

# ACADEMIC, PROFESSIONAL AND ADMINISTRATIVE STAFF (APAS)

## WORKSHOP TRAINING MANUAL



# PART 1

## Introduction

### **The Consortium for Advanced Research Training in Africa (CARTA)**

The Consortium for Advanced Research Training in Africa (CARTA) is led jointly by the African Population and Health Research Center (APHRC), Kenya, and the University of the Witwatersrand (Wits), South Africa. Formed in 2008, this collaboration supports the development of a vibrant African academy able to lead world-class multidisciplinary research that impacts positively on public and population health. The consortium enhances the capacity of African universities to create sustainable multidisciplinary research hubs, by supporting junior faculty members to undertake their doctoral training locally, and to become internationally recognized research leaders. Ultimately, CARTA strengthens university-wide systems to support research, teaching, doctoral and postdoctoral training.

## The APAS workshop

Annually, CARTA facilitates Academic, Professional and Administrative Staff (APAS) workshops as one way of strengthening the capacity of institutional functionaries. This training program aims to inspire participants to improve commitment in institutional systems and drive transformation to attain world-class research in African universities. CARTA recognizes the critical role that university managers and administrative staff play in research and doctoral training. Therefore, every year CARTA brings together finance officers, deans of graduate schools, academic deans, librarians, procurement officers, registrars, and many other officers to deliberate on and appreciate their complementary roles. We encourage other individuals who play a critical role in institutional processes, such as signing memoranda of understanding (MoUs) between the institution and other stakeholders, to participate in these workshops. Here, participants discuss how the different functionaries in the universities can be more responsive to, and supportive of, research, research training and doctoral and postdoctoral fellows in their respective institutions. More specifically, the workshops are designed to create a forum for faculty and administrative staff to discuss ways in which they can strengthen the training of doctoral and postdoctoral fellows and at the same time strengthen the capacity of the institutions.

The APAS workshops also aim to strengthen the rationale for African universities to develop strong research agendas. They demonstrate the positive linkages between good research and development in Africa. During the sessions, participants discuss the requirements for successful research in African universities, including the training of researchers according to global best practice. The workshops serve to reiterate, as important ingredients for the improvement of research outputs, the role of a supportive network of research administrators; the clear distinctions between the roles of different functionaries; the need for funding, especially by African governments; and the need for technology transfer to the continent.

Participants discuss knowledge management, defined as the process of creating and sharing information. They focus on topics such as gaps in repository policies in partner institutions, especially in open access journals, copyright issues, management of information, ethical use of social media (SM) as a platform capable of enhancing credible knowledge generation, and management in most African universities.

## What the APAS curriculum offers

CARTA seeks to support African universities and research institutes to produce world-class knowledge, and internationally competitive doctoral graduates in Africa, by Africans and for Africa. The purpose of this workshop is to equip different functionaries, who play various roles in the universities and research institutions, to be more responsive to and supportive of research, research capacity strengthening, and early-career researchers (doctoral and postdoctoral).

## Workshop learning outcomes

By the end of the APAS workshop, participants should be able to:

1. Define the roles of different functionaries necessary for the improvement of research outputs.
2. Communicate why research training is fundamental to the wellbeing of African societies.
3. Compare shared experiences, challenges and best practices in research across Africa.
4. Foster networks with people of similar interests, from whom to seek and share advice in future.
5. Identify their own strengths and develop areas for growth in supporting research, PhDs and postdocs.
6. Demonstrate understanding of the challenges limiting research productivity in Africa.
7. Develop a commitment to contributing towards improved research outputs.

Overall purpose: to equip different functionaries, who play various research roles in the universities and research institutions, to be more responsive to and supportive of research, PhDs, and post-docs.

In this workshop participants will	Understand different research roles in our institutions	Explore reasons for working in current institutions	Appreciate leadership capability in universities	Discuss why African universities must do world class research	Deepen understanding of institutional challenges	Explore challenges experienced by other institutions	Understand research governance	Explore how functionaries can advance an institutional research agenda	Develop personal commitment statements
Describe different research roles									
Communicate why research is fundamental to wellbeing of African societies									
Identify best research practices in Africa									
Develop research networks									
Identify areas for supporting research									
Understand research challenges									
Commit to improving research outputs									

**Matrix:** APAS workshop learning outcomes and content matrix

## The participatory approach

While there are many approaches to training, our approach is problem-posing and participatory. Each session presents situations and poses problems. Participants work with each other and with inputs from the trainer to find solutions. Problem-posing education bases itself on creativity and stimulates true reflection and action upon reality (Freire, 2020). It is different from the transfer or transmission of knowledge or facts to the passive learner, where the trainer is seen as possessing all essential information, and trainees as “empty vessels” needing to be filled with knowledge. The choice of participatory method is deliberate: there is a coherence between the values we promote and the way we go about sharing them. From the beginning, we recognize all participants as thinking, creative people with the capacity for action. Each person is a contributor, bringing different perceptions based on their own experiences. As facilitator, a conscious effort to use participatory methods is required to genuinely enable people to grow in awareness, maturity and self-reliance, and not to control them. Any tool is only as good as the person using it and the use to which it is put.

