

Business Process Re-engineering (BPR) in AAU

Resource Mobilization Process

Situation Analysis (AS-IS) Report

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1. Introduction

The BPR Team for Resources Mobilization (RM), was formed much later than the other process teams, organized itself and embarked upon the analysis of the existing situation and practice of Resource Mobilization for different activities undergoing in the University. The Team discussed first the strategic plan of the university and the overall aim of the study of resource mobilization in the University. The main objective of Resource Mobilization team is to assess the existing modalities of resource mobilization for the university missions and come up with better, creative, and effective ways of resource mobilization from internal (within AAU) and external sources.

After brainstorming as to how to proceed with the tasks of studying the As-Is process of resource mobilization, the team started collecting information from various sources. In this activity, the Team employed reviewing relevant documents, consulting different resource people working in university-wide management, faculties, colleges and departments as primary study instruments. Through discussion among team members on the collected data and core BPR concepts, the Team visualized and analyzed the ad-hoc and haphazard resource mobilization process that exists in AAU. This report provides the results of the analysis of the situation (as-is) on various aspects, including the pain and problems faced, change inducing factors (inputs) and maps of the general procedures followed for resource mobilization in the University.

2. Scope and Limitations

The scope of the resource mobilization spawns over different types of resources, mainly human resources, material (in-kind) technological resources, and financial resources. It focused on the process of mobilizing or soliciting such resources for use to accomplish the objectives of different programs and activities undergoing in the University. The Team does not cover the utilization aspects of the mobilized resources, for another BPR team is addressing it.

The team members were informed about the task lately, clashing in some cases with time plan of activities already set by the individual members for their own work.

Another challenge was absence of standard procedures or process employed by the University programs/faculties in mobilizing resources. Since individual academicians, groups, departments, faculties or graduate and research offices mobilize resources in ad-hoc and fragmented manner, it was difficult to find documented data on the process activities to map out a single process.

The team did not consult or interview all institutes, faculties and departments of the University. The consultation was limited to management officials working at University level, five faculties/colleges and three departments who have rich experience in resource mobilization.

3. Objectives

3.1. *General Objectives*

The overall aim of RM Team is to appreciate the pain that the university as a whole and its units and the staff feel because of the out dated process of resource mobilization, and to understand the disconnections in the process as measured by the resource demand of the existing programs and the ambitious expansion of post-graduate programs.

3.2. *Specific Objectives*

- a. Revisit the strategic plan and fully understand the vision, mission, objectives, goals and core values of the strategy that are directly relevant to resource mobilization.
- b. Define the outputs and outcomes of the process.
- c. Investigate in detail the pains that are felt because of the process, taking AAU strategy as the Promised Land, and show how the current process is an impediment to the success of the strategy.

- d. Define the reasons for the major problems, obstacles and weakness interms of policy, assumptions, procedures, and institutional arrangements.
- e. Define customers, stakeholders, collaborators of the process.
- f. Define the end to end process and map the end-to end- process and sub-process.
- g. Establish the current performance baseline of the process.

4. Methodology

In studying the as-is of resource mobilization, the team conducted interviews with responsible persons in the offices of Vice President for Graduate Studies and Research and Strategic Plan and International Affairs. It also discussed with heads staff of different faculties (e.g. science, medicine, technology, social sciences) in order to feel the pain of the foremost customers and identify disconnects. The team has also consulted relevant documents that show the initiatives taken to mobilize resources, the results obtained, problems faced and procedural steps involved under each functional area involved in resource mobilization. This was done with the aim of getting insights to develop flow diagrams. As-Is reports of other BPR teams were also consulted.

5. Inputs of the Process

The demand of the customers for sufficient, sustainable and quality human, financial, and material resources for the existing programs and especially for the expansion of PhD and other post graduate programs as per the strategic plan has been the major force or factor that induced the need for re-engineering of resource mobilization.

6. Outputs of the Process

The university which is at the middle of huge expansion of graduate programs clearly stated what it expects from Resource Mobilization process. AAU expressed its objective of securing at least 1/3 of the financial resource necessary for the expansion of its PhD and graduate programs. The university has also planned to produce 1000 PhD holders in the period of the strategic plan and 5000 PhD holders in 10 years time. All this requires not only financial resources, but also a large number of qualified human resource and huge amount of material and infrastructural resources. Hence, in addition to the 700 million Birr, the Resource Mobilization process is expected to produce large number of professors, huge amount of laboratory and library facilities, efficient IT-infrastructure, various kinds of classroom facilities, field equipments and tools, etc. These and other resources of the process are classified under Financial, Human, and Material resources. Acquiring all these resources or having a mechanism of mobilizing these resources is therefore the output of the Resource Mobilization process.

