, the TEC has been found to be performing a role associated with government agents. This is because most of the literature cited on the function of policy formulation associates this function with the government (De Boer, 1992; Schmidlein & Berdhal, 1992; Bekhradnia, 2006; Fielden, 2008). In fact, Fielden (2008) has listed this function as one that should be devolved from the government.

Secondly, the study sought to establish how different role players perceive the TEC in terms of the role that it plays. The findings of the study have revealed that the TEC is perceived to play both a buffer and a government agent role – albeit these perceptions differ in relation to different stakeholders and TEC functions.

Evidence gathered from the Tertiary Education Act of 1999, views of stakeholders and other sources indicates that the TEC is more government agent than buffer body. However, it has also been revealed that the TEC acts as a buffer body in some functions, such as the quality assurance function, while acting as an agent for others, such as the policy formulation function. Although the TEC officials may view the TEC as a buffer body, this is contradicted by the mandate given to the TEC by the Act, in which it is described as a government agent.

In order to address the third objective, literature focusing on Botswana's higher education system was reviewed. An attempt has been made to describe the higher education system in Botswana, the different role players and the influence they exert on the role of the TEC. It has emerged that Botswana's higher education governance is reportedly characterised by fragmentation and a duplication of roles, which limit the mandate of the TEC creating tensions between the TEC and other constituencies in Botswana's higher education system. Organisations such as BOTA and UB through CAD are reported to be performing the same role as the TEC with respect to certain programmes and institutions. Thus, BOTA is responsible for accrediting vocational training institutes and CAD of UB is responsible for quality

assurance of colleges of education, the institutes of health sciences and the Botswana College of Agriculture.

However, it has to be noted that the assertion that Botswana's higher education system is characterised by fragmentation is subject to debate. The literature on the background of Botswana's higher education assumes that the TEC is the only body that should be responsible for overseeing higher education and this does not acknowledge the fact that the higher education is differentiated. As observed in South Africa, the higher education system is made up of universities and technikons, an acknowledgement that there are different levels of higher education.

Likewise, the higher education system of Botswana should acknowledge that vocational education and university education are not the same and therefore cannot be treated in the same way. Furthermore, the Tertiary Education Act of 1999 clearly outlines out the TEC's focus of responsibility as that of HEIs excluding vocational training institutions. On the issue of CAD being responsible for quality assurance in colleges of education, it has to be noted that colleges of education offer UB programmes and as affiliates of UB, they are accredited by them. The findings also revealed a problem in having the function of policy formulation being temporarily housed at the TEC. It has since been recommended that this function be moved to its rightful place in the government, since matters of policy are better dealt with at government level.

The study also sought to establish whether tensions exist between the functions of TEC and its stakeholders. Although it has been reported that the TEC is torn between performing its role as a buffer body or a government agent and some institutions are being torn between adherence to the TEC and UB requirements, there has been no evidence of tensions between the TEC and UB. UB does not perform the same role as the TEC, instead ensuring that all the courses offered by its affiliates meet university standards.

Lastly, the study sought to establish how the TEC has fared in fulfilling the selected functions. The findings of the study have revealed that the stakeholders are satisfied with TEC's performance. The majority of the respondents agreed and strongly agreed that TEC has performed well on the three selected functions. The respondents are satisfied with TEC's role on policy formulation in which it has crafted a tertiary education policy and other documents used to guide the development of higher education in the country.

4.7 Conclusion

This chapter has presented the results of the analysis of the interviews, documents and questionnaire. Interviews were conducted with eight key informants from the TEC as well as the MOESD; a survey was carried out with the heads of HEIs and policy documents and other related institutional documents were reviewed. The results of the analysis have revealed that the TEC acts as both a buffer body and government agent. Furthermore, the study has revealed that Botswana's higher education system is characterised by a duplication of roles, limited mandated of the TEC and functional tensions between the TEC and other related constituents. The next chapter provides a more detailed discussion of the findings and a conclusion for the study.



CHAPTER FIVE: DISCUSSION, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

This study set out to examine the roles, functions and perceived performance of the TEC in higher education governance in Botswana along with the potential tensions that may exist between the TEC, the government and HEIs and its related stakeholders in higher education. Using both qualitative and quantitative research methods, the study explored the three research questions presented below:

- (1) How do different stakeholders conceptualise the role of the TEC in higher education in Botswana?
- (2) What are the potential tensions that exist between the government, the TEC and HEIs in terms of the roles and functions of the TEC?
- (3) What is the perceived impact of the tensions on the performance of the TEC in relation to the three selected functions?

In order to achieve the objectives of the study, the study adopted the use of a conceptual framework developed based on the literature on higher education governance and key concepts to help understand how different stakeholders conceptualise the key issues that are related to the study. By so doing, literature was reviewed to help identify the relevant concepts, including state steering, state control, autonomy, accountability and buffer bodies. These concepts were then used to help gain insight into the roles and functions of the TEC as well as investigate the tensions between the TEC's functions and between its stakeholders.

As a means of gaining data to answer the research questions, a survey was conducted among institutional heads to help understand their perceptions of the roles and functions of the TEC and interviews were carried out with the TEC and MoESD officials. In addition, data from all of the above was complemented with interview material obtained from the HERANA project, as well as documents related to the TEC.

This concluding chapter, therefore, provides a discussion of the findings of the study and places them within the relevant literature to help highlight the study's contribution to the field of higher education. This will be followed by sections on the implications and recommendations of the study, its limitations, and the overall conclusion of the study.

5.2 Discussion

This section of the study offers a discussion of the key findings of the study. They are discussed in relation to the literature to help highlight the study's contribution to knowledge within the field of higher education governance.