## Recommended attributes of facilitators

Some people assume that facilitating a workshop will be an easy process, until they try doing it. The participatory method adopted for the APAS workshop requires facilitators to do their best in guiding the workshop, appreciating that the participants are in charge. Facilitators are encouraged to recognize that their responsibility is to create an enabling environment that allows participants to learn from each other, come to an understanding and pool their collective wisdom in resolving issues. We recommend a range of attributes for those who aim to facilitate an APAS workshop.

### An unbiased perspective

The best workshops are those where participants feel comfortable in knowing that their opinions are welcomed and encouraged. An unbiased facilitator creates a neutral zone where alternative points of view can be shared and debated in a respectful manner. This is key to driving a constructive, productive discussion.

There is nothing worse than a biased facilitator who steers the discussion to a pre-planned (and obvious) conclusion. This can happen if a person in a position of power tries to facilitate a discussion in which participants feel too uncomfortable to voice a different opinion from that of the leader. If the issue is sensitive, complex or heated, having an unbiased facilitator to lead the discussion may be the only way to avoid a futile workshop.

### Sensitivity to the feelings of individuals

Creating and maintaining an atmosphere of trust and respect requires an awareness of how people are responding to both the topics under discussion and the opinions and reactions of others. Most people will not articulate their discomfort, hurt feelings, or even anger; instead, they silently withdraw from the discussion and often from the group. Sensing how people are feeling and understanding how to respond to a particular situation is a critical skill of facilitation.

**Sensitivity to the feelings of the group**

In any group, the whole is greater than the sum of the parts, and group “chemistry” generally reflects shared feelings: eagerness, restlessness, anger, boredom, enthusiasm, suspiciousness, or even silliness. Perceiving and responding to the group’s dynamic is essential to skilful facilitation.

**Ability to listen**

One way the facilitator learns to sense the feelings of individuals is by listening carefully, noting both the explicit meaning of words and their tone and implicit meaning. A good facilitator practices “active listening” whereby he or she may repeat, sum up or respond directly to what a speaker says to ensure the speaker’s meaning was correctly understood by the group. This is very important, especially if the speaker is unclear or the group becomes defensive.

**Tact**

Sometimes the facilitator must take actions that make people uncomfortable, or must say difficult things for the good of the group. The ability to do so carefully and diplomatically is critical. Examples include: a group discussion dominated by one person; or a group of silent participants. The facilitator must find a gentle, tactful way to engage the team so everyone can participate and get the most out of the session. Often, a participant asks a question, and then rambles on, eventually answering his own question. A capable facilitator knows how to diffuse these awkward moments and maintain a productive atmosphere.

**Commitment to collaboration**

Collaborative learning can occasionally seem frustrating and inefficient. At these moments, every facilitator feels tempted to take on the familiar role of the traditional teacher and to lead, rather than facilitate. However, genuine conviction about the empowering value of cooperative learning will help the facilitator resist a dominating role. Likewise, a good facilitator is willing to share facilitation with others in the group. The goal is always to conduct the best and most effective discussion. To that end, a good facilitator knows how to adjust his or her role accordingly.

**A sense of timing**

The facilitator needs to develop a “sixth sense” for time: when to bring a discussion to a close, when to change the topic, when to cut off someone who has talked too long, when to let the discussion run over the allotted time, and when to let the silence continue a little longer.

**Resourcefulness and creativity**

The facilitator must keep an open mind, as each group of participants presents different dynamics. Despite a well-planned agenda, discussions may not unfold as anticipated. A good facilitator should be able to think on his or her feet. This may mean changing direction in mid-stream, using other creative approaches to engage the group, or welcoming ideas from the group on how to shift the agenda. Good facilitators always have tricks up their sleeves that will help a group move forward while still keeping an eye on the overall objective of the meeting.

### **A sense of humour**

As in most human endeavours, even the most serious, a sense of humour enhances the experience for everyone. A good facilitator appreciates life's ironies, is able to laugh at themselves and share the laughter of others.

In summary, a good facilitator works as an ally to ensure that meetings, seminars, planning sessions and workshops deliver the intended and desired outcomes. It is very difficult to facilitate a meeting yourself when you also want to participate in it as an equal. But not all facilitators are alike. Identify facilitators who have the personality and aptitude to understand the goals, objectives and expected outcomes of the curriculum.