7. Outcome of the Process

The outcome of the engineered process of resource mobilization is to maintain AAU's position of leadership in higher education in Ethiopia by retaining quality staff, having class facilities and producing excellent post- graduate programs.

8. Customers of the Process and their demands

The customers of Resource Mobilization process, as a support process, are internal such as colleges, faculties, institutes, academic and support staff, students and the university as a whole. The university as a whole is identified as the main and decisive customer for our process. This is because all other customers are integral components of the organic whole. Further more, the

Team believes that their needs and interests are accommodated within the needs of the university. The need or demand of customers is obtaining sufficient, sustainable and quality human, financial, and material resources.

9. Stakeholders and Collaborators

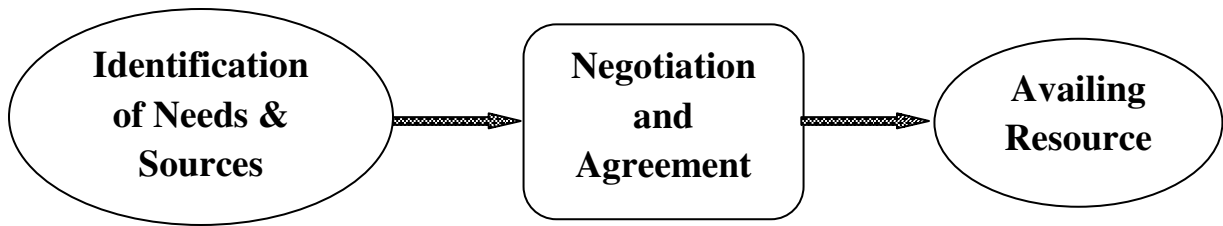
Resource Mobilization process in AAU is affected by various local and external bodies. While some of them contribute by allocating resources, others additionally control the way resource is made available and utilized. The main stakeholders of the process are Ethiopian government and its organizations, international donors, and the private sector. Civic society, local NGOs, local and external institutes and universities are collaborators of AAU in Resource Mobilization.

10. End-to-End Process Definitions and Mapping

10.1 Definition of the End-to-End Process

Resource Mobilization in AAU is done in an ad-hoc, haphazard and disorganized form based on mainly individual efforts. Besides, there is no documentation which helps to study the process. As a result, the reengineering team had to capture and crystallize the flow of the process from interviews made with different researchers and AAU officials.

According to the reengineering team, Resource Mobilization in AAU is a process, which takes place through three sub-processes. The first sub-process is the process of Identification of Needs and Sources, the second sub-process is the process in which Communication, Negotiation, and Agreement takes place, and the last one is the process of availing resource. The End-to-End process of Resource Mobilization can be put in terms of high-level map as follows.



In the first sub-process an individual researcher or the management of AAU tries to find out what is going to be done that requires financial, material, and sometimes human resources. In the case of an individual researcher, identification of needs may not be done seriously before the potential source is identified. Need identification may take place in the form of complying with the demands or offers of the donor. However, in case of AAU top officials, the identification of need is done through the development of the strategic plan. Thus, the latter goes into identification of potential sources with the needs stated in the strategic plan in mind.

Communication with development partner begins usually as a response to the invitation or advertisement by the donor organization. Direct application to the donor may also be sent after developing a proposal. Soon after the development partner responded negotiation activity begins. In the case of individuals negotiating for resources, it is a matter of fulfilling the requests of the donor and demonstrating that one is legible to the resources that the donor is offering. Quite recently, since 2 years onward, AAU leadership started to define the need of the university to donors and undergo negotiations with the terms of AAU. However, in both the individual as well as institutional cases there are no stated guiding principles, rules and regulation for undertaking negotiations to promote AAU's prime interest.

Once a consensus is reached between the donor and the negotiators an agreement document is developed by the donor organization and passed down

to the recipient. As usually is the case with the individual researcher, it is the donor's demand that agreement be signed by the university not by individual. Thus, the individual has to present the agreement document to AAU through the usual channels (Department, Associate deans of graduate studies, Faculty AC, Deans, and RPO). When the negotiation is between AAU and donor, the agreement has to be signed between the Ethiopian Government, AAU and the donor.

After the agreement is signed, the agreed upon resource may be made available immediately or a follow-up process which is referred to Availing may take place. Resource Mobilization process, as defined by the team, is said to be completed when either the resource is within AAU or when it is made available within the reaches of the users of the resource.