5.2.1 Botswana's higher education system and quality assurance

Higher education in Botswana is characterised by fragmentation. This fragmentation has been one of the major concerns highlighted in the Tertiary Education Policy (Tertiary Education Council, 2006) document. The fragmentation resulted from the placement of public institutions, such as institutes of health sciences, Botswana College of Agriculture and colleges of education, in different ministries. These different ministries placed certain expectations on the institutions and expectations differ according to each ministry and only private institutions are subjected to this exercise. Rather, a special dispensation exists for public institutions that involve UB's CAD. It has been argued that the current arrangement makes it difficult for the TEC to execute its mandate as there are complaints that institutions are not being treated equally.

However, it has to be noted that despite the concerns raised about Botswana's higher education system being fragmented, the system is similar to other countries, in particular South Africa, which allows for different kinds of HEIs to co-exist (Cloete & Muller, 1998). The TEC was established at a time when there was an already-existing, well-established quality assurance system in place for all public HEIs affiliated to UB and these affiliations remain in place to date. It is reported that there are two parallel quality-assurance systems operating in Botswana's higher education system. On the one hand, the TEC registers and exercises quality assurance among private HEIs and, on the other hand, some public institutions are still affiliated to the UB through the CAD. The CAD is internationally recognised quality-assurance centre that ensures the overall development of academic staff and students in UB as well as offering support and advice to its affiliated and associated institutions. When contrasted with the TEC, CAD is relatively more advanced and well established (Thobega, 2010). However, it is important to highlight the fact that CAD is an internal quality-assurance unit within UB and not a parallel quality-assurance system in competition with the TEC. Although the centre is still responsible for accrediting colleges of higher education and institutes for health sciences as these institutions offer university programmes. Consequently, the TEC performs external quality-assurance roles whereas UB is responsible for its internal quality-assurance programmes.

5.2.2 Conceptualisation of the TEC as a buffer body versus agent

Against the background of a fragmented higher education system in Botswana, it is understandable that the study has found that different stakeholders hold different conceptions of the TEC as a buffer body and agent. To the government, the TEC is an agent of the government that provides a useful ‘bridge’ between the government, the private higher education sector and the public sector. Conversely, the TEC views itself as a more neutral ‘process office’ between the government, HEIs and the private sector. Although buffer bodies serve different functions including policy advice, funding, quality assurance and many others, there is a consensus on how they are defined. As noted by Saint et al. (2009), these bodies literally buffer the government from the periodic conflicts that may arise between HEIs and the government. Similarly, they also serve to shield tertiary institutions from intervention by the government.

The findings of the study have revealed that the TEC views itself as a buffer body whereas the government sees it as a government agent. However, the Tertiary Education Act of 1999, a legal document which clearly outlines the constitution of the TEC describes the TEC as a government agent. Although the TEC aspires to becoming a buffer body, its constitution clearly outlines its mandate as government ‘agent’. Literature on the agencification (Eisenhardt, 1985; Eisenhardt, 1989; Gornitzka et al., 2004) reveals that the arrangement between the TEC and the Government of Botswana is a common one found in many countries. Worldwide, governments have resorted to steering higher education through organisations like the TEC, which are known as government agents even though they perform the functions of buffer bodies. Therefore it is not surprising that there seems to be confusion over whether the TEC is a buffer body or a government agent.

5.2.3 Autonomy and accountability of the TEC

The autonomy of buffer bodies is an important aspect in the governance of higher education. This study therefore sought to investigate the TEC’s autonomy from government in Botswana’s higher education governance. As observed in relevant literature, autonomy is a very difficult concept to measure. This is also indicated in this study the researcher struggled to conceptualise and find empirical indicators. Generally the indicators showed that the TEC is perceived to be suffering from a lack of autonomy from the government. In fact, with respect to its policy advice and formulation function, this study has shown that the TEC has been operating more like a government department than a buffer.

As shown in Chapter 2, for most parts of Africa, the concept of higher education councils is still new (Saint et al., 2009) and these councils have had to face very dominant governments not willing to give away some of their powers. Consequently, bodies find it very difficult to work in such environments therefore this weakens the organisations' autonomy.

Autonomy, as it relates to buffer bodies, is defined as the ability of buffer bodies to function without outside interference (Saint et al., 2009). In the literature, different notions of autonomy have been discovered. These include positional, relational and financial autonomy. However in this study not all different notions of autonomy apply. The most common notion in this study is positional autonomy. According to Maton (2005), positional autonomy defines the nature of relations between specific positions in the social dimension of a context of field and positions in other contexts such that buffer bodies whose positions of governance are dominated by outsiders are said to be suffering from a weak positional autonomy and vice versa.

In terms of positional autonomy, the study has revealed that TEC has relatively weak autonomy. This is evidenced by a governance structure dominated by outsiders, in particular government representatives. Moreover, more powers are concentrated with the Minister of Education and Skills Development who has the power the power to appoint and dismiss members of the governing council.

Accountability is another important factor that has been used in this study to assess the role of TEC as a buffer body and an agent. Accountability is considered as "requirement to demonstrate responsible actions to one or more external constituencies" (van Vught, 1994:355). This is meant "to constrain the corruptions of power, including fraud, manipulation, malfeasance and the like" (Trow, 1996:310). This normally takes place in the form of stakeholder representation in decision-making bodies, external evaluation by quality assurance bodies and regulation by buffer bodies.

Surveyed literature shows that there are different ways in which higher education councils are held accountable and this depends largely on who formed the buffer body, as well as the source of funding (TFHES, 2000). Buffer bodies formed and funded by the government are normally accountable to the Minister of Education while buffer bodies formed by representatives from HEIs, private sector and the community account to such representatives. HEIs are likely to feel more aggrieved with the former arrangement creating tensions between the different stakeholders involved in higher education.