## **Preparation**

### **Participants**

CARTA draws APAS workshop participants from selected universities and research centres. Participants include finance officers, deans of graduate schools, academic deans, librarians, communication/public relations officers, grant managers, procurement officers, registrars, research officers, those responsible for quality assurance, postgraduate supervisors, postgraduate program managers, ICT personnel and others. In general, all offices within the university or research institute that contribute towards research and postgraduate training are potential participants of the APAS workshops.

Two weeks before the workshop, send detailed information to participants on workshop logistics, the reason they were selected, the participatory workshop method and what is expected of them as participants.

In addition, share an online pre-workshop survey link to get the participants' profiles and to give them an opportunity to state their expectations and describe what they are willing to contribute to ensure the successful running of the workshop. The facilitators then analyze the information and adapt the workshop program, as much as possible, to accommodate the needs that participants have expressed.

### **Facilitation team**

In plenty of time, identify and engage the co-facilitators and the different contributors for the APAS workshop. Hold planning meetings until the team members are on the same page.

To prepare, advise facilitators to read and re-read the curriculum until they feel comfortable and confident that they know what is expected for all the workshop sessions.

### **Venue**

Identify a location that will allow participants to move around easily, for example for role-plays. Make sure there are enough break-away rooms for small-group activities, and adequate wall space for poster tours and other elements of the workshop methodology.

# PART 2

## Workshop sessions

### Session 1 Welcome and introductions 30 minutes

#### The session outline

Section	Participants will:	Format of activities	Time
Welcome participants	feel welcomed to the workshop	Welcome by the host facilitator	3 minutes
Play “People Bingo”	be familiar with other participants’ names, place of work and professions	An ice-breaker for the whole group	15 minutes
Introduce the workshop	be acquainted with workshop structure, objectives and content	Presentation by the facilitator	10 minutes
Give concluding remarks	hear highlights of the session from the facilitator’s perspective	Brief presentation by the facilitator	2 minutes
Reflect	have an opportunity to provide feedback on the session	Web-based link will be sent to participants at the end of the day	

## The session brief

### Preparation

- Print the “description of roles and personalities” of the three people in the role-play, each one in an envelope
- Use or adapt the briefs below.

### Activity

Explain that in a role-play, people are asked to volunteer to “play a role”. They are given a description of the person they will play and the situation that person is in.

Asks for three volunteers:

1. One university administrator who interacts with postgraduate students
2. One lecturer/teacher
3. One person from the finance office

Give each volunteer a brief.

### Administrator

To the volunteer university administrator, give the role of a student, according to the brief printed out in advance and placed in an envelope.

#### Brief for the administrator

You are a student and are applying to the university for a PhD. You have had a problem using the university website and do not know what forms to fill in or where to find them. This is the second time you have been to the university and yesterday you stood in a long queue but never got help. You have a deadline to meet – to get a scholarship, you must have your admission form submitted in two days’ time. You know you have to get it signed by the university but you don’t know who signs it. You have eventually found someone seated behind their desk, see minutes gly working, but you knock to ask for assistance.

### Lecturer

Give the lecturer the role of an administrator who enrolls post graduate students at the university, according to the brief printed out in advance and placed in an envelope.

#### Brief for the lecturer

You are an administrator who enrolls postgraduate students at the university. The intake for students happens over a five-day period. There are pamphlets everywhere which explain to students what to do. The information is also on the website. You have been sitting at your desk for hours. Students seem unable to understand the simplest instructions and do not bring the required documents, such as their ID or passport. If they are eligible for postgraduate research degrees, why do they seem to struggle with things that seem obvious to you? You are not permitted to register any student who has not got proof from the finance department that they have paid their pre-registration adminutes fee. You are busy getting a report ready for an urgent admissions committee meeting when a student knocks on your door.

**Finance person**

Give the finance person the role of a senior professor at the university, according to the brief printed out in advance and placed in an envelope.

**Brief for the finance person**

You are a senior professor at the university. You have worked there for years and are well respected by your peers as an excellent researcher. Your research is complex and you need to make sure that you have good quality PhD students and postdoctoral fellows assigned to your lab. You know that the administration section of the university is often getting in the way of your ability to quickly and efficiently register the students that you want. You are busy but you have popped down to the registration area because you want to get feedback on whether your students have been registered by the postgraduate administrator. You need the names of these students for your grant proposal. You can see there is someone with the administrator, but you want to interrupt to get the information you need.

The three volunteers move to the side of the room to read and think about their roles. They do not discuss them!