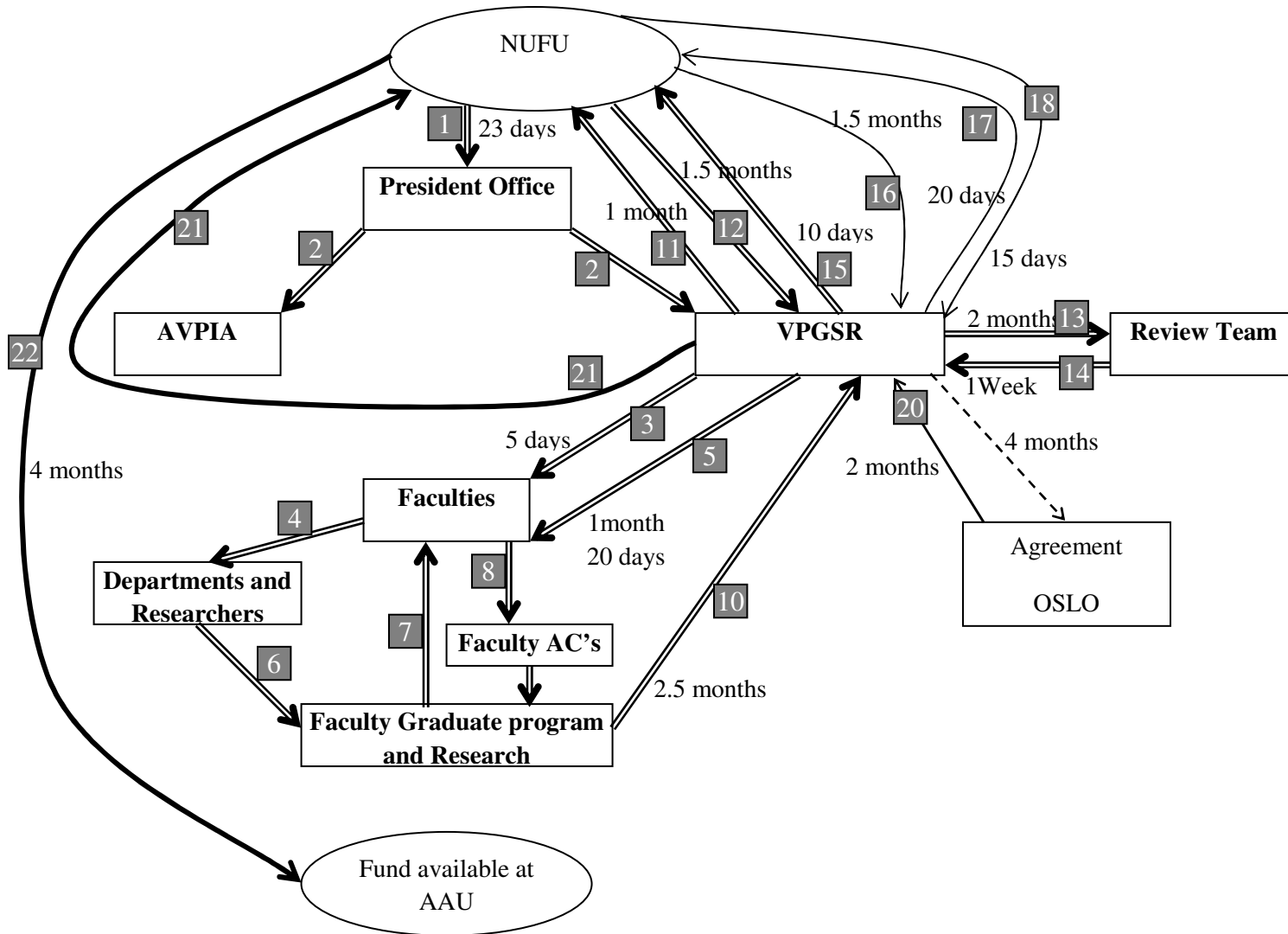
10.2 Mapping the Process

The following map is the representation of one prototype process for resource mobilization. It is initiated by the donor (NUFU) and undertaken under the will of the donor. This process is neither representative of the various practices of resource mobilization in AAU, nor the prime model. Here AAU, as organized institution, did not play much of a leading role but acted as a facilitator and guarantor of the transaction between researchers and the donor. AAU communicated the call to researchers and research groups through faculties and departments; it collected proposals for competition and submit it to the donor; when the instruction is given, it set up internal assessment team and have reviewed the proposals, and finally when the projects were awarded the fund AAU played a guarantor role on behalf of researchers.