This study has revealed that the TEC is a statutory body formed by the government and, as such, accounts to the government, in particular to the Minister of Education and Skills Development. The Minister then accounts to Parliament. In addition, Parliament has set up a parliament statutory committee responsible for auditing the TEC. The way in which the TEC accounts leans more towards the government as opposed to the government, HEIs and the community at large. This kind of accounting has the potential to create tensions between the TEC and the other stakeholders.

5.2.4 Tensions between the roles and functions of the TEC and between its stakeholders

This study has revealed a number of findings on the internal tensions between the different functions of the TEC. Firstly, the higher education system in Botswana is a fragmented one in which different institutions belong to different ministries. This reportedly makes it very difficult for the TEC to coordinate HEIs as some institutions are regulated by other bodies, such as BOTA. In addition, when it comes to quality assurance, the TEC is only responsible for regulating private institutions. Public institutions such as colleges of education, institutes of health sciences are affiliated to UB through CAD. As a result, it is reported that there are two systems of quality assurance operating in the country, one for the TEC and one for UB. This arrangement reportedly has constrained the TEC in its effort to regulate HEIs in the country. As regards policy formulation, it has been found out that the TEC plays the role of advising the government on policy formulation while also being responsible for policy formulation itself. This does not sit well with stakeholders who feel that the role of policy formulation is the responsibility of the government and the TEC should only be responsible for advising the government on such. Although there are problems related with the structure of the higher education system, the study has not found any tensions between the roles and functions of the TEC and its stakeholders. The findings of the study seem to suggest that the TEC should be treated as a supreme body responsible for HEIs. However, as in other countries, Botswana's education system is differentiated with different kinds of HEIs (i.e. universities, colleges of education, institutes of health sciences and vocational training centres). Therefore, it is normal to have bodies like BOTA holding responsibility for vocational training centres. Mention was also made of the existence of parallel quality assurance in the form of the CAD and the TEC. It is noteworthy to mention that the CAD is not an external quality-assurance body, but rather an internal quality-assurance system for UB programmes and its affiliated institutions.

In addition to establishing the internal tensions between the different functions of the TEC, the study sought to discover the perceived effect of the tensions on the performance of the TEC.

In order to achieve this, the study sought the opinion of different stakeholders and also relied on secondary data sources. Although Botswana's tertiary education system is reported to be fragmented, what is being referred to as a fragmented higher education system is actually a differentiated higher education system that acknowledges the variance in the types of HEIs. Therefore, it can be concluded that the problems reported could be tension related. The tensions that have been identified could have had an impact on the performance of the TEC. In addition most of the problems reported above stem from the fact there is confusion over the nature of the TEC. However the Tertiary Education Act of 1999 clearly describes the TEC as a government agent and it therefore should not be confused with a buffer body.

5.3 Limitations and recommendations of the study

In this section, limitations, implications and recommendations of the study are presented. The findings of the study as presented above have certain implications in the way in which the TEC operates and the governance structure of the higher education system. The implications and recommendations presented herein are possibilities and options as guided by the findings of the study and therefore are subject to amendment.

5.3.1 Limitations of the study

First of all it is worth mentioning that the study investigated only certain functions of the TEC and left out others, primarily due to time and financial constraints. The functions that were selected were the policy formulation and advisory role, coordination in the planning and development of tertiary education, as well as quality assurance. There are functions that have not been included in the study, such as funding. The functions chosen for the study are the ones considered key to the existence of the TEC and therefore important to include in this study, at the expense of those excluded.

Methodologically, this study has been limited due to a number of factors. Key among the limitations of the study is the choice of the methods used in the study. Methods that were chosen such as survey questionnaires, key informant interviews and document review have their own limitations, which were mentioned in the methodology section. However, in this study, these methods were not used in isolation; rather, triangulation has been employed to help overcome the limitations of these methods.

A third limitation is about the survey. While all efforts were made to ensure input from the key actors, there were instances where responses from some key actors like UB were not received.

This is considered a limitation in that the UB is considered as a key actor in the higher education sector in Botswana, therefore their response would have provided a better understanding of the role of the TEC in higher education, especially on the quality assurance function. In addition, due to the complexity of the topic under study, the researcher found it difficult to conceptualise and find empirical indicators for the study. Hence, further research is needed to further develop the conceptual framework as well as develop empirical indicators for the study.

Furthermore, it is important to state that the researcher is a former employee of the TEC. Although efforts were made to ensure objectivity, it is possible that subjective interpretations could have been made. The researcher prepared a proposal that was accepted by the University, received ethics clearance for the research methods, and followed standard research guidelines under the supervision of two supervisors. The findings obtained from the study were discussed in relation to the reviewed literature to help minimise subjectivity and also give credibility to the findings.

The fact that the researcher is a former employee of the TEC also benefitted the study in many ways, as it was easy for the researcher to gain access to the respondents. This is because the researcher knew who was in charge of the different organs of the TEC from the Executive Secretary to the directors of different directorates ranging from Quality Assurance and Regulation, Policy and Planning to Institutional Funding. Having access to the different personnel in charge of the TEC helped accelerate the process of data collection and also helped the researcher obtain information that would have been very difficult for an outsider to have access.

5.3.2 Recommendations

The analysis and discussion of data has brought about the following recommendations;

1. There is a need to further analyse the autonomy of the TEC from the government. This is borne from the fact that this study was very limited on the subject of autonomy owing to its scope, which was mainly concerned with whether the TEC was a buffer body or an agency and the tensions between the TEC and its stakeholders and between its roles and functions. Therefore the subject of autonomy was not dealt with in any depth. Given the wide-spread ‘agencification’ of higher education governance in Africa and beyond, gaining a better understanding of the precarious position (El-Khawas, 1992) of bodies such as quality-assurance agencies, policy advisory bodies, funding agencies, and so on in higher education is important. In this respect, this study has made an initial contribution to the

limited knowledge about higher education governance at system level in Botswana with a special focus on the TEC.