As facilitator, take a chair and explain to everyone – including those playing the roles – how the stage works. Point out the real or mimed furniture. For example:

- This is the post-graduation registration office
- This is where the admissions person sits, and here is her desk
- Here is where students sit if the administrator invites them into his/her office
- Here is the door
- Here is our administrator at work, at 3.30 in the afternoon
- Lead the person who is playing the administrator over to sit in the chair behind the desk.
- The administrator is busy filling in forms and working on his/her computer
- Here is a postgrad student looking for help

Walk the person onto the stage. Leave the two role-players to interact. Then, when appropriate, prompt the person playing the professor to walk into the office.

Let the scene play out for a while. Hopefully, it will be funny. Gauge how it is going. Do not let it run for too long (but not too short either) before you stop the role-play.

**Note:** If the play is going badly – if it is boring or nothing is coming up for discussion – you can ask if someone else in the room wants to replace one of the actors, and then say, “OK, let’s carry on with this play.” Use your intuition about this.

**Debrief**

Ask each of the role-players, one at a time, how they felt in the role. Encourage them to speak freely.

Ask the audience, “Do you think this scenario could actually happen?” Ask them if they have ever done anything similar to the actors. And if so, why? Facilitate a discussion about why these kinds of things happen.

At the end, remind everyone that this was role-play: no-one acting was actually being themselves. Often, caricature (overemphasizing certain characteristics) can help us unmask things that should be talked about.

**Concluding remarks**

At the end, ask participants what they have learned about the nature of relationships between different staff at universities. Are these relationships good? Bad? Inevitable?

Remind participants of the session’s expected learning outcomes. Ask them whether these were achieved or not during the session. Draw out lessons learnt, summarize them and then end the session.

# Session 2

## Our reasons for working in our current institutions

### 75 minutes

### The session outline

Section	Participants will:	Format of activities	Time
Introduce the session	be familiar with the purpose of the session	Presentation	4 minutes
Divide participants into groups	meet participants from other institutions who have similar research roles	Guidance provided by the facilitator	5 minutes
Identify individual reasons	be able to reflect on the reasons why they work for their institutions	Facilitator gives instructions and participants write down their reasons	6 minutes
Prioritize reasons as a group	learn reasons that influence participants of similar function but from other institutions	Small group discussion	10 minutes
Present priority reasons	be exposed to the reasons that influence other functionaries	Group presentations	20 minutes
Analyze the reasons	identify similarities and differences in factors that influence different functionaries to do their jobs	Plenary discussion	20 minutes
Give concluding remarks	hear highlights of the session from the facilitator's perspective	Brief presentation by the facilitator	10 minutes
Reflect	get an opportunity to provide feedback on the session	Web-based link sent to participants at the end of the day	

### The session brief

Purpose	Learning outcomes
Establish and rate the key reasons for the participants working in their institutions	<p>By the end of the session, the participants should be able to:</p> <ul style="list-style-type: none"> <li>Identify the key reasons why they are working in their current institutions</li> <li>Rate the key reasons why the participants are working in their current institutions</li> <li>Establish whether there are similarities and differences in the ratings by different functionaries</li> </ul>

### Preparation

- Write each function that people play at universities on a sheet of paper – one function per piece
- Place each function on its own table
- Have three sheets of A5 paper per participant

The functions can include: librarian; ICT; finance/procurement/grant management; public relations and communications; student administration (faculty or department level); professor; and lecturer.

### Activity

Ask people to divide into groups according to their functions at the university. No group should have fewer than five people; if necessary, merge groups.

Ask people to work individually. On your own sheets of paper, write down why you are at a university/research center – one reason per sheet.

Then ask people to work as a table to prioritise reasons. They share what they have written and sort the reasons. If they have used different words/phrases meaning the same thing, they must agree on one word/phrase. They count how many they have of each type of reason. Each table comes to a consensus on the top three reasons and puts them in order of importance.

Back in the plenary, groups share their top three reasons. As each table spokesperson lists the three reasons, write them up on a flip chart/computer screen. If one table has the same reason as another, just note “2” by the first mention.

### Analysis

Ask participants to analyze the reasons. Have a co-facilitator supporting you with a roving microphone so people can be heard. You could ask questions such as:

- Are there reasons that everyone has given? Or are the reasons all different?
- What kind of overlap is there?

Often, many participants say something like, “Education is valuable and important.” If that comes up as the most important/common reason (even if it is not first for all groups), write that up as a value they share.

### Concluding remarks

Present what participants agree about and what they differ over. The point is to find what motivates people to work at a university rather than anywhere else, create awareness of the range of reasons and the similarities and differences. Facilitate reflections on lessons learnt from the session.