Mobilization of manpower is done in a number of ways. One way being through initiative of an individual staff who invites colleagues from Ethiopian Diaspora

or expatriates to serve for certain academic period. The process then is formally institutionalized through the appropriate department or faculty. The management of the university also mobilizes academicians from Ethiopian Diaspora and expatriates from abroad. The other way is through project based partnership in which the project makes link with expatriates abroad who can serve as instructors for the department or faculty with which collaborative project is forged. These Ethiopian Diaspora and expatriates do also provide student advising service and collaborate in research. The department in the former case and the project in the latter case cover some of the costs of the collaborators like housing and transportation costs as per the agreement reached between the host and the partner.

Similarly, materials and equipments are solicited through individual contacts and project based cooperation. Individual staff may ask partners abroad for some donation of materials, books, computers etc. The offer then processed through formal arrangements under the auspice the concerned department, faculty or the University office. Material and equipments are also acquired through project based agreement. In this case, materials and equipments are purchased using project fund as part of inputs required for the project or related activities (e.g. laboratory facilities and materials). Also the university management takes initiative and forges agreements with different international partners that enable the university staff to access academic and journal websites.



Total Cycle Time 1 year and 6 months

KEY TO THE MAP:

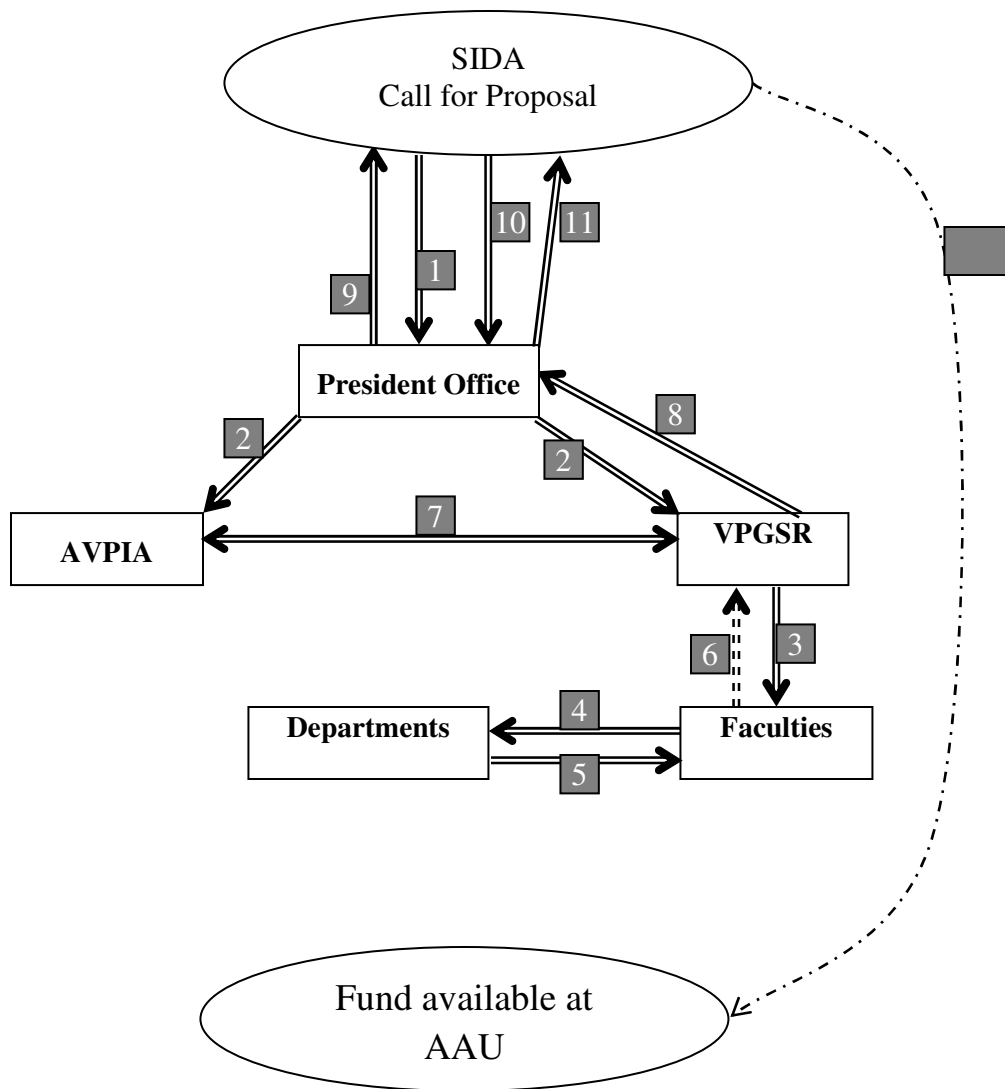
No	Activity
1.	Call for proposal
2.	Forwarding the call
3.	Dispatching the call
4.	Transmitting the call
5.	Deadline Announcement
6.	Developing and submitting proposals
7.	Forwarding proposal to Deans
8.	Disclosing proposals to Academic Commissions
9.	Approval and forwarding proposals
10.	Submission of proposals to VPGSR
11.	Submission of proposals
12.	Returning proposal for internal assessment and ranking
13.	Review team formation
14.	Review and ranking
15.	Compilation of reviews and communication
16.	Announcement of selected projects
17.	Conformation of acceptance of selection
18.	Agreement request
19.	Request to OSLO university to sign document
20.	Forwarding signed document by OSLO to AAU
21.	Signing agreement and submitting
22.	Fund release