2. Recommendations for further research are suggested. More detailed research on the specific experiences of buffer agencies in developing nations will provide information on the uniqueness of buffer bodies in higher education.

5.4 Conclusion

The first chapter introduced the study by providing background information, statement of the problem, research aim, objectives, questions, scope, rationale, significance and the organisation of the study. The second chapter reviewed available literature on the governance of higher education by identifying the pertinent issues in the area to help inform the study. The topics discussed in this chapter included governance of higher education, governance models and the role players in higher education. The chapter thus presents a conceptual framework for the study. Chapter three discussed the methodology adopted for the study as well the justification for adopting such a methodology. The methods used in the study include a survey, interviews, document analysis and analysis of data and additional interview material obtained from the HERANA project. The fourth chapter provided an integrated presentation and analysis of the data. It starts by providing background information on Botswana's higher education, the various stakeholders involved, and it signals how this contributes to the tensions between the roles and functions of the TEC and between the TEC and its stakeholders. The chapter also provided an analysis of the tensions between the roles and functions of the TEC and between the TEC and its stakeholders. The last chapter has focused on profiling key findings of the study by discussing them alongside findings from existing literature. In addition, the chapter has proposed recommendations for future research, as well as outlining the limitations of the study.

The study was based on the premise that the transformation of higher education in Botswana has seen the introduction of a buffer body, the TEC, tasked with the regulation of higher education in the country. However, the TEC has not found it easy to carry out its roles and functions. Background information shows that the establishment of the TEC took a long time to implement following recommendations for its establishment in 1993. The purpose of this study was to examine the roles, functions and perceived performance of the TEC in higher education. More specifically, the study assessed the potential tensions that exist between the TEC and its role players and how these tensions, if any, impact on the performance of the TEC.

In order to address the research problem, there were a number of questions posed by the study. The first question was “*How do different role players conceive of the role of the TEC in higher education?*” With respect to this question the study utilised literature on the conceptualisation of buffer bodies to establish their meaning, how they operate and what their typical mandate is. It was found that buffer bodies are ideally autonomous, independent organisations that mediate tension between the government, HEIs and other stakeholders. Their mandate includes, but is not limited to quality assurance, funding and coordination in the sector. For this study, the TEC officials and government officials were asked to state their own understanding of the TEC as a buffer body. The results revealed different conceptions about buffer bodies by the government and the TEC officials. In addition a survey questionnaire was also distributed to heads of institutions to help assess the TEC’s perceived autonomy which showed that 58% of the respondents disagreed that the TEC enjoys autonomy.

The second question asked by this study was “*What are the potential tensions that exist between the different role players in terms of the roles and functions of TEC?*” In order to answer this question available literature was reviewed and interviews were carried out with the TEC officials and government officials. In relation to this question the study has revealed tensions relating to the existence of other bodies having similar mandates like the TEC, such as UB (through CAD) in the function of quality assurance. There is also a tension involving the TEC and the government. This tension relates to the government channelling its own priorities through public institutions. The TEC is therefore constrained in its effort to regulate higher education as public institutions are not treated the same way as private institutions, in that they are exempted from some activities. These tensions can be better understood in terms of the differentiation inherent in higher education in Botswana resulting in a fragmentation of higher education governance that affects the TEC’s ability to perform its functions evenly across the sector.

Last, but not least, the study wanted to find out the perceived performance of the TEC on the selected functions. In order to address this question the study relied on the use of questionnaires, interviews and documents. The study found that generally the perception is that the TEC has done fairly well in terms of delivering on its mandate amid the unfavourable environment in which the organisation is operating. Some of the key deliverables by the TEC include the formulation of the Tertiary Education Policy, development of regulations for programme accreditation and continuation of the registration of both public and private HEIs. In all these respects the survey conducted with institutional heads has shown that the TEC has

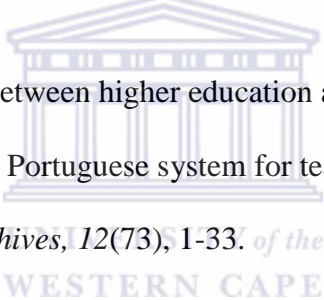
done well in fulfilling its mandate and there have been no conflicts or tensions between its roles and functions and its stakeholders. In conclusion, the question arose in the course of the study as to whether the TEC was acting more as a buffer body or as an agency in the way it discharged the three selected functions. Documents and key informants interviews provided the material to consider this question. The results revealed that the TEC is acting as a buffer body in some functions, more especially the quality assurance function, and as an agent of government in other functions, most evidently so with respect to policy formulation. Furthermore, the TEC's role is clearly a different one in relation to private HEIS than public institutions over which it does not have as much authority. The study has therefore shown the effect of the differentiation inherent in the higher education landscape and the concomitant fragmentation of higher education governance in Botswana on the TEC's role and the tensions that arise in relation to different role players and functions of the TEC. The study has therefore contributed to the understanding of higher education governance in Botswana and helped clarify some of the dynamics associated with buffer bodies in the governance of higher education.