# Session 4

## Leadership capability in universities

### 60 minutes

### The session outline

Section	Participants will:	Format of activities	Time
Introduce the session	be familiar with the purpose of the session	Presentation	4 minutes
Give an interactive presentation	learn of, and identify with, different leadership styles	Presentation integrated with activities and discussions	50 minutes
Make concluding remarks	hear highlights of the session from the facilitator's perspective	Brief presentation by the facilitator	6 minutes
Reflect	assess whether the set learning expectations were achieved or not	Web-based link sent to participants at the end of the day	

### The session brief

Purpose	Learning outcomes
<p>Facilitate open discussion on the various concepts related to leadership, management and administration</p> <p>Reflect on participant's own management style, while appreciating other leadership styles</p>	<p>By the end of the session, the participants should be able to:</p> <ul style="list-style-type: none"> <li>• Illustrate leadership and related concepts and terminologies</li> <li>• Outline how they identify with different leadership styles</li> <li>• Identify different leadership skills</li> </ul>

### Content

The session covers leadership, management and administration concepts. It looks at leadership styles and leadership skills. These include:

- creating vision, making decisions, planning, and solving problems
- communication and advocacy
- managing conflict, managing performance, mentoring and coaching and negotiating
- technical capabilities such as intelligence gathering, technical credibility and evaluation
- aspects of emotional intelligence such as reflection, self-awareness, self-regulation, time management, empathy, social skills, networking and motivation

**Activity**

Invite an expert on leadership to lead the session. The pre-prepared presentation and materials for the interactive session are included as Appendix X.

This materials offer content with examples and discussion questions on various concepts and styles of leadership. After participants assess their own leadership skills and those of others in the group, lead an open discussion about practical ways to further develop these skills.

**Concluding remarks**

Conclude with comments you have noted during the activity. These may include appreciation of how different leadership styles can all contribute to building a successful research agenda in Africa. Point out that leadership is not limited to position or function; all participants can play an important leadership role at the workplace.

# Session 5

## Reasons to develop world class research in African universities

### 50 minutes

#### The session outline

Section	Participants will:	Format of activities	Time
Introduce the session	be aware of the learning outcomes	Presentation	2 minutes
Introduce the Fishbowl exercise	be clear on the process	Presentation	3 minutes
Introduce the panelists	understand the different portfolios of the panelists	Introductions by the moderator	3 minutes
Panelists make presentations	be informed of the panelists' perspectives of the issue	2–minutesute presentation per panelist	6 minutes
Groups deliberate on the inputs	deliberate on the inputs	Small group discussion	4 minutes
Four volunteers are nominated to present questions	nominutesate volunteers to present their critical questions in plenary deliberations	Instruction by the moderator	2 minutes
Volunteers submit questions to the panelists	be exposed to enriching debates on the topic	Moderated Q & A	20 minutes
Panelists make concluding remarks	listen to critical remarks by the panelists	2–minutesute presentation per panelist	6 minutes
Make concluding remarks	hear highlights of the session from the facilitator's perspective	Brief presentation by the facilitator	4 minutes
Reflect	assess whether the set learning expectations were achieved	Web–based link sent to participants at the end of the day	

## The session brief

Purpose	Learning outcomes
<p>Discuss the critical role that African universities could play in producing scientists who lead world-class research on the African continent</p>	<p>By the end of the session, the participants should be able to:</p> <ul style="list-style-type: none"> <li>• Provide the rationale for African universities developing a strong research agenda</li> <li>• Relate good teaching to sound research</li> <li>• Relate good research to development agendas</li> <li>• Describe what is required for the success of research in African institutions</li> <li>• Clarify the roles different functionaries need to play in improving research output in African universities</li> </ul>

## Fishbowl exercise

### Preparation

Make sure that the space permits a fishbowl setup, with easy access to an inner circle. Use seven chairs to create an inner circle and provide microphones if necessary.

- Three chairs are for pre-identified panelists with expertise in the following fields: knowledge management; graduate school academia; finance and procurement.
- Four chairs are for participants nominated to raise critical questions to the panelists.
- The participants work in small groups; arrange chairs accordingly.

### Activity

Invite the panelists to sit in the inner circle, strategically facing the four seats. Explain how the process will work. Give a brief biography of each panelist.

Open the floor with a provocative question e.g. “What would it take for African universities to be world-class research entities?”

Moderate the discussion.

1. Give each panelist two minutes to present on the given topic.
2. Allow the groups to deliberate on the panelists’ inputs for five minutes.
3. Invite volunteers to occupy the four empty seats in the inner circle.
4. Each volunteer gives a brief self-introduction before presenting their brief question/s.
5. The panelists respond. Follow-up questions are allowed.
6. Volunteers are allowed at least one question before they can be replaced.
7. At any point, someone from outside the circle may come to the inner circle, tap a volunteer on the shoulder, and take that person’s seat. The new volunteer can ask a question on the next round.
8. If time allows, let the discussion continue in this way until most critical issues have been raised.