The following process is a new trend in AAU which has been initiated recently but not yet completed. It is of course in its final phase to avail a huge amount of resource to AAU. Even though SIDA is a traditional partner to AAU, it had decided to quit its support due to lack of coordination and mismanagement on the part of AAU. The previous support and cooperation between SIDA and AAU was fragmented, based on individual projects, and disorganized. However, due to the strategic intervention of the university management SIDA was convinced to start its support. Consensus was reached between SIDA and AAU to stop funding of fragmented projects and start supporting the coordinated effort by AAU by funding on global programs. Then SIDA financed the development of the strategic plan. Soon after the Sweden Government made a political decision to support Ethiopia through AAU on August 2007, SIDA released a call for proposal to AAU in December 2007. The following map is the representation of the process starting from December's call.

KEY TO THE MAP

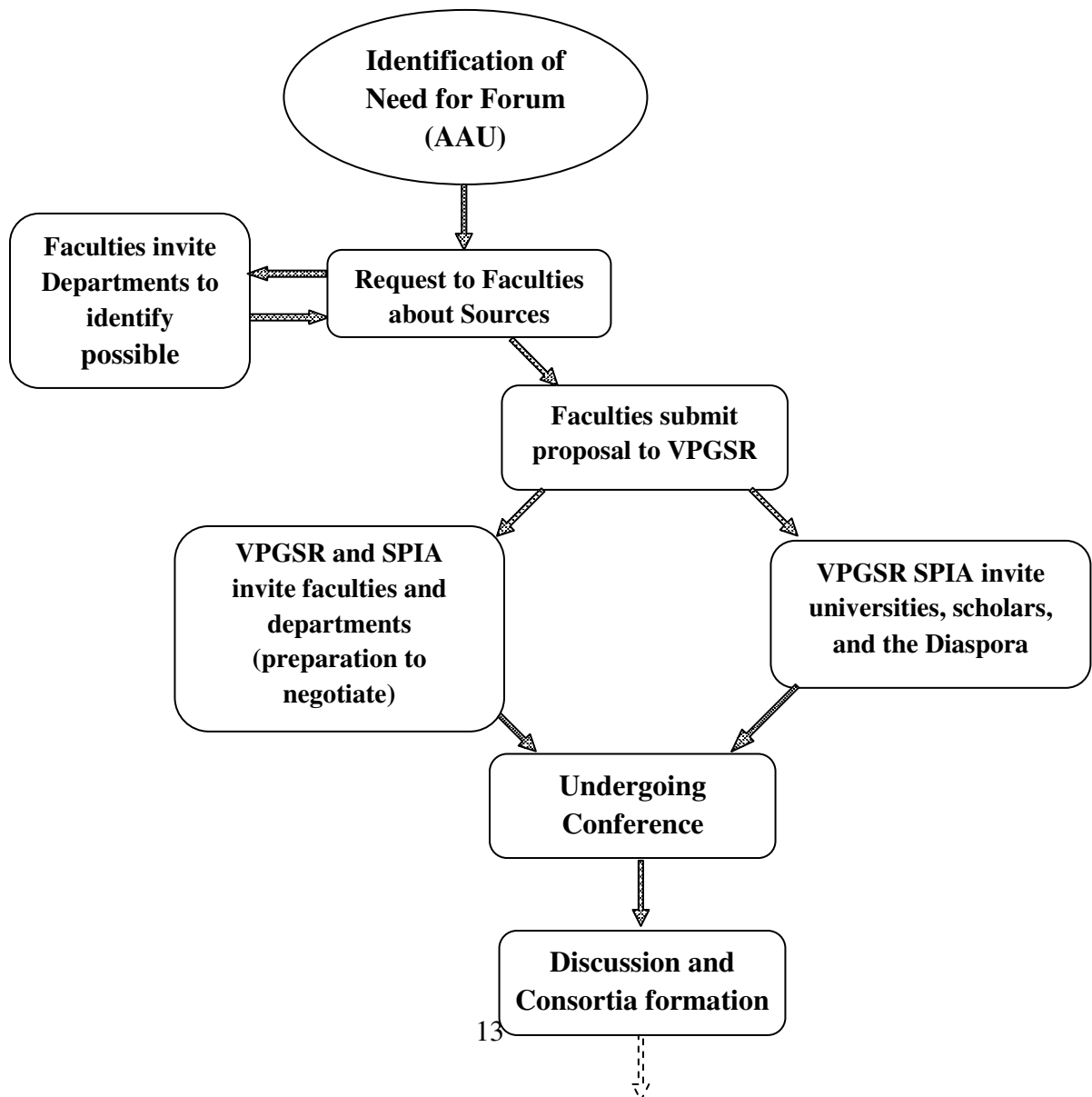
No	Activity
1.	Call for proposal
2.	Forwarding the call
3.	Dispatching the call
4.	Transmitting the call
5.	Developing and submitting proposals
6.	Submission of proposals to VPGSR