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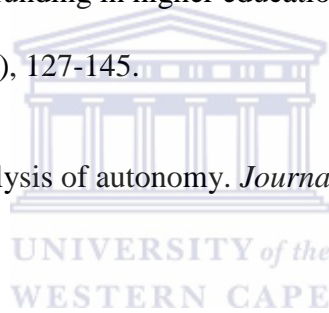
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Appendix A: Introduction letter

Keitumetse Gofaone Lebotse

P O Box 40283

Gaborone

15th July 2011

Dear Sir/ Madam

As a University of the Western Cape (South Africa) student, I am currently conducting a study on the roles and functions of the Tertiary Education Council in higher education in Botswana. In essence, the study seeks to investigate the tensions that exist between the TEC and the role players in higher education as well as tensions between the different functions of the TEC. The study forms the thesis component for the degree of Magister Educationis (HEMA). All the instruments pertaining to this study have been checked and approved in an ethical review process conducted by the University of the Western Cape, Senate Research Ethics Committee.

Therefore, I will appreciate your completion of the enclosed questionnaire by 20th August 2011. You do not need to put your name on the questionnaire. I do realize that your schedule is busy and your time is valuable. I hope that the 20 minutes it will take you to complete the questionnaire will provide useful information for the success of this study.

Thanking you in advance for your participation.

If you have questions about the study, you can contact any of the persons below;

Ms. Keitumetse Lebotse (researcher) Tel: (+267) 72758545 or Email: mkhethob@yahoo.com

Dr Gerald Ouma (supervisor) Tel: +27 219599360 or Email: gouma@uwc.ac.za

Dr Thierry Luescher-Mamashela (supervisor) Tel: +27 833505959 or Email: tluescher@uwc.ac.za

Yours faithfully,

Keitumetse G. Lebotse (Ms)

Appendix B: Interview guide for policy and planning directorate

1. How long have you been Acting Director?
2. When was the function introduced in the TEC? How does it work?
3. The TE Act gives the TEC the power to formulate policy. What role does the Ministry of Education and Skills Development play in policy-making in higher education?
4. Once the TEC has formulated policy, according to the Act, it is then supposed to “advise Government accordingly.” What does this mean?
 - How does it work?
 - What weight does the ‘advice’ carry?
5. Does the Ministry have to accept the policy advice given by the TEC? What is the legal status of the advice? If not, how and to whom does the Minister account for not accepting the advice?
6. Does the TEC have a dispute mechanism or a mechanism for challenging the Minister’s decision?
7. Are there any tensions between the TEC and the Ministry around its functions?
8. At the seminar last year (2011), you said that the Ministry is meant to make policy and the TEC to implement but that the TEC is both a player and referee. Please explain.
9. Who (between the Minister and the TEC) has the power to initiate the policy-making agenda?
10. What role does the public play in policy formulation and at what stages? Is the TEC reactive or proactive in giving policy advice?
11. Does the policy advice/policy formulation have to be based on research (reviews or commissioned)?
12. Does the ministry interfere with the TEC’s operations in any way?

Thank you for your time!

Appendix C: Interview guide for the executive secretary's office

1. The TEC was proposed in the 1993 National Commission on Education report. Can you give us a bit of background about the discussions and debates around that time?
2. The Tertiary Education Act outlines three main functions of the TEC:
 - Policy-making
 - Planning and institutional oversight and coordination
 - Quality Assurance
3. The NCE report proposed a wide range of functions for the TEC. Were all of these part of its establishment? If not, why not?
 - What changes in functions have there been over the years?
4. The TEC appears to have a strong and important role in the governance of higher education in Botswana, e.g. it is expected to formulate policy and also accredit institutions etc. How has this role changed over time since its establishment?
5. What is the TEC's relationship with the Ministry like? Are there tensions around powers and accountability?
6. What comments can you make about the level of expertise in the TEC versus that in the Ministry of Education and Skills Development?
7. Funding:
 - How is the TEC funded? (Government. fees charged etc.)
 - Does the organization have sufficient funding to carry out its mandate?
 - What impact do the funding arrangements have on the organization's autonomy?

8. Structure and composition

Council or board:

- The TE Act provides for 14 members of council. Is this the number in practice?
- What are their tasks/responsibilities?
- What decision-making powers do the council members have?
- What is the composition of the council? Stakeholder representation rather than expert body?

- How are they appointed? By whom and based on what criteria?
- Are vacancies advertised?
- Is there a public nomination or application process?
- Are candidates interviewed?
- For what term? What has the practice been about the term of membership?
- Can members be removed? Has any member been removed or forced to resign?
- If a person was appointed while in position as vice chancellor or permanent secretary, do they remain if this position changes?

- What factors are taken into account when reappointing?
- Have members normally been reappointed?

9. Executive Secretary:

- What are the Executive Secretary's responsibilities?
- How is s/he appointed? By whom?
- Who can hire and fire?
- What are the appointment criteria?
- What kind of professional background should s/he have?
- To whom does the Executive Secretary account/report?
- Appointment for what period?

10. Staffing:

- What is the staff composition?
- What are their qualifications?
- Does the council have autonomy to appoint staff?
- Who can hire and fire?
- Has the staff complement grown or changed over the years?
- What is the staff turnover like?
- What is the level of expertise among staff/council members in comparison to the parent ministry?
- Does the TEC have sufficient capacity to carry out its functions?

11. Autonomy and accountability:

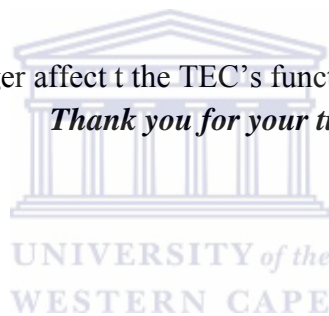
- Was the organization established as a semi- or fully autonomous body?
- What kind of autonomy (legal, and/or political)?
- Autonomous from which actors (politicians, other external stakeholders)?
- The Tertiary Education Act confers complete autonomy on the TEC regarding the exercise of its functions.
- Where does the TEC's real autonomy lie? Where is its autonomy contested?
- Does the TEC submit annual reports to the Minister and Parliament?
- What happens to this report?
- Who holds the TEC accountable for (1) finances (2) carrying out its mandate?
- The TE Act says that the TEC is accountable to the Minister for a range of functions. How does this work in practice?
- What powers does the Minister have over the TEC's decisions/operations?