### Concluding remarks

Conclude by drawing highlights from the session. These may include the rationale for strong research agendas in African universities; the link between teaching and research, and research and development agendas; characteristics of world-class research institutions; and the roles of different functionaries in facilitating research outputs.

# Session 6

## Deepening understanding of institutional challenges

### 65 minutes

#### The session outline

Section	Participants will:	Format of activities	Time
Introduce the session	understand the purpose of the session and what is expected	Presentation	3 minutes
Divide participants into institutional groups	meet and work with colleagues from the same institution but different departments	Instruction by the facilitator	2 minutes
Identify institutional barriers to realization of the research agenda	gain insights into the challenges faced by colleagues from various functionary perspectives	Facilitated group discussion	15 minutes
Brainstorm possible solutions	be stimulated to think of things that they can do differently in their institutions	Facilitated group discussion	10 minutes
Create a poster of a metaphor reflecting institutional challenges	work as a group to come up with a metaphor representing challenges in their institution	Group work to create a poster	15 minutes
Present the poster	become aware of other institutions' challenges	Presentation of poster	16 minutes
Make concluding remarks	hear highlights of the session from the facilitator's perspective	Brief presentation by the facilitator	2 minutes
Reflect	assess whether the learning outcomes were achieved or not	Web-based link sent to participants at the end of the day	

#### The session brief

Purpose	Learning outcomes
Deepen participants' understanding of institutional challenges in realizing the research agenda	<p>By the end of the session, the participants should be able to:</p> <ul style="list-style-type: none"> <li>Describe the institutional challenges that affect realization of the research agenda in their universities/research institutions</li> <li>Identify potential solutions to existing challenges</li> </ul>

## Develop a poster

### Preparation

Each table is labeled with the name of the institution (Wits, Malawi, Ifakara, etc), so that people know where to go. Put all research centres of those institutions together at one table. However, if each research centre wants to do its own work, it may.

### Activity

Encourage participants to be creative in designing the poster. Drawings and colour should make visible the main institutional challenges to delivering on the research agenda.

### Concluding remarks

Refer to the session learning outcomes to make a concluding statement.

# Session 7

## Exploring challenges experienced by other institutions

### 45 minutes

#### The session outline

Section	Participants will:	Format of activities	Time
Introduce the session	be aware of the expected learning outcomes	Presentation	2 minutes
Put up group posters from Session 6	Share posters	Put up poster stations	2 minutes
All read the posters	learn challenges experienced by other institutions	Poster tour	15 minutes
Add comments to the posters	offer solutions to other institutions and receive the same	Comments added to posters	15 minutes
End the session	reflect on the lessons learnt from the session	Facilitated discussion	6 minutes
Make concluding remarks	hear highlights of the session from the facilitator's perspective	Brief presentation by the facilitator	5 minutes
Reflect	assess whether the set ELOs were achieved	Web-based link sent to participants at the end of the day	

#### The session brief

Purpose	Learning outcomes
Expose participants to the institutional challenges experienced by other universities in realizing the research agenda	<p>By the end of the session, the participants should be able to:</p> <ul style="list-style-type: none"> <li>Identify the institutional challenges experienced by other universities/research institutions in the realization of their research agenda</li> <li>Analyze the similarities and differences between their own institutional challenges and those of other universities/research institutions</li> <li>Formulate solutions to institutional challenges in the realization of the research agenda</li> </ul>

## Poster tour

### Preparation

During the break, ensure that each poster from Session 6 is mounted on the wall or a stand with masking tape. Space them wide apart so participants can walk freely and easily read each one. Hand out small, coloured sticky notes. Each person needs as many sticky notes as there are posters – so if there are 11 posters, they have 11 sticky notes. If possible, allocate a different colour to each university or research institution. For example, Wits could be blue, Malawi yellow and research institutions – APHRC, Agincourt, IHI and Kilifi – all have pink.

### Activity

Explain that one person from each group must stand next to their poster so that they can explain it to the viewers and answer questions.

Everyone else walks around to view the posters. They can ask the assigned person to explain anything they don't understand. Each person then puts one sticky note per poster on the part that seems to be most similar to their own experience.

### Concluding remarks

Share with the participants what was interesting about the session. This may include highlighting:

- the outcomes of the poster tours
- the number of sticky notes on parts of each poster
- the patterns that emerged through placing of the sticky notes
- the commonalities and distinctions in experiences across universities/research institutions
- the lack of predominant experiences among the universities/research institutions; and what the outcomes imply

# Session 8

## Research governance

### 90 minutes

**Note:** Allow flexibility during long sessions, without disrupting the learning. Depending on timing, participants could take a tea break during the group exercise.