7.	Developing and Consolidating concept paper
8.	Forwarding of concept paper for further input
9.	Submission of concept paper
10.	Request for clarification
11.	Sending clarification
12.	Various activities on the side of SIDA



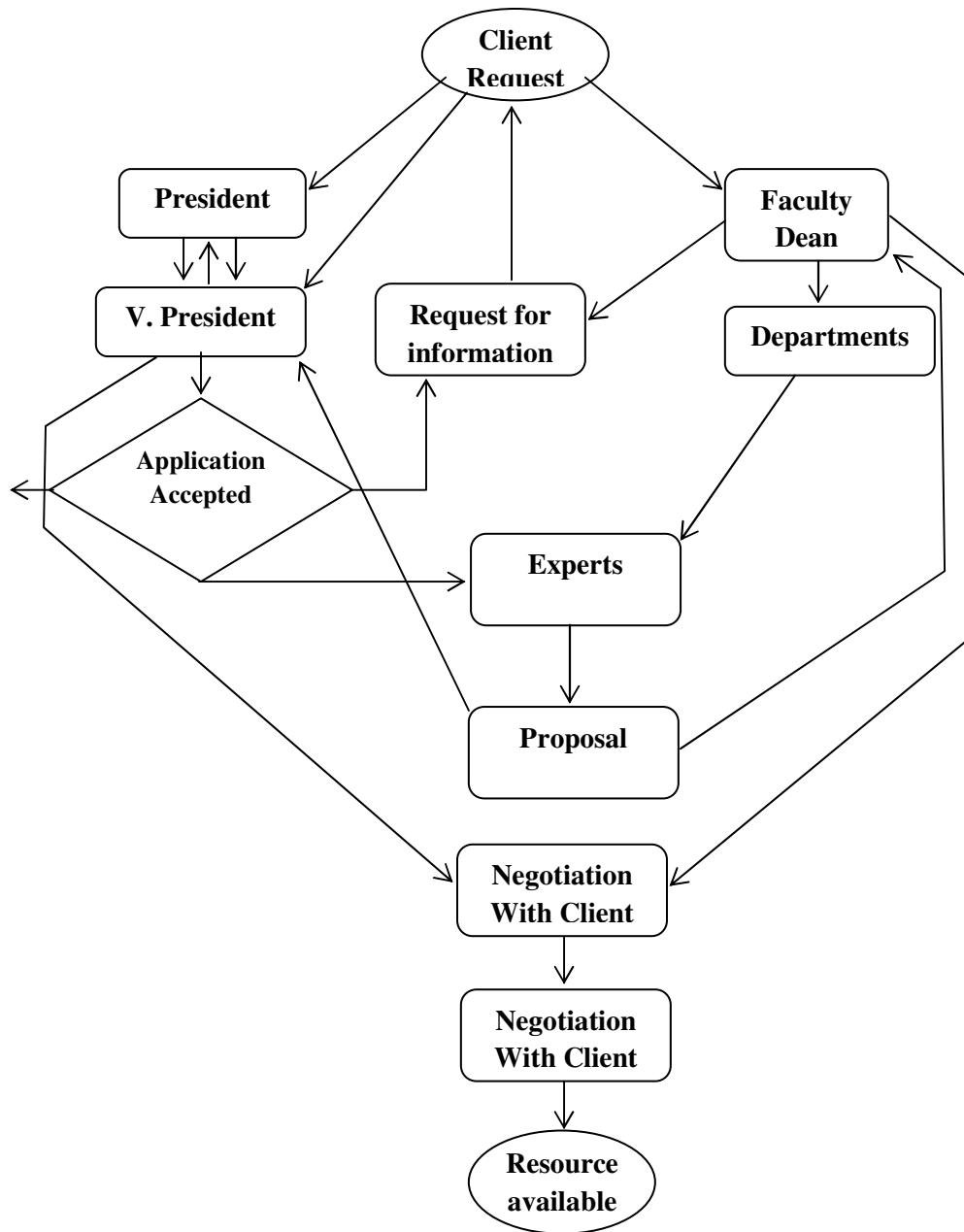
Recent Phenomena of Human Resource Mobilization