- Have there ever been legal challenges to the decisions of the TEC and the Minister?
- To whom is the organization accountable for its substantive work and the public funds? (the minister, parliament, higher education institutions?)
- What form does such accountability take?
- To what extent is the TEC's independence/autonomy key to fulfilling its functions and role in the governance system?
- Who judges/evaluates the performance of the TEC?
- If the TEC makes an accreditation judgment (e.g. accepting or rejecting the application for a new university or programme), who judges that judgment?

12. The merger

Botswana Training Authority (vocational), the TEC (HE), unit in Ministry of Finance (manpower planning)"

- Status update?
- How will the merger affect t the TEC's functions/role in governance?



Appendix D: Interview guide for directorate of quality assurance and regulation

1. How long have you been Director of Quality Assurance?
2. How is quality defined?
3. The TE Act outlines the following quality assurance functions for the TEC:
4. Accredite and approve establishment of private education institutions and to review /approve programmes of study in private institutions. Is this accurate? Does the Minister oversee accreditation of public TEIs?
5. TEC must ensure that the quality assurance procedures are in place in all TEIs and to ensure audit of facilities and assessment of the adequacy in TEIs?
6. Is there a specific structure/committee that oversees the quality assurance function?
7. How are members appointed? What criteria are used?
8. How autonomous is this from the Minister?
9. To whom does it account?
10. What kinds of decisions does it make?
11. Can aggrieved persons appeal against its decisions? Or can its decisions be reversed? By whom and on what grounds?
12. Is the Minister or Ministry involved at any stage in the monitoring process?
13. Can you give examples from practice on the questions above?
14. This leads to a question about autonomy: e.g. in the monitoring reports of the CHE there is no evaluation of the quality assurance function. So who judges the quality assurance function then?
15. Are the quality assurance and policy-making/policy advice roles linked in any way? Is there a tension between these two functions?

Thank you for your time!

Appendix E: Interview guide for Ministry of Education and Skills Development

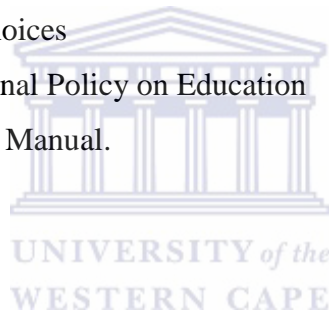
1. The TEC was proposed in the 1993 National Commission on Education report. Can you give us a bit of background about the discussions and debates around that time?
2. The NCE report proposed a wide range of functions for the TEC. Were all of these part of its establishment? If not, why not?
3. What changes in functions have there been over the years?
4. The 1993 NCE report proposed that the TEC would be a buffer of some kind between the TEIs and government. Has this been the case?
5. What is the perception of where the TEC is located-closer to the government or TEIs? Does this vary according to function?
6. The TE Act gives the TEC the power to formulate policy. What role does the MoESD play in policy-making in higher education?
7. Who (between the Minister and the Tec) has the power to initiate the policy-making agenda?
8. Can the Minister or government reject a policy formulated by the TEC?
9. What role does the public play in policy formulation and at what stage?
10. What is the TEC's relationship with the ministry like? Are there tensions around powers and accountability?
11. Why is higher education not represented in the Ministry of Education and Skills Development?
12. What do you regard as the TEC's most important functions?
13. Are there any functions which you don't think it should be undertaking?
14. Which does it do well and which does it not do well at?
15. Is there a conflict of interest between the TEC's role of accrediting institutions and programmes on the other hand, and assessing quality at the same time?
16. Is the TEC adequately staffed/resources to carry out its functions?
17. Is there any overlap in the functions between the TEC and the MoESD?
18. If the TEC wasn't there, which body/ies would be carrying out those functions?
19. What is the relationship the MoESD and the TEC's Council and staff?
20. Is the TEC sufficiently/ appropriately accountable?
21. What do you think have been the major changes over the years in terms of the TEC's functions?
22. What changes do you see on the horizon?
23. Given that the TEC is publicly-funded, is it regarded / is there a perception that it is serving the interests of government, and at the expense of the private institutions?

Thank you for your time!

Appendix F: Guide for document review

List of documents consulted for the case study:

1. Governance of Higher Education
 2. Higher Education Planning, Coordination and Development
 3. Quality Assurance in Higher Education
-
- Tertiary Education Policy of 2008
 - Tertiary Education Act of 1999
 - Previous Consultancy Reports
 - Report on National Human Resource Development Strategy
 - Tertiary Education Annual Reports
 - Challenges and Choices
 - The Revised National Policy on Education
 - Quality Assurance Manual.



Appendix G: Informed consent to participate in the study

Purpose of the study

The purpose of this study is to investigate the role and functions of the TEC in higher education in Botswana along with the tensions that may arise between the TEC and related role players in higher education and between different functions of the TEC. As a higher education expert, your perspectives will be extremely helpful in understanding the research.

Study procedures

Should you agree to take part in this study, you will be asked to participate in one tape recorded interview at your place of work with the possibility of one follow-up telephone interview. Face-to-face interviews are expected to last one hour and telephone interviews will last approximately half an hour. Both interviews will take place during normal hours at a time convenient to you.

Alternative

You have the alternative to choose not to participate in this study.