### The session outline

Section	Participants will:	Format of activities	Time
Introduce the session	be aware of the session purpose and expected learning outcomes	Presentation	4 minutes
Give input on Research governance	receive information on research governance models	Presentation	20 minutes
Critically analyze the institutions' research governance models	analyze strengths and weaknesses of their institution's research governance	Group work	20 minutes
Design research governance models for institutions	propose a research governance model for their institution	Group poster	20 minutes
Present the proposed institutional research governance models	share their models and learn from other groups	Poster presentations	20 minutes
Make concluding remarks	hear highlights of the session from the facilitator's perspective	Presentation by the facilitator	6 minutes
Reflect	assess whether the set ELOs were achieved	Web-based link sent to participants at the end of the day	

### The session brief

Purpose	Learning outcomes
Expose participants to the principles applicable to university and research governance	By the end of the session, the participants should be able to: <ul style="list-style-type: none"> <li>Describe governance and related terminologies and concepts</li> <li>Describe the relationship between institutional governance and research governance</li> <li>Review the key components of research governance</li> <li>Describe the models of research governance that exist in institutions and roles of different players</li> </ul>

## Interactive presentation

### Preparation

Prepare a 20-minute lecture/presentation on governance aspects, with examples. The maximum time for the whole session is 90 minutes, so pre-timing is a necessity. Have notes to guide you.

### Activity

As facilitator, make a content presentation for 20 minutes.

Participants work in institutional groups. Spend about 20 minutes in discussion and 20 making a poster. Share experiences and examples of research governance models (including funds and grants management aspects). Discuss weaknesses and strengths and the roles of various faculty and administrators in the research governance model of the institution.

Make a poster summarizing this information.

Groups stick their posters on the walls and, one by one, the institutional groups describe their unique research models.

### Concluding remarks

Remind the participants of the purpose of the session and present your own observations of the highlights.

# Session 9

## Research governance

### 120 minutes

**Note:** Allow flexibility during long sessions, without disrupting the learning. Depending on timing, participants could be allowed to take a break during the group exercise. This could be a tea break.

### The session outline

Section	Participants will:	Format of activities	Time
Introduce the session	be aware of what is expected of them during the session	Presentation	4 minutes
Divide into groups according to functionaries	network with participants who perform similar functions from other institutions	Instruction by facilitator	4 minutes
Introduce the functionary group	be guided on how to get the best out the session activities	Instruction by facilitator for each functionary group	4 minutes
Further divide the functionary group	engage with the exercise in a smaller group	Small group work	4 minutes
Receive a written brief	refer to the written brief on how to engage in the small groups	Guided small group work	10 minutes
Read the scenarios	be primed, and their thinking stimulated, by different scenarios relevant to their functions	Discussion	30 minutes
Small groups answer guiding questions	learn from each other how to address challenging situations that might arise in the workplace	Small group discussion	30 minutes
Small groups reconvene within their functionary group	share ideas on what functionaries could do differently to advance the research agenda	Plenary discussion in functionary groups	30 minutes
Make concluding remarks	hear highlights of the session from the facilitator's perspective	Brief presentation by facilitator	4 minutes
Reflect	get an opportunity to assess whether the set ELOs were achieved	Web-based link sent to participants at the end of the day	

### The session brief

Purpose	Learning outcomes
Engage participants in determining how their functions/roles can contribute towards advancing their institutional research agenda	By the end of the session, the participants should be able to: <ul style="list-style-type: none"> <li>Determine what contribution they can make towards advancing the research agenda in their institutions</li> </ul>

## Facilitated group work using vignettes

### Preparation

Access materials online for each of the three functions:

1. knowledge management
2. academic staff
3. finance, procurement and grants management

Print out the materials in advance, enough copies for the number of participants.

Arrange the tables and label them by function.

### Activity

Organize participants in small groups according to their functions. Each group has a facilitator – elected or chosen for them – and does the activity most relevant to their function. As facilitator, distribute the written briefs and go round to check that each group understands the instructions. Remember that you have two hours, so allocate time for everything and make sure everyone has a chance to talk.