The above process map is what represents the existing Resource Mobilization process. However, recently an innovative, long term and some what different process is immerging in AAU. If the Kaliti Conference results are fully implemented, it could mean that the PhD programs will have enough instructors, advisors and external examiners both in quality and quantity at least for the period of the strategic plan and could mean fundamentally challenging the old assumptions on resource mobilization by practice. This process and the mobilization process by School of Social Work could also be used for internal bench marking and as such be fully analyzed during designing.



Consultancy Service*

The practice of mobilizing resources through consultancy service is mapped below. In portraying the map we tried to refer to the As-Is report of Community Service Team and interviewed the AVPCDE.



* This is covered by the Community Service Team at a greater depth.

11. Performance Baseline

As mentioned in the introduction of the report, the university doesn't have system that could be traced in exact figures. What is tried to be mentioned in the following table is simply the two prototype processes being practiced rarely and it mainly represents financial resource mobilization.

S.No	Activity	Number of steps		Cycle Time		Non-Value adding steps	
		SIDA	NUFU	SIDA	NUFU	SIDA	NUFU
1.	Source and need identification, and initiation	1	-	-	-		-
2.	Call for proposal communication	4	4	-	1 month		Yes (3)
3.	Proposal collection	2	5	4months	2.5 months		Yes (2)
4.	Screening and Proposal submission	1	2	1day	1 month		No
5.	Adjustment / Negotiation	2	-	1month	-		
6.	Internal Review and Communication	-	6	-	4 months		No
7.	Announcement to Agreement and contractual agreement signing	-	7	-	8 months		No
8.	Fund release	-	1	-	4 months		No

12. The Pain

Addis Ababa University is at cross roads. It owns a visionary strategy and strategic plan. AAU has an overall, clear and comprehensive vision, mission, objectives and goals as set in the strategic plan. It owns a policy of a high-level definition statement indicating top-level direction, commitment or description of what is desired about resource mobilization. But AAU lacks full autonomy, communication strategy and institutional arrangements to implement it. The system is haphazard, ad hoc and inconsistent, and unstructured. Absence of individuals could mean disappearance of contact, information and follow up. System of replacement and continuity is absent.

If the University is to maintain its position of leadership in higher education in Ethiopia, it has to mobilize more human, technical and financial resources, not only for the maintenance of its existing programs and development projects but also for the diverse programs envisaged by the strategic plan of the university. Unless the present process of resource mobilization is radically changed, expansion of post graduate studies would be obstructed both in quality and quantity, the poor quality and insufficient quantity of research would continue, and brain drainage and dissatisfaction of academic and support staff would also persist. The resources mobilized by the university from both internal and external sources are meager for expansion of quality post graduate programs. A task force that was designated in 2005 to study to expand internal revenues had challenged non-fee paying Postgraduate programs and showed the amount of money that the university is losing as a result. It recommended that the university should be involved in real estate as a major source of revenue. The task force evaluated the costs, revenues, organization, rules and procedures of evening programs, Book Centre, Printing Press, and Restaurants/cafes in 2005 and recommended improvement measures. But, so far no change and no improvements have taken place. The present process is also encouraging

dishonesty and illegal activities and discouraging the upholding of collective interests.

The pain could be more appreciated if the problems, impeding rules and assumptions are clearly identified and discussed.