Risks

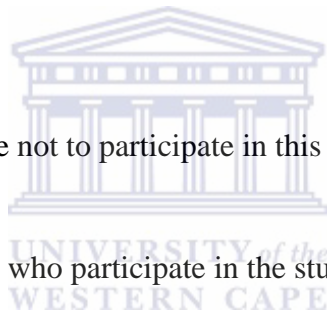
There are no known risks to those who participate in the study.

Confidentiality

All your study records will be highly confidential. However, the participants should note that their words may be quoted in the final report but that their names will not be used in conjunction with the quote. Participants are warned that people might guess who they are from their positions. All interview transcripts will only be accessible to the researcher. None of the data will be shown to any other person besides the researcher. However, it is important to note that my supervisors have the right to access these records, but must keep them completely confidential. The researcher will not publish anything that would let people know who you are.

If you are willing to take part, please sign below.

I give my consent to take part in this study. By signing this form I am agreeing to take part in the study.



Signature of the person taking part in this study

Date

Questions/concerns/complaints

For any information concerning this study, please contact any of the persons below:

Ms K. G. Lebotse (researcher) at mkhethob@yahoo.com

Dr Gerald Ouma (supervisor) at gouma@uwc.ac.za

Dr Thierry Luescher-Mamashela at tluescher@uwc.ac.za



Appendix H: Interview guide - policy and planning

1. How long have you been working here?
2. Could you describe your job position in your organization?
3. Briefly describe the mandate and functions of Tertiary Education Council related to the Tertiary Education Policy?
4. As a member of Policy and Planning directorate, do you think the Tertiary Education Council has done enough in terms of policy formulation? Please explain.
5. Do you think the policy is generally accepted and supported by all stakeholders? Explain.
6. To what extent is the Tertiary Education Policy relevant to the country's current PESTLE environment?
7. What aspects of the TEP do you think need to be addressed in order to improve the tertiary education sector? Explain.
8. How effective is the Tertiary Education Policy in dealing with tertiary education challenges?
9. a) What is the government's level of involvement in policy formulation?
b) How does this affect TEC's ability to formulate policy?
10. Being the Policy formulator, do you think the TEC should go ahead in implementing and monitoring the Policy?
11. What challenges does TEC face in delivering to its functions?
12. What is your overall impression of your department in terms of performance?

Conclusion

Is there anything you would like to comment on that we may have not covered in this interview?

Thank you for your time!

Appendix I: Interview guide - quality assurance

1. How long have you been working here?
2. Could you describe your job position in your organization?
3. What is QA in relation to the TEC mandate and TEIs?
4. How do you quality assure the TEIs?
5. a) Which guiding principles/instruments are in place to ensure quality in TEIs?
b) Are these instruments adequate enough to guide quality assurance in TEIs?
6. How does TEC ensure quality instruments are maintained?
7. How often are quality instruments reviewed?
8. Does TEC have the capacity to guide QA in TEIs?
9. What role do stakeholders play in contributing towards quality assurance in tertiary institutions?
10. a) What challenges does TEC face in delivering to its functions?
b) What do you think can be done to overcome such challenges?
11. Are you satisfied with the overall performance of TEC in ensuring quality in tertiary institutions?

Thank you for your time!

Appendix J: Interview guide - executive secretary's office

1. How long have you been working here?
2. Could you describe your job position in your organization?
3. Briefly describe the mandate and functions of Tertiary Education Council?
4. Do you think the TEC has done enough in terms of policy formulation? Please explain.
5. Is the policy generally accepted and supported by all stakeholders?
6. How relevant is the TEP to the country's current PESTLE needs?
7. How effective is the TEP in dealing with tertiary education matters? Explain
7. a) Is there any strategy aimed at the coordination and long term planning of tertiary education?
 - b) Is the strategy used to inform decision making in tertiary education? Explain.
8. Does TEC have the capacity to implement the strategy? Explain.
9. What do you think can be done to improve the coordination and planning tertiary education?
10. a) Which guiding principles are in place to ensure quality in TEIs?
11. What are the outcomes of QA?
12. Does TEC have enough capacity to guide QA in TEIs?
13. What role do stakeholders play towards QA in TEIs?
14. What challenges does TEC face in delivering to its functions?
15. Are you satisfied with the overall performance of TEC?

Thank you for your time!

Appendix K: List of all Tertiary Education Council's registered higher education institutions

Public Institutions

1. Bamalete Lutheran School of Nursing
2. Botswana Accountancy College
3. Botswana College of Agriculture
4. Botswana College of Distance and Open Learning (Letter of Interim Authority)
5. Botswana College of Engineering and Technology-BCET (Letter of Interim Authority)
6. Botswana International University of Science and Technology (Letter of Interim Authority)
7. Botswana Wildlife Training Institute
8. Deborah Retief Memorial School of Nursing
9. Defense Command and Staff College (Letter of Interim Authority)
10. Francistown College of Education
11. Francistown College of Technical and Vocational Education (Letter of Interim Authority)
12. Gaborone Technical College (Letter of Interim Authority)
13. Institute of Development Management
14. Institute of Health Sciences, Francistown
15. Institute of Health Sciences, Gaborone
16. Institute of Health Sciences, Lobatse
17. Institute of Health Sciences, Molepolole
18. Institute of Health Sciences, Serowe
19. Molepolole College of Education
20. Serowe College of Education
21. Seventh Day Adventist School of nursing
22. Test tender
23. Test tender
24. Tlokweng College of Education
25. Tonota College of Education
26. University of Botswana