#### Group 1: Knowledge management

The knowledge management group includes library, ICT, corporate affairs and research support units. If the variance in the group is too great, you could opt to divide this group further into two or more groups

1. Print out a copy of this brief for each person in the group.
2. The group elects one person to facilitate the group's discussion by going through the following questions. [Link to questions *Group 1: Knowledge management (Library, ICT, Corporate Affairs and Research Support Units)*]
3. Questions 6, 7 and 8, in tabulated format, are intended for the last 60 minutes of the session. They can be handled by the distinct sub-groups within the group: library, ICT, corporate affairs and research support units etc. Access that table here: [\[link\]](#)
4. The sub-group should use the table template to prepare separate lists of functions. They then list desirable inputs from the university that would enable them to up their game and help the university to promote research and researchers.
5. The group reconvenes for the last 20 minutes to receive reports from the sub-groups. It notes areas of convergence, and lists them as such.
6. Participants write responses to each of the questions on flip charts so that they can hand them in.

**Group 2: Academic staff**

1. The facilitator breaks this group up into four sub-groups, and gives each person a vignette print-out.

The sub-groups discuss their scenario. How do they see the situation? What may happen at their university? Are opinions the same or different, and why is that the case?

Vignettes to print out: [links follow]

Sub-group 1: Dataz Disasters

Sub-group 2: Research management

Sub-group 3: Access to the field site

Sub-group 4: Whose research it is anyway?

If you, as a facilitator, have better ones or want to modify these, please do so. In the given vignettes, you can ask the participants to replace the 'YYY', 'ZZZ', etc with real names.

2. Monitor how long it takes the group to do this. If there is time, swop vignettes between groups.
3. At the end of discussion, the group suggests what could be done to prevent the problem arising.
4. In the last 50 minutes, bring the small groups together to report to the bigger group on the solutions they came up with. (We anticipate, from doing this before, that the kinds of solutions will be relatively similar).
5. Then in the large group discuss: If such a solution is realistic, what would be required to implement it? Why has that solution not been implemented to date?
6. Responses to each scenario should be written up on flip charts so that they can be handed in.

**Group 3: Finance, procurement and grants management**

1. This is divided into two parts. In the first 60 minutes, facilitate a discussion which seeks answers to guiding questions. [Guiding questions]
2. Participants write their responses to each of the questions on flip charts so that they can hand them in.
3. For the second 60 minutes, break this group into smaller groups, giving each group a vignette from the set. If time allows, they can do more. If you have others, or want to modify this one, please do so.

[Click on the following link, *Money Troubles* or go to page 54 for an example of a vignette to use.]

4. The groups discuss their vignette. How do they see the situation? What do they think would happen at their university? Are opinions the same or different, and why is that the case? If time allows, groups can swop vignettes.
5. In the last 30 minutes, bring the small groups together to report to the bigger group on the solutions they came up with. (We anticipate, from doing this before, that the kinds of solutions will be relatively similar).

6. Then in the large group discuss: If such a solution is realistic, what would be required to implement it? Why has that solution not been implemented to date?
7. Participants write responses to each of the questions on flip charts so that they can hand them in.

### **Concluding remarks**

At the end of the session, point out similarities and differences observed in the different groups. Also, refer to the session's purpose and the expected learning outcomes.

# Session 10

## Personal commitment statements and evaluation

85 minutes

### The session outline

Section	Participants will:	Format of activities	Time
Introduce the session	understand the purpose of the session	Presentation	3 minutes
Evaluate the workshop	give feedback to the APAS workshop organizers and recommend how to improve it	Plenary discussion	20 minutes
Make individual commitments to improve their functions	reflect on personal gains from the workshop and commit to improve at least one function when they go back to work	Document individual commitments	15 minutes
Evaluate the APAS workshop	evaluate the content, process, methods and logistics of the APAS workshop	Survey	15 minutes
Network	network and bid farewell to other participants.	Engage with other participants	30 minutes
Make concluding remarks	highlights of the session from the facilitator's perspective	Presentation by the facilitator	2 minutes
Reflect	assess whether the set ELOs were achieved	Web-based link sent to participants at the end of the day	

### The session brief

Purpose	Learning outcomes
Evaluation by each participant of the workshop, and committing to improving their functions based on the workshop gains	By the end of the session, the participants should be able to: <ul style="list-style-type: none"> <li>• Evaluate the workshop</li> <li>• List the ways they commit to improving their roles/functions in supporting research in their institutions</li> </ul>

## Facilitated plenary evaluation

Give each participant an A4 sheet of paper. They write their email address on one side.

Invite questions, comments and suggestions on the whole workshop. After taking take a moment to reflect on the whole workshop, ask participants to make one personal commitment, a statement of intent about facilitating and supporting the institutionalization of the CARTA in their functional capacity.

Give participants time to reflect, and to write down their commitment.

Collect these reflections. Explain that an administrator will scan the document and in due course mail it back to them, as a reminder. Point out that you will then destroy both the hard copy and then delete the soft copy.

Encourage participants to network and share contact details.

### Concluding remarks

Close by reminding participants of the objectives of the workshop and commenting on each.