13. Problems, Rules, and Assumptions

I. Resources:

a. Problem

AAU is not mobilizing enough resources for its programs, and resources are being diverted to other countries and institutions.

b. Rules

AAU is being deprived of its Charter, which could be an impetus for unprecedented resource mobilization. Higher Education Proclamation No. 351/2003, article 7 envisages “autonomy of Institutions and a law to be proclaimed for each institution... but, it has been suspended for reasons that are not clear.

AAU Legislation lacks institutional arrangements for resource mobilization. Offices of VPBD, VPGSR and SPIA have no clear mandate as far as resource mobilization is concerned. There is no clear delegation for colleges, faculties and institutions though they have been the main initiators of resource mobilization until recently.

There are no clear rules on incentives for those who initiate and fully participate in resource mobilization. Higher Education Proclamation in articles 35(7) and 52 and articles of the AAU Legislation set directions about incentives; there are no however clear rules and procedures to

implement them. Though the university legislation recognizes the designation of Emeritus/Emeriti (article 46) and Adjunct Professor (article 47) there is no system of implementing it.

The legislation of the university recognizes copyrights as source of resource. But there are no detailed rules and procedures to implement it. The resource mobilization and utilization system is not workable in the university.

c. Assumptions:

Though the government endorsed Charter for every university, it seems it is retracting from its position. The assumption is that the university may go out of control. The recent attempts by the Ministry of Education to micro-manage the university could be some of the reflection of these assumptions.

The university is a public institution and it should be funded by the government and that it is ok if resources are mobilized in an ad hoc and haphazard means and based on individuals' interest. Though there are some positive changes that question these assumptions, it cannot be said that the assumptions are being fundamentally challenged. One can say that the drive to mobilize resources and decrease the dependence on the government is in the minds of few top management staff of the university and has started to trickle to the community. For this and other reasons the university is not exploiting its available wisdom and expertise to expand the existing means of resource and create new and highly rewarding sources of internal revenue even if it is allowed by the proclamation.

Students are assumed to be burden rather than source of resource. The resistance shown by the university community to the expansion of post

graduate programs initiated by the government and the presidency are some of the reflections of these assumptions.

The government and management of University assume that the recent increment of salary is more or less satisfactory and that it is the duty of researchers and other university staff to initiate/ participate in resource mobilization.

Lack of exposure to sources of resources: Though there are some individuals in the management who are exposed to the scope of resource mobilization most of the staff are only acquainted to few traditional sources of resources.

II. Time

a. Problems

The process of resource mobilizations is extremely sluggish.

b. Rules

Written/ unwritten rules govern the process of initiation, negotiation and agreement, and availing resources. A research project initiated by an investigator has to ascend from department up to the faculty/college, VPGSR, Directorate of research and go down the same way to the researcher, and most of the echelons do not add value and takes months to start the research. The same is true with consultancy services and other versions of resource mobilization. That Lack of procedures to substitute parallel from sequential processes, introduction of IT and its procedures to bring downstream information from upstream.

c. Assumptions

Multi layers of review and approval, and works performed one step at a time produce greater quality, accountability, and control. It is also assumed that employers are likely to cheat and make serious mistakes and need control.

Information is time-specific, is produced in sequence, and can only be accessed at the relevant point in the sequence

The researcher is the one who benefits from the project and he/she has to bear the administrative activities of following-up the process. It is taken as normal if a professor spends his/her valuable time in such petty tasks as taking proposals and decisions of different bodies to the next echelons.

To exploit the maximum from a piece of information on research, it is vital that the information not be communicated to others to avoid competition.

III. Cost

a. Problems

Costs of some means of resource mobilization are not known and could be high.

b. Rules

There are no rules that determine the costs of time of the instructor when involved in research and other activities in resource mobilization; and the costs of the office and utilities he/she utilizes like, telephone, laboratories, electric and salaries of the support staff are not considered.

Lack of rules/standards to determine university's overhead.

c. Assumptions

Academic staffs think that they are entitled to an office and facilities that could be used to activities that are not directly related to AAU or those which have minimal advantage to AAU, because the university remuneration is very low.

Donors do not like to pay high overhead and therefore; they ultimately decide the overhead of the university.

IV. Values

a. Problems

The current resource mobilization is not helping in building the values of the university such as integrity, professionalism, academic freedom, and honesty.

b. Rules

There is lack of clear, transparent and accountable reward and punishment system for those involved in resource mobilization.

c. Assumptions:

The system doesn't believe in its employees i.e. academic and administration staff and there is lack of confidence of staff on the university system.