Private Institutions

1. ABM University College
2. Assembly Bible College (Letter of Interim Authority)
3. Ba Isago University College (UNISA study centre)
4. Boitekanelo Training Institute (Letter of Interim Authority)
5. Botho College (formerly NIIT Education and Training Centre)
6. Damelin (Letter of Interim Authority)
7. Flying Mission Services ((Letter of Interim Authority)
8. Gaborone Institution of Professional Studies
9. Gaborone Universal College of Law (Letter of Interim Authority)
10. Kgolagano College of Theoretical Education (Letter of Interim Authority)
11. Limkokwing University College of Creative Technology (Letter of Interim Authority)
12. Management College of Southern Africa-MANCOSA (Letter of Interim Authority)
13. New Era College of Arts Science and Technology (Letter of Interim Authority)



Appendix L: Questionnaire

AN ASSESSMENT OF THE TERTIARY EDUCATION COUNCIL

THIS QUESTIONNAIRE IS TO BE FILLED BY INSTITUTIONAL HEADS IN THE TERTIARY EDUCATION INSTITUTIONS

The questionnaire aims to assess the Tertiary Education Council (TEC) with regard to how it has performed and delivered on its functions. The questionnaire is part of a study which forms the thesis component of a Masters of Education (Higher Education Studies) at the University of the Western Cape, Bellville, South Africa. The questionnaire and study has been checked and approved in an ethical review process conducted by the University of the Western Cape, Senate Research Ethics Committee.

All participants of this study will be kept anonymous by the researcher. However, the respondent should note that their words may be quoted in the final report but that names of the respondent or the institution will not be used in conjunction with the quotation.

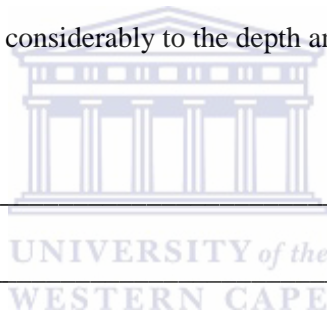
Your full and frank answers will add considerably to the depth and relevance of this study.

Name of institution _____

Name of respondent _____

Position at the institution _____

Please sign to indicate your consent _____



For any information concerning this study, please contact any of the persons below:

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Dr Gerald Ouma (Supervisor) Telephone: +27 21 9599360 Email: gouma@uwc.ac.za

Dr Thierry Luescher-Mamashela (Supervisor) Telephone: +27833505959 and email:
thierryluscher@hotmail.com

QUESTIONNAIRE

Please indicate with a tick [✓] the response category that best reflects your view. You are welcome to add comments and explanations at the end of each set of questions.

1. How familiar are you with the following Tertiary Education documents?

Item	Likert Scale Scores					
	Very Familiar	Somewhat familiar	Neither familiar nor unfamiliar	Unfamiliar	Never heard of	Don't know/ Refuse to answer
A. Tertiary Education Act of 1999						
B. Consultation Paper - Tertiary Education Policy for Botswana (2005)						
C. Human Resource Development Strategy (2009)						
D. Norms and Standards - Establishment of Tertiary institutions, Regulations 2005						
E. Quality Assurance Manual (2009)						
F. TEC Strategic Plan 2005-2009						
G. TEC Annual Reports 2004/05-2008/09						

Comments _____

2. Do you agree or disagree with the following statements?

Item	Likert Scale Scores					
	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly Disagree	Don't know/ Refuse to answer
A. TEC should be allowed to design the Tertiary Education Policy (TEP).						
B. TEC has formulated the TEP that fits the country's tertiary education system.						
C. The TEP is generally accepted and supported by all stakeholders.						
D. TEC should formulate and oversee the implementation of policy.						
E. Being the policy formulator, the TEC should monitor the implementation of policy.						
F. The TEP has fully taken into account the strengths and weaknesses in the Botswana tertiary education system.						
G. The TEP should be reviewed after every 5 years to assess the conditions under which it is implemented.						

Comments _____

3. Do you agree or disagree with the following statements?

Item	Likert Scale Scores					
	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Don't know/ Refuse to answer
A. The Tertiary Education Act does not give TEC adequate powers to execute its mandate.						
B. The mission of TEC is in line with the objectives of the policy.						
C. TEC has changed its strategy overtime to adapt it to challenges in tertiary education.						
D. Generally TEC has played a meaningful role in addressing tertiary education issues/challenges.						
E. TEC and Botswana Training Authority (BOTA) serve the same purpose and therefore they should be merged.						

Comments _____

4. Your opinion on the overall performance of TEC regarding its function to coordinate higher education in the country.

Item	Likert Scale Scores					
	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Don't know/ Refuse to answer
A. My institution sits in a body that advises government on issues related to tertiary education.						
B. My institution enjoys a great deal of autonomy from the state.						
C. My institution is required to produce and disseminate mandatory reports/annual reports to TEC on the running of the institution.						
D. TEC encourages my Institution to forge partnerships with the private sector.						
E. Generally, my institution is satisfied with the TEC's overall coordination of tertiary education.						

Comments _____

5. Your opinion on the performance of TEC regarding quality assurance in higher education institutions.

Item	Likert Scale Scores					
	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Don't know/ Refuse to answer
A. Stakeholders are involved in drawing up quality assurance standards.						
B. TEC offers assistance to institutions to help clarify the contents of the quality assurance framework and implement them.						
C. The quality assurance framework is adequate to guide quality assurance in tertiary education.						
D. TEC has the capacity to implement the quality assurance framework.						
E. The TEC has enough powers to be able to address quality issues in tertiary education.						
F. Tertiary institutions are treated equally in terms of adhering to the quality assurance framework.						
G. My institution uses the TEC quality assurance manual (2009) to improve quality.						
H. I am satisfied with the performance of TEC in ensuring quality in tertiary education institutions.						
I. I am satisfied with the overall performance of TEC (with respect to functions other than QA).						

Comment _____

Please add additional final comments

Thank you for your time!

